

# BRITISH HORSERACING AUTHORITY RULES OF RACING 04 JANUARY 2021

Version: 4.4



# CONTENTS

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## CHAPTERS

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A	ROLE AND POWERS OF THE BHA
B	LICENSING
C	OWNERSHIP AND REGISTRATION
D	HORSE WELFARE AND MANAGEMENT
E	PREPARING FOR THE RACE
F	THE RACE
G	FOLLOWING THE RACE
H	STEWARDS' POWERS, OBJECTIONS AND ENQUIRIES
I	RACE ADMINISTRATION
J	INTEGRITY
K	ANTI-DOPING
L	BHA INVESTIGATIONS AND DISCIPLINARY ACTION

## CODES

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1	CLAIMING AND SELLING CODE
2	DRAWS CODE
3	EQUIPMENT CODE
4	FEE CODE
5	HORSE NAMING CODE
6	JUDICIAL PANELS CODE
7	RACE ADMINISTRATION CODE
8	RACE ENTRY CODE
9	RUNNING REQUIREMENTS CODE
10	STABLE EMPLOYEES CODE
11	STAKES & PRIZE MONEY CODE
12	STALLS TEST CODE
13	STARTING PROCEDURES CODE
14	SYNDICATES CODE
15	TRAINER CODE
16	VACCINATIONS CODE
17	WEIGHTS AND HANDICAPPING CODE
18	PROHIBITED LIST CODE
19	WHEREABOUTS REQUIREMENTS CODE

20	BANNED SUBSTANCES AND NOTIFIABLE MEDICATIONS FOR JOCKEYS CODE
21	JOCKEY TESTING CODE
22	DEFINITIONS

## GUIDE TO PENALTIES AND PROCEDURES

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1	INTRODUCTION
2	RUNNING AND RIDING - RULE (F)37
3	INTERFERENCE - RULES (F)34 - (F)36
4	WHIP - RULE (F)45
5	TABLE OF PENALTIES

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# ROLE AND POWERS OF THE BHA

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## SCOPE AND APPLICATION OF THE RULES

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- 1 These Rules incorporate the Codes, [General Instructions](#), [Safeguarding Regulations](#), [Regulations for Point-to-Point Steeple Chases](#) and [Regulations for Arabian Horse Racing](#).
- 2 The following are bound by these Rules:
  - 2.1 Persons; and
  - 2.2 anyone falling within Rule (A)3 below.
- 3 Once bound, a Person will always remain subject to the Rules:
  - 3.1 to allow the BHA to investigate, and to take disciplinary action in relation to a breach of these Rules that took place whilst they were bound; and
  - 3.2 for so long as they owe a Debt.
- 4 The Rules do not create or confer any rights or other benefits under the Contracts (Rights of Third Parties) Act 1999.

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## FUNCTIONS AND POWERS OF THE BHA

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### OBJECTIVES

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- 5 The BHA shall exercise all functions relating to the regulation and governance of horseracing in Great Britain and other matters as may be specified in these Rules from time to time in accordance with the BHA Objectives.

### DELEGATION OF FUNCTIONS

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- 6 The BHA may:
  - 6.1 delegate any of its powers or functions; or
  - 6.2 ratify the exercise of any power of the BHA by a person.

### RULES

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- 7 The BHA may from time to time:
  - 7.1 implement new Rules;
  - 7.2 waive, amend or delete existing Rules;
  - 7.3 issue guidance in relation to the Rules; and/or
  - 7.4 waive, amend or delete existing guidance.
- 8 To discharge its functions and to give effect to the operation of these Rules, the BHA may from time to time:
  - 8.1 take any action necessary for these purposes; and / or
  - 8.2 issue any directions or instructions.

### FIXTURES

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- 9 The BHA shall fix the dates on which all Race Meetings are to be held.
- 10 The BHA may:
  - 10.1 cancel any meeting, fixture or Race;

- 10.2 alter the date of any meeting, fixture or Race;
  - 10.3 supervise or make such alterations to the programme of any meeting or conditions of any Race;
  - 10.4 order the transfer of any Race Meeting or Race to another Racecourse with or without existing engagements; or
  - 10.5 elect to divide Races.
- 11 The BHA may authorise, cancel or alter fixture fees, fixtures and races run under the Regulations for Point-to-Point Steeple Chases or the Regulations for Arabian Horse Racing.

## APPLICATIONS

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- 12 Where these Rules provide that a person must:
- 12.1 seek or apply for consent, permission or approval from the BHA;
  - 12.2 complete a registration with the BHA; or
  - 12.3 request that the BHA take an administrative step, such as renewing a name in a register or entering a horse in a Race, the BHA may:
    - 12.4 require the person to:
      - 12.4.1 use and comply with the relevant application form;
      - 12.4.2 pay the fee set out in the [Fee Code](#); and / or
      - 12.4.3 provide any supporting documentation or information.
    - 12.5 refuse or grant the application; or
    - 12.6 grant the application subject to conditions or restrictions.
- 13 The BHA may withdraw, cancel or suspend the consent, permission, approval, registration or other administrative step if it considers it appropriate to do so.

## FORFEIT LIST

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- 14 The BHA may keep and publish a record of Debts on the Forfeit List.
- 15 The Forfeit List may include details of:
- 15.1 the amounts due;
  - 15.2 the name(s) of the debtor(s); and
  - 15.3 such other information as the BHA may consider appropriate.
- 16 Anyone named on the Forfeit List, or any equivalent list published by another Recognised Racing Authority, shall be a Disqualified Person for as long as their name appears on the list.

[Forfeit List](#)

## PUBLICATION

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- 17 The BHA may from time to time publish any information relating to horseracing where it is in the interests of horseracing to do so.

## EXCLUSION OF LIABILITY

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- 18 To the fullest extent permitted by the laws of England, Wales and Scotland, the BHA, its employees, any member of the licensing, disciplinary or appeal boards or panels, agents or those carrying out functions on its behalf shall not be liable to anyone bound by these Rules for any representation, statement, act or omission given, made or carried out relating to the

discharge or operation of these Rules or the governance of horse racing.

19 Nothing in Rule (A)18 shall exclude liability for fraud, or death or personal injury resulting from negligence.

## NOTICES

- 20 Any notice given to the BHA under these Rules must be given by one of the following methods:
- 20.1 by sending by first class post or other service that provides for next day delivery to the BHA’s office at 75 High Holborn, London, WC1V 6LS;
  - 20.2 by delivering the notice by hand to the BHA’s office at 75 High Holborn, London, WC1V 6LS;
  - 20.3 by emailing to an email address as provided by the BHA; or
  - 20.4 any other method where directed to do so by the BHA.

## DEADLINES

- 21 For the purposes of complying with deadlines under these Rules, a notice shall be given or a document served on a given day provided that one of the steps set out in Rule (A)20 is completed before 5 p.m. that day.
- 22 Except where specified otherwise, where a deadline falls on a Saturday, Sunday or Bank Holiday it shall be extended to the next business day.

## DEEMED SERVICE

23 A notice given or document served under these Rules shall be deemed given or served as follows:

METHOD OF SERVICE	DEEMED DAY OF SERVICE
First class post (or other service which provides for next- day delivery)	The second day after it was posted, left with, delivered to or collected by the relevant service provider. If that day falls on a Saturday, Sunday or Bank Holiday, it shall be treated as being received on the next business day.
Delivering the document by hand	If delivered by 4pm on a business day, that day; otherwise, on the next business day after the day on which it was delivered.
Email	If transmitted by 4pm on a business day, that day; otherwise, on the next business day after the day on which it was transmitted.

- 24 Where the BHA is the sending party, it may determine the form in which the notice, direction or other document is sent.
- 25 The BHA may send any notice, communication or document using the last known contact details for the person in question.
- 26 Persons must ensure that the BHA is informed of any change in contact details.

PENALTY

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# LICENSING

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## LICENSING REQUIREMENTS

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- 1 A person cannot be a Trainer, a Jockey, a Valet or a Jockey's Agent without having a Licence permitting them to do so issued by the BHA, or equivalent licence issued by another Recognised Racing Authority.
- 2 No Person may operate an equine swimming pool without a Licence.
- 3 A racecourse cannot stage a Race without having a Licence permitting it to do so issued by the BHA.

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## LICENCE APPLICATIONS

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- 4 The BHA may grant, refuse, withdraw and suspend Licences under these Rules.
- 5 The BHA may grant a temporary Licence where there is good reason for one to be issued.
- 6 To obtain, vary or renew a Licence, a person or racecourse must:
  - 6.1 apply to the BHA within the stated notice period;
  - 6.2 use the relevant application form;
  - 6.3 meet all the criteria set out in, or accompanying, the relevant application form; and
  - 6.4 pay the fee set out in the [Fee Code](#), if applicable.
- 7 If a Licence application is submitted electronically, the BHA must receive originals of all required documents within seven days of the electronic submission. Where the originals are not received by the deadline, the BHA may cancel:
  - 7.1 any Licence application; or
  - 7.2 any registration or other step taken in reliance on the information contained in the electronic submission.
- 8 A person applying to be a Jockey must pass a medical examination.
- 9 An application by a racecourse for a Licence shall identify the Racecourse Managing Executive who shall be responsible for ensuring compliance with the terms, restrictions and conditions of the Licence.
- 10 The BHA may require an applicant, or any other relevant person, to:
  - 10.1 provide further information or documentation; and / or
  - 10.2 attend an interview.
- 11 The BHA may inspect any premises relevant to a Licence or Licence application at any time.

[Licensing Forms and Information](#)

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## DECIDING A LICENCE APPLICATION

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- 12 The BHA shall decide each Licence application on its merits.
- 13 The BHA may:
  - 13.1 grant or refuse a Licence;
  - 13.2 grant a Licence with any conditions and / or restrictions attached; or
  - 13.3 refer a Licence application to the Licensing Committee for determination.
- 14 The BHA shall give written notice of the outcome of a Licence application to the applicant.

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# THE LICENSING COMMITTEE

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## REFERRALS FOR DETERMINATION OF A LICENCE APPLICATION

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- 15 Except in relation to a Racecourse Licence application, the BHA shall refer a Licence application to the Licensing Committee for determination if it:
- 15.1 does not consider the applicant to be a suitable person; or
  - 15.2 believes that it would be in the interests of racing, pending the outcome of an ongoing investigation or process, to refuse the Licence.
- 16 If a Licence application is referred to the Licensing Committee, the BHA shall inform the applicant of:
- 16.1 any facts relied upon by the BHA; and
  - 16.2 the reasons why the BHA made the referral.
- 17 The Licensing Committee shall determine a Licence application referred to it by the BHA in accordance with the [Judicial Panel Code](#).

## TEMPORARY LICENCES

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- 18 The Licensing Committee may grant a temporary Licence to an applicant whilst Licensing Committee proceedings involving that person are ongoing.

## APPEALS

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- 19 An applicant may, in accordance with the [Judicial Panel Code](#), appeal a decision of the BHA in relation to a Licence to the Licensing Committee if the BHA:
- 19.1 refuses the Licence for reasons other than that the absolute requirements on the application form were not met;
  - 19.2 grants the Licence subject to any conditions or restrictions;
  - 19.3 imposes any restrictions or conditions during the term of a Racecourse Licence;
  - 19.4 withdraws or suspends a Licence at any time during its term; or
  - 19.5 consents to the appeal.

## WITHDRAWAL AND SUSPENSION OF LICENCES

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- 20 The BHA may withdraw a Licence if the following are not complied with at any time:
- 20.1 the criteria set out in, or accompanying, the application form used to apply for the Licence; or
  - 20.2 anything upon which the issuance and / or continuation of the Licence was conditional.
- 21 Except in relation to a Racecourse Licence, the BHA may apply to the Licensing Committee to withdraw or suspend a Licence if it considers that:
- 21.1 the Licence holder is no longer a suitable person to hold a Licence;
  - 21.2 it is in the best interests of horse racing pending the outcome of an ongoing investigation or process; or
  - 21.3 it is appropriate to do so.
- 22 A Licence shall cease to be valid if:
- 22.1 it expires;
  - 22.2 it is withdrawn by the BHA or a Judicial Panel;
  - 22.3 it is suspended by the BHA, the Disciplinary Officer, or a Judicial Panel (for the period of suspension);

22.4 it is relinquished by a holder; or

22.5 subject to Rule (B)23, a holder of the Licence becomes a Disqualified Person.

- 23 Rule (B)22.5 will apply to a Licensed Trainer whose name has been published on the Forfeit List from 14 days after the date of publication.

## OTHER REFERRALS TO THE LICENSING COMMITTEE

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- 24 The BHA may refer any other matter concerning a Licence or registration to the Licensing Committee which shall deal with the matter in such manner as it considers appropriate, in accordance with the [Judicial Panel Code](#) so far as possible.

## APPEALING DECISIONS OF THE LICENSING COMMITTEE

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- 25 An applicant may appeal a decision of the Licensing Committee to the Appeal Board in accordance with the [Judicial Panel Code](#), except where the decision was made by the Licensing Committee acting as an appellate body.

## LICENSED TRAINERS

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- 26 To train a horse for a Race, other than for a Hunters' Steeple Chase or a Military Race, a person must:
- 26.1 where the horse is trained in Great Britain, hold a Licence permitting them to train horses for the Race in question; or
  - 26.2 where the horse is trained outside of Great Britain, have an equivalent licence issued by a Recognised Racing Authority.
- 27 A Licence held by a Trainer shall cease to be valid if the Trainer changes stables or their employment status without first obtaining the BHA's consent.
- 28 Each person in a Training Partnership shall be jointly and severally responsible for the obligations imposed on a Trainer under these Rules.

[PENALTY](#)

## MANDATORY LICENCE CONDITIONS FOR LICENSED TRAINERS

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- 29 Every Trainer as a condition of their Licence must:
- 29.1 make sure that their training establishment is suitable and secure;
  - 29.2 only train horses at the premises named on the Licence;
  - 29.3 ensure that any persons who work for or with them in the training of racehorses are employed on terms that are no less favourable than those set out by the National Joint Council for Racing Staff from time to time; and
  - 29.4 comply with the [Stable Employees Code](#).

[National Joint Council for Racing Staff  
Memorandum of Agreement](#)

## RESTRICTIONS FOR LICENSED TRAINERS WITH A JOCKEY'S LICENCE

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- 30 Any Licensed Trainer who is also a Jockey or authorised to ride in a race by another Recognised Racing Authority, may only ride in a Race if:
- 30.1 they are riding a horse trained by them; and
  - 30.2 that is the only horse in the Race trained by them,
- unless they are a Permit Trainer riding in a Hunters' Steeple Chase.

# JOCKEYS

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31 To ride a horse in a Race, a person must:

31.1 be at least 16 years of age;

31.2 be

31.2.1 a Jockey and hold a Licence permitting them to ride in the Race in question; or

31.2.2 an Overseas Jockey and permitted to ride in the Race in question.

32 Any Jockey who, since last riding under these Rules, has sustained a:

32.1 head injury or concussion;

32.2 severe back injury;

32.3 fracture or dislocation involving a limb bone or joints;

32.4 fracture of the pelvis or spine; or

32.5 any other significant injury or significant illness,

must inform the Chief Medical Adviser as soon as possible, or within 48 hours of their return to Great Britain if the injury was sustained abroad.

[PENALTY](#)

## CERTIFICATE OF CLEARANCE

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33 Where required by another country's racing authority, a Jockey may apply to the Racing Calendar Office for a certificate of clearance.

## APPRENTICE JOCKEYS AND CONDITIONAL JOCKEYS

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34 A person applying to be an Apprentice Jockey or Conditional Jockey must:

34.1 be at least 16 years of age and less than 26 years of age;

34.2 be in the full-time, paid employment of a Trainer who holds a Licence to train horses for:

34.2.1 Flat Races (in the case of Apprentice Jockeys); or

34.2.2 Jump Races (in the case of Conditional Jockeys);

34.3 have entered into an Apprentice Jockey's Agreement or a Conditional Jockey's Agreement with that Trainer;

34.4 make the application jointly with that Trainer; and

34.5 be entitled to claim a weight allowance pursuant to the [Weights and Handicapping Code](#), or have been entitled to claim such an allowance within the past six months.

35 A Licence held by an Apprentice Jockey or a Conditional Jockey shall cease to be valid if:

35.1 they reach the age of 26 years;

35.2 they leave the employment referred to on their Licence;

35.3 the Trainer who employs them ceases to hold a Licence;

35.4 the relevant Apprentice Jockey's Agreement or Conditional Jockey's Agreement is terminated; or

35.5 they have not been entitled to claim a Jockey's Allowance for six months.

36 A Trainer must immediately inform the BHA if an Apprentice Jockey's Agreement or a Conditional Jockey's Agreement is terminated.

- 37 If a Trainer dies, the Licence of any Apprentice Jockey or Conditional Jockey employed by that Trainer shall be valid for seven days thereafter.

## PENALTY

## AMATEUR JOCKEY'S LICENCE

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- 38 A person applying to be an Amateur Jockey must have ridden no more than 25 winners in total under the rules of Recognised Racing Authorities, other than as an Amateur Jockey.
- 39 A person is not eligible to be an Amateur Jockey if they have been paid directly or indirectly for riding in a race, other than as allowed by Rule (B)37, but the following are disregarded for the purpose of this Rule:
- 39.1 any trophy that was advertised in the race conditions
  - 39.2 any expenses distributed by F.E.G.E.N.T.R.I.
  - 39.3 any assisted or free travel or accommodation in connection with participation in invitation races abroad, and approved by the relevant Recognised Racing Authority,
  - 39.4 any other payments, expenses or benefits approved by the BHA.

## OVERSEAS JOCKEYS

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- 40 An Overseas Jockey may be required to provide:
- 40.1 an Official with evidence that they have a valid licence from a Recognised Racing Authority and any Medical Record Book issued by that Recognised Racing Authority; and/or
  - 40.2 any other relevant documentation.
- 41 The BHA may:
- 41.1 impose restrictions or conditions on an Overseas Jockey; or
  - 41.2 prohibit an Overseas Jockey from riding in a Race if:
    - 41.2.1 they have been resident in Great Britain for more than 30 consecutive days leading up to the Race; or
    - 41.2.2 it is appropriate to do so.
- 42 Where a Race is confined to Apprentice Jockeys and Conditional Jockeys, an Overseas Jockey may ride in the Race if:
- 42.1 they are entitled to claim a weight allowance pursuant to the [Weights and Handicapping Code](#), or have been entitled to claim such an allowance within the past six months; and
  - 42.2 are less than 26 years of age.

## JOCKEYS' AGENTS

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- 43 A Jockey's Agent may not act for a Jockey unless the appointment has been authorised by:
- 43.1 the Jockey; and
  - 43.2 where the Jockey is an Apprentice Jockey or a Conditional Jockey, the Jockey's employing Trainer.

## AUTHORITY TO ACT

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- 44 The BHA must approve any Authorised Agent appointed to act on behalf of a Person.

# RACECOURSES

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- 45 A Licence held by a Racecourse may be subject to such restrictions or conditions imposed by the BHA:
- 45.1 during the term of the Licence; and/or
  - 45.2 on renewal,
- and these may differ from those previously imposed.
- 46 The Racecourse Managing Executive must ensure that the Racecourse and all employees, representatives, and agents comply with the General Instructions.
- 47 The Racecourse Managing Executive may, in accordance with the General Instructions, abandon a day's racing or any Race where:
- 47.1 there are exceptional circumstances;
  - 47.2 there is adverse weather; or
  - 47.3 the ground conditions are such that any part of the course is unsafe.
- 48 Where a Racecourse Managing Executive proposes to abandon a day's racing or any Race on the day of a meeting, as a result of:
- 48.1 an emergency situation involving crowd safety or public order; or
  - 48.2 any direction given by the police or emergency services,
- they must inform the Stewards before the decision to abandon is announced.

PENALTY

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# OWNERSHIP AND REGISTRATION

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## OWNERSHIP

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### REGISTRATION OF OWNERSHIP

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- 1 A person must make an application to the BHA in order to be registered as an Owner.
- 2 The BHA shall only register the following ownership types:
  - 2.1 a Sole Owner;
  - 2.2 a Company;
  - 2.3 a Partnership;
  - 2.4 a Syndicate; or
  - 2.5 a Racing Club.
- 3 The BHA may refuse an application if:
  - 3.1 any of the following are or become a Disqualified Person or subject to any form of insolvency proceedings:
    - 3.1.1 the applicant;
    - 3.1.2 a director or company secretary of a company making the application;
    - 3.1.3 anyone with a legal, beneficial or equitable interest in any horses owned by the applicant; or
    - 3.1.4 any representative of the applicant;
  - 3.2 appropriate financial arrangements are not in place;
  - 3.3 information about the applicant is not provided on request; or
  - 3.4 it is appropriate to do so.

#### Cancellation

- 4 The BHA may cancel an Owner's registration if:
  - 4.1 they do not have a horse registered with the BHA for a period of two consecutive years;
  - 4.2 any of the following are or become a Disqualified Person or subject to any form of insolvency proceedings:
    - 4.2.1 the Owner;
    - 4.2.2 a director or company secretary of a Company;
    - 4.2.3 anyone with a legal, beneficial or equitable interest in any horses owned by the Owner; or
    - 4.2.4 any representative of the Owner;
  - 4.3 information is not provided on request, or is false, inaccurate or incomplete;
  - 4.4 the criteria for the ownership type is not met;
  - 4.5 appropriate financial arrangements are not in place;
  - 4.6 a participant in a Syndicate does not have any interest in a horse owned by the Syndicate;
  - 4.7 there is a breach of the [Syndicate Code](#); or
  - 4.8 it is appropriate to do so.

### PROHIBITIONS ON OWNERSHIP

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- 5 A Professional Jockey must not own or part-own, or hold any equitable or beneficial interest in, any horse which is entered into or run in a Race:

- 5.1 in Great Britain; or
  - 5.2 under the rules of any other Recognised Racing Authority, unless the Jockey is an Overseas Jockey,
- 6 Rule (C)5 shall not apply to horses that only run in Hunters' Steeple Chases and/or Military Races.

## PENALTY

## OWNER'S REPRESENTATIVES

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- 7 At least one person, who must also be an Owner, must be appointed to act on behalf of the following Owners:
- 7.1 a Syndicate, such person(s) being called a Syndicator;
  - 7.2 a Racing Club, such person(s) being called a Racing Club Manager;
  - 7.3 a Stud Company, such person(s) being called a Stud Company Nominee.
- 8 At least one Registered Agent must be appointed to act on behalf of a Company.
- 9 The BHA may refuse an application to register an individual as an Owner's Representative if that individual is or becomes a Disqualified Person or subject to any form of insolvency proceedings, or if it is otherwise appropriate to do so.

## OWNER'S RESPONSIBILITIES

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- 10 The following shall be responsible for the obligations imposed by the Rules on an Owner:
- 10.1 a Sole Owner;
  - 10.2 a Company;
  - 10.3 an Owner's Representative;
  - 10.4 each Partner in a Partnership;
  - 10.5 each Business Partner in a Business Partnership; or
  - 10.6 for horses subject to a Registered Lease, the lessee.

## NOTIFICATION OBLIGATIONS

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- 11 The Owner or the Owner's Representative must inform the BHA, within 21 days or, if sooner, before a relevant horse is next entered or runs in a Race, of:
- 11.1 any change to the ownership interest in a horse;
  - 11.2 any changes to the company secretary or directors of a Company;
  - 11.3 any changes to the composition of a Syndicate;
  - 11.4 any changes to the Partners or Business Partners in a Partnership or Business Partnership;
  - 11.5 the names of all the members of a Racing Club on a given date;
  - 11.6 such other details as the BHA may request.

## PARTNERSHIPS

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- 12 Each Partner in a Partnership must be an Owner.

## SYNDICATES

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- 13 A Syndicator must comply with the [Syndicate Code](#) if:
- 13.1 the Syndicator is paid for that role; or

13.2 the Syndicate is one that invites members of the public to join.

## LEASES OF HORSES

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14 Where an Owner is a lessee of a horse, the Owner must register the lease with the BHA.

15 A Lease shall only be valid for up to 12 months.

16 The BHA may publish the details of a Lease.

17 A Lease shall cease to be registered if the lessee ceases to be an Owner.

## TRANSFER OF ENGAGEMENTS

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18 Where ownership of a horse passes from one Owner to another, its engagements may be transferred provided that:

18.1 the new Owner is registered in the country in which the horse is trained; and

18.2 both parties confirm the transfer to the Racing Calendar Office.

[PENALTY](#)

## RACING COLOURS

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19 An Owner must, prior to making a Declaration to Run for a horse, register racing colours with the Racing Calendar Office.

20 Registration of racing colours shall not be permitted where they are too similar to colours already registered.

21 The BHA may cancel the registration of racing colours if it considers it appropriate.

### Use of Racing Colours

22 A horse must run in the racing colours registered by its Owner:

22.1 in Great Britain, where the horse is trained in Great Britain, or

22.2 otherwise, in a Recognised Racing Authority.

23 An Owner who has more than one set of registered racing colours must nominate which are their first colours.

24 Where two or more horses in a Race have similar racing colours, the BHA may require that one or more horses use alternative colours and shall determine what colours are suitable.

25 Where an Owner has more than one horse running in the same Race, or where the Owner's horse shall not be carrying their first colours in a Race, the Owner or the Trainer must declare alternative colours to the Racing Calendar Office by 1pm on the day for making Declarations to Run.

26 The BHA may permit the joint use of racing colours if there is sufficient connection between those who shall jointly use them.

### Transfer of racing colours

27 The BHA shall permit a transfer of racing colours from an Owner to any of their Family Members.

28 The BHA may permit a transfer of racing colours from one Owner to another.

[PENALTY](#)

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## HORSES

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## NOTIFICATION TO THE STUD BOOK AUTHORITY

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- 29 The legal owner must ensure that notification of the birth of a horse is provided to the Stud Book Authority (in such form as may be required from time to time) within 30 days of the horse's birth.

## NAMING HORSES

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- 30 All horses' names must be registered in accordance with the [Horse Naming Code](#).

### Reserving a name

- 31 A person may apply to the Racing Calendar Office to reserve a name for a horse.

### Changing a name

- 32 A horse's name may not be changed if:

32.1 the horse has already raced under that name;

32.2 the name is registered with a Recognised Racing Authority which has not consented to the name change; or

32.3 the horse has been registered either as a broodmare or a stallion in:

32.3.1 the Stud Book or the Non-Thoroughbred Register; or

32.3.2 a stud book or non-thoroughbred register published by another Recognised Racing Authority.

## RECKONING THE AGE OF A HORSE

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- 33 For the purposes of these Rules, a horse's date of birth is deemed to be 1 January in the year in which it is foaled.

## REGISTRATION OF NON-RACING AGREEMENTS

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*Deleted - see [Rules \(D\)12 - \(D\)15](#)*

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# HORSE WELFARE AND MANAGEMENT

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## HORSE WELFARE

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### DUTY TO PROMOTE WELFARE OF HORSES

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- 1 The Responsible Person must take all reasonable steps to ensure the safety and welfare of every horse in their care at all times.
- 2 A Person, whether mounted or dismounted, must not kick, strike or otherwise act improperly towards a horse, except for proper use of the whip whilst riding.

[PENALTY](#)

### VETERINARY TREATMENT AND MEDICATION

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- 3 The Responsible Person must ensure that:
  - 3.1 all treatment and medication administered to a horse in their care is:
    - 3.1.1 given in the best interests of the horse's health and welfare; and
    - 3.1.2 justified by the horse's medical condition, and
  - 3.2 they obtain and follow advice from a Veterinary Surgeon as to the appropriate treatment and level of training for a horse affected by injury or disease.

### DUTY TO REPORT COMMUNICABLE DISEASES

---

- 4 If the Responsible Person has been informed by a Veterinary Surgeon, or should otherwise be aware, that a horse in their care is infected or is likely to be infected with a Communicable Disease, the Responsible Person must:
  - 4.1 observe any statutory requirements;
  - 4.2 immediately notify the BHA; and
  - 4.3 not remove, or allow to be removed, any horse in their care from the premises without the BHA's consent.

[LIST OF COMMUNICABLE DISEASES](#)

[PENALTY](#)

### SECURITY OF HORSES

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- 5 The Responsible Person must:
  - 5.1 maintain adequate security measures for horses at all times; and
  - 5.2 ensure that any staff are properly briefed and trained about these measures.

### HORSE PASSPORTS

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- 6 The Responsible Person must ensure that:
  - 6.1 each horse in their care has a valid Passport; and
  - 6.2 the Passport accompanies the horse and is always available for inspection.

[PENALTY](#)

## DUTY TO CHECK IDENTITY OF A HORSE

---

- 7 A Responsible Person must:
  - 7.1 promptly check the identity of any horse that comes into their care against its Passport; and
  - 7.2 immediately report any discrepancies in the markings or microchip in a Passport to the Racing Calendar Office.
- 8 The BHA may check the identity of a horse at any time, and the Responsible Person must ensure that the correct horse is presented on each occasion.

[PENALTY](#)

## NEURECTOMY OPERATIONS

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- 9 A horse which has undergone a Neurectomy cannot run in a Race.
- 10 If a horse has undergone a Neurectomy, the Responsible Person must:
  - 10.1 notify the Racing Calendar Office within seven days of the horse undergoing the procedure; and
  - 10.2 ensure that the Veterinary Surgeon carrying out the procedure endorses the horse's Passport.

[PENALTY](#)

## RACEDAY RESTRICTIONS

---

- 11 From 12.01 a.m. on the day of a Race in which a horse is declared to run:
  - 11.1 no substance may be administered to a horse except for normal feed and water offered by mouth, or water administered in small quantities using a bulb syringe; and
  - 11.2 the horse must not receive Manipulative Therapy, until it has run in the Race or been withdrawn.

[PENALTY](#)

## NON-RACING DECLARATION

---

- 12 The following may notify the BHA of the permanent retirement of a horse from racing, by lodging a Non-Racing Declaration:
  - 12.1 the Owner;
  - 12.2 the legal owner;
  - 12.3 the Trainer, acting on behalf of the Owner (in which case there will be a 14-day period before the restriction is imposed).
- 13 A horse that is the subject of a Non-Racing Declaration is ineligible to race under:
  - 13.1 the Rules of Racing; and
  - 13.2 unless otherwise specified on the Non-Racing Declaration, the BHA Regulations for Point-to-Point Steeple Chases, and the BHA shall seek reciprocation of this from other Recognised Racing Authorities where applicable.
- 14 The BHA shall recognise and enforce a non-racing restriction registered with another Recognised Racing Authority, other than in exceptional circumstances.
- 15 A Non-Racing Declaration shall not be revoked without the approval of the BHA.

## HORSES INJURED ON RACECOURSE PROPERTY

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16 A Veterinary Surgeon on the Racecourse may direct that:

- 16.1 an injured horse, or horse with a spread plate, is transported to the Racecourse Stables or the veterinary treatment box in the horse ambulance;
- 16.2 a severely injured horse is humanely euthanised to prevent undue suffering to the horse.

17 If a Veterinary Surgeon on the Racecourse directs that a horse is humanely euthanised, they will seek to contact the Trainer or Owner to obtain a second opinion if it is practicable to do so.

18 If it is not practicable to contact the Trainer or Owner, the Veterinary Surgeon may proceed with humane euthanasia without reference to them.

## DEATH OF A HORSE

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19 A Veterinary Officer may order a post-mortem examination of any horse that dies on Racecourse Property.

20 The Responsible Person must immediately notify the BHA of the death of a horse under their care.

[PENALTY](#)

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## GENERAL DUTIES OF TRAINERS

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### DUTIES OF CARE AND SKILL

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21 A Trainer must train racehorses:

- 21.1 with reasonable care and skill; and
- 21.2 with due regard to:
  - 21.2.1 the interests of the Owners of horses in their care; and
  - 21.2.2 the safety of their employees and agents.

22 A Trainer must ensure that any person mounted on a horse under their care and control is wearing a skull cap and safety vest which complies with the [Equipment Code](#), and must carry out risk assessments regarding wearing safety vests at other times.

[PENALTY](#)

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## TRAINERS OBLIGATIONS

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### VACCINATIONS

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23 Trainers must comply with the [Vaccinations Code](#).

[PENALTY](#)

### DUTY TO KEEP MEDICATION RECORDS

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24 A Trainer is responsible for keeping a clear and accurate record of any Treatment administered to each horse in their care for at least 12 months in an Equine Medication Record Book.

25 Each entry in an Equine Medication Record Book must:

- 25.1 be made within 48 hours of administration of any Treatment or, if administration did not take place at the yard, as soon as the horse returns;
- 25.2 contain the following information:
- 25.2.1 registered name of the horse or, if it is unnamed, the registered name of the dam and the year of foaling;
  - 25.2.2 brand name or active ingredient of the Treatment used;
  - 25.2.3 start and end date of the Treatment;
  - 25.2.4 method of administration;
  - 25.2.5 quantifiable dosage of Treatment, to include any changes to dosage during the Treatment;
  - 25.2.6 frequency of administration, to include any changes in frequency during the Treatment; and
  - 25.2.7 name of the person administering the Treatment and whether that person is a Veterinary Surgeon.
- 26 Veterinary practice records that contain the information required for an Equine Medication Record Book entry shall be sufficient if they are available in the yard and cross-referenced in the Equine Medication Record Book.
- 27 Equine Medication Record Books must be made available for inspection when required by the BHA.

[PENALTY](#)

## INFORMATION ABOUT GELDING A HORSE

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- 28 A Trainer must notify the Racing Calendar Office if a horse in their care has been gelded:
- 28.1 by no later than Closing for the horse's next Race; or
  - 28.2 by the next Scratching Deadline or deadline for Confirmation of Entry, if the horse has an entry for an Early Closer.

[PENALTY](#)

## HORSES OF AMBIGUOUS SEX

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- 29 A Responsible Person must, as soon as possible, notify the Racing Calendar Office when a horse under their care and control is found to be of Ambiguous Sex.

[PENALTY](#)

## INFORMATION ABOUT WIND SURGERY

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- 30 A Trainer must notify the Racing Calendar Office on each occasion a horse in their care has had Wind Surgery. Notification must be made before the horse is declared to run, but is not necessary if the horse has never previously raced.

[PENALTY](#)

## INFORMATION ABOUT SUPRACHOROIDAL CYCLOSPORINE IMPLANTS

---

- 31 A Trainer must notify the BHA if a horse in their care has a suprachoroidal cyclosporine implant:
- 31.1 if in training within seven days of the surgery; or
  - 31.2 whenever the horse enters training,
- by sending a certificate signed by a Veterinary Surgeon.

[PENALTY](#)

## NOTIFICATION OF PREGNANT HORSES

---

32 A Trainer must notify the BHA if a horse in their care is pregnant:

32.1 within 25 days of the last covering, or

32.2 as soon as the horse enters training

whichever is the later, and the notification must include the last covering date.

33 If, after notification, the pregnancy is lost the Trainer must notify the BHA as soon as reasonably practicable.

[PENALTY](#)

[Notification of pregnant mare form](#)

[Notification of pregnancy loss form](#)

## INFORMATION ABOUT NEW HORSES

---

34 A Trainer must inform the Racing Calendar Office of any:

34.1 horse that enters or leaves their care; and

34.2 change in ownership of a horse in their care,

within three days or, if earlier, before any Transaction Notice is made for the horse.

35 Where a horse was foaled outside Great Britain, Ireland or the Channel Islands and enters Great Britain for the first time, the Trainer must apply for the horse's name to be registered before any Transaction Notice is made for the horse.

36 Where a horse arrives from outside Great Britain or Ireland the Trainer must provide the Racing Calendar Office with details of the horse's racecourse performances before any Transaction Notice is made for the horse.

[PENALTY](#)

## RACING OUTSIDE GREAT BRITAIN

---

### Information about a horse running in a race outside Great Britain and Ireland

37 Rule (D)37 and Rule (D)38 apply where a horse travels to another country to race run under the rules of another country's racing authority.

38 A Trainer must give details of a horse's performance in any race run outside of Great Britain and Ireland to the Racing Calendar Office:

38.1 within 48 hours of the horse's return to Great Britain; or

38.2 if the horse has an Entry, as soon as the horse returns to Great Britain.

[PENALTY](#)

## RACING CLEARANCE NOTIFICATION

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39 Where a Recognised Racing Authority requires a Racing Clearance Notification, a request must be made to the Racing Calendar Office no later than the day prior to the deadline for the pre-race day declaration for the relevant race..

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# PREPARING FOR THE RACE

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## GENERAL

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### ENTERING A HORSE FOR A RACE

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- 1 To run in a Race a horse must be:
  - 1.1 qualified in accordance with the [Running Requirements Code](#); and
  - 1.2 entered in accordance with the [Race Entry Code](#).

[PENALTY](#)

### OVERNIGHT ACCOMODATION

---

- 2 If a Trainer requires overnight accommodation at a racecourse for a stable employee and/or a horse, the Trainer must submit a written application to the racecourse by 1pm on the day before they are due to arrive.

[PENALTY](#)

### EQUIPMENT

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- 3 A horse's equipment must comply with and be used in accordance with the requirements of the [Equipment Code](#) when the horse is on Racecourse Property.

[PENALTY](#)

### ADVERTISING

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- 4 Jockeys and Trainers must comply with, and Trainers must ensure their Stable Employees comply with, the Sponsorship Codes of Conduct.
- 5 Any form of advertising carried by a horse on a Racecourse must first be approved by the BHA.
- 6 The BHA may:
  - 6.1 prohibit the advertisement in the Racing Calendar of any Race or Race Meeting;
  - 6.2 determine the circumstances in which sponsorship is permitted for or in connection with horseracing; and
  - 6.3 approve any sponsorship agreements, subject to such restrictions or conditions as it may determine.

[PENALTY](#)

### ON COURSE DECLARATIONS

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- 7 A Trainer must ensure that:
  - 7.1 the Declaration Sheet has been checked and signed,
  - 7.2 the weights and colours in the racecard have been checked, and
  - 7.3 the Clerk of the Scales is informed if any part of the Declaration Sheet or racecard is incorrect, at least 45 minutes before the advertised start time for a Race.

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# HORSES ON THE RACECOURSE

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## REQUIREMENT TO USE OFFICIAL RACECOURSE STABLES

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- 8 A Trainer must ensure that their horse is in the Racecourse Stables at least 45 minutes before the advertised start time for the Race in which the horse is to run.

PENALTY

## RESTRICTIONS ON A HORSE WHILST ON RACECOURSE PROPERTY

---

- 9 Once the Equine Welfare Integrity Officers have commenced their duties on Racecourse Property:
- 9.1 a horse cannot leave Racecourse Property, except:
    - 9.1.1 to move between the Racecourse Stables and the Racecourse; or
    - 9.1.2 to go to or from any gallops which are not on Racecourse Property, and
  - 9.2 the horse must not be stood in ice or iced water, or have a cooling device (including ice boots or bandages, or ice bags) applied to any part of the horse within two hours of the advertised start time of the Race, unless otherwise approved by the Veterinary Officer,
- until the horse has either run in the Race or been withdrawn.
- 10 Once the Equine Welfare and Integrity Officers have commenced their duties on Racecourse Property, no substance may be administered to a horse except for normal feed and water offered by mouth, or water administered in small quantities using a bulb syringe, unless otherwise approved by a Veterinary Officer.
- 11 Any medical treatment given to a horse on Racecourse Property must first be authorised by the Veterinary Officer, except where a horse needs to be humanely euthanised and it is not possible to consult the Veterinary Officer first.

PENALTY

## PROHIBITION ON BRINGING HORSES AFFECTED WITH RINGWORM TO A RACECOURSE

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- 12 A Trainer must not bring a horse infected with ringworm onto Racecourse Property.
- 13 If a horse is showing signs of ringworm, the Trainer of the horse must have a [Certificate of Non-Contagiousness](#) before they take the horse onto Racecourse Property.

PENALTY

## EQUIPMENT REQUIREMENTS

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- 14 Trainers must ensure, in relation to the equipment of any horse in their care on Racecourse Property, that:
- 14.1 horses are shod in accordance with the [Equipment Code](#);
  - 14.2 all reins are attached to the bridle in an approved manner; and
  - 14.3 all other equipment worn by the horse is in a serviceable condition and properly fitted.

PENALTY

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# WEIGHING OUT

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## GENERAL

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- 15 A Jockey must weigh out for each Race in which they are declared to ride, except that they shall not be permitted to do so if they are 4lbs or more over weight.
- 16 An Amateur Jockey must present their Medical Record Book to the Clerk of the Scales before they weigh out.
- 17 Weighing out must be completed 15 minutes before the start of the Race.
- 18 A Jockey must:
  - 18.1 weigh out wearing the correct colours, and present their colours cap, number cloth and any Headgear (excluding Cheek Pieces) to the Clerk of the Scales; and
  - 18.2 place on the scales all equipment to be worn or carried in the Race, except for Excluded Equipment.
- 19 All weights shall be rounded down to the nearest 1lb unit.
- 20 Jockeys will be given a 3lb weight allowance to compensate for the weight of the safety vest, and an additional 1lb weight allowance in Flat Races in December, January and February to allow for extra clothing.
- 21 After weighing out for a Race both the Jockey and the Trainer are responsible for ensuring that:
  - 21.1 the Jockey's saddle is not left unattended or taken back into the Jockey's changing room;
  - 21.2 the clothing and equipment a Jockey wore when weighing out is not changed except that the girth or surcingle can be changed if they do not fit;
  - 21.3 the Jockey does not accept anything from, or give anything to, another person which may affect the Jockey's weight; and
  - 21.4 no lead is added to or removed from the Jockey's weight cloth.
- 22 A Jockey must ride the horse for which they have been weighed out.
- 23 The Trainer, or representative of the Trainer, of a horse to be ridden by an Apprentice Jockey or Conditional Jockey must be present when the Apprentice Jockey or Conditional Jockey is weighed out.

[PENALTY](#)

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## DECLARATION OF UNFITNESS TO RIDE

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- 24 If a Jockey has sustained an injury listed in [Rule \(B\)31](#), and/or has been declared unfit to ride, they must not ride in a Race unless they are declared fit by:
  - 24.1 a Racecourse Medical Officer; or
  - 24.2 where required by the BHA, the Chief Medical Adviser.

[PENALTY](#)

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# REQUIREMENTS BEFORE PROCEEDING TO THE START

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## THE COURSE

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- 25 Before riding in a Race, Jockeys must:
  - 25.1 familiarise themselves with the course they are to ride; and
  - 25.2 for Races started from starting stalls, know the draw number for their horse and ensure they are loaded into and start from the correct stall.

## REQUIREMENTS BEFORE MOUNTING

---

- 26 A horse being led on Racecourse Property must be fitted with a bridle, or a chifney attached to a headcollar.
- 27 When on Racecourse Property, a person may only lead one horse at a time.
- 28 A Trainer must ensure that each of their horses:
- 28.1 carries a visible number cloth;
  - 28.2 carries at least the correct weight;
  - 28.3 is led by an attendant wearing the correct number armband; and
  - 28.4 where applicable, carries a BHA approved speed sensing device in the number cloth.
- 29 A Trainer must ensure that their horse is in the parade ring by the time displayed in the weighing room.
- 30 A Trainer must ensure that their horse is properly saddled, and any sheets or rugs are removed, before the horse goes to the start.

## MOUNTING, PARADES AND PROCEEDING TO THE START

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- 31 All persons in the pre-parade ring, the parade ring or that are involved in a parade must obey the instructions of BHA Officials and racecourse officials.
- 32 Subject to any additional requirements imposed by the Racecourse, the following may enter the parade ring:
- 32.1 an Owner, Trainer, horse attendant or Jockey of a horse which is to run in the next Race;
  - 32.2 a horse that has been Declared to Run; and
  - 32.3 a horse for which permission has been given by the Stewards.
- 33 Jockeys shall mount their horse and proceed to the start as directed by BHA Officials or racecourse officials.

## TRAINERS' RESPONSIBILITIES FOR APPRENTICE JOCKEYS AND CONDITIONAL JOCKEYS BEFORE THE START

---

- 34 A Trainer that employs an Apprentice Jockey or Conditional Jockey must ensure:
- 34.1 the fit condition of any saddle used by them;
  - 34.2 that they:
    - 34.2.1 arrive at any Racecourse at which they are declared to ride on time;
    - 34.2.2 acquaint themselves with every course, to include walking the course on the first occasion they ride there.
    - 34.2.3 are aware that they must have their girths checked at the start;
    - 34.2.4 are aware that they must report any concerns to the Starter or assistant Starter;
    - 34.2.5 comply with all requirements of the [Equipment Code](#); and
    - 34.2.6 are aware that they must remove the blindfold from the horse before the start of the Race, where applicable.

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# PARTICIPANTS ON THE RACECOURSE

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## TRAINERS' REPRESENTATIVES

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- 35 A Trainer must appoint a representative to undertake all of their responsibilities if the Trainer is unable to attend a Racecourse where they have a horse running, including:
- 35.1 attending any Stewards' Enquiry on the Trainer's behalf;
  - 35.2 knowing the instructions given to the Jockey by the Trainer; and
  - 35.3 being able to inform the Stewards whether the Jockey has complied with such instructions,
- but only a representative that is a Trainer or a Stable Employee shall be permitted to enter the Racecourse Stables.
- 36 A Trainer is responsible for the acts and omissions of their representatives.

[PENALTY](#)

## ACCESS ON THE RACECOURSE

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### Weighing room and Jockeys' changing room

- 37 No Person except those authorised by the BHA may enter the weighing room.
- 38 No Person other than Jockeys or Valets may enter the Jockey's changing room except where permission has been obtained from the BHA.

### Racecourse Stables

- 39 To enter the Racecourse Stables:
- 39.1 all persons must obtain consent from the Equine Welfare Integrity Officer;
  - 39.2 Licensed Trainers and Stable Employees must show a valid BHA Identity Card; and
  - 39.3 attendants for Hunters' Steeple Chase and Military Race runners and horses trained outside Great Britain must show photo identification.
- 40 A Trainer who enters Racecourse Stables must comply, and must ensure that their Stable Employees comply, with any directions given to them by BHA Officials.
- 41 No more than 3 people per horse shall be given access to Racecourse Stables.

[PENALTY](#)

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## RESTRICTED PERIOD

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### REMAINING ON RACECOURSE PROPERTY

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- 42 During the Restricted Period a Restricted Person must not leave and return to Racecourse Property without the permission of a BHA Official.

[PENALTY](#)

## COMMUNICATION DEVICES

---

- 43 A Restricted Person may not use or switch on a Communication Device during the Restricted Period, unless they are in the Phone Zone and:

43.1 the Communication Device is registered with the BHA; or

43.2 the BHA gives permission to do so.

- 44 The BHA shall only register a Communication Device if a Restricted Person consents to providing, on request from the BHA, fully itemised billing accounts for the Restricted Period.

PENALTY

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# THE RACE

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## THE START

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### GETTING TO THE START

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- 1 Trainers and Jockeys must ensure that their horses are ready to start on time.
- 2 Horses must be ridden to the start.
- 3 Horses may not be led on the course on the way to the start, except:
  - 3.1 when in a Parade; or
  - 3.2 with the prior permission of the Stewards.
- 4 Jockeys are not permitted to jump a fence or hurdle before the start of a Race.
- 5 If a Jockey remounts after leaving the parade ring they must:
  - 5.1 be assessed by a Racecourse Medical Officer or ambulance paramedic; or
  - 5.2 inform the Starter that they remounted, before riding in the Race.

[PENALTY](#)

### AT THE START

---

- 6 All Persons at the start must:
  - 6.1 obey the Starter; and
  - 6.2 comply with the [Starting Procedures Code](#).
- 7 No person shall be allowed on the course at the start without the permission of the Starter.
- 8 An Apprentice Jockey or Conditional Jockey (or an equivalent Overseas Jockey) must ensure their girths are checked at the start.

[PENALTY](#)

### WITHDRAWAL OF HORSES AT THE START

---

- 9 In a Race started from starting stalls, a horse will be withdrawn if it:
  - 9.1 refuses to enter the stalls; or
  - 9.2 is not mounted at the 'Off'.
- 10 A horse may be withdrawn if it:
  - 10.1 will be unable to start on time;
  - 10.2 is unruly; or
  - 10.3 there is another good reason.

### FALSE STARTS

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- 11 The signal for a false start is the waving of the Starting Flag.
- 12 A Starter shall declare a false start:

- 12.1 if any faulty action of the starting gate or starting stalls has meant that there has not been a fair start;
- 12.2 when a horse has broken away before the Race has been declared 'Off';
- 12.3 if the Starter releases the starting gate or starting stalls for safety reasons but does not intend to start the Race; or
- 12.4 if the recall procedures have been initiated.

13 Where a false start has been declared the Jockeys must return to the start.

14 A horse shall be withdrawn if, following a false start and before the Race has restarted:

- 14.1 in a Flat Race, it completes the course; or
- 14.2 in a Jump Race, it either completes a circuit of the course, unseats its Jockey other than at the start, or falls.

[PENALTY](#)

## STALLS TESTS

---

15 All Persons must comply with the [Stalls Test Code](#).

16 Any horse reported by a Starter for a Stalls Test cannot run in a Race started from starting stalls until the day after it has passed a Stalls Test, or gained an equivalent certificate from a Recognised Racing Authority.

17 A Starter may report a horse for a Stalls Test if the horse:

- 17.1 failed to enter the starting stalls;
- 17.2 unnecessarily delayed the start; or
- 17.3 was unruly.

18 A Starter may give a Trainer a warning in respect of a horse if:

- 18.1 the horse was unruly; or
- 18.2 a late load was requested for the horse.

19 If a Trainer is given three warnings in respect of the same horse within a 12 month period, the horse must complete a Stalls Test.

20 Where a horse has completed two Stalls Tests as a result of warnings incurred under Rule (F)18.2, any further late load requests for that horse will not result in additional warnings.

21 Where a horse is subject to a third Starter's report, it may not attempt a Stalls Test for six months.

[PENALTY](#)

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## COMPLETING THE COURSE

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### WALK OVERS

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22 A Race shall be a walk over if:

- 22.1 only one horse is declared a runner;
- 22.2 only one horse is ready to start; or
- 22.3 only one horse returns to the start following a false start.

23 Other than in the circumstances set out in Rule (F)22.3, to be declared the winner in the event of a walk over the remaining horse must be ridden across the finish line.

## REMOUNTING

---

- 24 Any Jockey that has remounted after a Race has been declared 'Off' may not continue in the Race.
- 25 After a Race has been declared 'Off', a Jockey must not remount a horse unless:
- 25.1 they have been assessed by a Racecourse Medical Officer; and
  - 25.2 their horse has been examined by a Veterinary Surgeon.

[PENALTY](#)

## PULLING UP A HORSE

---

- 26 A Jockey must pull up their horse whenever:
- 26.1 it is lame or injured;
  - 26.2 it has no more to give or has tailed off through fatigue; or
  - 26.3 has a problem which is materially affecting its performance.
- 27 A Jockey must dismount as soon as reasonably possible to do so from any lame or injured horse.
- 28 Where a Jockey pulls up their horse:
- 28.1 they cannot re-join the Race or jump any further fence or hurdle; and
  - 28.2 they must wait in the area where they pulled up until all horses still in the Race have passed.

[PENALTY](#)

## RIDING THE COURSE

---

- 29 A Jockey must **ride** the correct course and comply with all direction markers.
- 30 Where a horse:
- 30.1 runs the wrong side of a running rail or a direction marker; or
  - 30.2 misses a fence or hurdle,
- the Jockey must pull up, or turn back and ride the course correctly if continuing in the Race.
- 31 In a Race with Marker Poles located after the start, a Jockey must ride in a straight line from their draw position until they reach the Marker Poles, unless the horse is at the rear of the field.

[PENALTY](#)

## EMERGENCY PROCEDURES

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- 32 Except where it is used to indicate a false start, if a Stop Race Flag is **deployed** during a Race:
- 32.1 each Jockey must pull up; and
  - 32.2 the Race shall be void.

[PENALTY](#)

## REPORTING ACCIDENTS OCCURRING IN A RACE

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- 33 If a Jockey falls or is injured in a Race, they must report it immediately to the Racecourse Medical Officer upon returning to the weighing room.

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## RIDING IN A RACE

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### DANGEROUS, CARELESS AND IMPROPER RIDING

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- 34 A Jockey must take reasonable care for the safety of all Jockeys and horses.
- 35 Jockey must not interfere with or make contact with another horse or Jockey during a Race.
- 36 There shall be no breach of Rule (F)35 where the interference or contact is accidental.

[GUIDANCE](#)

[PENALTY](#)

### RIDING A HORSE IN A RACE

---

- 37 Subject to [Rule \(F\)26](#), a Jockey must, and must be seen to:
- 37.1 ask their horse for timely, real and substantial efforts to achieve the best possible position; and
  - 37.2 take all other reasonable and permissible measures throughout the Race to ensure the horse is given a full opportunity to achieve the best possible position.
- 38 A Person must not prevent or try to prevent a horse from obtaining the best possible position.

[GUIDANCE](#)

[PENALTY](#)

### INSTRUCTIONS

---

- 39 A Trainer is responsible for ensuring that a Jockey who rides a horse trained by them in a Race is given instructions that shall allow the Jockey to ensure that the horse is given a full opportunity to achieve the best possible position.
- 40 If a Jockey deliberately does not ensure that the horse runs the Race to achieve its best possible position, or if a Race is used to school or condition a horse, a Trainer shall be responsible unless the Trainer can demonstrate that the Jockey was given the necessary instructions.
- 41 A Person must not give instructions to a Jockey which would, if obeyed, lead to a breach of [Rule \(F\)37](#).

[GUIDANCE](#)

[PENALTY](#)

### WHIP INSTRUCTIONS

---

- 42 A Trainer must give Apprentice Jockeys, Conditional Jockeys and equivalent Overseas Jockeys instructions regarding their use of the whip.
- 43 A Person must not give any instructions to a Jockey which could lead to a breach of [Rule \(F\)45](#).

[PENALTY](#)

### WHIP

---

- 44 A Jockey must carry, but is not obliged to use, a whip that complies with the [Equipment Code](#).
- 45 A Jockey must use a whip properly.

[GUIDANCE](#)

[PENALTY](#)

## **ASSISTING ANOTHER HORSE IN A RACE**

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- 46 A Jockey must not ride in such a way which is intended to, or does, give an advantage to or is in the interests of a horse which:
- 46.1 shares one or more Owners in common with; or
  - 46.2 is from the same stable or team as the horse they are riding in the Race.
- 47 A Trainer is also responsible for any breach of Rule (F)46 by a Jockey riding one of their horses, except where they can demonstrate that they instructed the Jockey to treat every other horse in the Race equally.
- 48 Nothing in these Rules prohibits pure pace making.

[PENALTY](#)

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# FOLLOWING THE RACE

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## THE RESULT

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### DETERMINING THE RESULT

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- 1 The winner and the remaining placings in a Race shall be determined by the order in which the leading point of each horse's head (excluding the ears and tongue) crosses the finish line.
- 2 Subject to subsequent correction or appeal, the result and the placings shall be determined:
  - 2.1 by the Judge; or
  - 2.2 if the Judge is unable to do so, by the Stewards.
- 3 A Race shall be void if the Judge or the Stewards are unable to determine the result.
- 4 If a horse is disqualified or has its placing altered, other than as a result of analysis of a stored sample, the placings of the other horses in the Race shall be altered accordingly.

### DECISION WHERE THERE IS A DEAD-HEAT

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- 5 In the event of a dead-heat for a given placing, the horses in question shall each be regarded as having that placing.

### CORRECTION OF ORIGINAL DECISION

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#### By the Judge

- 6 A Judge may correct their decision within 5 days of the Race, which shall be subject to confirmation by the BHA.

#### By the BHA

- 7 If an incorrect result has been declared, the BHA may correct the decision within 14 days of the Race and declare any changes to the winner and placed horses.

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## DISMOUNTING

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- 8 Jockeys must dismount within a reasonable distance of the place appointed for unsaddling.

PENALTY

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## WEIGHING IN

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- 9 After dismounting, a Jockey must remove and keep their saddle and present themselves to the Clerk of the Scales with the saddle to be weighed in.
- 10 If a Jockey is unable to remove the saddle or carry it to the weighing room, a Trainer may do so, provided that it is handed back to the Jockey unchanged before weighing in.
- 11 When weighing in, Jockeys must:
  - 11.1 be wearing the same clothes and equipment that they wore when weighing out; and
  - 11.2 put onto the scales everything that was on the scales when weighing out, except for any Excluded Equipment.
- 12 All weights shall be rounded down to the nearest whole 1lb unit.
- 13 A Jockey's weight at weighing in must not be:

- 13.1 more than 1lb less than their weight at weighing out; or
- 13.2 2lb or more heavier than their weight at weighing out.
- 14 The Stewards may authorise the announcement of 'Weighed In' once:
  - 14.1 the weighing in process has completed;
  - 14.2 the Judge has confirmed the placings; and
  - 14.3 any Objections have been determined.
- 15 A Jockey must remain in the vicinity of the weighing room for five minutes after the 'Weighed In' announcement.
- 16 A Jockey who has failed to complete the course must report that fact to the Clerk of the Scales.

PENALTY

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## POST-RACE REPORTS OF MATTERS MATERIALLY AFFECTING A HORSE'S PERFORMANCE

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- 17 Jockeys and Trainers must without delay make a Post Race Report if applicable.
- 18 A Post Race Report must be made as soon as possible to:
  - 18.1 a Steward, or where a Steward is not available,
  - 18.2 a Veterinary Officer; or
  - 18.3 the Clerk of the Scales.
- 19 The obligation on a Trainer to make a Post Race Report applies at any time after the Race, including after the horse has left the Racecourse. Once the horse has left the Racecourse, the Post Race Report must be made without delay to the BHA.
- 20 A Jockey may make a Post Race Report on behalf of a Trainer. In such circumstances, the Trainer remains responsible for ensuring that the Post Race Report is made.
- 21 If a horse loses its tongue strap during a Race, the Trainer must report this to a Steward.
- 22 A Post Race Report may be published by the BHA.

PENALTY

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# STEWARDS' POWERS, OBJECTIONS AND ENQUIRIES

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## STEWARDS' POWERS

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### GENERAL POWERS

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- 1 A Person must comply with instructions given by BHA Officials.
- 2 BHA Officials must have unrestricted access to every part of Racecourse Property.
- 3 The Stewards may:
  - 3.1 make or vary any arrangements in place for a Race Meeting;
  - 3.2 omit or alter any fence or hurdle in a Race, provided that the advertised distance of the Race is not decreased;
  - 3.3 abandon a Race; or
  - 3.4 abandon a Race Meeting.

[PENALTY](#)

### VOIDING RACES

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- 4 The Stewards shall declare a Race void where:
  - 4.1 no horses returned to the start after a false start;
  - 4.2 a Stop Race Flag was raised;
  - 4.3 no horse finished; or
  - 4.4 the result cannot be determined.
- 5 The Stewards may declare a Race void where:
  - 5.1 a false start should have been declared;
  - 5.2 a fault with the starting stalls has materially prejudiced more than one-third of the horses starting the Race.
  - 5.3 no horse covers the course in accordance with these Rules;
  - 5.4 all the horses in the Race ran at the wrong weights; or
  - 5.5 all the horses ran over the wrong course or started from the wrong place.

### NON-RUNNERS

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- 6 In a Race started from starting stalls, the Stewards may declare a horse a non-runner where:
  - 6.1 that horse has been prevented from starting due to a faulty action of the starting stalls; or
  - 6.2 that horse is riderless at the 'Off'.

### HORSES

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- 7 The Stewards may:
  - 7.1 direct that any horse be examined;
  - 7.2 direct that a Sample is taken from any horse for analysis;
  - 7.3 direct that a horse stays in the Racecourse Stables for examination for up to 24 hours after the Race in which it was declared to run;

- 7.4 withdraw a horse from a Race:
  - 7.4.1 if they are not satisfied that it is qualified for that Race;
  - 7.4.2 where there are welfare concerns;
  - 7.4.3 where any person prevents or seeks to prevent access to the horse;
  - 7.4.4 if it is unruly;
  - 7.4.5 if it may delay the start of the Race;
  - 7.4.6 where the Jockey is not in control of the horse on the way to the start; or
  - 7.4.7 where there has been a breach of the Rules.
- 8 The Stewards will disqualify a horse where:
  - 8.1 the Jockey causes interference which is Dangerous Riding;
  - 8.2 the Jockey remounts and continues in the Race;
  - 8.3 subject to [Rule \(G\)13](#), the horse did not carry at least the correct weight throughout the Race; or
  - 8.4 the horse was led over a hurdle or steeple chase fence.
- 9 The Stewards may disqualify a horse where:
  - 9.1 the horse did not cover the correct course; or
  - 9.2 the Jockey did not present themselves to be weighed in.
- 10 The Stewards will, where a horse or Jockey causes interference, which is not Dangerous Riding, and the Stewards are satisfied that the interference improved the placing of the horse in relation to the horse or horses with which it interfered, place the horse that caused the interference behind the horse or horses with which it has interfered.

[PENALTY](#)

## JOCKEYS

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- 11 The Stewards may direct that any Jockey be examined by a Racecourse Medical Officer.

## OBJECTIONS

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- 12 A Qualified Person may make an Objection to:
  - 12.1 the Stewards; or
  - 12.2 the BHA, if there was no reasonable opportunity to make it to the Stewards.

## OBJECTIONS MADE TO THE STEWARDS

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- 13 An Objection made to the Stewards must be brought to their attention as soon as reasonably practicable and in any event before the announcement of 'Weighed In'.
- 14 The Stewards shall hold a Stewards Enquiry if:
  - 14.1 a valid Objection is made to them; or
  - 14.2 they believe that there are grounds for an Objection.
- 15 A Qualified Person may review a replay of the Race before making an Objection. If they do so, they must notify the Stewards and the Clerk of the Scales of the review and any subsequent Objection.
- 16 A Qualified Person must not:
  - 16.1 raise an Objection without reasonable grounds for doing so; or

16.2 withdraw an Objection without the permission of the Stewards.

17 The Stewards may announce or publish details of an Objection.

[PENALTY](#)

## OBJECTIONS MADE TO THE BHA

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18 An Objection made to the BHA must be made in accordance with the [Judicial Panel Code](#) and:

18.1 within 14 days of the Race; or

18.2 where the grounds for the Objection are discovered after 14 days, as soon as reasonably practicable after they are discovered.

19 A valid Objection made to the BHA shall be determined by the Disciplinary Panel in accordance with the [Judicial Panel Code](#).

## OBJECTIONS YET TO BE DETERMINED

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20 Pending the final determination of an Objection or a matter falling within Rule [\(H\)10.2](#)

20.1 prizes shall be withheld; and

20.2 any stake shall be held by the Stakeholder.

## STEWARDS' ENQUIRIES

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### GENERAL

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21 The Stewards may enquire into any matter.

22 The Stewards:

22.1 may refer any matter to the BHA; and

22.2 shall refer a matter to the BHA where they consider that a penalty, order or sanction ought to be imposed which exceeds their powers.

23 A Stewards' Enquiry shall be held by three Stewards where possible

24 Any decision taken at a Stewards' Enquiry shall be taken by simple majority.

[PENALTY](#)

## SANCTION

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25 The Stewards may impose one or more of the following in accordance with the Penalty Guidelines:

25.1 a financial penalty not exceeding £15,000;

25.2 a caution;

25.3 suspend a Jockey from riding for up to 40 days;

25.4 remove a Jockey's riding fee;

25.5 disqualify a horse;

25.6 change the placings; and / or

25.7 suspend a horse.

26 A penalty, or part of it, may be deferred, suspended or be contingent on an event.

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# TIMING OF SUSPENSIONS

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## JOCKEYS

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27 A riding suspension imposed on a Jockey by Stewards shall start on the later of:

- 27.1 14 days after the date of the Stewards' decision;
- 27.2 the day after an appeal of the Stewards' decision has been determined; or
- 27.3 the day after an existing suspension ends.

### Days on which a riding suspension shall apply

28 A period of suspension may:

- 28.1 apply only to days:
  - 28.1.1 on which Flat Races are programmed to take place, if the Jockey is licensed to ride in Flat Races;
  - 28.1.2 on which Jump Races are programmed to take place, if the Jockey is licensed to ride in Jump Races; or
  - 28.1.3 as determined by the Stewards, if the Jockey is licensed to ride in both Flat and Jump Races or is an Amateur Jockey; and
- 28.2 include any day on which a Jockey is required to attend remedial training.

29 The days on which a suspension applies shall not change if any meetings are subsequently moved or abandoned, unless otherwise directed by the BHA.

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## RIDING SUSPENSIONS OF FOUR DAYS OR LESS

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30 If a suspension is for four days or less:

- 30.1 it shall not take effect on days on which a Group 1 or Grade 1 Race is programmed to take place, as applicable to the type of Licence held by the Jockey, unless the Jockey requests otherwise; and
- 30.2 a Jockey may request that one day of the suspension takes place before the day it is due to commence.  
provided that the request is made before the deadline for Jockey Declarations for the first Race affected by the change

31 If a suspension is for four days or less, a Jockey may apply to defer one or more days of the suspension for the purpose of to ride at a meeting with a Group 1 or Grade 1 race outside of Great Britain. The application must be made to the BHA by 1pm on the day before the meeting in question.

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## HORSES

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32 A horse suspension shall take effect on the day after the time for appealing has lapsed, unless the BHA directs otherwise.

33 An appeal of a Steward's decision to suspend a horse may not be withdrawn without the BHA's permission, which may be granted subject to conditions.

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## APPEALS

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34 The following may appeal a decision of the Stewards:

- 34.1 a Jockey who has ridden in the Race and is affected by a Stewards' decision;
- 34.2 an Owner or Trainer who has a horse in the Race and is affected by a Stewards' decision;
- 34.3 any other person that is subject to a disciplinary penalty imposed by the Stewards; and
- 34.4 the BHA.

35 The appeal shall proceed in accordance with the [Judicial Panel Code](#).

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## COMPLAINTS AGAINST OFFICIALS

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36 Any complaint against a BHA Official at a Race Meeting must be made to the Stewards or the BHA.

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# RACE ADMINISTRATION

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## GENERAL

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- 1 The BHA may arrange and manage Races and fixtures.
- 2 If necessary, the BHA may:
  - 2.1 order the abandonment of any Race or Race Meeting; and
  - 2.2 refuse to allow a horse to run in any Race.
- 3 A horse can only run in one Race per day, unless the first Race was a walk over.

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## RACING PROGRAMME

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### THE RACING SEASON

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- 4 The BHA shall publish the dates for the Flat Season, Winter Flat Season, Jump Season and Hunters' Steeple Chase Season.

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### RACE CONDITIONS

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- 5 Race Conditions and the programme for a fixture must be approved by the BHA.
- 6 Race Conditions shall be published in The Racing Calendar.
- 7 The BHA may change any Race Conditions.

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### CANCELLATION OF RACES

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- 8 The BHA may cancel any Race that has too few horses entered or declared to run.

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### DIVIDING AND ELIMINATING RACES

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- 9 A Race may be divided in accordance with the [Race Administration Code](#).
- 10 Horses may be eliminated from any Race in accordance with the [Race Administration Code](#).

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## HANDICAPPING

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- 11 No horse may run in a Race unless they meet the previous experience requirements in the [Weights and Handicapping Code](#) for the classification of that Race.
- 12 A horse shall be eligible to receive a Handicap Rating in accordance with the [Weights and Handicapping Code](#).
- 13 The BHA may refuse to give a Handicap Rating to any horse if, in the BHA's opinion, it does not have sufficient information to do so.
- 14 A Handicap Rating which is published on Tuesday of a particular week shall, unless the BHA directs otherwise, apply for Races the Close on that Tuesday through to the following Monday.
- 15 A weight may not be altered after it has been published, unless before the relevant deadline, the BHA permits:
  - 15.1 a weight to be added where the horse was entered for the race but its name or weight was omitted from the Handicap; or
  - 15.2 a correction to be made where an incorrect weight has been published.

16 No alteration to published weights shall be permitted:

16.1 in respect of an Early Closer, after noon on the Friday before the first Scratching Deadline; or

16.2 otherwise, after 9am on the day that Declarations to Run are due.

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## WEIGHT ALLOWANCES

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17 Weight allowances, penalties and qualifications shall be calculated in accordance with the [Weights and Handicapping Code](#).

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## CLAIMING AND SELLING

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18 All Persons must comply with the [Claiming and Selling Code](#).

19 No Person may

19.1 prevent, or seek to prevent, any other person from claiming or bidding for a horse, whether by offering any consideration or guarantee or by means of a threat or otherwise, or

19.2 accept or offer to accept any consideration or guarantee or other inducement to refrain from submitting a Claim or bid.

[PENALTY](#)

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## HORSES SUBJECT TO A LEASE

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20 A horse which is the subject of a Lease may not be entered into, or run in, a Claiming Race or Selling Race without the written consent of the lessor. If it does run, it shall be disqualified and the BHA may annul the claim or sale of the horse.

21 The lessee of a horse must ensure that the VAT treatment of the horse is correct.

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# INTEGRITY

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[Integrity Education website](#)

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## PAYMENTS

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- 1 A Jockey must not accept, agree to accept or solicit, any Consideration in connection with riding in a Race except:
  - 1.1 a Professional Jockey may accept, agree to accept or solicit:
    - 1.1.1 Consideration stated in the Race Conditions, or the equivalent for a Race run under the rules of a Recognised Racing Authority;
    - 1.1.2 Consideration from a Sponsorship Agreement for sponsorship; and/or
    - 1.1.3 Consideration from the Owner, Owner's Representative or Breeder of a horse for riding that horse in a Race,
  - 1.2 an Amateur Jockey may accept, agree to accept or solicit, Amateur Expenses.
- 2 A Jockey or Trainer may accept, agree to accept or solicit Consideration for:
  - 2.1 the advertising or promotion of goods and / or services; and / or
  - 2.2 the provision of views or information for general publication,except that, where such arrangements are entered into with a Betting Operator, they must provide to the BHA all details of the arrangement, or any changes to the arrangement, as soon as reasonably practicable.

[PENALTY](#)

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## BRIBES

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- 3 A Person must not offer or provide or agree to provide a Bribe.
- 4 A Person must not accept, or agree or offer to accept, a Bribe.

[PENALTY](#)

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## BETTING

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### PROHIBITION ON BETTING

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- 5 Neither a Jockey nor a Valet may Bet except:
  - 5.1 An Amateur Jockey may Bet on Races in which they are not riding.
  - 5.2 A Valet may Bet on Races taking place at a Race Meeting where they are not present in their capacity as a Valet.

[PENALTY](#)

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### PROHIBITION ON LAY BETTING

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- 6 A Trainer and their Stable Employees must not place a lay Bet on a horse under their care.
- 7 Rule (J)6 continues to apply to a Stable Employee for a period of 21 days after they leave the employment of the Trainer.
- 8 A Jockey's Agent must not place a lay Bet on a horse being ridden by a Jockey they represent.
- 9 A Listed Person must not place a lay Bet on a horse in which they have any interest.

- 10 A Service Provider must not place a lay Bet on a horse owned, trained or ridden by a Person to whom they have provided a service, for the whole of the period in which the service was provided and for 21 days afterwards.
- 11 A lay Bet includes a match Bet.

[PENALTY](#)

## BETTING OPERATORS

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- 12 Nothing in these Rules prevents a Betting Operator from Betting in the ordinary course of that Betting Operator's business.
- 13 A Person must ensure that any account with a Betting Operator in their name is not used by any other person.
- 14 All Bets placed using an account with a Betting Operator shall be presumed to be for the benefit of the named account holder.
- 15 When on Racecourse Property a Professional Jockey or Valet may not communicate directly or indirectly with a Betting Operator or its representative without the consent of the BHA.

[PENALTY](#)

## INSIDE INFORMATION

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- 16 No Person may communicate Inside Information to any other person unless permitted to do so under these Rules.
- 17 Except where the Person communicating the Inside Information knows or has reason to know that the Inside Information shall be used for prohibited Betting and/or lay Betting, a Person can communicate Inside Information to a Person who owns, trains or is a service provider or Stable Employee responsible for or engaged in the care and welfare of that horse.
- 18 For the purpose of making Inside Information public, a Person can communicate Inside Information to:
- 18.1 the General Public directly;
  - 18.2 an accredited journalist for the purposes of publishing the Inside Information to the General Public; or
  - 18.3 at a Public Event, provided that the person communicating the Inside Information is paid no more than a reasonable fee for attending the event.

[PENALTY](#)

## GENERAL REQUIREMENTS AS TO CONDUCT

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### CONDUCT PREJUDICIAL TO HORSERACING

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- 19 A Person must not engage in conduct which the BHA considers is prejudicial to the integrity, proper conduct or good reputation of horseracing in Great Britain.
- 20 A Person must not act in a violent or improper manner.
- 21 A Person must not abuse a BHA Official, whether verbally or otherwise.
- 22 Any Person who engages in bloodstock transactions or deals in racehorses (including horses intended for racing), must comply with the Bloodstock Industry Code of Practice.
- 23 A Person must not, without the prior written permission of the BHA, associate with the following in connection with horseracing in Great Britain:
- 23.1 a Disqualified Person; or
  - 23.2 a person subject to an Exclusion Order.

## CONDUCT OBSTRUCTING THE PROPER ADMINISTRATION OR CONTROL OF RACING

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24 A Person must not:

- 24.1 breach any declaration or undertaking given to the BHA;
- 24.2 provide any inaccurate information to the BHA;
- 24.3 omit any relevant information which is requested by the BHA;
- 24.4 fail to comply with a requirement imposed on them by the BHA;
- 24.5 assist, or encourage, or cause another Person to act in contravention of a provision of these Rules; or
- 24.6 mislead or attempt to mislead the BHA or one of its employees or BHA Officials.

[COVID-19 REQUIREMENTS](#)

[PENALTY](#)

## INVOLVEMENT IN CORRUPT OR FRAUDULENT PRACTICES IN RELATION TO RACING

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25 A person must not:

- 25.1 commit any corrupt or fraudulent practice in relation to horse racing in any jurisdiction; or
- 25.2 conspire with any other person for the commission of such a practice.

[PENALTY](#)

## CONVICTION OF CRIMINAL OFFENCES CONNECTED WITH RACING

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26 A Person must not be convicted of any criminal offence in connection with horse racing in any jurisdiction.

[PENALTY](#)

## DISCLOSURE TO THE BHA

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27 A Person must, as soon as reasonably practicable, provide the BHA with full details of any knowledge of:

- 27.1 approach or invitation made to them or any other person which would amount to a breach of these Rules; and
- 27.2 incident, fact or matter which may amount to a breach of the Rules.

[PENALTY](#)

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## UNRECOGNISED MEETINGS

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28 A Person must not:

- 28.1 own, train or ride a horse at an Unrecognised Meeting; or
- 28.2 act in an official capacity at an Unrecognised Meeting,



# ANTI-DOPING

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## EQUINE ANTI-DOPING

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### APPLICATION

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- 1 The Equine Anti-Doping rules set out below shall apply to any horse that:
    - 1.1 is present in Great Britain or has been entered into a Race in Great Britain; and
    - 1.2 has been notified to the Stud Book Authority or is registered with a stud book approved by the International Stud Book Committee.
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## EQUINE ANTI-DOPING RULE VIOLATIONS

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### PRESENCE OF A PROHIBITED SUBSTANCE

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- 2 The Responsible Person must ensure that:
  - 2.1 no **Category A** Prohibited Substance is present in their horse's body **at any time**;
  - 2.2 **prior to leaving the Racecourse**, no **Category B** Prohibited Substance is present in their horse's body **on a day on which it is engaged to run in a Race**; and
  - 2.3 **prior to leaving the Racecourse**, no **Category C** Prohibited Substance is present in their horse's body **on a day on which it takes a Stalls Test**.

[PENALTY](#)

[PROHIBITED LIST CODE](#)

### USE OF A PROHIBITED METHOD

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- 3 The Responsible Person must **not use or attempt to use**:
  - 3.1 **a Category A** Prohibited Method **on their horse at any time**; or
  - 3.2 **a Category B** Prohibited Method **on their horse on a day on which it is engaged to run in a Race, prior to leaving the Racecourse**.

[PENALTY](#)

## ADMINISTERING PROHIBITED SUBSTANCES OR APPLYING A PROHIBITED METHOD

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- 4 No Person shall: administer, attempt to administer, allow, cause or connive in the administration of a Prohibited Substance or the application of a Prohibited Method to a horse.
  - 4.1 administer, attempt to administer, allow **the administration**, cause **the administration** or connive in the administration of a Prohibited Substance **so that it would be present in a horse's body in contravention of Rule (K)2**; or
  - 4.2 **apply, attempt to apply**, allow the application, cause the application or connive in the application of a Prohibited Method to a horse **at a time when application of that Prohibited Method is prohibited**.

[PENALTY](#)

## POSSESSION OF PROHIBITED SUBSTANCES OR PRODUCTS ALLOWING FOR THE ADMINISTRATION OF A PROHIBITED METHOD

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5 No Person shall possess:

- 5.1 **subject to Rule (K)16**, a **Category A** Prohibited Substance; or
- 5.2 a **Category B** Prohibited Substance **on the racecourse on a Raceday**; or
- 5.3 **products, equipment or substances that would allow for the administration of** a Prohibited Method **when prohibited by Rule (K)3**.

[PENALTY](#)

## AVAILABILITY FOR SAMPLING

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6 The Responsible Person must ensure that their horse is **made available for a Sample to be taken** by the BHA upon request.

[PENALTY](#)

## WHEREABOUTS

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7 The Responsible Person **is responsible for ensuring that the BHA always possesses sufficient information to enable the BHA to locate a horse at any time**.

[PENALTY](#)

## TRAFFICKING A CATEGORY A PROHIBITED SUBSTANCE

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8 No Person shall traffic or attempt to traffic a **Category A** Prohibited Substance.

[PENALTY](#)

## OBSTRUCTION

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9 No Person shall:

- 9.1 tamper or attempt to tamper with a **Sample**;
- 9.2 hinder or attempt to hinder **any part of the sample collection process** or
- 9.3 hinder or attempt to hinder an investigation into an Equine Anti-doping Rule Violation.

[PENALTY](#)

## COMPLICITY

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10 No Person shall assist, encourage, aid, abet, conspire **in relation to**, cover up or engage in any other type of intentional complicity **or evasion** involving an Equine Anti-doping Rule Violation.

[PENALTY](#)

## CONSIDERATIONS FOR EQUINE ANTI-DOPING RULE VIOLATIONS

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### PRESENCE OF PROHIBITED SUBSTANCE IN A HORSE'S BODY

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11 It is not necessary to demonstrate intent, fault, negligence or knowing use to establish a breach of [Rule \(K\)2](#).

12 **There shall be no** breach of [Rule \(K\)2.2](#) **if**:

- 12.1 **the Category B Prohibited Substance is administered for genuine therapeutic purposes; and**
- 12.2 **the horse does not run in a Race on that day; and**
- 12.3 **the BHA is notified of the administration beforehand or, if urgent, as soon as reasonably practicable.**
- 13 **The presence of a Prohibited Substance in the following is sufficient evidence of a breach of [Rule \(K\)2](#).**
- 13.1 the horse's 'A' Sample where
- (i) the B sample is not analysed; **or**
- (ii) **the B Sample is analysed and is found to be compromised;**
- 13.2 the horse's A and B sample;
- 13.3 **both portions of the B Sample, where the B Sample is split into two portions as a result of the horse's A Sample being unavailable or where it is believed to have been compromised.**
- 14 The Disciplinary Panel shall impose a penalty on the Responsible Person for a breach of [Rule \(K\)2](#) unless the Responsible Person establishes:
- 14.1 the **precise route as to how the Prohibited Substance entered their horse's body**, and
- 14.2 **that they** had taken all reasonable precautions to avoid violating [Rule \(K\)2](#).

## USE OF A PROHIBITED METHOD

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- 15 It is not necessary to demonstrate intent, fault, negligence or knowing use to establish a breach of [Rule \(K\)3](#).

## POSSESSION OF A PROHIBITED SUBSTANCE OR PROHIBITED METHOD

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- 16 **There shall be no breach of [Rule \(K\)5](#) if the possession of a Category A Prohibited Substance was for legitimate personal use or possessed by a Veterinary Surgeon for legitimate use on animals other than horses subject to [Rule \(K\)1](#).**
- 17 **Only BHA Veterinary Officers or approved Racecourse Veterinary Surgeons may bring Category B prohibited substances onto a racecourse on Raceday.**
- 18 **There shall be no breach of [Rule \(K\)5.2](#) if the Category B prohibited substance is stored in a vehicle under the control of the Responsible Person or their representative.**

## ADMINISTRATION OF CATEGORY B PROHIBITED SUBSTANCES

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- 19 **There shall be no breach of [Rule \(K\)4.1](#) if the Category B Prohibited Substance was administered for genuine therapeutic reasons: and**
- 19.1 **the horse does not run in a Race or has run already in a Race on that day; and**
- 19.2 **the BHA is notified of the administration beforehand or, if urgent, as soon as reasonably practicable.**

## SAMPLE COLLECTION

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### GENERAL

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- 20 The BHA may take a Sample from a horse at any time **with or without prior notice**
- 21 **Where the BHA wishes to take a Sample, the Responsible Person must co-operate with the BHA to make sure that the Sample is taken in a timely manner.**
- 22 **All Samples obtained from a horse are the property of the BHA and may be used for any purpose as required by the BHA.**
- 23 **A secure chain of custody shall be maintained for all Samples**

- 24 **Any** departure from **Rules or guidance relating to the collection of a Sample** that did not cause an Adverse Analytical Finding shall not invalidate the finding.
- 25 If a Person establishes that a departure from **Rules relating to the collection of a Sample** could have reasonably caused an Adverse Analytical Finding, the burden shall be on the BHA to establish that **such** departure was not the cause.

## SAMPLING

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- 26 **A Sample shall be collected in such manner as the BHA may direct.**
- 27 **The Responsible Person may observe the Sample being collected. Where they do so, any concerns as to the integrity of the procedure must be raised at that time. If they observe the collection, and do not raise any concerns, they shall be taken to have waived any objection to the integrity of the collection.**
- 28 **Where the Responsible Person elects not to observe the collection of the Sample, they shall be taken to have waived any objection to the integrity of that procedure.**

## SAMPLE ANALYSIS

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- 29 **A Sample shall only be analysed in Approved Laboratories or using Approved Equipment.**
- 30 Approved Laboratories are presumed:
- 30.1 to have conducted Sample analysis and custodial procedures in accordance with Laboratory Standards; and
  - 30.2 to have properly carried out re-sealing and storage procedures of any stored Samples.
- 31 The BHA may instruct an Approved Laboratory to re-seal and store Samples or parts of Samples from any horse.
- 32 **If the Responsible Person wants the B Sample to be analysed, they must request such analysis within three working days of being notified** of an Adverse Analytical Finding.
- 33 **The BHA may also elect to have the B Sample analysed.**

## ADVERSE ANALYTICAL FINDINGS

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### B SAMPLES

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#### PROCEDURE

- 34 **The B Sample shall be analysed at the LGC laboratory, unless the Responsible Person nominates the Laboratoire Des Courses Hippiques (LCH) or the Deutsche Sporthochschule Koln Institut für Biochemie (DSKIB), or another laboratory with permission from the BHA.**
- 35 **The Responsible Person may, at their own cost, appoint an appropriately qualified representative to witness the analysis of the B Sample, provided they are available on the designated date.**
- 36 **If the Responsible Person elects to have the B Sample analysed at a laboratory other than the LGC laboratory, the Responsible Person shall bear the corresponding costs. In all other cases, a Disciplinary Panel has the power to order that a contribution is made of up to £500 to the costs of the B Sample.**

#### ANALYSIS

- 37 **The analysis of the B Sample will be limited to confirming whether the B Sample confirms the findings of the A Sample.**
- 38 **A copy of the results and any supporting evidence shall be provided to the BHA and the Responsible Person.**

## ENDOGENOUS SUBSTANCES

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- 39 **If an Adverse Analytical Finding involves an endogenous substance, the BHA or the Responsible Person may elect to have further Samples taken or for further examinations of the horse to take place to investigate whether the quantity of the substance found could have been produced naturally by the horse. The costs of analysing any further Samples**

shall be borne equally by the BHA and Responsible Person.

- 40 If an Adverse Analytical Finding involves an endogenous substance, the BHA may carry out an investigation prior to notifying the Responsible Person of the finding, save that the BHA shall notify the Responsible Person prior to analysing the B Sample.
- 41 If samples of food or other substances are removed from the yard or premises, the Responsible Person may appoint a person to observe any analysis of the sample.
- 42 Following that analysis, the Responsible Person may arrange for their own tests to be carried out at a laboratory nominated by them. If they do so:
- 42.1 they must make a written request to the BHA for the samples to be released;
- 42.2 the testing must be carried out at an Approved Laboratory; and
- 42.3 if the BHA appoints an analyst to review the laboratory's processes, the analyst must be given the option of witnessing the analysis of the sample.

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## PROVISIONAL SUSPENSIONS

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- 43 The BHA may provisionally suspend the Responsible Person's **Licence** where there is evidence of an Equine Anti-doping Rule Violation.
- 44 The BHA:
- 44.1 shall provisionally suspend the horse where there is evidence of an Equine Anti-doping Rule Violation involving a **Category A Prohibited Substance** or **Category A Prohibited Method**;
- 44.2 **may provisionally suspend the horse where there is evidence of any other Equine Anti-doping Rule Violation.**
- 45 If a provisional suspension is imposed, the Responsible Person, the Owner, **or the BHA** can apply to the Disciplinary Panel for a preliminary hearing, to be held **in accordance with the Judicial Panels Code**, to show **good reason** why the provisional suspension should be lifted.

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## SUSPENSION FROM RACING AND MANDATORY STAND DOWN

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- 46 Where a breach of [Rule \(K\)2](#), [Rule \(K\)3](#) or [Rule \(K\)4](#) is proven which involves a Category A Prohibited Substance or a Category A Prohibited Method, the horse shall be **suspended from racing for 14 months and shall be subject to a mandatory stand down for 12 months (to run concurrently), save that credit shall be given for any period of provisional suspension imposed.**
- 47 **Where a horse tests positive for a Prohibited Substance, it** shall be disqualified from all Races from the date of **the relevant Sample** until the commencement of any provisional suspension.

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## REINSTATEMENT TESTING

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- 48 **As a condition of reinstatement:**
- 48.1 a Sample shall be collected and analysed at the Owner's cost;
- 48.2 **the Sample must not result in an Adverse Analytical Finding.**

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## HUMAN ANTI-DOPING

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### BANNED SUBSTANCES

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- 49 A Jockey must ensure that no Banned Substance is present in their body.
- 50 It is not necessary to demonstrate intent, fault, negligence or knowing use to establish a breach of Rule (K)49.

51 There shall be no breach of Rule (K)49 if the Jockey establishes that the presence of a Banned Substance is attributable to:

51.1 use of ordinary medications in normal dosage for a recognised medical purpose other than the treatment of drug addiction or dependency; or

51.2 the ingestion of food or other nutritional substances in the ordinary course of dietary nourishment.

[PENALTY](#)

## NOTIFIABLE MEDICATIONS

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52 A Jockey must notify the Chief Medical Adviser before they take a Notifiable Medication.

53 A Jockey must not ride in a Race with a Notifiable Medication present in their body without the prior written consent of the Chief Medical Adviser.

54 It is not necessary to demonstrate intent, fault, negligence or knowing use to establish a breach of Rule (K)53.

[PENALTY](#)

## ALCOHOL

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55 On a day where a Jockey has riding engagements, they must ensure that the alcohol level present in their body whilst at the Racecourse is not at or above 17 micrograms per 100ml of breath or 54 milligrams per 100 millilitres in urine.

56 If a Jockey's alcohol level exceeds the threshold in Rule (K)55, the Stewards shall stand the Jockey down from riding in any Race for the remainder of that day.

[PENALTY](#)

## SAMPLES AND RESULTS MANAGEMENT

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57 A Sample shall be taken and analysed in accordance with the Jockey Testing Code.

58 The Jockey must comply with the Jockey Testing Code.

59 If a Jockey establishes that a departure from the Jockey Testing Code is capable of invalidating the result of the analysis of a Sample, the burden shall be on the BHA to establish that the departure did not compromise the result of the analysis of the Sample.

[PENALTY](#)

## EVIDENTIAL SUFFICIENCY

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60 The presence of a Banned Substance or alcohol in the following is sufficient evidence of a breach of Rule (K)49, (K)53 or, where urine is relied upon, Rule (K)55:

60.1 in the Jockey's A Sample, where (i) the B Sample is not analysed or (ii) the B Sample is analysed and is found to be compromised;

60.2 in the Jockey's A and B sample; or

60.3 in both portions of a B Sample, where the B Sample is split into two portions as a result of the Jockey's A Sample being unavailable or where it is believed to have been compromised.

## REINSTATEMENT

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61 A Jockey whose Licence has been withdrawn as a result of a Human Anti-doping Rule Violation shall not be reinstated unless they have notified the Chief Medical Adviser of their intention to apply for reinstatement in accordance with the [Jockey Testing Code](#).



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# BHA INVESTIGATIONS AND DISCIPLINARY ACTION

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## INVESTIGATIONS

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- 1 The BHA has the power to inquire into or investigate any matter in order to monitor compliance with these Rules, irrespective of whether the matter:
  - 1.1 arises in Great Britain or elsewhere; or
  - 1.2 has been considered by the Stewards.
- 2 Approved Persons may:
  - 2.1 enter premises used for training horses which are owned, controlled or occupied by a Trainer and:
    - 2.1.1 inspect the premises;
    - 2.1.2 conduct identification and vaccination checks on any horse; and
    - 2.1.3 inspect and take copies of any records the Trainer is required to keep under these Rules.
  - 2.2 examine horses under the care of a Trainer and take Samples from them for analysis;
  - 2.3 require a Person to provide any information, documents or records (including Listed Information), in such form as the Approved Person may require, and which are held by the Person or within their power to obtain;
  - 2.4 require a Person to answer questions at an interview (in such cases, the Person may request a reasonable delay to the interview in order to seek legal advice);
  - 2.5 inspect and take custody of any vehicle used in relation to the training of a horse or the transportation of any horse or Person to or from a racecourse;
  - 2.6 take samples and custody of any feedstuffs or feed additives or of any other substances or materials;
  - 2.7 conduct a search of any Person and take samples or custody of any article or materials found on such Persons; and
  - 2.8 take samples from a Jockey including, but not limited to, breath, hair, urine and blood.

[PENALTY](#)

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## COMPLIANCE WITH REQUESTS OF APPROVED PERSONS

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Specific provisions: providing information, documents or records

- 3 The BHA must approve each request made for Listed Information.
- 4 Where an Approved Person makes a request for a telephone billing account, they may require itemised details of all calls made and received during a specified period.
- 5 Where an Approved Person requires a Person to attend an interview, the Person must:
  - 5.1 agree a time and place for the interview within the time specified in the demand; and
  - 5.2 attend the interview at the agreed time and place.

Duty to cooperate

- 6 A Person must cooperate with an Approved Person in the exercise of any of their powers.

[PENALTY](#)

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## CORRECTING STEWARDS' DECISIONS

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- 7 The BHA may quash a decision of, or reduce any sanction imposed by, the Stewards where they have made a clear error,

or where it otherwise considers it appropriate. Where the BHA does so:

- 7.1 the affected Person(s) shall be notified of the substituted decision; and
- 7.2 the Person(s) may appeal it in accordance with the Judicial Panels Code.

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## DISCIPLINARY POWERS

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### ARABIAN HORSE RACING AND POINT-TO-POINT STEEPLE CHASES

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- 8 Any suspension imposed under the Regulations for Point-to-Point Steeple Chases or the Regulations for Arabian Horse Racing shall also have effect under these Rules.

### FORFEIT LIST

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- 9 Where a Person is a Disqualified Person due to being on the Forfeit List, they may apply to the BHA to be removed from the Forfeit List and to cease to be a Disqualified Person.
- 10 Where a person is a Disqualified Person due to being on a Recognised Racing Authority's equivalent of the Forfeit List, they may apply to the BHA to cease to be a Disqualified Person.
- 11 An application under Rule (L)9 or Rule (L)10 shall be determined by a Disciplinary Panel in accordance with the [Judicial Panel Code](#).
- 12 Where an application is made under Rule (L)10, the relevant Recognised Racing Authority may apply to the Disciplinary Panel to be represented at any hearing. Any such application, which shall be at the Recognised Racing Authority's own expense, shall be determined by the Disciplinary Panel Chairperson.

### ACTION TAKEN BY THE BHA

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#### Exclusion Order

- 13 The BHA may issue an Exclusion Order against any person, whether or not they are subject to the Rules, where it is in the interests of racing to do so. The Exclusion Order may be indefinite, or for such period as the BHA may specify.

#### Power to prohibit Overseas Jockeys from riding in Races

- 14 The BHA may prohibit an Overseas Jockey from taking part in Race(s) for such period as it considers appropriate.
- 15 An Overseas Jockey may appeal the prohibition to a Disciplinary Panel in accordance with the [Judicial Panels Code](#).

#### Suspension

- 16 Any suspension imposed under the Regulations for Point-to-Point Steeple Chases or the Regulations for Arabian Horse Racing will also have effect under these Rules.

#### Horse Suspension Grounds

- 17 The BHA may suspend a horse in the following circumstances:
  - 17.1 **Ground 1:** a horse has been the subject of fraudulent practice;
  - 17.2 **Ground 2:** a Sample collected from a horse tested positive under [Chapter K](#);
  - 17.3 **Ground 3:** a horse is the subject of an inaccurate, misleading or fraudulent declaration at the time of registration with the Stud Book Authority or the BHA;
  - 17.4 **Ground 4:** there is a reasonable suspicion that an Equine Anti-doping Rule Violation has been committed;
  - 17.5 **Ground 5:** the horse's previous performances suggest the horse may be a risk to itself, to another horse or to a Jockey;
  - 17.6 **Ground 6:** there are other welfare concerns;

17.7 **Ground 7:** there has been a failure to pay for the horse in accordance with the [Claiming and Selling Code](#); or

17.8 **Ground 8:** any other circumstances where it would be appropriate to do so.

18 Where a suspension is issued on the basis of one or more of the Horse Suspension Grounds, the Trainer, Jockey or Owner of the horse may apply to the Disciplinary Panel to lift the suspension.

19 The Disciplinary Panel shall only lift the suspension where the Trainer, Jockey or Owner of the horse has established good reason for reinstatement.

20 Where a horse is suspended in accordance with Ground 5 of the Horse Suspension Grounds, any reinstatement may be subject to such conditions as may be set by the BHA.

#### Performance-related suspensions

21 Any horse suspended due to concerns with its jumping ability shall be required to pass a jumping assessment before its suspension is lifted.

22 A horse suspended from running three times due to its performance shall be suspended from running, or running in specific types of race, indefinitely

#### Jockey Suspensions

23 The BHA may suspend the licence of any Jockey that has returned a Positive Analysis until the conclusion of any Disciplinary Panel proceedings.

24 The Jockey may apply to the Licensing Committee to lift a suspension impose under Rule (L)23.

25 The Licensing Committee shall only lift the suspension where the Jockey has established good reason for reinstatement.

#### Racecourses

26 Once a Racecourse Licence has been granted, the BHA may issue fixed penalty notices up to a maximum amount of £500 in respect of a failure to comply with a requirement imposed by these Rules.

## DISCIPLINARY PANELS

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27 The BHA has the power to take disciplinary action where it considers that there is reason to believe that there has been a breach of the Rules. It shall do so in accordance with the [Judicial Panels Code](#).

#### Sanction

28 Where a Disciplinary Panel finds that there has been a breach of these Rules, the Disciplinary Panel may do one or more of the following, in accordance with the Penalty Guidelines:

28.1 impose a caution;

28.2 impose a financial penalty not exceeding £75,000;

28.3 impose the suspension or withdrawal of a Licence;

28.4 declare that a Person is ineligible for a Licence, or other form of registration, under these Rules for such period as it may specify;

28.5 declare that a Person is a Disqualified Person for such period as it may specify (including indefinitely);

28.6 declare that no application to be employed in racing stables by a Disqualified Person be made for such period as it may specify;

28.7 issue an Exclusion Order;

28.8 order a Jockey to attend a course in remedial training at the British Racing School or National Horseracing College;

28.9 disqualify a horse from one or more Races;

28.10 suspend a horse from running in certain Races or for such period of time as it may specify, and subject to any conditions it deems appropriate; or

28.11 such other penalty or order as it considers appropriate.

29 A penalty, or part of it, may be deferred, suspended or be contingent on an event.

## APPLICATIONS FOR PERMISSION TO BE EMPLOYED IN RACING STABLES BY DISQUALIFIED PERSONS

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30 A Disqualified Person may apply for permission to be employed in a racing stable, but not before the later of:

- 30.1 the expiry of the time limit for appealing the disqualification;
- 30.2 any appeal of the disqualification has been determined; or
- 30.3 the expiry of any period set by the Disciplinary Panel before an application can be made.

31 An application may be heard by a different Disciplinary Panel than the one which imposed the disqualification.

32 An application must include:

- 32.1 a full written submission in support;
- 32.2 all evidence and documents on which the applicant wishes to rely; and
- 32.3 a summary of the evidence of any supporting witness.

33 Where an application is filed, the BHA shall be asked by the Disciplinary Panel:

- 33.1 whether or not it opposes the application; and
- 33.2 the reasons for any opposition.

34 After the BHA's response has been filed, the Disciplinary Panel Chairperson shall decide how to proceed to determine the application, including whether or not to hold an oral hearing. Such decision shall be final and binding.

### Commencement of sanction

35 Unless otherwise stated, a decision of a Disciplinary Panel shall take effect on the later of the time for an appeal expiring or an appeal being finally determined.

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## APPEALS

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36 The [Judicial Panels Code](#) sets out those decisions of a Disciplinary Panel that can be appealed to an Appeal Board, and the process that shall be followed.

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## JOCKEY SUSPENSIONS AND DISQUALIFICATIONS

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### START DATE FOR RIDING SUSPENSIONS

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37 A riding suspension imposed on a Jockey by a Disciplinary Panel shall start on the later of:

- 37.1 eight days after the date of the Disciplinary Panel's decision; or
- 37.2 the day after an existing suspension ends.

38 If a suspension for three months or less is appealed, it shall not take effect until the result of the appeal has been determined.

### RECIPROCAL SUSPENSIONS AND DISQUALIFICATIONS

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39 Subject to Rule (L)40, the BHA shall reciprocate a suspension or disqualification imposed by another Recognised Racing Authority unless the Recognised Racing Authority requests that it should not be reciprocal.

40 A Person may apply to the Disciplinary Panel for an order that the suspension or disqualification should not be reciprocated.

- 41 A Person cannot make an application for the suspension or disqualification not to be reciprocated unless they have exhausted all appeal procedures available to them under the rules of the Recognised Racing Authority.
- 42 Any application must be made in accordance with the [Judicial Panel Code](#), and the suspension or disqualification shall be stayed pending determination.
- 43 An application must be made within three days of the later of:
- 43.1 the suspension or disqualification being imposed by the Recognised Racing Authority; or
  - 43.2 any appeal against the suspension or disqualification under the rules of the Recognised Racing Authority being finally determined.
- 44 The Disciplinary Panel may consider an appeal brought out of time if the applicant can establish that it was not possible to do so in time and that the application was otherwise made as soon as reasonably possible.
- 45 In hearing an application, the Disciplinary Panel shall only be concerned with whether there was a failure to comply with:
- 45.1 the rules of the relevant Recognised Racing Authority; or
  - 45.2 the rules of natural justice in the process that led to the Recognised Racing Authority imposing a suspension.
- 46 Where an application is made, the relevant Recognised Racing Authority may apply to the Disciplinary Panel to be represented at any hearing. Any such application, which shall be at the Recognised Racing Authority's own expense, shall be determined by the Disciplinary Panel Chairperson.

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## HORSE DISQUALIFICATIONS

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- 47 A horse shall be disqualified from a Race already run if:
- 47.1 it has been the subject of fraudulent practice;
  - 47.2 at the time of the Race, the Jockey was not permitted to ride under these Rules;
  - 47.3 at the time of the Race, the horse was subject to a suspension;
  - 47.4 a Sample from the horse tests positive for a Prohibited Substance;
  - 47.5 the Responsible Person does not comply with the Sample collection provisions of [Chapter K](#);
  - 47.6 the requirements for a horse to enter at [paragraphs 12 to 20 of the Race Entry Code](#) and/or the qualifications for a horse to run in the [Running Requirements Code](#) have not been complied with;
  - 47.7 it carried less than the weight that it should have carried;
  - 47.8 it used a different name from that specified in the Register of Horse Names;
  - 47.9 it is the subject of a lease and ran in a Selling or Claiming Race without the lessee having obtained the lessor's prior written consent; or
  - 47.10 it was the subject of an inaccurate, misleading or fraudulent declaration at the time of registration with the Stud Book and/or the BHA.
- 48 A horse may be disqualified from a Race already run if an Equine Anti-doping Rule Violation has been committed.
- 49 If a horse is disqualified:
- 49.1 it shall not be given a position in the Race;
  - 49.2 it is not entitled to any prize; and
  - 49.3 except in the case of a stored Sample, the other horses' positions shall be adjusted accordingly.
- 50 If a horse's position is adjusted:
- 50.1 it is only entitled to the prize for the adjusted position; and
  - 50.2 the other horses' positions shall be adjusted accordingly.
- 51 Other than in exceptional circumstances, if a horse is disqualified because it tested positive for a Prohibited Substance all

prize money, other prizes or trophies must be repaid or surrendered as directed by the BHA.

- 52 If a horse is disqualified because it tested positive for a Prohibited Substance in a stored sample there shall be no alteration in the placing of any other horse in the Race.

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## CONSEQUENCES OF BEING A DISQUALIFIED PERSON

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- 53 A Disqualified Person may not:
- 53.1 except where expressly provided by the Disciplinary Panel, be employed by a Trainer;
  - 53.2 enter Licensed Premises;
  - 53.3 be involved in any way with a horse that has ever been subject to these Rules, unless the BHA directs otherwise;
  - 53.4 be a BHA Official;
  - 53.5 be an Authorised Agent;
  - 53.6 enter, run, train or ride a horse in any Race, subject to any grace period under [Chapter B](#);
  - 53.7 be associated with a Licensed equine swimming pool; or
  - 53.8 lease, or continue to lease, any horse that he owns to a third party, unless he has the BHA's approval to do so.
- 54 Any horse with which a Disqualified Person has any involvement:
- 54.1 shall be suspended from racing; and
  - 54.2 the suspension shall remain in place until the horse has been sold on the open market to someone who has no connection with the Disqualified Person or until the expiry of the disqualification.
- 55 A Trainer shall not train a horse owned by a Disqualified Person without the BHA's permission.

[PENALTY](#)

# CLAIMING AND SELLING CODE

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- GENERAL
- CLAIMING IN A CLAIMING RACE OR SELLING RACE
- SALE OF THE WINNER IN A SELLING RACE
- TERMS OF CONTRACT, PREMIUMS AND VAT
- RESPONSIBILITY FOR A HORSE FOLLOWING A CLAIMING RACE OR SELLING RACE
- VOID CLAIMS AND SALES OF THE WINNER

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# CLAIMING AND SELLING CODE

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## GENERAL

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- 1 Failure to comply with this Code may result in:
  - 1.1 a Claim or bid for the winning horse being declared void;
  - 1.2 a prohibition on future participation in Claiming Races or Selling Races;
  - 1.3 inclusion on the Forfeit List, in the event of non-payment of an amount due;
  - 1.4 a suspension on the horse from running; and
  - 1.5 disciplinary action being taken.

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## CLAIMING IN A CLAIMING RACE OR SELLING RACE

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### SUBMITTING A CLAIM

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- 2 The BHA may refuse any Claim.
- 3 A Claim must be submitted using the Telephone Claiming Line.

#### Timing

- 4 A Claim must be submitted:
  - 4.1 on the day of the Race; and
  - 4.2 not later than 15 minutes after the start of the Race.
- 5 A Person that contacts the Telephone Claiming Line and is placed in a queue before the deadline in paragraph 4 will be permitted to submit a Claim.

#### Process

- 6 The following information must be provided when submitting a Claim:
  - 6.1 the security code of the Person submitting the Claim;
  - 6.2 the name of the horse that is the subject of the Claim;
  - 6.3 whether the Claim is a Reclaim or a Third Party Claim;
  - 6.4 the name of the Person submitting the Claim and, if different, the name of the Person on whose behalf the Claim is submitted;
  - 6.5 payment details; and
  - 6.6 contact telephone number.
- 7 A Claim may only be submitted by:
  - 7.1 an Owner;
  - 7.2 an Owner's Representative;
  - 7.3 a Trainer or Trainer's Authorised Agent; or
  - 7.4 in respect of a Reclaim, by the Owner, Trainer or an Authorised Agent.

#### Publication of claimants

- 8 The BHA shall publish the names of anyone who submits a Claim.

## **PREMIUMS ON SUCCESSFUL CLAIMS**

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- 9 A premium may be added to the advertised price, as determined by the Racecourse and recorded in the Race Conditions.
- 10 There shall be no premium payable in the case of a Reclaim where no other Claim was submitted.

## **PROHIBITION ON MULTIPLE CLAIMS BY THE SAME PERSON**

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- 11 No Person may submit or have any involvement in the submission of more than one Claim per horse.

## **WITHDRAWING OR ALTERING A CLAIM**

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- 12 A Claim may only be withdrawn or altered to avoid a breach of these Rules.

## **DETERMINING THE SUCCESSFUL CLAIM**

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- 13 No Claim for the winning horse shall be determined until the result of the Race has been announced.
- 14 If one Person submits a Claim, they shall be successful. If two or more Persons submit a Claim, a ballot shall be conducted to determine the successful claimant.

## **NOTIFICATION OF THE SUCCESSFUL CLAIMANT AND PAYMENT OF THE CLAIM PURCHASE PRICE**

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- 15 Once a Claim has been determined, the Racing Calendar Office shall telephone:
- 15.1 the successful claimant; and
  - 15.2 the Clerk of the Scales who shall inform the existing Trainer of the horse.
- 16 Following the determination of a Third Party Claim, the successful claimant:
- 16.1 must pay the Claim Purchase Price to the Stakeholder immediately, unless the claimant is a Trainer in which case payment must be made within two working days; and
  - 16.2 may not sell or transfer title in the horse until the Claim Purchase Price is paid.
- 17 Following the determination of a Reclaim, the claimant must pay any premium due within 12 days of the Race.
- 18 Subject to paragraph 19, a Claim shall be void if the Racing Calendar Office is unable to contact the claimant or payment is not made on time. If this happens, and there was more than one claimant, the next claimant in the ballot shall be selected.
- 19 A Claim shall not be void if:
- 19.1 payment could not be made due to a technical failure by the BHA or the Racing Calendar Office; or
  - 19.2 the BHA exercises its discretion to pay the Claim Purchase Price and to recover the Claim Purchase Price from the successful claimant.
- 20 If a Claim is void, and the only other Claim was a Reclaim, the horse shall remain with the Owner.

### Payment methods

- 21 Unless the claimant is a Trainer, payment for a Third Party Claim must be made by one of the following methods:
- 21.1 using available funds in the claimant's invoice account with the BHA; or
  - 21.2 by charge, credit or debit card supported by Amex, VISA or MasterCard.

## **DISPUTES CONCERNING A CLAIM**

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- 22 Any dispute concerning the selection of a successful Claim or collection of payment of the Claim Purchase Price shall be determined by the Stakeholder.

## CONSEQUENCES OF A CLAIMING RACE BEING DECLARED VOID

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- 23 The claiming process shall be void if a Claiming Race is declared void.

## PROHIBITIONS FOLLOWING A CLAIMING RACE

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- 24 For 6 months following a Claiming Race, a claimed horse:

24.1 may not be sold or transferred back to the Owner in whose name it ran, or to any Person who submitted a Claim for that horse, except where:

24.1.1 the Claim was a Reclaim; or

24.1.2 within that 6-month period, the horse has been:

(a) claimed in a subsequent Claiming Race or Selling Race;

(b) sold in a Selling Race; or

(c) sold in a public auction.

24.2 may not return to the care of the Trainer in whose care it was in when it raced, except where:

24.2.1 paragraphs 24.1.1 or 24.1.2 apply; or

24.2.2 only one Claim was submitted for the horse.

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## SALE OF THE WINNER IN A SELLING RACE

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### MINIMUM SELLING PRICE AND VAT

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- 25 The Race Conditions for a Selling Race shall state:

25.1 the minimum selling price for the auction; and

25.2 the method of distribution for any amount by which the successful bid exceeds the minimum price.

- 26 The Owner or Trainer of the winning horse in a Selling Race must advise the auctioneer if the horse is to be sold subject to any VAT.

## DISQUALIFICATION, CHANGE OF PLACING OR DELAYED ANNOUNCEMENT OF THE WINNER

---

- 27 The winner of a Race shall be offered for sale by auction immediately after the Race, unless:

27.1 the winner is disqualified or its placing altered; or

27.2 the announcement of the Race result is delayed;

in which case the time for the sale shall be announced by the Stewards.

## PROHIBITION ON COORDINATED BIDDING

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- 28 In respect of any Selling Race, no Person may:

28.1 prevent or seek to prevent by any means any other person from bidding for the winner; or

28.2 accept, agree to accept or solicit any benefit whatsoever.

## RACECOURSE GUARANTEE FOR THE SALE PRICE

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29 The Racecourse must guarantee the winner's sale price.

## TERMS OF CONTRACT, PREMIUMS AND VAT

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### MANDATORY TERMS OF CONTRACT

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30 A person who submits a Claim or bid for the winner in a Claiming Race or Selling Race accepts the horse in the condition it is in when that Claim or bid is submitted. The Claim Purchase Price or bid price must be paid and shall not be returned, irrespective of the condition of the horse.

### VAT

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#### Pre-race requirements

31 Before the start of a Claiming Race or Selling Race, each Owner and Trainer must:

31.1 check that the Owner's VAT status is correctly stated on the list in the weighing room; and

31.2 inform the Clerk of the Scales if the Owner's VAT status is not correctly stated.

#### VAT payable on a Claim or successful bid

32 In a Claiming Race or Selling Race, a successful claimant is liable to pay VAT save where the horse is successfully claimed or bid for by its current Owner.

33 In a Selling Race, any VAT payable on the winning horse shall be calculated on the bid price or a portion of it if the horse is only partly owned by a person or company registered for VAT.

## RESPONSIBILITY FOR A HORSE FOLLOWING A CLAIMING RACE OR SELLING RACE

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34 Horses that ran in a Claiming Race or Selling Race must not be removed from Racecourse Property for at least 60 minutes following the weigh in, except by the successful claimant or bidder.

35 After a Claim or sale of the winner is confirmed:

35.1 the Trainer:

35.1.1 must immediately lodge the horse's Passport with an Equine Welfare Integrity Officer;

35.1.2 shall remain responsible for the horse until any examination ordered by the BHA is complete.

35.2 the purchaser:

35.2.1 shall be immediately responsible for the horse, subject to any examination ordered by the BHA;

35.2.2 must within three hours of the last Race:

(a) remove the horse from the Racecourse Stables; or

(b) make arrangements with the Racecourse Managing Executive for the care of the horse until it is collected, for which the Racecourse may charge a reasonable fee.

## VOID CLAIMS AND SALES OF THE WINNER

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36 The BHA may void a Claim or sale of the winner if the horse has been disqualified on the following grounds:

36.1 fraud or substitution;

36.2 the horse ran at any Unrecognised Meeting;

36.3 a Sample taken from the horse has tested positive for a Prohibited Substance; and / or

36.4 the sex of the horse was wrongly recorded on the Racing Administration Website and the BHA are satisfied that at the time of the Claim or sale of the winner the new Owner would not have been aware of the error.

37 Except as provided in paragraph 36, a Claim or sale of the winner following a Claiming Race or Selling Race shall not be affected by any change to the result after 'Weighed In' has been announced.

# DRAWS CODE

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MAKING THE DRAW  
CHANGES TO THE DRAW ORDER  
ADDING HORSES TO A RACE

---

# DRAWS CODE

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## MAKING THE DRAW

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- 1 The draw for a Race shall be undertaken after:
  - 1.1 Declarations to Run have been submitted; and
  - 1.2 where applicable, the Race has been divided or the number of runners has been reduced.
- 2 Where a reserve horse is to run, the BHA shall allocate the draw order for that horse in accordance with the conditions of the Race.

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## CHANGES TO THE DRAW ORDER

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- 3 The BHA may change the draw order:
  - 3.1 in the circumstances set out in paragraphs 4 to 5; or
  - 3.2 if otherwise appropriate.

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## ADDING HORSES TO A RACE

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- 4 Where a horse is added to a Race:
  - 4.1 if it results in the elimination of another horse, the added horse shall take the saddle cloth number and draw position of the eliminated horse; or
  - 4.2 if it does not result in the elimination of another horse:
    - 4.2.1 if it is added before 2pm on the day of the deadline for Declarations to Run, the added horse shall take the next highest saddle cloth number and shall be allocated a random draw position; or
    - 4.2.2 if it is added after 2pm on the day of the deadline for Declarations to Run, the added horse shall take the next highest saddle cloth number and shall be allocated the highest number in the draw.

### Where more than one horse is to be added to a Race

- 5 Where more than one horse is added to a Race, paragraph 4 shall apply to each added horse in an order determined by random ballot. If elimination is necessary for some of the added horses, those horses shall be added in accordance with the elimination sequence.

# EQUIPMENT CODE

GENERAL  
HORSE EQUIPMENT  
JOCKEY EQUIPMENT

# EQUIPMENT CODE

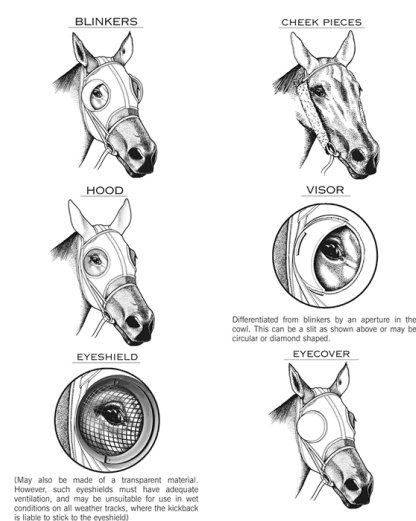
## GENERAL

- 1 No equipment may be used in a Race unless it has been approved by the BHA.
- 2 The Stewards may:
  - 2.1 prohibit a Jockey from using any whip; and/or
  - 2.2 order the seizure and destruction of any safety vest which does not meet the requirements of [paragraphs 26 to 29](#).

## HORSE EQUIPMENT

### HEADGEAR

- 3 A horse cannot run in a Race wearing a garment fitted over its head or ears other than Headgear.
- 4 The following are prohibited:
  - 4.1 any form of attachment to Headgear;
  - 4.2 the use of blinding Hoods; and
  - 4.3 modification of a Visor by covering the holes cut in the cowls.



[PENALTY](#)

### REQUIREMENT TO DECLARE HEADGEAR OR A TONGUE STRAP

- 5 Any Headgear or Tongue Strap to be worn by a horse in a Race must:
  - 5.1 be declared when submitting a Declaration to Run; and
  - 5.2 not be the colour specified for the purposes of paragraph 14.
- 6 A Trainer may add or remove Headgear after the Declaration to Run if they make a request to the BHA to do so and:
  - 6.1 the request is received within two hours of the deadline for Declarations to Run; and
  - 6.2 they pay the fee stated in the [Fee Code](#).
- 7 A Trainer may substitute Headgear that has been declared for another piece of Headgear if they make a request to the BHA to do so and:
  - 7.1 the request is received prior to weighing out for the Race; and
  - 7.2 they pay the fee stated in the [Fee Code](#).

[PENALTY](#)

## REQUIREMENT TO WEAR HEADGEAR OR A TONGUE STRAP THAT HAS BEEN DECLARED

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- 8 The Headgear that has been declared must be worn by the horse on the way to the start and during the Race. If any Headgear that has been declared is not worn on the way to the start the horse will be withdrawn.
- 9 If a Tongue Strap is used, the Veterinary Officer must be satisfied:
  - 9.1 with the material of the Tongue Strap; and
  - 9.2 with the way in which it is fitted.
- 10 A Tongue Strap that comes loose may only be refitted by the horse's Jockey or Trainer.
- 11 If a Jockey or Trainer cannot fit the Tongue Strap:
  - 11.1 the horse may still run; but
  - 11.2 if it does not, the financial penalty for non-runners will not apply.
- 12 If a horse declared to run with a Tongue Strap arrives at the start without it, the horse will be allowed to run but the Trainer will be subject to a financial penalty.

[PENALTY](#)

## WEARING HEADGEAR OR A TONGUE STRAP THAT HAS NOT BEEN DECLARED

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- 13 Subject to paragraph 14, if a horse arrives at the start with:
  - 13.1 undeclared Headgear (except a hood), the horse shall be withdrawn; or
  - 13.2 an undeclared Tongue Strap, the Tongue Strap shall be removed and the horse shall be allowed to run.
- 14 A Trainer may request permission for a horse to wear a hood of a specified colour on the way to the start, but it must be removed by the Trainer (or their representative):
  - 14.1 before the horse is loaded into the stalls; or
  - 14.2 before the horses are called in by the Starter,and it must not be worn during the Race.

[PENALTY](#)

## SHOES

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- 15 The following types of shoes are prohibited:
  - 15.1 shoes which have protrusions on the sole other than calkins or studs on the hind, limited to 3/8 inch in height;
  - 15.2 American type toe-grab plates; and
  - 15.3 shoes with a sharp flange.
- 16 Horses running in Flat Races conducted on turf must enter the parade ring fully shod except where:
  - 16.1 the BHA has consented before the Declaration to Run is submitted; or
  - 16.2 in exceptional circumstances the Stewards give permission.

[PENALTY](#)

## NASAL DILATORS, SUPPORTS OR BELLS

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- 17 A horse must not wear nasal dilators, supports or bells in the parade ring or in a Race.

## LIP CHAINS

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18 Lip Chains must not be worn by a horse on Racecourse Property without the approval of a Veterinary Officer.

## BITS

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19 A horse must not run in a bitless bridle.

20 All bits must be approved by a Veterinary Officer.

## JOCKEY EQUIPMENT

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21 Jockeys must keep their equipment in good condition.

22 A Jockey must attempt to repair any equipment that breaks before the start. If the repair is not safe, they must not race.

[PENALTY](#)

## SKULL CAPS AND SAFETY VESTS

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23 Any person who rides a horse on Racecourse Property must wear an approved skull cap and safety vest which are in good condition.

24 A Trainer is responsible for ensuring that any Apprentice Jockey, Conditional Jockey, stable employee or other person who rides a horse under their care wears an approved skull cap and safety vest which are in good condition.

### Skull Caps

25 Skull caps must comply with one of the following certified safety standards: PAS 015: 2011; SNELL E2001; SNELL E2016; VG1 01.040 2014-12; and, UTAC/CRITT 04/2015.

26 Skull caps must be correctly fastened and adjusted.

### Safety Vests

27 Safety vests must comply with certified safety standard (BS) EN 13158: 2009 or 2018 and must be at least Level 2.

28 Safety vests must not be:

28.1 modified in any way; or

28.2 attached to the horse or any equipment carried by the horse.

29 A Jockey must not bring a modified safety vest onto Racecourse Property.

30 A Jockey must wear an approved safety vest during weighing out, the Race and weighing in.

[PENALTY](#)

## WHIPS

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31 A Jockey must carry an approved whip that meets the following specifications:

31.1 for a Flat Race:

31.1.1 the maximum length (including flap) is 70 centimetres; and

31.1.2 there must be no binding within 17 centimetres of the end of the flap;

31.2 for a Jump Race:

31.2.1 the maximum length (including flap) is 68 centimetres; and

31.2.2 there must be no binding within 23 centimetres of the end of the flap;

31.3 the minimum diameter for a whip is 1 centimetre;

31.4 the overall weight must not exceed 160 grams;

31.5 the contact area of the shaft must be smooth, with no protrusion or raised surface, and covered by shock absorbing material throughout its circumference such that it gives a compression factor of at least 6 millimetres;

31.6 the only additional feature that may be attached to a whip is a flap, which if attached must comply with the following requirements:

31.6.1 the maximum length of the flap from the end of the shaft is 10 centimetres;

31.6.2 the maximum width of the flap is 4 centimetres, with a minimum width of 2 centimetres;

31.6.3 the flap from the end of the shaft must not contain any reinforcements or additions;

31.6.4 the flap must have similar shock absorbing characteristics to that of the contact area

32 Other than adjustments to the handle or grip, a Jockey must not carry a modified whip.

PENALTY

## OTHER EQUIPMENT

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33 A Jockey must:

33.1 not ride in a Race wearing spurs;

33.2 not ride in a Race wearing spectacles;

33.3 where applicable, ride using soft contact lenses;

33.4 ensure that all blindfolds have been removed from the horse before the 'Off'; and

33.5 not remove a horse's ear plugs during a Race.

PENALTY

# FEE CODE

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RIDING FEES AND PRIZE MONEY  
GENERAL FEES

# FEE CODE

## RIDING FEES AND PRIZE MONEY

### GENERAL

- 1 A Jockey is not entitled to any riding fee, and the Owner is not liable for any riding fee, in respect of a Race where the Jockey is found in breach of:
  - 1.1 [Rule \(F\)34](#) (Dangerous Riding); or
  - 1.2 [Rule \(G\)11](#) (failure to present themselves to be weighed in).
- 2 A riding fee becomes payable:
  - 2.1 once the signal to mount is given, or
  - 2.2 if permission has been given for a horse to proceed to the start early, once the Jockey has mounted.
- 3 Where a riding fee is payable, the Owner of the horse must pay an additional sum of 13% of the riding fee to the Trustees of the Professional Riders Insurance Scheme for application under the trusts of the Scheme.
- 4 An additional fee shall be payable where the Jockey has been substituted following weighing out.
- 5 If VAT is payable, it must be paid in addition to the fee unless the Jockey is an Apprentice Jockey or Conditional Jockey (in which case the fee paid shall be inclusive of VAT where applicable).

### FLAT RACES

- 6 The riding fee payable to a Professional Jockey for a Flat Race is £127.14.
- 7 In respect of an Apprentice Jockey, any riding fee, payable under this Fee Code, and any Prize Money, payable to the Jockey under the Stakes and Prize Money Code, shall be split by the Apprentice Jockey and their employer as follows:

RIDING FEES			PRIZE MONEY		
CLAIM	APPRENTICE JOCKEY %	TRAINER %	CLAIM	APPRENTICE JOCKEY %	TRAINER %
7lbs	80	20	7lbs	80	20
5lbs	80	20	5lbs	80	20
3lbs/no claim	80	20	3lbs/no claim	90	10

- For the avoidance of doubt, the Apprentice Jockey shall not be entitled to claim any expenses or contributions to any insurance premiums under the Apprentice Jockey's Agreement with the Trainer.
- 8 Where a riding fee is payable to an Apprentice Jockey, the Apprentice Jockey must pay an additional sum of **7.5%** of the fee to the BHA for the purposes of industry training.

### JUMP RACES

- 9 The riding fee payable to a Professional Jockey for a Jump Race is £173.59.
- 10 In respect of a Conditional Jockey, any riding fees, payable under the Fee Code, and any Prize Money, payable to the Jockey under the Stakes and Prize Money Code, shall be retained by the Conditional Jockey.

For the avoidance of doubt, the Conditional Jockey shall not be entitled to claim any expenses or contributions to any insurance premiums under the Conditional Jockey's Agreement with the Trainer.
- 11 Where a riding fee is payable to a Conditional Jockey, the Conditional Jockey must pay an additional sum of **5.625%** of the fee to the BHA for the purposes of industry training.

- 12 Subject to paragraph 13, no fee is payable to an Amateur Jockey for a Jump Race.
- 13 Where an Amateur Jockey:
- 13.1 rides in a Race that is not confined solely to Amateur Jockeys;
  - 13.2 has had more than 75 rides in Great Britain in races open to Professional Jockeys; and
  - 13.3 rides a horse in the Race that is not the sole property of that Amateur Jockey and/or one or more of their Family Members,
- a fee is payable to the BHA for a Jump Race of £173.59.

## PHYSICAL THERAPY

- 14 Where a fee is payable to a Professional Jockey, the Jockey shall pay the additional sum of:
- 14.1 0.5% in respect of a Flat Race; or
  - 14.2 0.65% in respect of a Jump Race
- to the BHA for the provision of on-course physical therapy services.

## VALETS

- 15 A Valet shall be paid a daily attendance entitlement from the Jockeys’ Valets’ Attendance Fund in relation to each occasion that they attend and provide services at a Race Meeting, and the rate shall be determined by the BHA.

## NON-RUNNERS

- 16 Any Professional Jockey who has been declared to ride a horse by the deadline for Declaration of Jockeys, but whose horse is subsequently made a non-runner will receive a fee of £63.57 (Flat) and £86.80 (Jump).
- 17 No fee is payable where the Race Meeting or Race is abandoned or made void.
- 18 No additional payments or deductions are applicable to either fee.
- 19 The fee in paragraph 16 will not be due to any Jockey who is declared after the deadline for Declaration of Jockeys.
- 20 No fee is payable to a Jockey who has been declared to ride a horse that is a non-runner in a Race that has been nominated as the Second Preference Race.

## GENERAL FEES

- 21 The fees payable under these Rules shall be as follows (plus VAT where applicable):

RULE	DESCRIPTION	AMOUNT
<a href="#">Rule (B)6</a>	Flat Jockey Licence	£214.58
	<i>includes £10 donation to Rehabilitation of Racehorses and £3.50 donation to racing charities</i>	
<a href="#">Rule (B)6</a>	Jump Jockey Licence	£215.58
	<i>includes £10 donation to Rehabilitation of Racehorses and £4.50 donation to racing charities</i>	
<a href="#">Rule (B)6</a>	Apprentice Jockey Licence	£100.92
	<i>includes £3.50 donation to racing charities</i>	
<a href="#">Rule (B)6</a>	Conditional Jockey Licence	£101.92
	<i>includes £4.50 donation to racing charities</i>	
<a href="#">Rule (B)6</a>	Category A Amateur Jockey Licence	£239.75
	<i>includes £126 insurance contribution and £10 donation to Rehabilitation of Racehorses</i>	
<a href="#">Rule (B)6</a>	Category B Amateur Jockey Licence	£239.75

	<i>includes £126 insurance contribution and £10 donation to Rehabilitation of Racehorses</i>	
<a href="#">Rule (B)6</a>	Trainer Licence (basic - up to 25 horses in training)	£335.25
<a href="#">Rule (B)6</a>	Permit Trainer Licence	£157.42
<a href="#">Rule (B)6</a>	Stable inspection	£208.42
<a href="#">Rule (B)6</a>	Master Valet Licence	£50.25
<a href="#">Rule (B)6</a>	Assistant Valet Licence	£50.25
<a href="#">Rule (B)6</a>	Jockey's Agent Licence	£196.58
<a href="#">Rule (B)6</a>	Combined Flat/Jump Licence	£256.17
<a href="#">Rule (B)43</a>	Registration of authority to act as Jockey's Agent for particular Jockey	£55.92
<a href="#">Rule (B)44</a>	Registration of authority to act as agent for owner	£55.92
<a href="#">Rule (C)1</a>	Registration of Sole Owner	£86.50
<a href="#">Rule (C)1</a>	Registration of Recognised Company	£817.50
<a href="#">Rule (C)1</a>	Registration of Syndicate	£327.08
<a href="#">Rule (C)1</a>	Change of Syndicate name	£34.58
<a href="#">Rule (C)1</a>	Initial registration of Partnership	£210.08
<a href="#">Rule (C)1</a>	Change of Partnership name	£34.58
<a href="#">Rule (C)1</a>	Registration of Racing Club	£327.08
<a href="#">Rule (C)1</a>	Change of Racing Club name	£34.58
<a href="#">Rule (C)8</a>	Registration of agent for an additional Recognised Company (also for annual renewal)	£58.58
<a href="#">Rule (C)11</a>	Add Partner	£97.17
<a href="#">Rule (C)14</a>	Single race lease	£153.33
<a href="#">Rule (C)14</a>	Initial registration of other kinds of lease	£47.08
<a href="#">Rule (C)14</a>	Re-registration of such leases	£23.83
<a href="#">Rule (C)17</a>	Registration of transfer of engagements	£28.42
<a href="#">Rule (C)19</a>	Registration of colours (where the registrant has had a horse in training in the last 18 months) - single year	£57.75
<a href="#">Rule (C)19</a>	Registration of colours (where the registrant has had a horse in training in the last 18 months) - 5 year	£281.33
<a href="#">Rule (C)19</a>	Registration of colours (where the registrant has had a horse in training in the last 18 months) - 10 year	£548.25
<a href="#">Rule (C)19</a>	Registration of colours (where the registrant has had a horse in training in the last 18 months) - 20 year	£1038.83
<a href="#">Rule (C)19</a>	Registration of colours (where the registrant has not had a horse in training in the last 18 months) - Single year	£71.67
<a href="#">Rule (C)19</a>	Registration of colours (where the registrant has not had a horse in training in the last 18 months) - 5 year	£348.83
<a href="#">Rule (C)19</a>	Registration of colours (where the registrant has not had a horse in training in the last 18 months) - 10 year	£679.92
<a href="#">Rule (C)19</a>	Registration of colours (where the registrant has not had a horse in training in the last 18 months) - 20 year	£1,288.25
<a href="#">Rule (C)28</a>	Transferring or selling colours to non-family member	£143.25
<a href="#">Rule (C)31</a>	Year's reservation and yearly re-reservation of a horse name	£122.00
<a href="#">Rule (C)31</a>	Temporary reservation of a horse name	£40.58

<a href="#">Rule (C)32</a>	Change of a name	£90.25
<a href="#">Rule (D)6</a>	Initial issue of passport	£50.42
<a href="#">Rule (D)6</a>	Revision and re-issue of passport	£50.42
<a href="#">Rule (D)6</a>	Replacement of lost passport	£104
<a href="#">Rule (D)39</a>	Racing clearance notification (RCN)	£41.92
<a href="#">Rule (E)4</a>	Fee for VAT administration	£41.25
<a href="#">Rule (E)4</a>	Authorisation of VAT declaration - Sole Owner or Company	£29.25
<a href="#">Rule (E)4</a>	Authorisation of VAT declaration - Partner or Syndicate	£58.58
<a href="#">Rule (E)6</a>	Owner's sponsorship agreement	£30.17
<a href="#">Rule (E)6</a>	Registration of jockey's sponsorship agreement	£39.00
<a href="#">Rule (E)16</a>	Replacement of medical record book	£50.25
<a href="#">Rule (E)39</a>	Replacement of Trainer's Identity Card	£39.00
<a href="#">Rule (E)39</a>	Initial issue and renewal of Racehorse Attendants Identity Card and/or Validity Pass	£15.08
<a href="#">Rule (E)39</a>	Replacement of a lost Racehorse Attendants Identity Card and/or Validity Pass	£39.00
<a href="#">Rule (L)21</a>	Assessment of poor jumper	£395.00
<a href="#">Equipment Code (para 6)</a>	Addition of undeclared headgear	£86.36
<a href="#">Horse Naming Code</a>	Registering a horse name (N.B. a revision and re-issue of passport fee will also apply)	£90.25
<a href="#">Horse Naming Code</a>	Single identity check	£44.58
<a href="#">Horse Naming Code</a>	Foreign bred naming fee (including identity check)	£134.83
<a href="#">Race Entry Code (para 3)</a>	Make an entry (internet only)	<b>£23.00</b>
<a href="#">Race Entry Code (para 3)</a>	Make an entry (call centre)	£32.92
<a href="#">Race Entry Code (para 3)</a>	Make an entry - Foreign races	£82.50
<a href="#">Race Entry Code (para 20)</a>	Entry for a race which closes to Horse Racing Ireland but made directly to the Racing Calendar Office	£83.67
<a href="#">Running Requirements Code (para 16)</a>	Registration of a Hunters' Certificate	£88.00

# HORSE NAMING CODE

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APPLICATION TO REGISTER A NAME FOR A HORSE  
CHOOSING A NAME

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# HORSE NAMING CODE

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## APPLICATION TO REGISTER A NAME FOR A HORSE

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- 1 Except where the BHA directs otherwise, an application to register a horse's name will only be accepted if:
  - 1.1 the horse's identity is verified;
  - 1.2 the horse has been implanted with an identifying microchip;
  - 1.3 the horse has been accepted for inclusion in:
    - 1.3.1 the Stud Book;
    - 1.3.2 a Stud Book approved by the [International Stud Book Committee](#);
    - 1.3.3 the Non-Thoroughbred Register, or
    - 1.3.4 the AQPS Register.
  - 1.4 the proposed name of the horse:
    - 1.4.1 complies with this Code; and
    - 1.4.2 has not been reserved under [Rule \(C\)31](#).
  - 1.5 the horse, and its sire and dam, are each a product of a Natural Service or Covering and that, during breeding the horse had a full natural gestation in the body of the mare in which it was conceived.
- 2 An application to register a name for a horse foaled outside of Great Britain, Ireland or the Channel Islands must be accompanied by:
  - 2.1 the horse's Passport if available;
  - 2.2 a statement from a Veterinary Surgeon that the horse has been implanted with an identifying microchip, unless such evidence is already contained in the horse's Passport; and
  - 2.3 an Age and Markings Certificate.
- 3 The Veterinary Surgeon that signs an Age and Markings Certificate must be independent of the Owner and Trainer of the horse.
- 4 The BHA shall reject an application to register a name if:
  - 4.1 there is a discrepancy between the Age and Markings Certificate and the markings first recorded in the Stud Book or the Export Certificate; and
  - 4.2 the horse's identity cannot be verified by a blood or a DNA test.

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## CHOOSING A NAME

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### PROHIBITED NAMES

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- 5 A horse cannot be registered with any of the following names:
  - 5.1 a name already in the Register of Horse Names, unless [paragraph 7](#) applies;
  - 5.2 a name followed by a number;
  - 5.3 a name designated as a protected name;
  - 5.4 a name of more than 18 characters, including signs or spaces;
  - 5.5 a name made up entirely of initials, or ones that include figures, hyphens, full-stops, commas, signs, exclamation marks, inverted commas, forward or backward slash, colon and semi-colon;

- 5.6 a name that starts with a sign other than a letter;
- 5.7 a name containing more than seven syllables; or
- 5.8 a name which the BHA considers offensive or inappropriate.

## **NAMES THAT MAY BE REGISTERED SUBJECT TO SPECIFIC CONDITIONS BEING MET**

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- 6 A horse may be registered with:
  - 6.1 the name of a well-known person, if the person gives permission;
  - 6.2 a name of commercial significance if the BHA consents; or
  - 6.3 a name of a prominent company, product or trade if:
    - 6.3.1 the relevant person consents; or
    - 6.3.2 the BHA is satisfied that the name has an alternative common meaning.

## **NAMES ALREADY IN THE REGISTER OF HORSE NAMES**

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- 7 A name in the Register of Horse Names shall become available for registration to a different horse as follows:
  - 7.1 a name registered to a broodmare, the earlier of:
    - 7.1.1 10 years after the mare's death;
    - 7.1.2 10 years after the last recorded year in which the mare was covered or produced a foal; or
    - 7.1.3 when the mare reaches 30 years of age.
  - 7.2 a name registered to a stallion, the earlier of:
    - 7.2.1 15 years after the stallion's death;
    - 7.2.2 15 years after the last recorded year in which the stallion covered one or more mares; or
    - 7.2.3 the year when the stallion reaches 35 years of age.
  - 7.3 a name registered to any other horse, the earlier of:
    - 7.3.1 5 years after the horse's death; or
    - 7.3.2 the year when the horse reaches 20 years of age.
- 8 The BHA may allow a name in the Register of Horse Names to become available earlier than set out in paragraph 7 if the horse never raced.

## **ORDER OF PRIORITY FOR NAMES CLAIMED SIMULTANEOUSLY**

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- 9 The Racing Calendar Office shall determine by lot the order of priority for two or more horses that claim the same name simultaneously.

# JUDICIAL PANELS CODE

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- PART ONE - DISCIPLINARY PANEL AND APPEAL BOARD COMPOSITION
  - PART TWO - PROCEDURAL RULES APPLICABLE TO JUDICIAL PANELS
  - PART THREE - DISCIPLINARY PANELS AS A FIRST INSTANCE BODY
  - PART FOUR - DISCIPLINARY PANELS AS AN APPELLATE BODY
  - PART FIVE - APPEAL BOARDS
  - PART SIX – LICENSING COMMITTEE

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# JUDICIAL PANELS CODE

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## PART ONE - DISCIPLINARY PANEL AND APPEAL BOARD COMPOSITION

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### GENERAL

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#### Selection of Disciplinary Panel and Appeal Board members

- 1 The Judicial Panel Chairman shall select members of:
  - 1.1 a Disciplinary Panel or Licensing Committee from the Disciplinary and Licensing Panel Pool, one of whom shall be selected as chairperson, in accordance with the Disciplinary Panel Terms of Reference or the Licensing Committee Terms of Reference; and
  - 1.2 an Appeal Board from the Appeal Board Pool, one of whom shall be selected as chairperson, in accordance with the Appeal Board Terms of Reference.
- 2 Each member of a Disciplinary Panel, Licensing Committee or Appeal Board must declare if they have a conflict or an interest in a case. If they do, they must either:
  - 2.1 recuse themselves; or
  - 2.2 obtain the consent of the parties to stay on the Disciplinary Panel, Licensing Committee or Appeal Board (as applicable).
- 3 Where a conflict or an interest in a case is declared, and the member neither recuses themselves in accordance with paragraph 2.1, nor obtains the consent of the parties in accordance with paragraph 2.2;
  - 3.1 the Disciplinary Panel Chairperson, Licensing Committee Chairperson or Appeal Board Chairperson (as applicable) shall determine whether the panel member shall remain on the panel; or
  - 3.2 where the panel member in question is the Disciplinary Panel Chairperson, Licensing Committee Chairperson or Appeal Board Chairperson (as applicable), the Judicial Panel Chairperson shall decide whether the panel member shall remain on the panel.

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## PART TWO - PROCEDURAL RULES APPLICABLE TO JUDICIAL PANELS

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### GENERAL

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- 4 Paragraphs 5 to 32 shall be referred to as the Procedural Rules. The Procedural Rules shall cover:
  - 4.1 Disciplinary Panels as a first instance body;
  - 4.2 Disciplinary Panels as an appellate body; and
  - 4.3 Appeal Boards
- 5 Judicial Panels shall have the power to regulate their own procedure. The chairperson of the panel will normally determine procedural matters alone and, where submissions from the parties are required, such submissions will normally be requested in writing and without a hearing.
- 6 Any breach of procedure by a Judicial Panel, or a failure by them to follow any direction given (including any time limit), shall not invalidate the proceedings or its outcome unless the breach is such as to seriously and irredeemably prejudice the position of the parties.
- 7 Judicial Panels are disciplinary, rather than arbitral, bodies. In the interests of achieving a just and fair result, procedural and technical considerations must take second place to the paramount object of being just and fair to all parties.

- 8 Judicial Panels shall have the power, where the subject matter or facts are sufficiently linked and where appropriate for the efficient disposal of proceedings, to consolidate proceedings so that they are conducted together and determined at a joint hearing. The circumstances in which the power may be exercised include:
  - 8.1 where breaches are alleged to have been committed in the same Race or at the same meeting; or
  - 8.2 where there is common evidence.
- 9 The chairperson of the panel will give such directions as they consider appropriate for the fair and expeditious conduct of the case to include, but not limited to:
  - 9.1 lengthening or shortening any time limit;
  - 9.2 adapting or dispensing with any procedural steps; and
  - 9.3 holding a preliminary hearing.
- 10 A party may apply to the Judicial Panel Chairman where it wishes to have a preliminary matter determined by a separate Judicial Panel.

## STANDARD OF PROOF

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- 11 Where any fact or matter has to be established to the satisfaction of a Judicial Panel, the standard of proof shall be the balance of probabilities.

## EVIDENCE

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- 12 A Judicial Panel is not obliged to follow the strict rules of evidence and may admit such evidence, and accord it such weight, as it sees fit.
- 13 A Judicial Panel may draw an inference from the failure of a Person or witness to provide evidence or answer a question as it considers appropriate.

## ADJOURNMENT AND NON-ATTENDANCE

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- 14 A Judicial Panel may adjourn a hearing for such period and upon such terms as it considers appropriate.
- 15 A Judicial Panel may require a person to:
  - 15.1 attend a hearing; and / or
  - 15.2 produce any relevant documents.
- 16 If a person fails to attend a hearing when required to do so, the Judicial Panel may proceed with the hearing in such manner as it considers appropriate, including proceeding to make findings and to issue sanctions.

[PENALTY](#)

## LEGAL REPRESENTATION

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- 17 A party to proceedings has a right to be legally represented. As soon as reasonably practicable the BHA must be notified of the representative.
- 18 A party to proceedings must state the address to which communications should be sent.

## CONFIDENTIALITY

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- 19 Subject to paragraphs 20 to 22, all written representations, submissions, evidence, transcripts and documents created in the course of proceedings shall be treated as being confidential and cannot be further disclosed or otherwise used outside of those proceedings.

- 20 The BHA may publish information regarding a case at any time. Such information may include, but is not limited to:
- 20.1 details of any steps taken against any respondent or appellant, including any charges brought, appeals or facts alleged in support;
  - 20.2 any representations, submissions, evidence and/or documents created in the course of the proceedings; or
  - 20.3 any direction or finding made or sanction imposed.
- 21 The BHA may disclose information concerning a case to any person in circumstances where the BHA considers that such disclosure may assist the initiation, conduct or defence of any criminal or quasi-criminal investigation or proceeding, or the regulatory or disciplinary process of any trade profession or sport whether in the UK or elsewhere.
- 22 The BHA may use and rely upon any representations, submissions, evidence, recordings, transcripts and documents created or provided in the course of any proceedings for the purpose of carrying out its regulatory functions, to include but not limited to monitoring compliance with the Rules.

## HEARINGS CONDUCTED IN THE PRESENCE OF THE MEDIA

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- 23 Hearings will be open to representatives of the media unless the chairperson of the panel directs otherwise.
- 24 When attending a hearing, the media must respect paragraph 19 above. The chairperson of the panel may direct that certain matters arising during the course of a hearing may not be published.

## RECORDINGS

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- 25 Subject to paragraph 26, a person must not record a hearing.
- 26 Hearings shall be recorded by the BHA and any such recording shall be:
- 26.1 owned by the BHA; and
  - 26.2 confidential.
- 27 Subject to [paragraph 60](#) and [paragraph 81](#), no person shall have the right to compel the production of a recording or any copy or transcript:
- 27.1 except as required by law; and
  - 27.2 subject to payment of the BHA's costs of production.

## DELIBERATIONS

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- 28 Deliberations of Judicial Panels shall take place in private.

## DECISION

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- 29 Judicial Panel decisions shall be reached by simple majority.
- 30 Judicial Panels may refer to any evidence or submissions as it considers necessary in its written decision, notwithstanding that such decision may be published.
- 31 A decision of a Judicial Panel to:
- 31.1 withdraw or suspend a Licence for a period of 3 months or more; or
  - 31.2 declare a Person to be a Disqualified Person,
- shall take effect immediately on the announcement of the decision, unless the BHA or a Judicial Panel directs otherwise.
- 32 Any decision not covered by paragraph 31 shall become effective
- 32.1 after the time for bringing an appeal has expired, or
  - 32.2 if an appeal is brought, from 12.01 a.m. the day after the date on which the appeal:

32.2.1 is finally determined by an Appeal Board;

32.2.2 is abandoned; or

32.2.3 fails by reason of non-prosecution,

unless the Appeal Board directs otherwise.

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## PART THREE - DISCIPLINARY PANELS AS A FIRST INSTANCE BODY

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### COMMENCEMENT OF PROCEEDINGS

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33 Where the BHA considers that there has been a breach of the Rules, it may commence disciplinary proceedings by serving on a person (hereafter a **Respondent**):

33.1 details of the alleged breach(es), to include a summary of the case against them;

33.2 a copy of the documents relied upon including witness statements; and

33.3 a copy of the Charge Response Form.

34 The BHA may bring new charges against a Respondent notwithstanding that it has served the items listed in paragraph 33.

### CHARGE RESPONSE FORM

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35 Each Respondent must complete the Charge Response Form by stating:

35.1 whether they admit or deny each alleged breach;

35.2 their response to the evidence against them, irrespective of whether they admit or deny the charges;

35.3 where the breaches are admitted, any representations on sanction;

35.4 the name of any witness they intend to call to give oral evidence at the hearing, together with a witness statement or summary of the witness' proposed oral evidence; and

35.5 where they deny each alleged breach or make partial admissions, and where the BHA relies on witness evidence, any witnesses they want to question at the hearing (for the avoidance of doubt, where a Respondent does not notify of a wish to question a witness called by the BHA, that witness' evidence shall be deemed to be accepted).

36 The Charge Response Form must be accompanied by copies of all evidence, documents and written submissions upon which the Respondent intends to rely unless the BHA agrees to an extension of time to the period stated on the form.

37 The Charge Response Form must be served on the BHA within the period stated on the form, unless the BHA agrees to an extension of time or such other time as the Disciplinary Panel chairperson orders..

38 If a Respondent introduces evidence late, the Disciplinary Panel may:

38.1 allow or refuse the admission of that evidence; or

38.2 adjourn a hearing.

39 Where a hearing is adjourned in accordance with paragraph 38.2 the Disciplinary Panel may make an order for costs against the Respondent.

40 The BHA may offer the Respondent the opportunity to enter into the fast track process in accordance with the Fast Track Protocol.

41 Upon review of the Charge Response Form and the accompanying materials, the BHA may provide the Respondent with any further evidence or material on which it intends to rely. The Respondent will be given an opportunity to respond to that evidence or material.

42 The Disciplinary Panel may make an interim decision affecting a penalty or award, order or other sanction.

## PLEA AGREEMENTS

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- 43 The BHA and the Respondent may attempt to agree:
- 43.1 that the Respondent admits a charge in return for a reduced sanction;
  - 43.2 that the Respondent admits one or more charges in return for others not being pursued by the BHA; and / or
  - 43.3 some or all of the facts relating to the charge,(a Plea Agreement).
- (a **Plea Agreement**).
- 44 If a Plea Agreement is sought by the Respondent, they should request discussions at an early stage.
- 45 A Plea Agreement is always subject to the approval of the Disciplinary Panel so it can assess whether the agreement:
- 45.1 accurately and appropriately reflects the available evidence; and
  - 45.2 is fair and in the interests of justice.
- 46 If a Plea Agreement is agreed the Disciplinary Panel must be provided with:
- 46.1 full details of the Plea Agreement; and
  - 46.2 the facts of the case which should, where possible, be agreed.
- 47 If agreement is reached on certain issues, but not others, the BHA and the Respondent may agree to seek directions from the Disciplinary Panel as to how to proceed.
- 48 The Disciplinary Panel will not be informed of discussions if they do not result in agreement. However, the Disciplinary Panel and any other party to the proceedings may be informed of any relevant documents or information referred to during those discussions that is not already before the Disciplinary Panel, including any admissions made.

## HEARINGS

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- 49 The chairperson of the Disciplinary Panel shall ensure a fair procedure, as part of which a Respondent shall be given the opportunity to put their case and question witnesses.

### Owner's rights

- 50 If a hearing concerns the possible disqualification or suspension of a horse, or the possible alteration of places, the Owner or Owner's Representative will:
- 50.1 be given notice of the hearing,
  - 50.2 upon request, be provided with all documents relied upon by the BHA; and
  - 50.3 on notice to the BHA, be permitted to attend the hearing with legal representation and to question witnesses and make submissions.
- 51 If a horse is owned by more than one Person, only one of them may attend a hearing as a representative of the Owners.

## DISCIPLINARY PANEL DECISION

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- 52 The Disciplinary Panel shall have the power to impose any one or more of the sanctions set out in Chapter L.
- 53 The Disciplinary Panel shall provide written reasons for its decision within 20 working days of the conclusion of the hearing (except in exceptional circumstances, where further time may be required). The written reasons shall include sufficient detail to allow the parties to understand the Disciplinary Panel's decision and which material facts have been relied upon.

## COSTS

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- 54 Except where otherwise provided, a Disciplinary Panel shall have the power to make such order as to costs against a Person as it considers appropriate.

## APPEALS

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- 55 A party to proceedings may appeal a decision of a Disciplinary Panel to an Appeal Board within 7 days of receipt of the full written reasons.

## PART FOUR - DISCIPLINARY PANELS AS AN APPELLATE BODY

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### STANDING

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- 56 The following decisions can be appealed to a Disciplinary Panel:

- 56.1 subject to [Rule \(H\)34](#), a decision of a Stewards Enquiry;
- 56.2 a substituted decision of the BHA in accordance with [Rule \(L\)7](#);
- 56.3 a decision to prohibit an Overseas Jockey from taking part in any Race(s) in accordance with [Rule \(L\)14](#); and / or
- 56.4 a decision of the BHA to issue an Exclusion Order in accordance with [Rule \(L\)13](#).

### COMMENCING AN APPEAL

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- 57 An appeal is commenced by lodging a notice of appeal with the BHA within seven days of notice of the relevant decision, except where:

- 57.1 the decision of the Stewards relates to a breach of [Rule \(F\)37](#); or
- 57.2 a Jockey has been suspended from riding,  
in which case the appeal must be commenced within two days of notice of the decision.

- 58 The notice of appeal must state the grounds of appeal in general terms.

- 59 A notice of appeal will be invalid unless it is accompanied by a deposit of:

- 59.1 in the case of an appeal by an Apprentice Jockey, a Conditional Jockey or Amateur Jockey:
  - 59.1.1 £110, where a financial penalty not exceeding £500 was imposed; or
  - 59.1.2 £250 otherwise;
- 59.2 in any other case:
  - 59.2.1 £220, where a financial penalty not exceeding £500 was imposed; or
  - 59.2.2 £500 otherwise.

- 60 Where a Person appeals a decision of the Stewards, the BHA will provide a transcript of the Stewards Enquiry to the Person as soon as practicable.

#### Determination on written submissions

- 61 An Appellant can request that the appeal is considered on the papers. Where the Appellant does so, the Disciplinary Panel may require that they submit a signed witness statement or summary of evidence.

#### Procedure

- 62 The Disciplinary Panel shall set directions as required for the conduct of the appeal.

#### Consideration by the Disciplinary Panel and Decision

- 63 The Disciplinary Panel may confirm or reverse or otherwise vary the decision appealed and may:

- 63.1 where the appeal is made from a decision of a Stewards Enquiry; or

63.2 where the appeal is made from a substituted decision of the BHA in accordance with [Rule \(L\)7](#), impose any one or more of the sanctions that would have been available to the Stewards.

64 The Disciplinary Panel shall provide written reasons for its decision within 48 hours following the conclusion of the hearing (except in exceptional circumstances, where further time may be required).

## COSTS AND DEPOSIT

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65 Except where otherwise provided, a Disciplinary Panel shall have the power to make such order as to costs against a Person as it considers appropriate.

66 A deposit may be returned, except:

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

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

## APPEALS

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67 A decision of a Disciplinary Panel acting as an appellate body is final and binding, and there shall be no further right of appeal.

## PART FIVE - APPEAL BOARDS

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### STANDING

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#### Decisions capable of appeal to an Appeal Board

68 The following decisions can be appealed to an Appeal Board:

68.1 the decisions of the Licensing Committee, except where the decision was made by the Licensing Committee acting as an appellate body;

68.2 the decisions of a Disciplinary Panel that heard the matter as a first instance body;

68.3 a decision of a Disciplinary Panel in relation to an application for permission to be employed in racing stables by Disqualified Persons, brought pursuant to [Rules \(L\)30 to \(L\)34](#);

68.4 any Disciplinary penalty imposed for contravention of [Rule \(F\)37](#) (Schooling and/or Conditioning);

68.5 any other decision, order or matter in relation to which the BHA considers it appropriate to extend a right of appeal.

#### Persons who may appeal to an Appeal Board

69 A decision as set out in paragraph 68 may be appealed to an Appeal Board by:

69.1 the BHA or a Respondent to a decision taken by a Disciplinary Panel as set out in paragraph 68 above; or

69.2 in the case of a decision to disqualify or suspend a horse or demote its placing, the Trainer, Jockey or Owner of the horse.

70 An Appeal Board Chairperson may, in exceptional circumstances, extend a right of appeal to any person with a material interest.

#### Grounds of appeal

71 The grounds of appeal available to a person shall be that:

71.1 the reasons given by the decision maker are insufficient to support the decision reached;

71.2 there was insufficient material on which a reasonable decision maker could have made the decision in question;

71.3 the decision maker failed to hold a fair hearing;

- 71.4 the decision maker misconstrued, failed to apply or wrongly applied the relevant Rules;
  - 71.5 the award, order or other sanction is so disproportionate that no reasonable decision maker could have decided upon it; and / or
  - 71.6 there is evidence available for the appeal which, had it been available at the original hearing, would have caused the decision maker to reach a materially different decision.
- 72 The same grounds of appeal are available to the BHA.

## APPLICATIONS TO STAY THE PENALTY OR TO VARY CONDITIONS

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- 73 An Appellant may make an application to:
- 73.1 stay the implementation of a decision being appealed; or
  - 73.2 vary any conditions upon which a stay may have been granted by the decision maker, pending the Appeal Board's final determination of an appeal.
- 74 An application to stay the implementation of a decision or vary any conditions:
- 74.1 must be made with or before the Notice of Appeal; and
  - 74.2 will be determined by the chairperson of the Appeal Board acting alone and on the papers except where the chairperson of the Appeal Board considers that a hearing is necessary.
- 75 The application may be granted subject to such conditions as the chairperson of the Appeal Board considers appropriate.
- 76 In determining whether to grant the application, the chairperson of the Appeal Board will take into account:
- 76.1 the prospects of success of the appeal;
  - 76.2 the fairness to the applicant and the interests of racing in the context of the time likely to be taken by the substantive appeal; and
  - 76.3 any other relevant circumstances.

## APPEAL BOARD PROCEDURE

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### Commencing an appeal

- 77 An appeal is commenced by notifying the Judicial Panel Secretary in writing **(Notice of Appeal)**.
- 78 Unless the decision being appealed against relates to a breach of [Rule \(F\)37](#), the Notice of Appeal must be lodged within seven days of service of the full written reasons and must:
- 78.1 identify the decision(s) being appealed;
  - 78.2 be accompanied by a deposit of £800;
  - 78.3 set out the ground(s) of appeal being relied upon and the reasons why it would be substantively unjust to allow the original decision to stand; and
  - 78.4 where appropriate, apply for leave to present new evidence pursuant to paragraphs 86 to 88.
- 79 If the decision being appealed against relates to a breach of [Rule \(F\)37](#):
- 79.1 the Appellant must lodge a Notice of Appeal within 48 hours of service of the full written reasons which complies with paragraph 76.1 and, in respect of an appeal brought by any person other than the BHA, with paragraph 78.2; and
  - 79.2 the Appellant must then, within 7 days of service of the full written reasons, comply with paragraphs 78.3 to 78.4.
- 80 The Notice of Appeal must be accompanied by copies of all evidence, documents and written submissions upon which the Appellant intends to rely.
- 81 If a person appeals a decision of a Disciplinary Panel, the BHA will provide a transcript of the Disciplinary Panel hearing to the person as soon as practicable.

### Relief from lodging deposit

82 An Appellant seeking relief from the requirement to lodge a deposit on the sole ground of hardship must, at the same time as the Notice of Appeal, lodge an application which:

82.1 requests relief from the deposit requirement; and

82.2 sets out the relevant grounds and facts supporting the claim of hardship.

83 The request for relief shall be considered by the chairperson of the Appeal Board, whose decision whether to grant total, partial or no relief shall be final and without any requirement to give reasons.

### Convening an Appeal Board and procedure

84 Upon receipt of a valid Notice of Appeal, the Judicial Panel Chairman shall convene an Appeal Board.

85 The chairperson of the Appeal Board may, whether upon the application of a party or of their own motion, give any instructions considered necessary for the proper conduct of the proceedings including, but not limited to:

85.1 setting a timetable and issuing directions as required for the conduct of the appeal; and

85.2 requiring a Disciplinary Panel to clarify and/or amplify some aspect of the reasons given for the decision.

### New evidence

86 No new evidence shall be permitted, except where the Appeal Board directs otherwise.

87 An application for permission to admit new evidence must be made in the Notice of Appeal or in any response, setting out the nature and the relevance of the new evidence and why it was not introduced at the original hearing.

88 The Appeal Board shall grant permission if:

88.1 it is satisfied as to why the evidence was not, or could not reasonably have been, introduced at the original hearing; or

88.2 there are other exceptional circumstances.

### Appeal Board proceedings

89 An appeal shall be by way of review of materials considered at the original hearing, except that:

89.1 oral submissions will be permitted; and

89.2 oral evidence will only be permitted if permission to introduce new evidence has been granted.

90 An Appeal Board may in exceptional circumstances order that the appeal takes place as a full rehearing of the case.

91 Where a party fails to comply with an order, requirement or instruction of the Appeal Board, The Appeal Board may, take any action it considers appropriate, including taking that conduct into account when determining costs.

### Decision

92 After hearing an appeal, an Appeal Board shall have the power to:

92.1 allow or dismiss the appeal;

92.2 exercise any power which the original decision maker could have exercised, including increasing or decreasing any penalty, award, order or other sanction;

92.3 remit the matter for re-hearing;

92.4 make a costs award, to include the forfeit of any deposit, in accordance with [paragraphs 99 to 102](#); and/or

92.5 make such further or other order as it considers appropriate, either generally or for the purpose of giving effect to its decision.

93 Any decision of the Appeal Board or Appeal Board Chairperson, including procedural decisions, shall be final and binding.

94 If an Appeal Board is unable to reach a decision, the Appeal Board Chairperson shall convene a new Appeal Board.

95 As soon as practicable after the hearing, the Appeal Board shall publish a written statement of its decision, stating:

95.1 the name of the Appellant, the decision(s) appealed against and the grounds of appeal;

95.2 the outcome of the appeal;

95.3 the date on which any penalty will be effective, if it is not the day after the date on which the appeal is finally determined; and

95.4 the order(s) made by the Appeal Board.

96 Where requested to by a party to the appeal within 5 days of announcement of the decision, the Appeal Board shall within a reasonable timeframe give written reasons for the decision. The written reasons may be published in such manner as the Appeal Board Chairperson considers appropriate.

97 A decision of an Appeal Board to:

97.1 withdraw or suspend a Licence for a period of 3 months or more; or

97.2 declare a Person to be a Disqualified Person,

shall take effect immediately on the announcement of the decision unless the BHA or a Judicial Panel directs otherwise.

98 Any decision not covered by paragraph 97 shall become effective:

98.1 after the time for bringing an appeal has expired, or

98.2 if an appeal is brought, the day after the date on which the appeal:

98.2.1 is finally determined by an Appeal Board;

98.2.2 is abandoned; or

98.2.3 fails by reason of non-prosecution,

unless the Appeal Board directs otherwise.

## COSTS AND DEPOSIT

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99 Subject to paragraphs 100 and 101, an Appeal Board shall have the power to make such order as to costs, in respect of those incurred both in relation to the first instance hearing and the appeal, as it considers appropriate.

100 Subject to paragraph 101, where the BHA brings an appeal which fails, the Appeal Board shall order that the BHA shall pay the respondent's costs of the appeal except to the extent the Appeal Board determines that:

100.1 the Respondent has acted unreasonably in connection with the appeal; or

100.2 the costs incurred by the Respondent in connection with the appeal are unreasonable.

101 An Appeal Board may not issue a costs order in excess of £20,000.

102 A deposit may be returned, except:

102.1 that it shall be forfeited where the Appeal Board concludes that the appeal had no realistic prospect of success. In such circumstances, the written reasons shall address the issue; or

102.2 where the Appeal Board orders it to be applied towards the satisfaction of any costs award.

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## PART SIX – LICENSING COMMITTEE

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### GENERAL

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#### SELECTION OF LICENSING COMMITTEE MEMBERS

103 A Licensing Committee shall be composed of at least three persons, except that it may be one person for:

103.1 requests for permission to appeal a decision of the BHA in relation to a Licence application;

103.2 setting directions; and

103.3 deciding a Licence application referred to the Licensing Committee on grounds that it would be in the interests of racing, pending the outcome of an investigation or process, to refuse the Licence.

104 If a member of the Licensing Committee is recused, or the parties do not consent, that member will be replaced by the order of the Judicial Panel Chairman.

## PERMISSION FOR APPEAL

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105 A person seeking to appeal a decision of the BHA in relation to a Licence must first seek permission from the Licensing Committee. The request for permission must be made within 21 days of receipt of the decision being challenged and must include:

- 105.1 reasons why the decision being challenged should have been different, together with any supporting documentation;
- 105.2 if sought, the reasons why the request for permission should be heard at an oral hearing; and
- 105.3 the name and contact details of any legal representative.

106 The Licensing Committee may request that further evidence is submitted before determining whether they will give permission for an appeal.

107 The Licensing Committee will:

- 107.1 only hold a hearing if one is required;
- 107.2 grant permission to proceed with an appeal if the Licence applicant can demonstrate that:
  - 107.2.1 the appeal has a real prospect of success; or
  - 107.2.2 there is some other compelling reason why the appeal should be heard; and
- 107.3 give written reasons for its decision.

108 If the Licensing Committee does not give permission, the Licence applicant has no further rights of appeal.

109 If the Licensing Committee does give permission, it shall consider the Licence application on a de novo basis.

## CONDUCT OF LICENSING COMMITTEE PROCEEDINGS

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110 The Licensing Committee shall set directions for the fair and expeditious determination of a matter:

- 110.1 on receipt of a referral from the BHA;
- 110.2 if permission to proceed with an appeal is granted; or
- 110.3 if a matter is referred to them pursuant to [Rule \(B\)24](#).

111 If necessary, the Licensing Committee may request that any person:

- 111.1 produce any relevant documents; and / or
- 111.2 attend any hearing to answer questions.

112 The Licence applicant or their legal representative must attend the hearing.

113 The Licence applicant shall be given sufficient opportunity to:

- 113.1 make representations and call witnesses on any matter relevant to the hearing;
- 113.2 provide further information with respect to any matter on which the Licensing Committee has sought clarification;
- 113.3 ask relevant questions of anyone appearing before the Licensing Committee; and
- 113.4 address the Licensing Committee.

114 If any person required to attend the hearing fails to do so, the Licensing Committee may:

- 114.1 adjourn the hearing;
- 114.2 proceed with the hearing in their absence; or
- 114.3 in the case of an appeal, dismiss the application in which case the original decision of the BHA will stand.

115A Licensing Committee hearing shall be inquisitorial and cross-examination shall not be permitted, unless the Licensing Committee considers it is required for the fair determination of the hearing.

## DECISION OF THE LICENSING COMMITTEE

116Licensing Committee decisions shall be:

116.1reached by simple majority; and

116.2subject to [Rule \(B\)25](#), final and binding.

117The Licensing Committee shall give written reasons for its decision within 20 working days of the hearing, except in exceptional circumstances.

## CONFIDENTIALITY

118Licensing Committee proceedings will be conducted in private and shall be confidential, subject to paragraphs 119 and 120, and unless otherwise directed by the Licensing Committee.

119The BHA may publish information regarding Licensing Committee proceedings at any time. Such information may include, but is not limited to:

119.1brief details of the proceedings or matters before the Licensing Committee; and

119.2the Licensing Committee's decision and written reasons (or any summary of the same).

120Information and documents concerning Licensing Committee proceedings will be kept confidential except where:

120.1required by law or another regulatory body;

120.2required to interview anyone who may assist the Licensing Committee; or

120.3they are included in the Licensing Committee's decision or written reasons.

## RECORDINGS

121The Licensing Committee may arrange for a hearing to be recorded and any such recording shall be:

121.1the BHA's property; and

121.2confidential.

122No other person shall have the right to compel the production of a recording or any copy or transcript, except as:

122.1authorised by the Licensing Committee; or

122.2required by law,

and subject to payment of the BHA's costs of production.

# RACE ADMINISTRATION CODE

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CLASSIFICATION OF RACES  
DIVISION OF RACES  
ELIMINATION AND BALLOTING PROCEDURES  
FIELD SIZE LIMITS AND STABLING CAPACITY

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# RACE ADMINISTRATION CODE

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## CLASSIFICATION OF RACES

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- 1 All Races shall be classified in accordance with the [Classification of Races Tables](#).

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## DIVISION OF RACES

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- 2 The number of horses declared to run may not exceed the Applicable Limit.
- 3 If the number of Declarations to Run in any Race is greater than the Applicable Limit, to meet the Applicable Limit:
  - 3.1 the number of horses Declared to Run may be reduced by elimination; and/or
  - 3.2 the Race may divide if the number of horses Declared to Run is 18 or more.
- 4 If the number of Declarations to Run in any Race is more than twice the Safety Factor or Maximum Figure, whichever is the lower, an appropriate number of runners shall be eliminated before the Race divides.

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## DIVISION OF RACES

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- 5 The BHA shall:
  - 5.1 after Closing, determine an order of precedence for the division of Races permitted to divide; and
  - 5.2 if 18 or more horses are declared to run in one or more Race, divide those Races in the order of precedence until a maximum of:
    - 5.2.1 seven Jump Races are scheduled outside of British Summer Time; or
    - 5.2.2 eight Races are scheduled otherwise.
- 6 The following types of Race are permitted to divide at an Afternoon Meeting, and at Evening, Twilight or Floodlit Meetings outside the period when there are Evening, Twilight or Floodlit Meetings on turf:
  - 6.1 Weight-for-Age Races in which the Total Prize Fund is £10,000 or less;
  - 6.2 Handicap Races in which the Total Prize Fund is £8,200 or less; and
  - 6.3 National Hunt Flat Races in which the Total Prize Fund is £5,000 or less,except for any Selling Race, Class 7 Race, Hunters' Steeple Chase and any Jump Race at Evening, Twilight or Floodlit Meetings.
- 7 In the period from 1 January to the day preceding the start of the Flat Season, no more than one Race shall be permitted to divide at a Race Meeting at an All-Weather Track.

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## PROCEDURE FOR DIVISION

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- 8 If a Weight-for-Age Race divides, the following shall be allocated to different divisions where possible:
  - 8.1 horses owned by the same Owner;
  - 8.2 horses trained by the same Trainer;
  - 8.3 horses that have won a Race of the same type as the dividing Race on or after 1 January of the previous year; and
  - 8.4 horses set to carry the same colours.
- 9 If a Handicap Race divides:
  - 9.1 horses shall be ordered by weight and allocated to alternating divisions; and
  - 9.2 thereafter, the following shall be allocated to different divisions where possible:

- 9.2.1 horses owned by the same Owner;
- 9.2.2 horses trained by the same Trainer; and
- 9.2.3 horses set to carry the same colours.

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## ELIMINATION AND BALLOTING PROCEDURES

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### GENERAL

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- 10 The order of elimination shall be determined in accordance with this Race Administration Code. Where the order of elimination cannot be determined in accordance with those paragraphs, random balloting shall be conducted to determine the order of elimination for horses.
- 11 Horses with the same weight and allocated a Handicap Rating of 45 or below shall be eliminated in order from the lowest to the highest Handicap Rating.
- 12 Any horse previously omitted from a Handicap Race, or given an incorrect weight, shall be added randomly to any horses on the same weight and such horse shall be subject to elimination, if necessary, in accordance with that revised random order.
- 13 All penalties shall be added to a horse's Handicap Rating to determine the order of elimination, except for any penalty that causes a horse that was within the Rating Range at Closing to subsequently exceed the Upper Rating Limit.
- 14 Unless otherwise specified, the Handicap Rating used for elimination shall be based on Races run up to and including the Saturday before Closing or, where the Race is an Early Closer, the Saturday before Confirmation of Entries.
- 15 Where a horse does not have a relevant Handicap Rating, it shall instead be assessed by the Handicapper based on Races run up to and including the Saturday before Closing or, where the Race is an Early Closer, the Saturday before Confirmation of Entries.
- 16 The Handicapper may decline to allot a rating or give an assessment of a horse if they do not have sufficient information to make a decision.
- 17 If a horse is eliminated by mistake;
  - 17.1 the BHA may correct the elimination; but
  - 17.2 no correction shall be made after 2pm on the day before the Race.

### ORDER OF ELIMINATION

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#### Handicap Races

- 18 The order of elimination shall be determined in accordance with paragraphs 19 to 23 below. These elimination provisions shall not apply to horses that are protected from elimination in accordance with [paragraphs 24 to 44](#).
- 19 Elimination shall occur in Handicap Races, except for Races specified in paragraphs 20 to 23, in the following order:
  - 19.1 horses rated 2lb or more above the Upper Rating Limit;
  - 19.2 horses rated 1lb or more above the Upper Rating Limit;
  - 19.3 horses with the lowest weights in order of lowest weight first; and
  - 19.4 where it is necessary to eliminate some horses with the same weights:
    - 19.4.1 first, that have incurred penalties in order of highest penalty; and
    - 19.4.2 second, that have not incurred penalties.

#### Grand National Steeple Chase

- 20 Elimination shall occur in the Grand National Steeple Chase in the following order:
  - 20.1 horses with the lowest weights; and

20.2 where it is necessary to eliminate some horses with the same weights, in order of lowest Handicap Rating at the time of elimination.

#### Pattern Races, Listed Races and Conditions Stakes Races except for Handicap Races

- 21 Elimination shall occur in Pattern Races, Listed Races and Conditions Stakes Races, other than Handicap Races, in the following order:
- 21.1 horses that have not run shall be eliminated by random ballot;
  - 21.2 horses with the lowest Handicap Rating or, in the case of any horse that does not qualify for a Handicap Rating, lowest assessment by the Handicapper.
- 22 For the purposes of paragraph 21.2, Trainers of horses previously trained outside Great Britain and Ireland are advised to notify the Handicapper five days in advance of submitting an Entry in order for performances outside Great Britain and Ireland to be assessed. Failure to do so may result in such horses being eliminated first by random ballot. The Handicapper's decision to allot a rating or give an assessment when the above notification has not been fulfilled shall be final.

#### Classified Stakes Races, Rating Related Maiden Races and classified Claiming Races

- 23 Elimination shall occur in Classified Stakes Races, Rating Related Maiden Races and classified Claiming Races in order of lowest Handicap Rating.

## **ELIMINATION PROTECTION**

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- 24 Horses that would be eliminated from a Race in accordance with paragraphs 10 to 23 may be eligible for protection from elimination in accordance with paragraphs 25 to 44 below.
- 25 Unless otherwise specified, at the time of assessing eligibility for protection from elimination:
- 25.1 Races run shall include:
    - 25.1.1 Races of the equivalent type under the rules of any Recognised Racing Authority, which for National Hunt Flat Races shall mean National Hunt Flat Races in Ireland and AQPS Flat Races in France;
    - 25.1.2 for Early Closers, Races up to and including the Saturday before Confirmations of Entry are due; and
    - 25.1.3 for Races that are not Early Closers, Races up to and including the Saturday before Closing.
  - 25.2 if two or more horses:
    - 25.2.1 have the same highest placing, priority shall be given to the horse with the greatest number of finishes at that placing followed by the greatest number of finishes at the next highest placing; and
    - 25.2.2 cannot be distinguished using any of the specified eligibility criteria, priority shall be determined by random ballot.

#### Flat Races

- 26 Protection from elimination shall operate for Flat Races, other than those listed in paragraph 28, in the following order of priority, subject to paragraph 27:
- 26.1 horses that have run in or completed no more than two Flat Races and have been placed in the first four at least once in those Races;
  - 26.2 horses that have not run in a Flat Race;
  - 26.3 horses that have run in or completed no more than two Flat Races;
  - 26.4 horses that have the highest Handicap Rating for Flat Races;
  - 26.5 horses with the fewest unplaced runs in Flat Races.
- 27 Where horses have identical performances or Handicap Ratings, horses previously eliminated during the current year from a Flat Race run under these Rules that is not a Handicap Race shall be protected from elimination first, and priority shall be given to the horse with the greatest number of such eliminations.

28 Paragraphs 26 and 27 do not apply to:

- 28.1 Handicap Flat Races;
- 28.2 Pattern Races;
- 28.3 Listed Races;
- 28.4 Conditions Stakes Races;
- 28.5 Classified Stakes Races;
- 28.6 Rating Related Maiden Races;
- 28.7 Classified Claiming Races; and
- 28.8 Flat Novice Races.

#### Flat Novice Races

29 Protection from elimination in Flat Novice Races shall operate as follows, subject to paragraph 30:

- 29.1 horses that have run in or completed no more than two Flat Races and have been placed in the first four at least once in those Races;
- 29.2 horses that have not run in a Flat Race;
- 29.3 horses that have run in or completed no more than two Flat Races;
- 29.4 horses that have run in and completed three Flat Races and have not been placed in the first four in any of those Races;
- 29.5 horses that have won a Flat Race;
- 29.6 horses that have the highest Handicap Rating for Flat Races;
- 29.7 horses with the fewest unplaced runs in Flat Races.

30 Where horses have identical performances or Handicap Ratings, horses previously eliminated during the current year from a Flat Race run under these Rules that is not a Handicap Race shall be protected from elimination first, and priority shall be given to the horse with the greatest number of such eliminations.

#### National Hunt Flat Races

31 Protection from elimination in National Hunt Flat Races, other than Intermediate or Maiden National Hunt Flat Races, Pattern Races and Listed Races, shall operate in the following order of priority, subject to paragraph 34:

- 31.1 horses that have been placed in the first four in a National Hunt Flat Race;
- 31.2 horses that have not run in a National Hunt Flat Race;
- 31.3 horses that have run in no more than one National Hunt Flat Race;
- 31.4 horses that have run in no more than two National Hunt Flat Races.

32 Protection from elimination in Intermediate National Hunt Flat Races, other than Pattern Races and Listed Races, shall operate in the following order of priority, subject to paragraph 34:

- 32.1 horses that have been placed in the first four in a National Hunt Flat Race;
- 32.2 horses that have run in no more than one National Hunt Flat Race;
- 32.3 horses that have not run in a National Hunt Flat Race;
- 32.4 horses that have run in no more than two National Hunt Flat Races.

33 Protection from elimination in Maiden National Hunt Flat Races, other than Pattern Races and Listed Races, shall operate in the following order, subject to paragraph 34:

- 33.1 horses that have run in exactly two National Hunt Flat Races;
- 33.2 horses that have run in exactly one National Hunt Flat Race;

33.3 horses that have not run in a National Hunt Flat Race.

- 34 Where horses have identical performances or Handicap Ratings, horses previously eliminated at any time from a National Hunt Flat Race run under these Rules shall be protected from elimination first, and priority shall be given to the horse with the greatest number of such eliminations.

Hurdle Races, other than Handicap Hurdle Races, Maiden Races, Pattern Races, Listed Races and Classified Stakes Races

- 35 Protection from elimination in Hurdle Races, other than Handicap Hurdle Races, Maiden Races, Pattern Races, Listed Races and Classified Stakes Races, shall operate in the following order, subject to paragraphs 36 and 37:

35.1 horses that have won a Hurdle Race on or after 1 January of the previous year;

35.2 horses that have run in no more than two Hurdle Races, and have been placed second, third or fourth at least once in those Races;

35.3 horses that have not run in a Hurdle Race;

35.4 horses that have run in no more than two Hurdle Races;

35.5 horses that have the highest Handicap Rating for Hurdle Races;

35.6 horses with the fewest unplaced runs in Hurdle Races.

- 36 Unplaced runs outside Great Britain and Ireland shall be disregarded when determining a horse's protection from elimination once such a horse has been placed second, third or fourth in Great Britain or Ireland and has not received a Handicap Rating for Hurdle Races.

- 37 Where horses have identical performances or Handicap Ratings, horses previously eliminated during the current season from a Hurdle Race run under these Rules that is not a Handicap Race shall be protected from elimination first, and priority shall be given to the horse with the greatest number of such eliminations.

Maiden Hurdle Races

- 38 Protection from elimination in Maiden Hurdle Races shall operate as follows:

38.1 horses that have been placed second, third or fourth in a Hurdle Race;

38.2 horses that have run at least three times and for which a Handicapper has declined to allot a Handicap Rating;

38.3 horses that have not run in a Hurdle Race;

38.4 horses that have run in no more than two Hurdle Races;

38.5 horses that have the highest Handicap Rating for Hurdle Races;

38.6 horses that have the fewest unplaced runs in Hurdle Races.

- 39 Where horses have identical performances or Handicap Ratings, horses previously eliminated at any time from a Hurdle Race run under these Rules that is not a Handicap Race shall be protected from elimination first, and priority shall be given to the horse with the greatest number of such eliminations.

Steeple Chases, other than Handicap Steeple Chases, Pattern Races, Listed Races, Classified Stakes Races and Hunters' Steeple Chases

- 40 Protection from elimination in Steeple Chases, other than Handicap Races, Pattern Races, Listed Races, Classified Stakes Races and Hunters' Steeple Chases, shall operate as follows, subject to paragraphs 41 and 42:

40.1 horses that have won a Steeple Chase on or after 1 January of the previous year;

40.2 horses that have run in no more than two Steeple Chases and been placed second, third or fourth at least once in those Races;

40.3 horses that have not run in a Steeple Chase;

40.4 horses that have run in no more than two Steeple Chases;

40.5 horses that have the highest Handicap Rating for Steeple Chases;

40.6 horses with the fewest unplaced runs in Steeple Chases.

- 41 Unplaced runs outside Great Britain and Ireland shall be disregarded when determining a horse's protection from elimination once such a horse has been placed second, third or fourth in Great Britain or Ireland and has not received a Handicap Rating for Steeple Chases.
- 42 Where horses have identical performances or Handicap Ratings, horses previously eliminated during the current season from a Steeple Chase run under these Rules that is not a Handicap Race shall be protected from elimination first, and priority shall be given to the horse with the greatest number of such eliminations.

#### Class 3, 4 and 5 Novice Handicap Steeple Chases

- 43 Protection from elimination in Class 3, 4 and 5 Novice Handicap Steeple Chases shall operate as follows:
- 43.1 horses that have not run in a Steeple Chase if, on the initial publication of the weights, they have been allotted a weight no lower than the minimum weight for that Race.

#### Hunters' Steeple Chases

- 44 Protection from elimination in Hunters' Steeple Chases, other than Handicap Races or where stated in the Race Conditions, shall operate as follows:
- 44.1 horses that have won a Steeple Chase on or after 1 January of the previous year. Priority shall be given to horses with the highest Steeple Chase Handicap Rating;
- 44.2 horses that have been placed second, third or fourth in a Steeple Chase on or after 1 January of the previous year;
- 44.3 horses that have won an open Point-to-Point Steeple Chase (gentlemen's, ladies' or mixed open Races) in Great Britain on or after 1 January of the previous year;
- 44.4 horses that have won any other Point-to-Point Steeple Chase in Great Britain on or after 1 January of the previous year;
- 44.5 horses previously eliminated from a Steeple Chase, other than a Handicap Steeple Chase, run under these Rules during the current season;
- 44.6 horses with the fewest unplaced runs in Steeple Chases.

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## FIELD SIZE LIMITS AND STABLING CAPACITY

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### SETTING FIELD SIZE LIMITS

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- 45 Where necessary, Field Size Limits shall be set as follows:
- 45.1 for Class 1 Pattern and Listed Races, Heritage Handicaps (and any associated consolation Races) and any other Race where it is specified in the Race Conditions, the Field Size Limit shall be the Safety Factor or Maximum Figure, whichever is the lower;
- 45.2 for Class 4, 5 or 6 Hunters' Steeple Chases, the Field Size Limit shall be nine horses;
- 45.3 for any other Race, the Field Size Limit shall be the balance of the Stabling Capacity split between the remaining Races.
- 46 For the purposes of paragraph 45, any Race that has potential to divide shall be treated as if the division is confirmed and included in the calculation of Field Size Limits on that basis.
- 47 The BHA shall reassess Field Size Limits and adjust them if necessary:
- 47.1 after Closing, or after Confirmation of Entries for Early Closers; and
- 47.2 after the deadline for Declarations to Run.

### MAXIMISING RUNNERS IN RELATION TO STABLING CAPACITY

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- 48 After the deadline for Declarations to Run:
- 48.1 if the total number of horses declared to run at the meeting is greater than the Stabling Capacity, the number of

horses that exceed the Field Size Limit in each Race shall be treated as being eliminated;

48.2 then, if the total number of horses remaining declared to run at the meeting is less than the Stabling Capacity, eliminated horses may be reintroduced on a Race-by-Race basis in the order determined by the BHA up to:

48.2.1 the Safety Factor or Maximum Figure for each Race; whichever is the lower; and

48.2.2 the Stabling Capacity.

49 The BHA shall determine the order of priority for each Race to reintroduce eliminated horses and shall publish that order:

49.1 for Early Closers, after the deadline for Confirmations of Entry; or

49.2 otherwise, after Closing.

50 After the deadline for Declarations to Run, any Race that divides shall be given the lowest priority for the purposes of paragraph 49 within Races of the same class, unless doing so would prevent it from dividing due to a lack of stables.

# RACE ENTRY CODE

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- GENERAL
- RACE ENTRIES
- CLOSING AND REOPENING
- SCRATCHING, CONFIRMATION OR ENTRY AND SUPPLEMENTARY ENTRIES
- DECLARATION TO RUN
- NON-RUNNERS, PREFERENCES AND RESERVES
- DECLARATION OF JOCKEY
- VOID ENTRIES

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# RACE ENTRY CODE

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## GENERAL

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- 1 The BHA may:
  - 1.1 refuse to allow or prevent any horse from running in a Race;
  - 1.2 accept or refuse to accept any submitted, amended or withdrawn Transaction Notice;
  - 1.3 impose such restrictions or conditions as it considers appropriate in respect of any Transaction Notice;
  - 1.4 in the case of a refusal to accept a Transaction Notice, direct that any Stake be remitted to the Owner;
  - 1.5 issue a security code for submitting a Transaction Notice to such Persons as it considers qualified; or
  - 1.6 request that other Recognised Racing Authorities take samples from horses trained in their country which are entered in races in Great Britain to be analysed by an Approved Laboratory.
- 2 A Racecourse Managing Executive may not:
  - 2.1 require request or receive any form of payment to be made to them, or on their behalf, for permitting or enabling a horse to participate in a Race.

## FEES

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- 3 The Owner must pay the Entry fees as stated in the Race Conditions and in the [Fee Code](#), except that any Entry which has been made accidentally for a horse that is not qualified for the Race may be deleted before:
  - 3.1 Confirmation of Entries, for an Early Closer; or
  - 3.2 otherwise, 11 a.m. on the day following Closing,  
on payment of £90 and the fees listed in the Fee Code.
- 4 The Owner must pay £1.20 to the Horserace Betting Levy Board for the benefit of the Equine Infectious Diseases Services of the Animal Health Trust, and £1.25 to the BHA for the benefit of the welfare of former racehorses, for each Entry.

## SUBMITTING, ALTERING OR WITHDRAWING A TRANSACTION NOTICE

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- 5 A Transaction Notice must include:
  - 5.1 a valid security code;
  - 5.2 the registered name of the horse;
  - 5.3 the name of the Owner;
  - 5.4 details of the Race;
  - 5.5 the date upon which the Race is advertised to be run; and
  - 5.6 such other details as the BHA may require.
- 6 Transaction Notices must be submitted, altered or withdrawn using the Racing Administration Website, except that:
  - 6.1 Owners may submit, alter or withdraw Transaction Notices by telephone;
  - 6.2 Transaction Notices for horses trained outside Great Britain may be submitted, altered or withdrawn by fax or email.
- 7 A Transaction Notice may only be submitted, altered or withdrawn by the following:
  - 7.1 Owners;
  - 7.2 Owners' Representatives;
  - 7.3 Authorised Agents of those listed at paragraph 7.1 and 7.2 above; and

- 7.4 in respect of a horse trained outside Great Britain only, officials of the Recognised Racing Authority under whose rules the horse is trained.
- 8 If engagements are not sold with a horse, the BHA shall determine who can deal with those engagements on a case by case basis.
- 9 The Racing Calendar Office must be informed of any change to the information provided in a Transaction Notice as soon as possible and in any event before the next deadline for any further Transaction Notice.

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## RACE ENTRIES

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### PRE-NOTIFICATION OF CERTAIN RACE ENTRIES TO NON-EARLY CLOSERS

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- 10 A Trainer must notify the Racing Calendar Office in writing at least 10 days before a Race Entry is submitted for a Race which is not an Early Closer if:
- 10.1 the Race Entry is for a Flat Race Handicap or a Rating Related Flat Race and:
- 10.1.1 the horse is qualified to run in the Race in accordance with the requirements of the [Weights and Handicapping Code](#); and
- 10.1.2 either:
- (a) the Race Entry is the first made for the horse since it entered training in Great Britain; or
- (b) the horse has been training outside Great Britain since it received its most recent Handicap Rating.
- 10.2 the Race Entry is for a Handicap Steeple Chase, a Handicap hurdle race, a Classified Steeple Chase or a Classified Hurdle Race and the Trainer considers that the horse is qualified to run in the race in accordance with the requirements of [paragraph 13 or 14 of the Weights and Handicapping Code](#)
- 11 A Race Entry shall be void if the Trainer does not comply with paragraph 10, unless the BHA directs otherwise.

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## RACE ENTRIES

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### Minimum requirements for Race Entries

#### *Requirements as to running of the horse*

- 12 A horse must:
- 12.1 satisfy the Race Conditions;
- 12.2 be qualified for the Race;
- 12.3 not be the subject of a Non-Racing Agreement;
- 12.4 not be in the ownership, part-ownership or under the care or management of a Disqualified Person;
- 12.5 not have run at an Unrecognised Meeting; and
- 12.6 satisfy any other requirement of these Rules that relate to the eligibility of a horse to be entered in a Race.
- 13 A horse, and its sire and dam, must each be the product of a Natural Service or Covering and the horse must have had a full natural gestation in the body of the mare in which it was conceived.
- 14 If a horse has been suspended following a breach of [Rule \(F\)37](#), the horse may not run in a Class 1 or 2 Flat Race Handicap until it has run in a Flat Race which is not a Class 1 or 2 Handicap.
- 15 An Entry may only be submitted for a horse trained in Great Britain if
- 15.1 the horse is registered in accordance with the [Horse Naming Code](#) **or, if foaled outside of Great Britain, Ireland or the Channel Islands, has a name that is registered by the Recognised Racing Authority in the country of foaling;**
- 15.2 the Owner is registered with the BHA; and

15.3 the horse has been implanted with an identifying microchip by a Veterinary Surgeon.

#### *Race Entries for horses trained outside Great Britain*

16 A Race Entry may only be submitted for a horse trained outside Great Britain if:

16.1 the horse is registered with a Stud Book Authority recognised by the International Stud Book Committee;

16.2 the horse has a name that is registered by the Recognised Racing Authority in the country of foaling; and

16.3 the owner is registered in the country in which the horse is trained.

17 The following additional information must be provided by Closing, and updated if applicable at the time of making any further Transaction Notice for the horse:

17.1 the sex of the horse;

17.2 if the horse was foaled outside Great Britain, Ireland or the Channel Islands:

17.2.1 the country of foaling; and

17.2.2 the name of the horse's sire and dam,

17.3 the date of last covering if the horse is pregnant; and

17.4 full details of races run outside of Great Britain or Ireland.

#### *Entries submitted to Recognised Racing Authorities for onward transmission*

18 Subject to this Code, the BHA will accept Race Entries from another Recognised Racing Authority for horses trained outside Great Britain.

19 If a Recognised Racing Authority accepts Race Entries for horses trained within its jurisdiction, the Race Entries must be submitted to that Recognised Racing Authority by the deadline set by that Recognised Racing Authority.

20 Paragraph 19 does not apply to horses trained under the rules of Horse Racing Ireland.

[Fee Code](#)

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## CLOSING AND REOPENING

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### CLOSING

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#### Submitting a Race Entry

21 A Race Entry must be submitted by Closing.

22 A Race Entry submitted by telephone may only be submitted after 2.30pm on the day before Closing.

### RE-OPENING

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23 If the BHA has not received at least ten valid Race Entries by Closing, the BHA may Re-open the Race.

24 A maximum of two valid Race Entries per Trainer will be counted towards the number of Race Entries received under paragraph 23.

25 A Race Entry submitted during Re-opening cannot be withdrawn.

26 Re-opening shall end at 11am on the day after Closing, unless otherwise directed by the BHA.

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## SCRATCHING, CONFIRMATION OR ENTRY AND SUPPLEMENTARY ENTRIES

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### SCRATCHING

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27 The BHA may set one or more deadlines for an Early Closer by which either:

27.1 a Scratching Notice must be submitted; or

27.2 a fee must be paid.

28 Scratching Deadlines are set out in the Race Conditions.

29 A Scratching Notice:

29.1 must be submitted immediately if, at any time between Closing and the deadline for Declarations to Run, the Trainer becomes aware that the horse is not going to run;

29.2 cannot be withdrawn.

[PENALTY](#)

## CONFIRMATION OF ENTRY

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30 A Confirmation of Entry must be submitted in accordance with the Race Conditions for all horses with a Race Entry in an Early Closer. A failure to do so shall result in the Race Entry being cancelled.

## SUPPLEMENTARY ENTRIES

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31 Supplementary Entries for Early Closers may only be submitted if permitted by the Race Conditions.

32 If Supplementary Entries are permitted, they must be submitted by the deadline stated in the Race Conditions.

## DECLARATION TO RUN

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### REQUIREMENT FOR A HORSE TO BE DECLARED TO RUN

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33 No horse may run in a Race unless a valid Declaration to Run is submitted.

### SUBMITTING A DECLARATION TO RUN

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34 The deadline for submitting a Declaration to Run is:

34.1 for Flat Races and Races run on a Sunday, 10.00am 2 days before the Race; and

34.2 for Jump Races, 10.00am 1 day before the Race, unless otherwise specified in the Race Conditions.

35 A Declaration to Run submitted by telephone may only be submitted after 10.00am on the day before Declarations to Run are due.

36 If a Declaration to Run has been submitted, and the horse's name does not appear in the confirmed list of runners, the BHA has discretion to add the horse to the list of runners but shall not do so on the day of the Race.

## RE-OFFERING

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37 If the BHA has not received at least eight Declarations to Run by the deadline, the BHA may Re-offer the Race.

38 For the purposes of paragraph 37:

38.1 only one Declaration to Run per Trainer shall be counted; and

38.2 Declarations to Run for Second Preference Races shall not be counted.

39 During the period for Re-offering, a Declaration to Run may not be:

39.1 withdrawn; or

39.2 submitted in respect of a horse already declared to run in another Race on the same day.

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## NON-RUNNERS, PREFERENCES AND RESERVES

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### REQUIREMENT TO RUN AFTER A HORSE IS DECLARED TO RUN

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40 A horse must run in any Race for which it is declared to run, unless:

40.1 the horse is eliminated;

40.2 the horse is allocated a run in another Race for which it is a reserve runner;

40.3 a Non-Runner Notice is submitted for the horse; or

40.4 the Trainer has chosen which of the Races is First Preference Race and Second Preference Race under [paragraphs 52 to 55](#).

### NON-RUNNERS AFTER DECLARATIONS TO RUN

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41 If a Trainer is not going to run a horse in a Race for which it is Declared to Run, the Trainer must immediately submit a Non-Runner Notice:

41.1 if the horse is on the Racecourse, and the Clerk of the Scales is present, to the Clerk of the Scales; or

41.2 at any other time, to the Racing Calendar Office through the Racing Administration Website or by telephone.

42 A Non-Runner Notice:

42.1 must state the reason(s) why the horse is a non-runner; and

42.2 cannot be withdrawn.

43 A horse for which a Non-Runner Notice is submitted shall not be permitted to run in the Race.

#### Self-certification

44 A Trainer may choose 'self-certification' as a reason for submitting a Non-Runner Notice. If they do:

44.1 the horse will be immediately suspended from running in Great Britain for 7 days beginning on the day of the Race in which it was a non-runner; and

44.2 no Disciplinary Action shall be taken against the Trainer or Owner.

45 A Trainer cannot choose 'self-certification':

45.1 after signing the Declaration Sheet, or

45.2 if the reason for not running is related to the Race's prize money.

46 A Trainer's ability to self-certify may be suspended if the Trainer's rate of non-runners is above the relevant threshold published by the BHA.

#### Veterinary certification

47 A Trainer may choose unfit to run as a reason for submitting a Non-Runner Notice. If they do:

47.1 the horse will be immediately suspended from running in Great Britain for 3 days beginning on the day of the Race in which it was a non-runner; and

47.2 no disciplinary action shall be taken against the Trainer or Owner if an acceptable veterinary certificate is received by the BHA within 7 days of the Race.

48 A horse may be certified unfit to run:

48.1 at the Racecourse, by a Veterinary Officer; or

48.2 at any other time, by a Veterinary Surgeon who is independent of the Owner, Trainer and any Person shown in the Stable Employee Register as employed by the Trainer.

- 49 Veterinary certificates must be signed by the Veterinary Surgeon or Veterinary Officer who examined the horse and must state:
- 49.1 the date, time and place of the veterinary examination;
  - 49.2 the meeting and date for which the horse has been declared to run; and
  - 49.3 the abnormal clinical findings which make reason why the horse is unfit to run.

#### Going

- 50 A Trainer may choose 'going' as a reason for submitting a Non-Runner Notice. If they do, disciplinary action shall be taken unless:
- 50.1 the going is different from the going on the day the horse was declared to run; or
  - 50.2 the horse is on the Racecourse, its identity has been verified by a Veterinary Officer and the Trainer considers the horse will be unsuited by the going.

#### Other

- 51 A Trainer may use any other reason for submitting a Non-Runner Notice. If they do, disciplinary action shall be taken unless the BHA is satisfied that the horse's failure to run was caused by circumstances outside of the Trainer or Owner's control.

PENALTY

## **RACE PREFERENCES AND DOUBLE DECLARATIONS**

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- 52 Subject to paragraph 53, no horse may be declared to run in two or more Races on the same day.

#### Horses declared to run in two Races on the same day

- 53 Paragraph 52 does not apply if:
- 53.1 a horse is declared to run in two Races on the same day;
  - 53.2 the two Races are:
    - 53.2.1 Class 1, 2 or 3 Jump Races;
    - 53.2.2 Class 1, 2 or 3 Flat Races if an inspection has been called at the First Preference Race before the deadline for submitting Declarations to Run; or
    - 53.2.3 any Class 1, 2 or 3 Jump Race and any Class 1, 2, 3 or 4 Flat Race during the period 1 November to 31 March; and
  - 53.3 the Trainer has advised the Racing Calendar Office of the First Preference Race and Second Preference Race by the deadline for submitting Declarations to Run.

#### Horses declared to run on a Saturday and a Sunday in the same weekend

- 54 A Trainer may choose a First Preference Race and Second Preference Race if:
- 54.1 a horse is declared to run on a Saturday and Sunday in the same weekend;
  - 54.2 the two Races are any two Class 1, 2 or 3 Jump Races; and
  - 54.3 the Trainer has advised the Racing Calendar Office of the First Preference Race and the Second Preference Race by the deadline for submitting Declarations to Run.

#### Requirement to run in the First Preference Race

- 55 A horse must run in the First Preference Race unless that Race was:
- 55.1 abandoned, or
  - 55.2 subject to a course inspection that had not taken place when the horse had to leave to run at the Second Preference Race,

in which case it must either run in the Second Preference Race or be made a non-runner in both Races in accordance with [paragraphs 41 to 51](#).

## [PENALTY](#)

## RESERVES

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56 [Paragraph 52](#) does not apply if:

56.1 a horse is declared to run in two Races on the same day or on consecutive days; and,

56.2 in one of those Races the horse is a reserve.

57 If a horse is allocated a run in a Race for which it was a reserve, the horse must run in that Race unless;

57.1 the Race in which it was a reserve was:

57.1.1 abandoned, or

57.1.2 subject to a course inspection that had not taken place when the horse had to leave to run at the Second Preference Race,

in which case it must run in the other Race.

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## DECLARATION OF JOCKEY

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58 A Trainer must ensure that a Declaration of Jockey is submitted for each horse under their care that has been declared to run by 1.00pm on the same day that Declarations to Run are due.

59 If a Declaration of Jockey is not received by the time required, the BHA may authorise a Jockey to ride a horse that is declared to run up to forty-five minutes before the start of the Race.

60 A Declaration of Jockey may not be submitted before:

60.1 2:30pm on the day before Closing (in respect of Non-Early Closers); or

60.2 2:30pm on the day before the deadline to submit Confirmations of Entry (in respect of Early Closers).

61 The Trainer must ensure that the Jockey named in the Declaration of Jockey is available to ride.

## [PENALTY](#)

## RESTRICTIONS AS TO NUMBER OF MEETINGS AT WHICH A JOCKEY IS PERMITTED TO RIDE

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62 No Jockey may ride at more than nine meetings in Great Britain in a seven-day period, starting on Saturday and ending on Friday.

63 The BHA shall cancel all Declarations of Jockey that would, if fulfilled, cause the Jockey to breach the maximum number of permitted Race Meetings. Cancellation shall occur in order of the Race Meeting with the latest scheduled start time in the racing week.

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## SUBSTITUTION OF JOCKEYS

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64 A Jockey may not be substituted for another Jockey after the deadline for Declaration of Jockeys, unless:

64.1 the BHA are satisfied that the substitute Jockey can be weighed out for the Race and:

64.1.1 the declared Jockey is ill or unfit to ride;

64.1.2 the declared Jockey is not qualified to ride;

- 64.1.3 a meeting on the same day has been abandoned and the substitute Jockey was declared to ride at the abandoned meeting;
  - 64.1.4 the substitute Jockey was declared to ride at another meeting on the same day and one of their declared rides is a non-runner;
  - 64.1.5 the substitute Jockey was declared to ride another horse in the same race but the horse is a non-runner;
  - 64.1.6 the substitute Jockey was not declared to ride because he had already been declared to ride at nine meetings in the week but subsequently did not ride at one or more of those meetings; or
  - 64.1.7 the declared Jockey is due to carry 1lb or more overweight, or
  - 64.2 the BHA otherwise consents
- 65 If a Jockey is prevented from weighing out because they are 4lbs or more overweight:
- 65.1 if the declared Jockey was entitled to claim a weight allowance, the substitute Jockey must also be entitled to claim a weight allowance; or
  - 65.2 if the declared Jockey was not entitled to claim a weight allowance, the substitute Jockey must also not be entitled to claim a weight allowance,
- except in Races confined to:
- 65.3 Apprentice Jockeys;
  - 65.4 Conditional Jockeys;
  - 65.5 Amateur Jockeys; or,
  - 65.6 both Conditional Jockeys and Amateur Jockeys.
- 66 A Trainer must submit any request to substitute a Jockey as soon as possible:
- 66.1 to the Racing Calendar Office, or
  - 66.2 if the Trainer is at the Racecourse, to the Stewards.

[PENALTY](#)

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## VOID ENTRIES

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- 67 An Entry shall be void if:
- 67.1 the horse does not have a relevant current qualifying Handicap Rating published in the latest ratings lists and:
    - 67.1.1 the Handicap Rating subsequently awarded by the Handicapper makes the horse ineligible for the Race; or
    - 67.1.2 the Handicapper declines to allot a Handicap Rating to the horse; or
  - 67.2 the Handicap Rating published in the latest ratings lists is incorrect, and the subsequent correction makes the horse ineligible for the Race.
- 68 An Entry shall not be made void on the death of the Person in whose name it was made, all rights, privileges, and liabilities that could have attached to the deceased Person if he or she had been alive shall attach to their personal representative.

# RUNNING REQUIREMENTS CODE

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GENERAL

HEALTH REQUIREMENTS

OWNERSHIP REQUIREMENTS

TRAINING REQUIREMENTS

ADDITIONAL REQUIREMENTS FOR HUNTERS' STEEPLE CHASES

ADDITIONAL REQUIREMENTS FOR HORSES TRAINED OUTSIDE GREAT BRITAIN

ADDITIONAL REQUIREMENTS FOR HORSES IMPORTED INTO GREAT BRITAIN

# RUNNING REQUIREMENTS CODE

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## GENERAL

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- 1 A horse cannot run in a Race unless the requirements of this Code are met.
- 2 A horse foaled in Great Britain, Ireland or the Channel Islands must be registered in accordance with the [Horse Naming Code](#).

## HEALTH REQUIREMENTS

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- 3 A horse must not have been tubed (tracheostomy), unless the tubing took place before 1 October 2012, and the Trainer of the horse produces a certificate, signed by a Veterinary Surgeon, that confirms the date of tubing. A tubed horse must:
  - 3.1 not run in a Race on an All Weather Track;
  - 3.2 not run in a Race wearing a martingale; and
  - 3.3 have the plug in the tube removed before a Race.
- 4 A horse must not have any implant, unless the implant is:
  - 4.1 pharmacologically inactive; or
  - 4.2 a suprachoroidal cyclosporine implant for the treatment of immune mediated corneal disease or autoimmune uveitis that has previously been approved by the BHA.
- 5 A horse must not have received anything other than normal feed and water in contravention of [Rule \(D\)11.1](#).
- 6 A horse must:
  - 6.1 have received at least one vaccination against equine influenza; and,
  - 6.2 must not have been given any vaccination on Race day or on any of the six clear days before.
- 7 A horse must not have been administered with:
  - 7.1 any intra-articular corticosteroid on Race day or on any of the 14 clear days before;
  - 7.2 any bisphosphonate:
    - 7.2.1 before the horse is aged three years and six months as determined by its recorded date of birth, or
    - 7.2.2 on Race day or any of the 30 clear days before;
  - 7.3 extracorporeal shockwave therapy on the day of the Race or any of the 5 clear days before.
- 8 A horse must not have undergone:
  - 8.1 a neurectomy, or
  - 8.2 a laparoscopic sterilisation on or after 1 April 2010, unless:
    - 8.2.1 the horse is a mare or filly and a satisfactory veterinary certificate is submitted to The Racing Calendar Office which confirms that she has undergone the procedure for therapeutic reasons; or
    - 8.2.2 the horse is subsequently gelded.
- 9 A horse must not have received a blood transfusion for the purpose of enhancing its performance in the Race.
- 10 A horse must not be more than 120 days pregnant.
- 11 A horse must not have had its heritable genome modified.

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## OWNERSHIP REQUIREMENTS

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- 12 A horse's Owner must be registered:
- 12.1 with the BHA where the horse is trained in Great Britain; or
  - 12.2 with the Recognised Racing Authority where the horse is trained outside Great Britain,
- in order to be entered into or run in any Race.

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## TRAINING REQUIREMENTS

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- 13 Except for Hunters' Steeple Chases, the Grand Military Gold Cup and the Royal Artillery Gold Cup, before a horse can run in a Race it must have been in the care of and trained by:
- 13.1 a Trainer with a Licence to train horses for the Race in question; or
  - 13.2 the equivalent from another Recognised Racing Authority;
- for the day of the Race and the 14 clear days before the Race.
- 14 Once it has run in a Hunters' Steeple Chase, a horse under the care of a Trainer may not run in any Steeple Chase other than a Hunters' Steeple Chase, the Grand Military Gold Cup and the Royal Artillery Gold Cup, during that same Hunters' Steeple Chase Season.
- 15 A horse must not, on the day of the Race or any of the 14 clear days before, have visited an equine swimming pool in Great Britain that has not been Licensed by the BHA .
- 15A A horse may not run in a National Hunt Flat Race if it has previously run in a total of four National Hunt Flat Races, Irish national hunt flat races, and/or French AQPS races, except that a horse may run in a fifth and sixth National Hunt Flat Race if both Races are Pattern Races.

[PENALTY](#)

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## ADDITIONAL REQUIREMENTS FOR HUNTERS' STEEPLE CHASES

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- 16 A horse must have a Hunter Certificate to run in a Hunters' Steeple Chase.
- 17 A horse cannot run in a Hunters' Steeple Chase if, at any time on or after 1 November in the year before the Race, the horse was in the care of a Permit Trainer who was not permitted to train horses for the Owner of the horse in question at the time when the horse was in their care.
- 18 A horse cannot run in a Hunters' Steeple Chase if, in the 15 months prior to the beginning of the Hunters' Steeple Chase Season **and/or during the current Hunters' Steeple Chase Season** it has:
- 18.1 won a Class 1 or Class 2 Steeple Chase in Great Britain which was not confined to Amateur Jockeys, or equivalent overseas Race; or
  - 18.2 been placed first, second or third in a Grade 1 or Grade 2 Steeple Chase in Great Britain or Ireland, or equivalent overseas Race.
- 19 After a Hunter Certificate has been registered for a horse, the horse may be entered into any Hunter's Steeple Chase for which it is eligible subject to the following:
- 19.1 if the Hunter Certificate was registered before 12pm, the horse may not enter any Hunter's Steeple Chase that is Closing on the same day the horse was registered;
  - 19.2 if the Hunter Certificate was registered after 12pm, the horse may not enter any Hunter's Steeple Chase that is Closing on the same day or day after the horse was registered.

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## ADDITIONAL REQUIREMENTS FOR HORSES TRAINED OUTSIDE GREAT BRITAIN

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- 20 A horse foaled or trained outside Great Britain cannot run in a Race if it has been in Great Britain for more than 90 days starting from:
- 20.1 the date the Racing Clearance Notification was issued;
  - 20.2 the date the horse's Passport was endorsed by the Recognised Racing Authority of the country where the horse is trained; or
  - 20.3 the date a horse trained in Ireland arrived in Great Britain.
- 21 Paragraph 20 does not apply if the horse is in the care of:
- 21.1 a Trainer;
  - 21.2 a trainer licensed by a Recognised Racing Authority with permission from the BHA.
- 22 A horse that has been in Great Britain for a period of 90 days or less must at all times be supervised by the trainer.
- 23 A horse trained outside Great Britain must have had a Sample taken by the BHA.

[PENALTY](#)

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## ADDITIONAL REQUIREMENTS FOR HORSES IMPORTED INTO GREAT BRITAIN

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- 24 Unless otherwise directed by the BHA, a horse imported into Great Britain to be trained in Great Britain may not be Declared to Run in any Race until a Sample for the relevant horse has been:
- 24.1 collected in accordance with [Chapter K](#); and
  - 24.2 analysed by an Approved Laboratory with the results indicating no evidence of the presence or use of a Prohibited Substance or a Prohibited Method that is prohibited at all times.
- 25 **A horse imported into Great Britain to be trained in Great Britain may not be Declared to Run in any Race until:**
- 25.1 **the horse has been registered in accordance with the Horse Naming Code; and**
  - 25.2 **the Export Certificate has been filed with the General Stud Book.**

# STABLE EMPLOYEES CODE

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EMPLOYMENT AND REGISTRATION OF PERSONS WORKING IN STABLES  
STABLE EMPLOYEE TRAINING  
RACING INDUSTRY ACCIDENT BENEFIT SCHEME (RIABS)  
DEATH IN SERVICE BENEFIT

# STABLE EMPLOYEES CODE

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## EMPLOYMENT AND REGISTRATION OF PERSONS WORKING IN STABLES

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- 1 Before employing anyone, where applicable, a Trainer must obtain a reference from the last Trainer that employed the applicant.
- 2 A Trainer must ensure that the following persons are entered on the Stable Employee Register, by making an application to the Racing Calendar Office:
  - 2.1 the Trainer's employees (including part-time employees); and
  - 2.2 any persons with regular access to or involvement with the Trainer's stable, except for:
    - 2.2.1 service providers; and
    - 2.2.2 Owners, unless they have duties in the stables.
- 3 Where a Trainer requires one of their Stable Employees to access the Racecourse Stables, they must:
  - 3.1 apply for a BHA Identity Card for that employee; and
  - 3.2 keep possession of the BHA Identity Card at all times except when it is required by the employee to access Racecourse Stables.
- 4 Where the employment of a Stable Employee ends, the Trainer must notify the Racing Calendar Office:
  - 4.1 immediately, if the employee is an Apprentice Jockey or a Conditional Jockey; or
  - 4.2 otherwise, within 8 days,and destroy any BHA Identity Card issued to that former employee.

### Employment of schoolchildren

- 5 Before hiring a schoolchild, a Trainer must obtain the approval of the Local Education Authority.

PENALTY

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## STABLE EMPLOYEE TRAINING

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- 6 A Trainer must ensure that all stable employees under 19 years of age join the stable staff training programme and participate in training delivered by:
  - 6.1 the British Racing School;
  - 6.2 the National Horseracing College; or
  - 6.3 any other training provider approved to offer a Level 2 Diploma in Work Based Racehorse Care, an Equine Groom Apprenticeship (Racing) or a BHA approved equivalent.
- 7 The BHA may waive paragraph 6 in exceptional circumstances.

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## RACING INDUSTRY ACCIDENT BENEFIT SCHEME (RIABS)

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- 8 A Trainer must make the following contributions on behalf of any employee eligible for the Racing Industry Accident Benefit Scheme:
  - 8.1 an annual payment; and

- 8.2 a payment every three months in accordance with the Memorandum of Agreement as published by the National Joint Council for Racing Staff.
- 9 A Trainer who is not a member of the National Trainers Federation must make an annual payment to the National Trainers Federation for the administration of the Racing Industry Accident Benefit Scheme.
- 

## DEATH IN SERVICE BENEFIT

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- 10 A Trainer must contribute to the National Trainers Federation Life Cover Trust in respect of death in service benefit on behalf of any employee that satisfies paragraph 12 at a rate that is not less than the rate set by the National Trainers Federation.
- 11 A Trainer who is not a member of the National Trainers Federation must, when required by the National Trainers Federation, make an annual payment to the National Trainers Federation for the administration of the death in service benefit.
- 12 A stable employee shall be eligible for the death in service benefit under paragraph 10 if:
- 12.1 they are between 16 to 64 years of age (inclusive); and
  - 12.2 they are registered and working as a full or part time paid stable employee at 1 April each year.

# STAKES & PRIZE MONEY CODE

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- STAKE MONEY
- PRIZE MONEY AND OTHER TYPES OF PRIZE
- SETTLING OF ACCOUNTS
- APPEARANCE MONEY
- DISTRIBUTION OF PRIZE MONEY

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# STAKES & PRIZE MONEY CODE

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## STAKE MONEY

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- 1 The Owner of a horse with an Entry must pay the Stake.

## EARLY PAYMENT

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- 2 The BHA may direct that:
  - 2.1 the Stake and any fee specified in the Race Conditions are paid in advance; or
  - 2.2 the Stake and any Debts are paid upon submitting an Entry.

## FAILURE TO PAY

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- 3 The BHA may cancel an Entry with immediate effect if a Person fails to pay the Stake or any Debts when they are due.

## METHOD OF PAYMENT

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- 4 The BHA may specify the method by which payments must be made.

## CIRCUMSTANCES IN WHICH AMOUNTS MAY NOT BE PAYABLE

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- 5 No Stake is payable, and any Stake paid shall be refunded, for the following:
  - 5.1 an Entry that is void;
  - 5.2 a horse that is not qualified to start in a Race at the time of Closing;
  - 5.3 a horse that is eliminated from an over-subscribed Race;
  - 5.4 a horse that does not run in a Race if it would be required to carry more than 11st 12lb in a Second Preference Race;
  - 5.5 a Race that is void; or
  - 5.6 a Race that is not run.
- 6 The BHA may waive fees relating to a Scratching Deadline and withdraw a horse from the Race where it is satisfied that the horse was left in the Race at a Scratching Deadline due to circumstances in which it would not be reasonable to expect the Person responsible to prevent or avoid, subject to payment of an administrative fee.

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## PRIZE MONEY AND OTHER TYPES OF PRIZE

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### DISTRIBUTION OF PRIZES

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- 7 Prizes shall be distributed in accordance with this Stakes and Prize Money Code and the Race Conditions.

### TROPHIES

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- 8 Any trophy (except for a challenge cup) and advertised Prize Money shall be distributed in the event of a walkover.

## AMOUNT OF PRIZE MONEY AND APPEARANCE MONEY

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### DISTRIBUTION OF PRIZE MONEY

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- 9 Prize Money shall be paid in accordance with this Stakes and Prize Money Code except where:
- 9.1 a horse is trained privately, in which case any money due to the Trainer or the stable shall instead be paid to the Owner;
  - 9.2 a horse is trained outside Great Britain, in which case any money due to the Trainer shall be subject to a 2% deduction for the benefit of the Benevolent Fund.
- 10 Where an Owner is registered for VAT under the VAT registration scheme, VAT shall be added to the amount of Prize Money due to the Owner, but excluding stakes, forfeits, fees due at confirmation of entry and supplementary entry fees.

## DISTRIBUTION OF POOL MONEY

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- 11 Pool Money shall be paid four times per year to the relevant Trainer, who shall distribute the sums to the current and former stable employees as entered in the Stable Employee Register in accordance with the stable's Prize Money distribution criteria.
- 12 A stable's Prize Money distribution criteria must be displayed at the stable yard in a place where it can be inspected by all employees.
- 13 When the Pool Money is paid to the Trainer, the BHA shall send a Stable Employee Return to the Trainer who must:
- 13.1 add to the Stable Employee Return:
    - 13.1.1 the name of any current or former stable employee employed during the period covered by the payment and to whom a payment is to be made;
    - 13.1.2 the date on which the payment to stable employees will be made; and
    - 13.1.3 the amount to be paid to each stable employee.
  - 13.2 sign and return a copy of the Stable Employee Return as so amended to the BHA within 21 days of the date printed on the Stable Employee Return;
  - 13.3 display a copy of the Stable Employee Return as so amended at the stable in a place where it can be inspected by all employees for at least 10 days from the date the Stable Employee Return is returned to the BHA.
- 14 A Trainer:
- 14.1 must make the payments shown on the Stable Employee Return not less than 10 days before, and not more than 21 days after, signing and returning the Stable Employee Return to the BHA; and
  - 14.2 may not deduct any amount except for income tax, unless otherwise directed by the BHA.
- 15 A stable employee may request that a Trainer withhold payment until a later date. Following such request, the Trainer must:
- 15.1 take all reasonable steps to obtain a return on the money; and
  - 15.2 pay it to the employee promptly if the employee leaves the Trainer's employment.

[PENALTY](#)

## PRIZES IN DEAD-HEATS

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- 16 In the event of a dead-heat:
- 16.1 prizes for the affected placings shall be shared equally between those horses in the dead-heat; and
  - 16.2 if a prize is a trophy (or otherwise cannot be divided) and the prize winners cannot agree as to which of them should receive the prize, the Racecourse Managing Executive shall:
    - 16.2.1 decide the question by lot; and

16.2.2 decide what sum of money the person who receives the prize must pay to the other prize winner(s).

## RACES WITH MORE PRIZES THAN DECLARED RUNNERS

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17 If a Race has fewer declared runners at the 'Off' than the number of placings with prizes, the surplus prizes shall not be paid.

## RACES WITH MORE PRIZES THAN FINISHERS

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18 After a Race is declared 'Off', any money or prize which is surplus due to fewer finishers than placing(s) shall be distributed to the finishers equally.

## PLUS 10 BONUS SCHEME

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19 The BHA will administer the Plus 10 Bonus Scheme in accordance with the terms published on the website.

20 The BHA may terminate the Plus 10 Bonus Scheme at any time, and in such event, no further bonuses will be made.

## SETTLING OF ACCOUNTS

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### PAYMENT OF MONEY

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21 Subject to [paragraphs 22 to 23](#), and no earlier than 15 days after a Race, the Stakeholder shall pay each Person entitled to the following:

21.1 all Stakes;

21.2 all money added by the Racecourse;

21.3 all money due in respect of horses sold, repurchased or claimed in Claiming and Selling Races;

21.4 all payments due in connection with sponsorship of number cloths under [paragraph 24](#);

21.5 all payments due as Appearance Money;

21.6 all VAT if the Person is registered for VAT in accordance with the VAT registration scheme.

## EXEMPTIONS FROM PAYMENTS TO BE MADE UNDER PARAGRAPH 21

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22 The BHA may direct the Stakeholder not to pay money due under [paragraph 21](#).

23 The Stakeholder must not make any payments:

23.1 pending the final determination of an Objection;

23.2 pending the final determination of a Steward's Enquiry, investigation or disciplinary process which may affect the Person's entitlement to payment;

23.3 in respect of a horse that a Steward or Authorised Person has ordered be examined;

23.4 if the Racecourse Managing Executive has not paid the Stakeholder the sums due, except for sums due in respect of horses sold, repurchased or claimed in a Claiming Race or Selling Race.

## ALLOCATION BY STAKEHOLDER OF PAYMENTS FOR SPONSORSHIP OF NUMBER CLOTHS

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24 Any payment in connection with the sponsorship of number cloths shall be distributed by the Stakeholder for each horse that started the Race in the following proportions:

24.1 81% to the Owner,

- 24.2 8% to the Trainer,
  - 24.3 6% to the Jockey, and
  - 24.4 5% to the National Association of Racing Staff.
- 25 A payment due under paragraph 24.2 or 24.4 shall be paid to the Owner if the horse is trained:
- 25.1 outside Great Britain, France or Ireland, or
  - 25.2 privately.
- 26 A payment under paragraph 24.3 shall instead be paid to the BHA if the Jockey is an Amateur Jockey.
- 27 VAT shall be added to the amount payable to an Owner under paragraphs 24 and 25 if the Owner is registered for VAT under the VAT registration scheme.

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## APPEARANCE MONEY

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### APPEARANCE MONEY

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- 28 Appearance Money may be paid for the following types of Race:
- 28.1 Class 3, 4 and 5 Jump Races (excluding National Hunt Flat Races, Hunters' Steeple Chases and Weight- for-Age Novice or Maiden Hurdle races);
  - 28.2 Class 4, 5 and 6 Flat Races (excluding Weight-for-Age, Auction or Median Auction Races for Novices or Maidens).
- (together, **Eligible Races**).
- 29 Before any Appearance Money is paid, a Racecourse must for any Eligible Race:
- 29.1 pay Prize Money down to at least fourth place;
  - 29.2 ensure that the Prize Money is at least £900 above the minimum value; and
  - 29.3 maintain the average class of Race during the relevant programme book.
- 30 The Owner of a horse that finishes eighth or higher in an Eligible Race qualifies for Appearance Money in the following amounts (plus VAT if applicable):
- 30.1 in a Flat Race:
    - 30.1.1 £300; or
    - 30.1.2 £400 if the Race is at an Evening, Twilight or Floodlit Meeting which takes place on a Friday or Saturday, a Floodlit Meeting, or a meeting which takes place on a Sunday.
  - 30.2 in a Jump Race:
    - 30.2.1 £350; or
    - 30.2.2 £450 if the Race is at an Evening, Twilight or Floodlit Meeting which takes place on a Friday or Saturday, or a meeting which takes place on a Sunday.
- 31 Appearance Money shall not be paid if a meeting or Race is abandoned.
- 32 Appearance Money shall only be paid to horses that finish.
- 33 If a horse earns Prize Money, the Appearance Money payable will be reduced by the amount of Prize Money (down to zero where the Prize Money exceeds the Appearance Money).
- 34 Appearance Money must be distributed by an Owner in the following proportions:
- 34.1 8% to the Trainer;
  - 34.2 6% to the Jockey, except if the Jockey is an Amateur Jockey; and
  - 34.3 6% to the stable from which the horse was trained,

unless paragraph 35 applies.

35 No payment is due under paragraphs 34.1 to 34.3 if the horse is trained:

35.1 outside Great Britain; or

35.2 by a person who does not hold a Trainer's Licence and is training a horse solely for Hunters' Steeple Chases, the Grand Military Gold Cup or the Royal Artillery Gold Cup.

## DISTRIBUTION OF PRIZE MONEY

36 The percentage distribution of Prize Money will be as follows::

36.1 Flat Pattern and Listed Races:

Flat Pattern and Listed Races							
	3 PRIZES	4 PRIZES	5 PRIZES	6 PRIZES	7 PRIZES	8 PRIZES	10 PRIZES
Owner of the winner	49.6%	46.64%	45.2%	44.56%	44.16%	44%	43.92%
Owner of the second	20.27%	19.06%	18.56%	18.29%	18.2%	18.14%	18.08%
Owner of the third	10.13%	9.53%	9.28%	9.15%	9.1%	9.07%	9.04%
Owner of the fourth	-	4.77%	4.64%	4.57%	4.55%	4.54%	4.48%
Owner of the fifth	-	-	2.32%	2.29%	2.28%	2.27%	2.24%
Owner of the sixth	-	-	-	1.14%	1.14%	1.13%	1.12%
Owner of the seventh	-	-	-	-	0.57%	0.57%	0.56%
Owner of the eighth	-	-	-	-	-	0.28%	0.32%
Owner of the ninth	-	-	-	-	-	-	0.16%
Owner of the tenth	-	-	-	-	-	-	0.08%
Trainer of the winner	5.89%	5.65%	5.54%	5.49%	5.45%	5.44%	5.42%
Trainer of the second	1.31%	1.26%	1.23%	1.22%	1.22%	1.21%	1.2%
Trainer of the third	0.65%	0.63%	0.62%	0.61%	0.61%	0.61%	0.6%
Trainer of the fourth	-	0.31%	0.31%	0.3%	0.3%	0.3%	0.3%
Trainer of the fifth	-	-	0.15%	0.15%	0.15%	0.15%	0.15%
Trainer of the sixth	-	-	-	0.08%	0.08%	0.08%	0.08%
Trainer of the seventh	-	-	-	-	0.04%	0.04%	0.04%
Trainer of the eighth	-	-	-	-	-	0.02%	0.03%
Trainer of the ninth	-	-	-	-	-	-	0.02%
Trainer of the tenth	-	-	-	-	-	-	0.01%
Rider of the winner	4.33%	4.15%	4.07%	4.03%	4.01%	4%	3.97%
Rider of the second	0.96%	0.93%	0.91%	0.9%	0.89%	0.89%	0.88%
Rider of the third	0.48%	0.46%	0.45%	0.45%	0.45%	0.45%	0.44%
Rider of the fourth	-	0.23%	0.23%	0.22%	0.22%	0.22%	0.22%
Rider of the fifth	-	-	0.11%	0.11%	0.11%	0.11%	0.11%
Rider of the sixth	-	-	-	0.06%	0.06%	0.06%	0.05%
Rider of the seventh	-	-	-	-	0.03%	0.03%	0.04%

Rider of the eighth	-	-	-	-	-	0.01%	0.03%
Rider of the ninth	-	-	-	-	-	-	0.02%
Rider of the tenth	-	-	-	-	-	-	0.01%
Stable of the winner	2.95%	2.76%	2.67%	2.63%	2.6%	2.58%	2.56%
Stable of the second	1.2%	1.14%	1.11%	1.09%	1.09%	1.09%	1.08%
Stable of the third	0.6%	0.57%	0.56%	0.55%	0.55%	0.55%	0.54%
Stable of the fourth	-	0.28%	0.27%	0.27%	0.27%	0.27%	0.26%
Stable of the fifth	-	-	0.14%	0.14%	0.14%	0.14%	0.14%
Stable of the sixth	-	-	-	0.07%	0.07%	0.07%	0.07%
Stable of the seventh	-	-	-	-	0.03%	0.03%	0.04%
Stable of the eighth	-	-	-	-	-	0.02%	0.03%
Stable of the ninth	-	-	-	-	-	-	0.02%
Stable of the tenth	-	-	-	-	-	-	0.01%
Industry Training	0.58%	0.58%	0.58%	0.58%	0.58%	0.58%	0.58%
Jockeys' Valets Attendance	0.2%	0.2%	0.2%	0.2%	0.2%	0.2%	0.2%
PJA Pension Fund	0.6%	0.6%	0.6%	0.6%	0.6%	0.6%	0.6%
NARS	0.25%	0.25%	0.25%	0.25%	0.25%	0.25%	0.25%

36.2 Flat Races not included in paragraph 36.1, except Races restricted to Amateur Jockeys:

Flat Races not included in paragraph 36.1, except Races restricted to Amateur Jockeys							
	3 PRIZES	4 PRIZES	5 PRIZES	6 PRIZES	7 PRIZES	8 PRIZES	10 PRIZES
Owner of the winner	53.6%	50.64%	49.2%	48.56%	48.24%	48%	47.92%
Owner of the second	17.6%	16.78%	16.43%	16.23%	16.13%	16.13%	16.08%
Owner of the third	8.8%	8.39%	8.21%	8.11%	8.07%	8.06%	8%
Owner of the fourth	-	4.19%	4.11%	4.06%	4.03%	4.03%	4%
Owner of the fifth	-	-	2.05%	2.03%	2.02%	2.02%	2%
Owner of the sixth	-	-	-	1.01%	1.01%	1.01%	1.04%
Owner of the seventh	-	-	-	-	0.5%	0.5%	0.48%
Owner of the eighth	-	-	-	-	-	0.25%	0.24%
Owner of the ninth	-	-	-	-	-	-	0.16%
Owner of the tenth	-	-	-	-	-	-	0.08%
Trainer of the winner	6.48%	6.28%	6.19%	6.14%	6.11%	6.1%	6.08%
Trainer of the second	0.91%	0.9%	0.89%	0.88%	0.88%	0.88%	0.87%
Trainer of the third	0.46%	0.45%	0.44%	0.44%	0.44%	0.44%	0.43%
Trainer of the fourth	-	0.22%	0.22%	0.22%	0.22%	0.22%	0.21%
Trainer of the fifth	-	-	0.11%	0.11%	0.11%	0.11%	0.11%
Trainer of the sixth	-	-	-	0.06%	0.06%	0.06%	0.05%
Trainer of the seventh	-	-	-	-	0.03%	0.03%	0.04%

Trainer of the eighth	-	-	-	-	-	0.01%	0.03%
Trainer of the ninth	-	-	-	-	-	-	0.02%
Trainer of the tenth	-	-	-	-	-	-	0.01%
Rider of the winner	4.76%	4.61%	4.55%	4.51%	4.49%	4.48%	4.46%
Rider of the second	0.67%	0.66%	0.65%	0.65%	0.65%	0.65%	0.63%
Rider of the third	0.34%	0.33%	0.33%	0.33%	0.33%	0.33%	0.31%
Rider of the fourth	-	0.17%	0.16%	0.16%	0.16%	0.16%	0.15%
Rider of the fifth	-	-	0.08%	0.08%	0.08%	0.08%	0.07%
Rider of the sixth	-	-	-	0.04%	0.04%	0.04%	0.05%
Rider of the seventh	-	-	-	-	0.02%	0.02%	0.04%
Rider of the eighth	-	-	-	-	-	0.01%	0.03%
Rider of the ninth	-	-	-	-	-	-	0.02%
Rider of the tenth	-	-	-	-	-	-	0.01%
Stable of the winner	3.33%	3.16%	3.07%	3.04%	3.02%	3.01%	2.99%
Stable of the second	0.95%	0.91%	0.89%	0.88%	0.88%	0.88%	0.87%
Stable of the third	0.47%	0.45%	0.45%	0.44%	0.44%	0.44%	0.43%
Stable of the fourth	-	0.23%	0.23%	0.22%	0.21%	0.21%	0.2%
Stable of the fifth	-	-	0.11%	0.11%	0.11%	0.11%	0.1%
Stable of the sixth	-	-	-	0.06%	0.06%	0.06%	0.06%
Stable of the seventh	-	-	-	-	0.03%	0.03%	0.04%
Stable of the eighth	-	-	-	-	-	0.01%	0.03%
Stable of the ninth	-	-	-	-	-	-	0.02%
Stable of the tenth	-	-	-	-	-	-	0.01%
Industry Training	0.58%	0.58%	0.58%	0.58%	0.58%	0.58%	0.58%
Jockeys' Valets Attendance	0.2%	0.2%	0.2%	0.2%	0.2%	0.2%	0.2%
PJA Pension Fund	0.6%	0.6%	0.6%	0.6%	0.6%	0.6%	0.6%
NARS	0.25%	0.25%	0.25%	0.25%	0.25%	0.25%	0.25%

36.3 Jump Pattern and Listed Races

Jump Pattern and Listed Races							
	3 PRIZES	4 PRIZES	5 PRIZES	6 PRIZES	7 PRIZES	8 PRIZES	10 PRIZES
Owner of the winner	48.52%	45.62%	44.21%	43.58%	43.19%	43.04%	42.96 %
Owner of the second	19.82%	18.65%	18.15%	17.89%	17.81%	17.74%	17.68%
Owner of the third	9.91%	9.32%	9.08%	8.95%	8.9%	8.87%	8.84%
Owner of the fourth	-	4.66%	4.54%	4.47%	4.45%	4.44%	4.42%
Owner of the fifth	-	-	2.27%	2.24%	2.23%	2.22%	2.21%
Owner of the sixth	-	-	-	1.12%	1.11%	1.11%	1.1%
Owner of the seventh	-	-	-	-	0.56%	0.55%	0.56%



36.4 Jump races not included in paragraph 36.3, except Races restricted to Amateur Jockeys:

Jump races not included in paragraph 36.3, except Races restricted to Amateur Jockeys							
	3 PRIZES	4 PRIZES	5 PRIZES	6 PRIZES	7 PRIZES	8 PRIZES	10 PRIZES
Owner of the winner	52.43%	49.53%	48.12%	47.5%	47.18%	46.95%	46.87%
Owner of the second	17.21%	16.41%	16.07%	15.87%	15.78%	15.77%	15.72%
Owner of the third	8.61%	8.21%	8.03%	7.94%	7.89%	7.89%	7.86%
Owner of the fourth	-	4.1%	4.02%	3.97%	3.95%	3.94%	3.93%
Owner of the fifth	-	-	2.01%	1.98%	1.97%	1.97%	1.96%
Owner of the sixth	-	-	-	0.99%	0.99%	0.99%	0.99%
Owner of the seventh	-	-	-	-	0.49%	0.49%	0.49%
Owner of the eighth	-	-	-	-	-	0.25%	0.24%
Owner of the ninth	-	-	-	-	-	-	0.13%
Owner of the tenth	-	-	-	-	-	-	0.06%
Trainer of the winner	6.48%	6.28%	6.19%	6.14%	6.11%	6.1%	6.08%
Trainer of the second	0.91%	0.9%	0.89%	0.88%	0.88%	0.88%	0.87%
Trainer of the third	0.46%	0.45%	0.44%	0.44%	0.44%	0.44%	0.43%
Trainer of the fourth	-	0.22%	0.22%	0.22%	0.22%	0.22%	0.21%
Trainer of the fifth	-	-	0.11%	0.11%	0.11%	0.11%	0.11%
Trainer of the sixth	-	-	-	0.06%	0.06%	0.06%	0.06%
Trainer of the seventh	-	-	-	-	0.03%	0.03%	0.04%
Trainer of the eighth	-	-	-	-	-	0.01%	0.03%
Trainer of the ninth	-	-	-	-	-	-	0.02%
Trainer of the tenth	-	-	-	-	-	-	0.01%
Rider of the winner	6.2%	6.01%	5.92%	5.88%	5.85%	5.84%	5.82%
Rider of the second	0.88%	0.86%	0.85%	0.85%	0.85%	0.85%	0.84%
Rider of the third	0.44%	0.43%	0.43%	0.42%	0.42%	0.42%	0.41%
Rider of the fourth	-	0.22%	0.21%	0.21%	0.21%	0.21%	0.2%
Rider of the fifth	-	-	0.11%	0.11%	0.11%	0.11%	0.1%
Rider of the sixth	-	-	-	0.05%	0.05%	0.05%	0.05%
Rider of the seventh	-	-	-	-	0.03%	0.03%	0.04%
Rider of the eighth	-	-	-	-	-	0.01%	0.03%
Rider of the ninth	-	-	-	-	-	-	0.02%
Rider of the tenth	-	-	-	-	-	-	0.01%
Stable of the winner	3.33%	3.16%	3.07%	3.04%	3.02%	3.01%	2.99%
Stable of the second	0.95%	0.91%	0.89%	0.88%	0.88%	0.88%	0.87%
Stable of the third	0.47%	0.45%	0.45%	0.44%	0.44%	0.44%	0.43%
Stable of the fourth	-	0.23%	0.23%	0.22%	0.21%	0.21%	0.2%
Stable of the fifth	-	-	0.11%	0.11%	0.11%	0.11%	0.1%

Stable of the sixth	-	-	-	0.06%	0.06%	0.06%	0.06%
Stable of the seventh	-	-	-	-	0.03%	0.03%	0.04%
Stable of the eighth	-	-	-	-	-	0.01%	0.03%
Stable of the ninth	-	-	-	-	-	-	0.02%
Stable of the tenth	-	-	-	-	-	-	0.01%
Industry Training	0.58%	0.58%	0.58%	0.58%	0.58%	0.58%	0.58%
Jockeys' Valets Attendance	0.2%	0.2%	0.2%	0.2%	0.2%	0.2%	0.2%
PJA Pension Fund	0.6%	0.6%	0.6%	0.6%	0.6%	0.6%	0.6%
NARS	0.25%	0.25%	0.25%	0.25%	0.25%	0.25%	0.25%

36.5 Races restricted to Amateur Jockeys:



# STALLS TEST CODE

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DEFINED PERCENTAGE  
CONDUCT OF A STALLS TEST  
SAMPLING OF HORSES THAT UNDERGO STALLS TESTS  
PENALTIES FOR STALLS TEST FAILURES

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# STALLS TEST CODE

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## DEFINED PERCENTAGE

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- 1 If, at any point in a given period, a Trainer's Defined Percentage reaches 10%, the BHA may direct that for the remainder of that calendar year any horse in their care that is referred for a Stalls Test must wait for 14 days before taking a Stalls Test.
  - 2 The 14-day prohibition in paragraph 1 will not apply to any horse that already holds an Entry for:
    - 2.1 a Pattern Race;
    - 2.2 a Listed Race;
    - 2.3 a Heritage Handicap; or
    - 2.4 an Early Closer,when it is referred for a Stalls Test.
  - 3 At the end of a calendar year:
    - 3.1 if a Trainer's Defined Percentage is less than 10%, the Trainer shall start the next calendar year with a Defined Percentage of zero; and
    - 3.2 if a Trainer's Defined Percentage is 10% or more, the Trainer will start the next calendar year with that Defined Percentage.
  - 4 If, at any point in a given period, a Trainer's Defined Percentage reaches 15%, the BHA may direct that every unraced horse in their care must take a Stalls Test before they can race.
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## CONDUCT OF A STALLS TEST

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### LOCATION OF A STALLS TEST

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- 5 A Stalls Test may take place at:
  - 5.1 a Race Meeting, provided that the Trainer has notified the Clerk of the Course by no later than midday the day before; or
  - 5.2 any other location with the BHA's prior consent.

### STALLS TESTS AT A RACE MEETING

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- 6 For Stalls Tests taking place at a Race Meeting, the Trainer must report to the Starter at the weighing room at least 45 minutes before the first Race with the horse's Passport.
- 7 A Stalls Test will not take place if:
  - 7.1 a suitably experienced person is not accompanying the horse;
  - 7.2 the horse cannot be identified from its Passport; and / or
  - 7.3 a Sample is required but one cannot be obtained.

### THE STALLS TEST

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- 8 The Starter may blindfold a horse for a Stalls Test.
- 9 A horse shall pass a Stalls Test if:
  - 9.1 it is capable of being led into the stalls by one handler, with assistance from no more than four handlers at the rear; or

- 9.2 if the horse is loaded into the stalls with the front gate open or in reverse, it loads to the satisfaction of the Starter, and, in either circumstance,
- 9.3 it remains in the stall for a minimum of one minute without becoming unruly.

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## SAMPLING OF HORSES THAT UNDERGO STALLS TESTS

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- 10 A horse that undergoes a Stalls Test may be required to provide a Sample.
- 11 A horse that is required to provide a Sample at a Stalls Test, and fails to do so, cannot take another Stalls Test without the consent of the BHA.

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## PENALTIES FOR STALLS TEST FAILURES

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### PROHIBITION ON FURTHER STALLS TESTS

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- 12 Where a horse is prohibited from undergoing a Stalls Test for 6 months, the Trainer may apply to the BHA for the remainder of ban to be lifted if, during that 6 month period, the horse runs outside Great Britain on two occasions from starting stalls without causing problems at the start.
- 13 Where a horse is required to complete a Stalls Test and the horse:
  - 13.1 fails a Stalls Test, it cannot take a further Stalls Test for 14 days;
  - 13.2 fails its second consecutive attempt at a Stalls Test, it cannot take a further Stalls Test for six months; and/or
  - 13.3 fails its third consecutive attempt at a Stalls Test, the matter shall be referred to the Disciplinary Panel.

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### FINANCIAL PENALTIES

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- 14 If a horse is required to complete a Stalls Test, the Trainer must pay:
  - 14.1 £650 if the horse fails the Stalls Test within 7 days of the referral;
  - 14.2 £290 if the horse fails the Stalls Test between 8 and 14 days (inclusive) of the referral; or
  - 14.3 no financial penalty if the horse fails the Stalls Test 15 days or more after the referral.
- 15 If a horse is required to complete a Stalls Test following its second referral, the Trainer must pay:
  - 15.1 £1,300 if the horse fails within 14 days of the referral;
  - 15.2 £290 if the horse fails between 15 days and 28 days (inclusive) of the referral; or
  - 15.3 no financial penalty if the horse fails 29 days or more after the referral.

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### PRE-RACE ASSESSMENTS

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- 16 A Pre-Race Assessment may be requested by a Trainer at a Race Meeting:
  - 16.1 for any unraced horse; or
  - 16.2 where the BHA consents, for a horse that has raced but has behavioural issues.
- 17 A horse may not race from starting stalls on the day of a Pre-Race Assessment.

# STARTING PROCEDURES CODE

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- GENERAL
  - RACES WITH STARTING STALLS
  - RACES WITH A STARTING TAPE
  - PROTOCOL FOR TRAINERS OR THEIR REPRESENTATIVE AT THE START

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# STARTING PROCEDURES CODE

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## GENERAL

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- 1 Horses must be girthed up in the area designated by the Starter, and Jockeys must ensure that their girths are correctly adjusted.
  - 2 In exceptional circumstances, the Starter may start a race in front of the starting post, irrespective of the stated distance of the Race.
  - 3 Once at the start, a Jockey:
    - 3.1 may not request a late load; and
    - 3.2 must not attempt to line up or take a position for the start before being instructed to do so by the Starter.
  - 4 A Trainer must ensure that any equipment permitted to be used at the start is serviceable and is used correctly.
  - 5 Where a rug is brought to the start, the Trainer must ensure that it is attached by a rope to the starting stalls after the horse has been loaded.
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## RACES WITH STARTING STALLS

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- 6 Where a Race is programmed to be started from starting stalls but they are not available, the Race may be started:
  - 6.1 using a starting tape; or
  - 6.2 by using only a Starting Flag.
- 7 Starting stalls must be loaded under the direction of the Starter.

## ARRIVAL OF THE HORSES AT THE START

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- 8 Once a horse arrives at the start, Jockeys must:
  - 8.1 walk around the Starter in an anti-clockwise circle until the roll is called; and
  - 8.2 not dismount without the permission of the Starter.

## LOADING OF THE HORSES INTO THE STARTING STALLS

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### Order

- 9 Unless the Starter orders otherwise, horses with odd numbers in the draw must be loaded first.
- 10 Where possible/practicable:
  - 10.1 in the event of a non-runner, the stalls number for that horse will be removed from the sequence; and
  - 10.2 the remaining runners will be loaded so that no stall is left vacant.

### Direction of entry

- 11 Horses must be loaded into the starting stalls:
  - 11.1 with the front gate closed; and
  - 11.2 facing forwards.
- 12 The Starter may allow a horse to be loaded into the starting stalls with:
  - 12.1 the front gate open; and / or
  - 12.2 in reverse,

if permission has been given in advance.

13 If the Starter allows a horse to be loaded with the front gate open or in reverse, the horse must be loaded before other horses and the Starter may direct that the horse be loaded:

13.1 by its Trainer; and

13.2 with the Jockey mounted.

## HORSES THAT REFUSE TO BE LOADED

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14 If a horse refuses to be loaded, the Starter may:

14.1 withdraw the horse;

14.2 make further attempts at loading to include:

14.2.1 using a blindfold; and / or

14.2.2 attempting a load without the Jockey mounted.

## ONCE IN THE STARTING STALLS

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15 No horse may be held in the starting stalls, except with the permission of the Starter.

## RACES WITH A STARTING TAPE

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16 Jump Races will be started:

16.1 using a starting tape; or

16.2 if necessary, by using only a Starting Flag.

17 Horses must be positioned at a reasonable distance behind the starting post at the start.

18 A Trainer may request that their horse is held at the start. If the Starter consents, the horse must be held at a position of the Starter's choosing.

19 If a horse is unruly at the start, the Starter may:

19.1 direct that the horse be moved to the rear, or on the outside, of the field; or

19.2 direct that the horse be held at the rear, or on the outside, of the field.

## STARTING PROCEDURE

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20 Once at the start, Jockeys must continuously walk their horse around as directed by the Starter.

21 After the Starting Flag is raised, Jockeys must:

21.1 obey the Starter's instructions;

21.2 move their horse forward towards the start at no faster than a walk or jig jog, unless their horse has fallen behind in which case the horse may trot until it catches up with the field; and

21.3 not advance beyond the Marker Poles.

22 A Jockey must not deliberately delay the start.

23 A Jockey must not allow the horse to touch the starting tape or allow its head to be over the starting tape.

## STANDING STARTS

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- 24 Where the starting tape becomes dislodged, or where the Starter otherwise so directs, the Starter may instruct all Jockeys to return to the Marker Poles for a standing start.

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## PROTOCOL FOR TRAINERS OR THEIR REPRESENTATIVE AT THE START

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### GENERAL

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- 25 Trainers and their representatives must not:
- 25.1 interfere with the loading of the starting stalls;
  - 25.2 interfere with another horse or Jockey;
  - 25.3 strike any horse; and / or
  - 25.4 in any way encourage their horse to exit the starting stalls, or to jump off in a race not started from starting stalls.
- 26 All Persons assisting with the load must wear a skull cap that complies with the Equipment Code.

### SCHOOLING HORSES FOR ALL TYPES OF START

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- 27 A Trainer must ensure that any horse under their care is properly schooled for all applicable types of start;
- 28 A horse shall be taken to be properly schooled for starting stalls if:
- 28.1 it has experience of being blindfolded;
  - 28.2 it loads into the starting stalls without hesitation and, if necessary, using no more than two pushers;
  - 28.3 it is capable of standing in starting stalls with a horse either side for a minimum of two minutes, and
  - 28.4 it is capable of standing alone in the starting stalls for two minutes.
- 29 On the first occasion when a horse trained in Great Britain runs in a Race started from starting stalls, a Trainer must inform the Starter of any:
- 29.1 request for special arrangements at the start; and
  - 29.2 specific idiosyncrasies of behaviour and / or gait.
- 30 On the first occasion when a horse trained outside Great Britain is entered for a Race started from starting stalls, the Trainer must provide the BHA with the relevant Recognised Racing Authority's starter's view of the horse's behaviour at the start before the deadline for submitting the Declaration to Run. If it is not provided, no special arrangements may be made for the horse at the start.

PENALTY

SYNDICATES CODE

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# SYNDICATES CODE

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- 1 This Code applies to all Syndicates where:
  - 1.1 the Syndicator is paid for their role; or
  - 1.2 the method of attracting participation in the Syndicate includes invitations to the public.
- 2 The Syndicator and each Syndicate participant must enter into a written contract when each Syndicate participant joins the Syndicate.
- 3 If there is more than one Syndicate participant, each written contract must be substantially the same.
- 4 Each contract must contain the following:
  - 4.1 a clause that acknowledges that participation in the Syndicate does not guarantee a financial return;
  - 4.2 the duration of the Syndicate;
  - 4.3 how and when the Syndicate comes to an end;
  - 4.4 if applicable, how participants may leave the Syndicate before it comes to an end;
  - 4.5 the ownership details of each horse registered to the Syndicate, including whether it is wholly owned by the Syndicate or whether it is subject to a Lease;
  - 4.6 the proportionate interest in the Syndicate of each participant and any rights each participant has to sell, lease, transfer or assign their share;
  - 4.7 the participation costs for each Syndicate participant, including whether such cost is fixed or variable;
  - 4.8 details of any remuneration paid to the Syndicator and any third parties, including how it is calculated and the method(s) of payment;
  - 4.9 an obligation to provide a full financial statement for the Syndicate and the process by which any financial surplus or deficit will be credited or charged to the participants;
  - 4.10 the time at which and procedure by which the statement(s) of the Syndicate's costs recovered and expenditure will be presented to the participants, including the details about any applicable VAT;
  - 4.11 the insurance details for each horse, including whether the participants are beneficiaries;
  - 4.12 details of the Trainer; and
  - 4.13 the Syndicate decision making processes relating to the management, training, and time and method of sale of the horse(s).

# TRAINER CODE

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TRAINING AGREEMENTS  
TRAINERS' CODE OF CONDUCT IN DEALINGS WITH OWNERS

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# TRAINER CODE

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## TRAINING AGREEMENTS

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- 1 An Owner and Trainer must enter into a signed agreement that sets out at least the following terms (a Training Agreement) before the relevant horse runs in a Race:
  - 1.1 the basic training fee (expressed as an amount payable by week or by calendar month);
  - 1.2 all other regular expenses (such as gallop fees and shoeing costs);
  - 1.3 the extent of the Trainer's authority to incur any additional charges or expenses for the account of the Owner (such as veterinary fees);
  - 1.4 a mechanism setting out how the provisions in paragraphs 1.1 to 1.3 can be varied on notice;
  - 1.5 the time and method of payment by the Owner;
  - 1.6 any provision for a Trainer's lien; and
  - 1.7 any other matter as directed by the BHA from time to time.
- 2 A Training Agreement shall lapse if:
  - 2.1 the Owner does not have a horse in training with the Trainer for a continuous period of 24 months; or
  - 2.2 the Trainer no longer has a Trainer's Licence.

[PENALTY](#)

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## PAYMENT

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- 3 An Owner must pay any amount payable under a Training Agreement within 3 months of being requested to do so.

### Non-payment report

- 4 A Trainer may report an Owner that fails to comply with paragraph 3 to the BHA. A non-payment report must be:
  - 4.1 made in writing and signed by the Trainer;
  - 4.2 include at least the following:
    - 4.2.1 the Owner's name and address,
    - 4.2.2 details of the debt;
    - 4.2.3 the date that request for payment was made;
  - 4.3 be accompanied by a copy of the unpaid invoice; and
  - 4.4 sent no later than 15 months after the sum became payable.
- 5 A Trainer must not submit an unjustified or frivolous non-payment report.

### Consequences of non-payment

- 6 If an Owner cannot provide the BHA with a good explanation for late payment, they may be added to the Forfeit List.

[PENALTY](#)

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## TRAINERS' CODE OF CONDUCT IN DEALINGS WITH OWNERS

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- 7 A Trainer must:
  - 7.1 update the Owner about the horse's wellbeing;

- 7.2 promptly inform the Owner if a horse suffers an injury and is likely to require a prolonged period of box rest;
- 7.3 immediately notify the Owner if one of the Owner's horses ceases to be under the direct care of the Trainer and is the subject of a separate livery charge by a third party.
- 8 If a Trainer sells a horse that they have an interest in or where they will receive a financial benefit of any kind from the sale, they must disclose that interest and/or any financial benefit they receive on the face of the invoice.
- 9 No Trainer may act for both the seller and purchaser in the sale of a horse without the consent of both parties.
- 10 A Trainer acting in the sale or purchase of a horse that they either train or are likely to train if the transaction completes must:
  - 10.1 advise the purchaser that the horse may be examined before purchase by a veterinary surgeon appointed by the purchaser; and
  - 10.2 disclose:
    - 10.2.1 if the horse has been seen to weave, box-walk, windsuck or crib bite;
    - 10.2.2 any veterinary condition known to the Trainer which might affect the horse's performance; and/or
    - 10.2.3 any surgery that the horse is known to have undergone.
- 11 A Trainer must:
  - 11.1 notify the Owner before the deadline for Declarations to Run if a horse is entered in a Claiming Race or Selling Race; and
  - 11.2 inform and consult with the Owner whenever the Trainer is responsible for a horse offered for sale at public auction, unless the Trainer has rightfully exercised an express lien, or the Owner has waived the requirement to be notified.
- 12 Except as provided in paragraph 11, no provision of this Code may be waived by agreement between an Owner and Trainer.
- 13 Where a horse has more than one Owner, a duty under this Code to notify a seller or purchaser will be fulfilled if one Owner or their appointed representative is notified.

#### PENALTY

VACCINATIONS CODE

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# VACCINATIONS CODE

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- 1 The Responsible Person must ensure that horses under their care entering Racecourse Property:
  - 1.1 have received all vaccinations required under these Rules; and
  - 1.2 that those vaccinations have been recorded as required under these Rules.

## Vaccination against Equine Influenza

- 2 A horse shall be correctly vaccinated for equine influenza if:
  - 2.1 the vaccines administered appear on the list maintained by the BHA or are otherwise acceptable to a Veterinary Officer;
  - 2.2 the horse has received:
    - 2.2.1 two primary vaccinations administered not less than 21 days and not more than 92 days apart;
    - 2.2.2 if sufficient time has elapsed since the primary vaccination:
      - (a) a booster vaccination which is administered not less than 150 days and not more than 215 days after the second component of the primary vaccination; and
      - (b) further booster vaccinations at intervals of not more than a year apart.
- 3 A horse cannot run in a Race if any of the vaccinations have been administered on the day of a Race or on any of the six clear days before the day of the Race.
- 4 An Entry for a Race, or a Confirmation of Entry in respect of Early Closers, will not be accepted for any horse unless it has a correct vaccination record on the Vaccination App, or satisfies the requirements of paragraph 8.

## Records of Vaccination

- 5 An equine influenza record in a Passport must not be altered in any way.
- 6 An incorrect entry must be completely deleted, and a new entry must be made on a new line and signed by a Veterinary Surgeon.
- 7 A Veterinary Surgeon that enters or approves any record in a Passport or the Vaccination App must be independent of the Owner and Trainer of the horse.

## Horses trained outside Great Britain

- 8 The Responsible Person of a horse:
  - 8.1 trained in a country that does not issue Passports;
  - 8.2 brought to a Race Meeting as a companion animal and for which no Passport has been issued; or
  - 8.3 trained in a country that does not require vaccinations to be recorded digitally,may, instead of using the Vaccination App, provide a passport with the vaccination section completed in accordance with paragraph 2, or a certificate signed by a Veterinary Surgeon that identifies the horse and gives the details of each vaccination against equine influenza.

## Exceptions

- 9 The only exceptions to paragraph 1 of this Code are:
  - 9.1 any foal less than 6 months old whose dam was vaccinated in accordance with this Code before foaling; and
  - 9.2 horses crossing land which is common ground or is subject to statutory rights for public access.

PENALTY

VACCINATION APP USER GUIDE

# WEIGHTS AND HANDICAPPING CODE

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GENERAL	
HANDICAP RATING	
TOP AND BOTTOM WEIGHTS	
WEIGHT ADJUSTMENTS	
PENALTIES, ALLOWANCES AND QUALIFICATIONS	
WEIGHT ALLOWANCES	
PENALTIES	
CLASSIFICATION OF RACES	

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# WEIGHTS AND HANDICAPPING CODE

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## GENERAL

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- 1 The BHA shall publish:
  - 1.1 Handicap Ratings; and
  - 1.2 weights for all Races,on the Racing Administration Website, and in the Racing Calendar for Early Closers.
- 2 The performance of a horse in a Race which has been made void will not count as a run for that horse.

[Ratings Database](#)

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## HANDICAP RATING

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- 3 No horse may run in any Handicap Race or Classified Stakes or Rating Related Maiden Race without a Handicap Rating.
- 4 The BHA may decline to give a Handicap Rating to any horse if, in their opinion, they do not have sufficient information to do so.
- 5 Any Stake paid in respect of an Entry that is void due to an incorrectly-published Handicap Rating shall be reimbursed.

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## MINIMUM ELIGIBILITY FOR HANDICAP RATING

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- 6 A horse must have met the criteria for eligibility for a Handicap Rating by the Saturday immediately before Closing, or, if the race is an Early Closer, by the Saturday immediately before publication of the weights in the Racing Calendar.

### Rating Related Maiden and Novice Races and Classified Stakes Flat Races

- 7 A horse shall be eligible for a Handicap Rating for a Rating Related Maiden or Novice Race or Classified Stakes Race if:
  - 7.1 the horse has run in at least three Flat Races in Great Britain;
  - 7.2 the horse is trained in Great Britain and has run in at least three Flat Races run under the rules of a Recognised Racing Authority; or
  - 7.3 the horse has run in two Flat Races in Great Britain, having won its first Race and been placed in the first four in its second Race.

- 8 Deleted.

### Handicap Flat Races (excluding Nursery Handicaps)

- 9 A horse shall be eligible for Handicap Rating to run in a Handicap Flat Race, other than a Nursery Handicap, with a Total Race Value of £45,000 or more if it is aged three or older, and:
  - 9.1 the horse has run at least three times in Flat Races in Great Britain;
  - 9.2 the horse is trained in Great Britain and has run in at least three Flat Races run under the rules of a Recognised Racing Authority; or
  - 9.3 the horse:
    - 9.3.1 is aged three or older;
    - 9.3.2 is trained outside Great Britain; and
    - 9.3.3 has run in:
      - (a) three or more Flat Races in Great Britain and/or Ireland; or

(b) three or more Flat Races run under the rules of a Recognised Racing Authority and either:

(i) the Handicapper is prepared to set a Handicap Rating of 90 or more; or

(ii) the horse has already run in a Handicap Flat Race.

10 A horse shall be eligible for a Handicap Rating to run in a Handicap Flat Race, other than a Nursery Handicap and a Heritage Handicap, with a Total Race Value of less than £45,000 if it is aged three or older, and:

10.1 the horse:

10.1.1 is three years old or more;

10.1.2 is trained in Great Britain; and

10.1.3 has run in:

(a) three or more Flat Races run under the rules of a Recognised Racing Authority; or

(b) two Flat Races in Great Britain and/or Ireland, having won its first Race and been placed in the first four in its second Race; or

10.2 the horse satisfies the requirements of paragraph 9.3.

#### Nursery Handicaps

11 A horse trained in Great Britain shall be eligible for a Handicap Rating to run in a Nursery Handicap if the horse is a two-year-old and has run in:

11.1 three or more Flat Races under the rules of any Recognised Racing Authority, with at least two of those runs being in Great Britain and/or Ireland; or

11.2 two Flat Races in Great Britain and/or Ireland, having won its first Race and been placed in the first four in its second Race.

12 A horse trained outside Great Britain shall be eligible for a Handicap Rating to run in a Nursery Handicap if the horse is a two-year old and has run in:

12.1 three or more Flat Races in Great Britain;

12.2 two Flat Races in Great Britain, having won its first Race and been placed in the first four in its second Race; or

12.3 a Nursery Handicap in Great Britain.

#### Handicap Jump Races and Classified Stakes Jump Races

13 A horse shall be eligible for a Handicap Rating to run in a Handicap Steeple Chase, Handicap Hurdle Race, Classified Stakes Steeple Chase or Classified Stakes Hurdle Race if it has run in:

13.1 three or more Steeple Chases and/or Hurdle Races in Great Britain, Ireland and/or France;

13.2 two Steeple Chases and/or Hurdle Races in Great Britain, Ireland or France and finished in the first four places in both races; or

13.3 one or two Steeple Chases or Hurdle Races in Great Britain, Ireland or France and won at least one of those races, and is not a Novice or Juvenile in the type of Race entered.

14 Any horse that does not meet the requirements of paragraph 13 shall be eligible for a Handicap Rating to run in a Class 1, 2 or 3 Handicap Steeple Chase or Hurdle Race or Class 1, 2 or 3 classified Steeple Chase or Hurdle Race if:

14.1 the Trainer has pre-notified the Racing Calendar Office of the horse's Entry in accordance with the [Race Entry Code](#); and

14.2 the horse is not a Novice or Juvenile in the type of Race entered; and

14.3 the horse has run in three or more Steeple Chases and/or Hurdle Races run under the rules of a Recognised Racing Authority.

15 A Novice or Juvenile shall be eligible for a Handicap Rating to run:

15.1 in a Class 1 or 2 Handicap Steeple Chase only if:

- 15.1.1 the horse has run in three or more Steeple Chases in Great Britain, Ireland and/or France, or
- 15.1.2 in the case of a Class 2 Handicap Steeple Chase, the horse has run in two Steeple Chases in Great Britain, Ireland and/or France and finished in the first four places in both Races;
- 15.2 in a Class 3, 4 or 5 Handicap Steeple Chase not restricted to Novices only if:
  - 15.2.1 the requirements of paragraph 13 are met; and
  - 15.2.2 the horse has run in one or more Steeple Chases or Novices' Handicap Steeple Chases in Great Britain, Ireland and/or France;
- 15.3 in a Class 1 or 2 Handicap Hurdle Race if the horse has run in three or more Hurdle Races in Great Britain, Ireland and/or France.

## INTERPRETATION

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- 16 The BHA will not count any of the following towards the number of Races run by a horse when determining a horse's eligibility for Handicap Rating assessment:
- 16.1 a walk over;
  - 16.2 a Flat Race where the horse does not finish;
  - 16.3 a National Hunt Flat Race; or
  - 16.4 a Race in respect of which disciplinary action was taken against the Jockey under [Rule \(F\)37](#), unless it is successfully appealed.

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## TOP AND BOTTOM WEIGHTS

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### GENERAL

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- 17 No horse may carry less than 8st in a Flat Race or 10st in a Jump Race unless:
- 17.1 a Jockey's Allowance is claimed; or
  - 17.2 in a Race confined to Apprentice Jockeys or Conditional Jockeys, the Race Conditions allow it.
- 18 No horse may carry more than 12st in a Flat Race or 13st in a Jump Race.

### HANDICAP FLAT RACES

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- 19 The top weight in a Handicap Flat Race shall not be less than:
- 19.1 the top weight specified in the Race Conditions; or
  - 19.2 if no top weight is specified in the Race Conditions:
    - 19.2.1 for a Nursery Handicap, 9st 7lb;
    - 19.2.2 for a Heritage Handicap open to horses aged three only, 9st 7lb;
    - 19.2.3 for any other Heritage Handicap, 9st 10lb.
    - 19.2.4 in a race where differential top weights are specified to take account of the weight-for-age allowance, the weight applicable to the horse entered in the race with the highest Handicap Rating.
- 20 The bottom weight in a Handicap Flat Race shall not be less than:
- 20.1 the bottom weight specified in the Race Conditions, or
  - 20.2 if no bottom weight is specified in the Race Conditions, 8st.
- 21 The unadjusted weights in any Handicap Flat Race may go down to weights below the permitted bottom weight.

- 22 Any horse entered in a Handicap Flat Race with a Handicap Rating below 46 shall be given an original weight that is equivalent to a Handicap Rating of 45.

## HANDICAP JUMP RACES

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- 23 The top weight in a Handicap Jump Race shall not be less than:
- 23.1 the top weight specified in the Race Conditions; or
  - 23.2 if no top weight is specified in the Race Conditions, 11st 12lb.
- 24 The bottom weight in a Handicap Jump Race shall not be less than:
- 24.1 the bottom weight specified in the Race Conditions, or
  - 24.2 if no bottom weight is specified in the Race Conditions, 10st.
- 25 The unadjusted weights in any Handicap Jump Race may go down to weights below the permitted bottom weight.

## WEIGHT ADJUSTMENTS

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### HANDICAP FLAT RACES

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#### Weight adjustments following a Scratching Deadline or Confirmation of Entry

- 26 After a Scratching Deadline or Confirmation of Entries in a Handicap Flat Race that is an Early Closer, the highest original weight of the horses that remain entered in the Race shall be raised to the top weight and all other entries shall be raised equally.

#### Weight adjustments following Declarations to Run

- 27 Horses that are:
- 27.1 1lb or 2lb above the Upper Rating Limit; or
  - 27.2 a reserve for the Race,
- shall be initially ignored for weight adjustments for any Handicap Flat Race:
- 28 After the deadline for Declarations to Run in a Handicap Flat Race, except for horses disregarded under paragraph 27, weights shall be adjusted in the following order:
- 28.1 the highest original weight, excluding penalties, of the horses that remain entered in the Race shall be raised by the lowest amount necessary to ensure compliance with either the weight maximum for older horses, or 9st 7lb, and the weight of all other horses raised equally, if:
    - 28.1.1 the weight of the highest weighted horse, excluding penalties, is less than the top weight; or
    - 28.1.2 for any Handicap Flat Race that is not confined to Amateur Jockeys, the highest original weighted horse in receipt of a weight-for-age allowance is less than the top weight for a horse of that age, or 9st 7lb, whichever is the higher.
  - 28.2 any penalty incurred after the date stated in the Race Conditions shall then be added to the weights;
  - 28.3 the weight of any horse that remains below the bottom weight shall be raised to the bottom weight; and
  - 28.4 for any Handicap Flat Race that is not confined to Amateur Jockeys, if applicable the weight of the lowest weighted horse shall be lowered, and the weights of all other horses lowered equally, to the higher of:
    - 28.4.1 9st 2lb, or
    - 28.4.2 the minimum weight stated in the Race Conditions.
  - 28.5 for any Novice Flat Race, the highest original weight, excluding penalties of the horses that remain entered in the Race shall be raised to:

28.5.1 9st in a Race that is restricted to fillies only or to colts and geldings only, if the highest original weight is less than 9st; or

28.5.2 9st 5lb in any other Race, if the highest original weight is less than 9st 5lb,

and the weight of all other horses raised equally.

29 A penalty incurred after the deadline for Declarations to Run shall be calculated:

29.1 including weight adjustments under paragraphs 26, 28.1, 28.4 and 30; and,

29.2 excluding any increase under paragraph 28.3.

30 After any weight adjustments under paragraphs 28 to 29, the weight of any horse that was disregarded under paragraph 27 shall be adjusted by adding or removing the amount by which the weights of the other horses were raised or lowered.

31 If a weight adjustment under paragraph 30 causes the top weight (excluding penalties) to exceed:

31.1 10st 7lb, or

31.2 12st in races confined to Amateur Jockeys,

the top weight will be lowered to a maximum of 10st 7lb, or 12st in races confined to Amateur Jockeys, and all other weights lowered accordingly.

## HANDICAP JUMP RACES

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### Weight adjustments following a Scratching Deadline or Confirmation of Entry

32 After a Scratching Deadline or Confirmation of Entries for any Handicap Jump Race that is an Early Closer, the highest original weight of the horses that remain entered in the Race shall be raised to the top weight and all other entries shall be raised equally.

### Weight adjustments following Declarations to Run

33 Horses that are:

33.1 1lb or 2lb above the Upper Rating Limit;

33.2 a reserve for the Race;

33.3 Declared to Run and the Race is a Second Preference Race;

33.4 entered in a Class 1 Handicap Race and at the deadline for Declarations to Run:

33.4.1 have run in a Race within the immediately preceding 24 hours, or

33.4.2 are already Declared to Run in another Race which has not been abandoned,

shall be initially ignored for weight adjustments for any Handicap Jump Race.

34 After the deadline for Declarations to Run in a Handicap Jump Race, except for horses disregarded under paragraph 33, weights shall be adjusted in the following order:

34.1 the highest original weight, excluding penalties, of the horses that remain entered in the Race shall be raised to the top weight, and the weight of all other horses raised equally, if the weight of the highest weighted horse, excluding penalties, is less than the top weight;

34.1.1 for an Early Closer, the weight of the highest weighted horse ignoring penalties is less than the top weight; or

34.1.2 otherwise, the weight of the highest weighted horse is less than the top weight;

34.2 any penalty incurred after the date stated in the Race Conditions shall be added to the weights, except that no penalty may increase a horse's weight above 12st 7lb in any Race and no penalty may be added where the original or final weight is equal to or above that weight;

34.3 the weight of any horse that remains below the bottom weight shall be raised to the bottom weight; and

34.4 for any Handicap Jump Race that is not confined to Amateur Jockeys, if applicable the weight of the lowest weighted horse shall be lowered, and the weights of all other horses lowered equally, to the higher of:

34.4.1 11st, or

34.4.2 the minimum weight stated in the Race Conditions.

35 A penalty incurred after the deadline for Declarations to Run shall be calculated on the original weight:

35.1 including weight adjustments under paragraphs 32, 34.1 and 36; and,

35.2 excluding any increase under paragraph 34.3.

36 After any weight adjustments under paragraphs 34 to 35, the weight of any horse that was disregarded under paragraph 33 shall be adjusted by adding or removing the amount by which the weights of the other horses were raised or lowered.

37 If a weight adjustment under paragraph 36 causes the top weight (excluding penalties) to exceed 12st 7lb, the top weight will be lowered to a maximum of 12st 7lb and all other weights lowered accordingly.

## CORRECTIONS

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38 The BHA may (i) add a horse to a Handicap Race where the horse was entered for the Race but its name or weight has been omitted, and/or (ii) correct an incorrect weight:

38.1 before midday on the Friday before the first Scratching Deadline, or

38.2 if there is no Scratching Deadline, before 9am on the day for Declarations to Run.

## PENALTIES, ALLOWANCES AND QUALIFICATIONS

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### RACES RELEVANT TO CALCULATION OF PENALTIES, ALLOWANCES AND QUALIFICATIONS

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39 The calculation of any penalty or allowance or the qualification of any horse for any Race shall exclude National Hunt Flat Races, Irish National Hunt Flat Races and French AQPS Races.

40 The calculation of any penalty or allowance of any horse for Flat Races shall also exclude the Newmarket Challenge Whip, Steeple Chases and Hurdle Races.

41 The calculation of any qualification of any horse for Flat Races shall also exclude Steeple Chases and Hurdle Races.

42 The calculation of any penalty or allowance or the qualification of any horse for Steeple Chase and Hurdle Races shall also exclude Flat Races.

## DETERMINING THE VALUE OF A RACE

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43 To calculate any penalty or allowance or horse's qualification for a Race, the amount won by a horse in a Race:

43.1 is the sum of all Prize Money and Appearance Money paid to the Owner, Trainer, Jockey and stable of the horse;

43.2 shall be determined after any adjustments to prizes under [paragraphs 16 to 18 of the Stakes and Prize Money Code](#)

43.3 shall not include:

43.3.1 any payment not specifically related to the placing or performance of the horse in the Race, including any supplementary payment which is conditional on circumstances additional to the horse's performance;

43.3.2 any additional prize in the Race Conditions to a Trainer, Jockey, stable or breeder which is not included in [paragraph 9 of the Stakes and Prize Money Code](#) (including VAT if applicable);

43.3.3 any payment for the sponsorship of number cloths (including VAT if applicable); or

43.3.4 any Challenge Cup.

44 The value of a Race to the winner shall be published in The Official Form Book.

## DETERMINING THE VALUE OF RACES AND SALES OUTSIDE GREAT BRITAIN AND CHANNEL ISLANDS

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45 The BHA shall determine the pound sterling (£GBP) value of:

45.1 Races run; and

45.2 horses sold at public auction (exclusive of any tax),

outside of Great Britain and the Channel Islands using the [exchange rates published by the BHA](#).

46 The BHA may fix a ratio of points to money in respect of Races run in countries where points rather than money are used to indicate the importance of a Race.

## DETERMINING THE DISTANCE OF RACES OUTSIDE GREAT BRITAIN AND CHANNEL ISLANDS

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47 The BHA shall determine the distance of a Race run over a distance expressed in metres and kilometres using 200 metres as the equivalent of one furlong.

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## WEIGHT ALLOWANCES

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### HORSES

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48 All weight allowances for a horse are cumulative unless otherwise specified.

49 Subject to the minimum weights permitted for the Race by [paragraph 17](#), and excluding Handicap Races, fillies and mares shall receive the following weight allowances unless otherwise directed by the BHA:

49.1 5lb for a Flat Race except for any Pattern Race or Rating Related Maiden Race;

49.2 3lb for a Flat Race that is a Pattern Race;

49.3 7lb for a Jump Race

50 Subject to the minimum weights permitted for the Race by [paragraph 17](#), and excluding Handicap Races, horses foaled in the period 1 July to 31 December (inclusive) in the southern hemisphere shall receive the following weight allowances:

50.1 for a Race for horses of more than one age, the appropriate southern hemisphere weight-for-age allowance in Part 4 or 5 of the Weight-for-Age Scale; and

50.2 for a Race for horses of a single age, a deduction of weight that represents the difference between:

50.2.1 the appropriate weight for age allowance specified in Part 2 or 3 of the Weight-for-Age Scale; and,

50.2.2 the appropriate weight for age allowance specified in Part 4 or 5 of the Weight-for-Age Scale.

### JOCKEYS

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51 Jockeys must claim the correct weight allowance in any Race.

#### Jockeys' Allowances in Flat Races

52 Weight allowances for Jockeys riding in Flat Races are:

52.1 7lb until they have won 20 Races;

52.2 5lb until they have won 50 Races; and

52.3 3lb until they have won 95 Races,

providing the Race is a:

52.4 Handicap Race, except a Listed Race;

52.5 Selling Race; or

52.6 Class 3, 4, 5, 6 or 7 Weight-for-Age Race,

and it is not restricted to Jockeys who are entitled to claim a weight allowance.

#### Jockeys' Allowances in Jump Races

53 Weight allowances for Jockeys riding in Jump Races are:

53.1 10lb until they have won 5 Races, if they are a Conditional Jockey riding for their employing Trainer;

53.2 7lb until they have won 20 Races;

53.3 5lb until they have won 40 Races; and

53.4 3lb until they have won 75 Races,

providing the Race is a:

53.5 Handicap Race, except the Grand National Steeple Chase;

53.6 Selling Race;

53.7 Class 3, 4 or 5 Weight-for-Age Race; or

53.8 Class 3, 4, 5 or 6 National Hunt Flat Race,

and it is not restricted to Amateur Jockeys or Jockeys who are entitled to claim a weight allowance.

#### Jockeys' Allowances in Jump Races restricted to Amateur Jockeys

54 Weight allowances for Amateur Jockeys riding in Jump Races are:

54.1 7lb until they have won 5 Races;

54.2 5lb until they have won 10 Races; and

54.3 3lb until they have won 20 Races, providing the Race is a:

providing the Race is a:

54.4 Handicap Race;

54.5 Selling Race; or

54.6 Class 3, 4, 5 or 6 Weight-for-Age Race,

restricted to Amateur Jockeys.

PENALTY

## **JOCKEY'S ALLOWANCES: SUPPLEMENTARY PROVISIONS**

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55 Nothing in this Code restricts the Races to be taken into account in calculating any Jockey's Allowance or determining qualification for any Race which is confined to:

55.1 Apprentice Jockeys,

55.2 Conditional Jockeys, or

55.3 Amateur Jockeys in respect of Flat Races only,

56 Any Jockey entitled to claim a Jockey's Allowance must:

56.1 continue to claim their most recent Jockey's Allowance for three days after the date on which they reach the maximum number of wins for that Jockey's Allowance; and

56.2 inform The Racing Calendar Office of any Race wins outside Great Britain within 48 hours of their return to Great Britain.

57 Paragraph 56.1 applies to any other Race not listed in [paragraphs 52 to 54](#) if Jockey's Allowances are specified in the Race Conditions.

- 58 An Overseas Jockey may not claim a Jockey's Allowance unless, by the deadline for submitting Declarations of Jockey, the Overseas Jockey's age and details of any Race wins have been submitted to The Racing Calendar Office by the Overseas Jockey or the Trainer.

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## PENALTIES

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### PROVISIONS APPLYING TO ALL PENALTIES

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- 59 Penalties are not cumulative unless otherwise specified in the Race Conditions.
- 60 If the Race Conditions require a fixed penalty to be carried for winning a Race, a dead-heat for first place shall be treated the same as an outright win.
- 61 A penalty for winning a National Hunt Flat Race shall apply to National Hunt Flat Races only.
- 62 No penalty shall be incurred by the winner of:
- 62.1 a Race for Conditional Jockeys,
  - 62.2 a Hands and Heels' Steeple Chase or Hurdle Race (as specified in the list of races published in The Racing Calendar),  
or
  - 62.3 an opportunity race run under the Irish National Hunt Steeple Chase Rules,  
in any Steeple Chase, Hurdle Race or National Hunt Flat Race, except for Races for Conditional Jockeys and 'Hands and Heels' Races where specified in the Race Conditions.
- 63 No penalty shall be incurred by the winner of a Race confined to Apprentice Jockeys in Great Britain or Ireland in any Flat Race, except for Races confined to Apprentice Jockeys where specified in the Race Conditions.
- 64 No penalty shall be incurred:
- 64.1 for a horse placed second or lower in any Race;
  - 64.2 in a Handicap Race for winning a walk-over; or
  - 64.3 for the Newmarket Challenge Whip.

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### PENALTY FOR WINNING RACES OF SPECIFIC CLASS

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- 65 For the purpose of determining any penalty, a horse that wins:
- 65.1 a Grade A Handicap Steeple Chase or Hurdle Race in Ireland shall be regarded as having won a Grade 3 Pattern Race;  
and
  - 65.2 a Grade B or C Handicap Steeple Chase or Hurdle Race in Ireland shall be regarded as having won a Listed Race.

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### PENALTY FOR WINNING OTHER FLAT RACES

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- 66 For the purpose of determining penalties, allowances and qualifications in connection with the winning of any Flat Races:
- 66.1 Races appearing in Part I of the International Cataloguing Standards Book shall be regarded as being of the status (Group/Graded or Listed) as described.
  - 66.2 Races appearing in Part II of the International Cataloguing Standards Book shall be regarded as being of Listed status.
  - 66.3 Races appearing in neither Part I nor Part II of the International Cataloguing Standards Book shall be regarded as being of neither Group nor Listed status

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## CLASSIFICATION OF RACES

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# FLAT RACES

## Flat Races run in Great Britain

67 With effect from 1 January 2019, Flat Races run in Great Britain shall be classified as follows:

CLASS	RACE TYPE	3YO+	2YO+	MIN/MAX VALUE
CLASS 1				
	Group 1	£200,000	£150,000	min value
	Group 2	£90,000	£65,000	min value
	Group 3	£60,000	£40,000	min value
	Listed (including those Listed Handicaps 96-110)	£37,000	£25,500	min value
CLASS 2				
	Heritage Handicaps	£100,000	N/A	min value
	Handicaps 0-05, 0-110 and Open	£45,000	N/A	min value
	Conditions Stakes			
	Handicaps 86-100, 91-105 and 96-110			
	Nursery Handicaps - Open			
	Classified Stakes 0-95			
	Novices and Maidens	£19,000	£14,000	min value
CLASS 3				
	Conditions Stakes	£30,000	£22,800	max value
	Handicaps 76-90 and 81-95			
	Classified Stakes 0-85 and 0-90			
	Nursery Handicaps 0-90 and 0-95			
	Novices and Maidens	£11,500	£10,000	min value
CLASS 4				
	Conditions Stakes	£15,000	£13,200	max value
	Handicaps 66-80 and 71-85			
	Classified Stakes 0-80			
	Nursery Handicaps 0-80 and 0-85			
	Novices/Novice Auction/Novice Median Auction			
	Maidens/Maiden Auction/Median Auction Maiden			
	Claimers and Sellers	£7,250	£6,100	min value
CLASS 5				
	Handicaps 56-70 and 61-75	£9,600	£8,400	max value
	Nursery Handicaps and Classified Stakes 0-70 to 0-75			
	Novices/Novice Auction/Novice Median Auction			
	Maidens/Maiden Auction/Median Auction Maiden/Rating Related Maiden			
	Claimers and Sellers	£4,500	£4,500	min value
CLASS 6				
	Handicaps 46-60 and 51-65	£6,000	£6,000	max value

	Nursery Handicaps and Classified Stakes 0-60 and 0-65			
	Novice Auction/Novice Median Auction			
	Maiden Auction/Median Auction Maiden/Rating Related Maiden			
	Claimers and Sellers	£3,500	£3,500	min value
<b>CLASS 7</b>				
	Handicaps 45-50			max value
				min value

Note:

- all Handicaps of 13.5f and above will have 20lb weight-ranges, i.e. Class 2 will be 86-105 and 81-100, Class 3 76-95 and 71-90 etc, at all times
- all Handicaps will have 20lb weight-ranges during the months of June, July and August.

#### Flat Races run outside Great Britain

68 Flat Races run outside Great Britain shall be classified as follows:

68.1 Pattern Races and Listed Races shall be classified as Class 1.

68.2 Handicaps and other Races shall be classified by penalty value as follows:

CLASS	HANDICAPS	OTHER RACES
Class 1	Not applicable	Not applicable
Class 2	£20,000 or more	£15,000 or more
Class 3	£12,000 to £19,999	£10,000 to £14,999
Class 4	£6,250 to £11,999	£6,250 to £9,999
Class 5	£3,750 to £6,249	£3,750 to £6,249
Class 6	Below £3,750	Below £3,750

## STEEPLE CHASES, HURDLE RACES AND NATIONAL HUNT FLAT RACES

#### Steeple Chases, Hurdle races and National Hunt Flat Races run in Great Britain

69 With effect from 26 April 2020, all steeple chases, hurdle races and National Hunt Flat Races run in Great Britain shall be classified as follows:

CLASS	RACE TYPE	STEEPLE CHASES	NOVICES' STEEPLE CHASES	HURDLES	JUVENILE & NOVICES' HURDLES	NATIONAL HUNT FLAT RACES	MIN/MAX VALUE
<b>CLASS 1</b>							
	Grade 1	£100,000	£45,000	£75,000	£40,000	£25,000	min value
	Grade 2	£50,000	£32,000	£40,000	£30,000	£20,000	min value
	Grade 3	£40,000	N/A	£35,000	£35,000	N/A	min value
	Listed Races	£27,500	£22,500	£22,00	£20,000	£20,000	min value
<b>CLASS 2</b>							
	Open Handicaps	£22,500		£18,500			min value

	Weight-for-Age Conditions Races						
	Handicaps 0-145+						
	Open Novices' Handicaps						
	Weight-for-Age Juvenile, Novices' & Beginners' Races						
	National Hunt Flat Races						
	Hunters' Steeple Chases	£18,500	£18,500	£15,000	£15,000	£14,000	min value
<b>CLASS 3</b>							
	Open Novices' Handicap Steeple Chases	£30,000	WFA Races £18,499	£24,000	WFA Races £14,999	£13,999	max value
	Handicaps & Novices' Handicaps 0-125 to 0-140						
	Weight-for-Age Novices', Beginners', Juvenile & Maiden Races						
	National Hunt Flat Races						
	Hunters' Steeple Chases	£10,000	£10,000	£8,300	£8,300	£8,300	min value
<b>CLASS 4</b>							
	Handicaps & Novices' Handicaps 0-110 to 0-120	£13,800	£9,999	£12,000	£8,299	£8,299	max value
	Weight-for-Age Novices', Beginners', Juvenile & Maiden Races						
	Weight-for-Age Claiming & Selling Races						
	National Hunt Flat Races						
	Hunters' Steeple Chases	£5,800	£5,800	£5,000	£5,000	£5,000	min value
<b>CLASS 5</b>							
	Handicaps & Novices' Handicaps 0-100 to 0-105	£8,400	£5,799	£7,200	£4,999	£4,999	max value
	Weight-for-Age Claiming Races, Selling Races & Selling Handicaps						
	National Hunt Flat Races						
	Hunters' Steeple Chases	£3,800	£3,800	£3,500	£3,500	£3,500	min value
<b>CLASS 6</b>							
	Hunters' Steeple Chases	£3,799					max value
		£1,500					min value

Steeple Chases, Hurdle races and National Hunt Flat Races run outside Great Britain

70 Steeple Chases, Hurdle Races and National Hunt Flat Races run outside Great Britain shall be classified as follows:

70.1 Pattern Races and Listed Races run in Ireland shall be classified as Class 1;

70.2 other Steeple Chases and Hurdle Races shall be classified by penalty value as follows:

CLASS	OTHER STEEPLE CHASES	OTHER HURDLE RACES
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Class 1	£25,000 or more	£17,500 or more
Class 2	£12,500 to 24,999	£10,000 to £17,499
Class 3	£7,500 to £12,499; and £5,000 to £7,499	£6,500 to £9,999; and £4,500 to £6,499
Class 4	£3,750 to £4,999; and Below £3,750	£3,250 to £4,499; and Below £3,250

71 Irish National Hunt Flat Races (excluding Pattern Races and Listed Races run in Ireland) shall be classified as Class 5.

# PROHIBITED LIST CODE

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- CATEGORY A PROHIBITED SUBSTANCES
- CATEGORY A PROHIBITED METHODS
- CATEGORY B PROHIBITED SUBSTANCES
- CATEGORY B PROHIBITED METHODS
- CATEGORY C PROHIBITED SUBSTANCES

# PROHIBITED LIST CODE

## CATEGORY A PROHIBITED SUBSTANCES

The substances set out at paragraphs 1 to 6 below are defined as Category A Prohibited Substances.

- 1 **The following** anabolic agents:
  - 1.1 anabolic androgenic steroids;
  - 1.2 other anabolic agents, including but not limited to selective androgen receptor modulators (SARMs);
  - 1.3 beta-2 agonists, unless the substance is prescribed by a veterinarian as a bronchodilator at the appropriate dose.
- 2 **The following** peptide hormones, growth factors and related substances (**save where** oxytocin **is** used in fillies and mares in breeding management or to block oestrus cycling):
  - 2.1 erythropoiesis-stimulating agents, including but not limited to erythropoietin (EPO), epoetin alfa, epoetin beta, darbepoetin alfa, and methoxy polyethylene glycol-epoetin beta, peginesatide, hypoxia inducible factor (HIF)-1 stabilisers;
  - 2.2 growth hormones and growth hormone releasing factors, insulin-like growth factor-1 (IGF-1), and other growth factors;
  - 2.3 synthetic proteins and peptides and synthetic analogues of endogenous proteins and peptides not registered for medical or veterinary use.
- 3 **The following** hormone and metabolic modulators:
  - 3.1 aromatase inhibitors;
  - 3.2 selective estrogen receptor modulators (SERMS) and other anti-estrogenic substances;
  - 3.3 agents modifying myostatin function, including but not limited to myostatin inhibitors;
  - 3.4 insulins;
  - 3.5 peroxisome proliferator activated receptor  $\delta$  (PPAR  $\delta$ ) agonists, including but not limited to GW 1516;
  - 3.6 AMPK activators, including but not limited to AICAR (5-aminoimidazole-4-carboxamide-1- $\beta$ -D-ribofuranoside).

## THRESHOLD SUBSTANCES

- 4 The concentration specified in relation to each of the following substances is the minimum concentration that must be present before a Sample is regarded as testing positive for the substance. The substances and the thresholds are:
  - 4.1 Boldenone - 0.015 microgram free and conjugated Boldenone per millilitre in urine from male horses (other than geldings)
  - 4.2 Estradiol in male horses (other than geldings): 0.045 microgram free and glucuroconjugated 5 $\alpha$ -estrane-3 $\beta$ , 17 $\alpha$ -diol per millilitre in urine\*
  - 4.3 Methoxytyramine - 4 micrograms free and conjugated 3-methoxytyramine per millilitre in urine
  - 4.4 Testosterone: 0.02 microgram free and conjugated testosterone per millilitre in urine from geldings, or 0.055 microgram free and conjugated testosterone per millilitre in urine from fillies and mares (unless in foal)
  - 4.5 Testosterone: 100 picograms free testosterone per millilitre in plasma from geldings, fillies and mares (unless in foal)

## NON-APPROVED SUBSTANCES

- 5 **Other substances with a similar chemical structure or similar biological effect to those set out in paragraphs 1 to 4 above.**
- 6 **Any substance not addressed by any of the other classes of substances, and which has no current approval by any government regulatory authority for veterinary use, or any substance not universally recognised by veterinary regulatory authorities as valid veterinary therapeutic treatment.**

\*When, at the screening stage, the free and glucuroconjugated 5 $\alpha$ -estrane-3 $\beta$ , 17 $\alpha$ - diol exceeds the free and glucuroconjugated 5, 10-estrane-3 $\beta$ , 17 $\alpha$ -diol in the urine

NB: The conjugated substance is the substance that can be liberated from conjugates.

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## CATEGORY A PROHIBITED METHODS

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The methods set out at paragraphs 7 to 11 below are defined as Category A Prohibited Methods.

### MANIPULATION OF BLOOD AND BLOOD COMPONENTS

- 7 Withdrawal, manipulation and re-infusion of homologous, heterologous or autologous blood, blood products or blood cells into the circulatory system, with the exception of those used for life-saving purposes or as veterinary regenerative therapies for the treatment of musculoskeletal injury or disease.

### BLOOD TRANSFUSIONS

- 8 Giving a blood transfusion to a horse or allowing or causing a blood transfusion to be given for the purposes of enhancing its performance.

### GENETIC AND CELLULAR MANIPULATION

- 9 Modification of the heritable genome at any time of a horse's life. Any gene therapy or cellular manipulation in a horse must not be capable of:
- 9.1 giving the horse an advantage or disadvantage in a race contrary to the horse's inherent merits; or
  - 9.2 being detrimental to the horse's welfare
- 10 The BHA may, at its discretion, allow or disallow racing by horses or their offspring after such therapy. Any gene therapy for a horse intended to race must be fully documented in the horse's Passport or in such manner as required by the BHA and shall be reported immediately to the BHA.

### OXYGEN CARRIERS

- 11 **Products that artificially enhance** the uptake, transport or delivery of oxygen, including, but not limited to:
- 11.1 perfluorochemicals;
  - 11.2 efaproxiral (RSR13); and
  - 11.3 modified haemoglobin products (excluding the use of licensed veterinary treatments in situations of acute, life-threatening anaemia).

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## CATEGORY B PROHIBITED SUBSTANCES

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The substances set out at paragraphs 12 to 15 are defined as Category B Prohibited Substances.

- 12 Any substance that is capable at any time of causing an action **and /** or effect, within one or more of the following mammalian body systems:
- 12.1 nervous system;
  - 12.2 cardiovascular system;
  - 12.3 respiratory system;
  - 12.4 digestive system;
  - 12.5 urinary system;
  - 12.6 reproductive system;
  - 12.7 musculoskeletal system;
  - 12.8 blood system
  - 12.9 immune system (except for licensed vaccines against infectious agents);

12.10 endocrine system.

13 Endocrine secretions and their synthetic counterparts;

14 Masking agents.

## THRESHOLD SUBSTANCES

15 The **concentration specified in relation to each of the** following substances **is the minimum concentration that must be present before a Sample is regarded as testing positive for the substance. The substances and thresholds are:**

15.1 Arsenic: 0.3 microgram total arsenic per millilitre in urine Available;

15.2 Available Carbon Dioxide: 36 millimoles per litre in plasma;

15.3 Cobalt: 0.1 micrograms (= 100 nanograms) total cobalt per millilitre in urine;

15.4 Cobalt: 0.025 micrograms (= 25 nanograms) total (free and protein bound) cobalt per millilitre in plasma;

15.5 Dimethyl Sulfoxide: 15 micrograms per millilitre in urine or 1 microgram per millilitre in plasma;

15.6 Hydrocortisone: 1 microgram per millilitre in urine;

15.7 Prednisolone: 0.01 micrograms free prednisolone per millilitre in urine;

15.8 Salicylic Acid: 750 micrograms per millilitre in urine or 6.5 micrograms per millilitre in plasma.

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## CATEGORY B PROHIBITED METHODS

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16 Alkalinisation.

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## CATEGORY C PROHIBITED SUBSTANCES

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The substances set out in paragraph 17 below are defined as Category C Prohibited Substances.

17 Any substance which, in the opinion of the Veterinary Officer, falls in the category of

17.1 a sedative;

17.2 a tranquiliser;

17.3 an hypnotic; or

17.4 an anxiolytic;

are defined as Category C Prohibited Substances.

WHEREABOUTS REQUIREMENTS CODE

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# WHEREABOUTS REQUIREMENTS CODE

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## **Responsible Persons – General**

- 1 The BHA may at any time require the Responsible Person to provide whereabouts information as may be necessary so that the BHA may take a Sample from a horse at any time.
- 2 The whereabouts information required includes but is not limited to:
  - 2.1 the full address of the location where the horse will be staying overnight each night;
  - 2.2 the name and contact details (including mobile phone number) of a designated contact person who will be available at all times to be notified that a Sample is to be taken
- 3 The Responsible Person is responsible for ensuring that all information provided is accurate and that it is sufficient to allow the BHA to:
  - 3.1 to locate the horse on any given day at the location(s) specified and take a Sample;
  - 3.2 the BHA to find and access the location and the horse;
  - 3.3 contact the Responsible Person or his designated contact person (if any).
- 4 The whereabouts information must be provided within the time stipulated by the BHA. If the information provided changes the Responsible Person inform the BHA of the change as soon as possible.
- 5 Any Responsible Person may delegate the task of complying with his obligations under this Code to a third party. The BHA may require written notice of any agreed delegation to be filed with it, signed by both the Responsible Person and the third party delegate. In all cases, the Responsible Person remains responsible for ensuring compliance with this Code

## **Horses based in Great Britain**

- 6 The Responsible Person must always provide up to date information on the location of their horses.

## **Horses not yet in training**

- 7 A horse not yet in training shall mean a horse foaled in Great Britain and Notification provided to the General Stud Book; or otherwise a horse which has been registered with the General Stud Book but is not yet registered with the BHA and in training.
- 8 The Responsible Person shall be presumed to be the Breeder of the Horse unless they can establish otherwise to the satisfaction of the BHA.
- 9 The obligations on an owner to provide information shall continue until (i) notification to the BHA that a horse under their ownership has been sold to a third party including details of that owner, or the auction house through which it was sold (this can be made at any time, including upon request by the BHA); or (ii) the horse has been registered with the BHA and is now in training.

## **Horses trained outside of Great Britain which are entered for a race in Great Britain**

- 10 A horse trained outside of Great Britain cannot run in a Race unless:
  - 10.1 it has been in Great Britain for at least ten working days before the Race; and
  - 10.2 a Sample has been taken from the horse and analysed.
- 11 The Responsible Person shall provide the BHA with the whereabouts information for the horse referred to in paragraph 10 above in order to allow the Sample to be taken.
- 12 The BHA may waive the requirements of paragraphs 10 and 11 if:
  - 12.1 the horse is being trained in a country with an appropriate testing policy in place; and
  - 12.2 a Sample is taken from the horse before it leaves that country which is analysed at a BHA Approved Laboratory.
- 13 The collection of a Sample prior to the horse arriving in Great Britain does not preclude the BHA from collecting a further Sample from the horse upon arrival in Great Britain or requiring the Trainer to provide whereabouts information necessary to allow any such Samples to be collected.

## **Horses permanently imported into Great Britain to be trained in Great Britain**

- 14 If a horse is permanently imported into Great Britain to be trained in Great Britain, the Responsible Person must within 90 days of its arrival file with the General Stud Book:
  - 14.1 the Export Certificate; and
  - 14.2 the analysis of a Sample taken by the BHA after arrival in Great Britain which does not show the presence of a Prohibited Substance At All Times or a Prohibited Method At All Times.
- 15 Responsible Persons for Horses permanently imported into Great Britain to be trained in Great Britain are required to provide the BHA with whereabouts information within 7 working days of the horse's arrival so that the BHA may collect a Sample from the horse at any time at the Responsible Person's cost.
- 16 The BHA may elect to waive the whereabouts requirements on Responsible Persons if a Horse which is being permanently imported into Great Britain has spent at least 12 consecutive months immediately prior to the date of importation in a country that the BHA is satisfied has an equivalent testing policy in place to that of the BHA. The BHA may also elect to waive the requirement for a Sample to be taken
- 17 The BHA may choose to allow the Sample to be collected prior to importation to Great Britain, by the BHA or its agents. In such circumstances, it may amend the whereabouts requirements on Responsible Persons to enable such Sample collection to occur. The collection of a Sample prior to importation does not preclude the BHA from also collecting Samples from the horse upon arrival in Great Britain, as well as requiring the Responsible Person to provide whereabouts information necessary to allow any such Samples to be collected.
- 18 At such time as a Horse permanently imported into Great Britain is duly registered with the BHA it shall be regarded as a horse based in Great Britain.

# BANNED SUBSTANCES AND NOTIFIABLE MEDICATIONS FOR JOCKEYS CODE

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BANNED SUBSTANCES  
NOTIFIABLE MEDICATIONS

# BANNED SUBSTANCES AND NOTIFIABLE MEDICATIONS FOR JOCKEYS CODE

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This list is not intended to be exhaustive. The use, deliberate or otherwise, of any substance that may convey an advantage to the rider or may impair his capability, judgement, coordination or alertness is banned.

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## BANNED SUBSTANCES

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**The substances set out at paragraphs 1 to 13 are defined as Banned Substances.**

- 1 Barbiturates, Thiobarbiturates and related compounds.
- 2 Cannabinoids (or Cannabis metabolites) – at or above a screening threshold in the A sample of 50 nanograms per millilitre as immunoreactive cannabinoids by immunoassay and confirmed at or over a threshold of 15 nanograms per millilitre 11-nor- $\Delta^9$ -tetrahydrocannabinol-9-carboxylic acid by gas chromatography/mass spectrometry.  
  
Both measurements must be at or above the stipulated thresholds.
  - 2.1 Any synthetic, semi synthetic or naturally occurring compound that has been shown to have agonist or partial agonist activity at the CB1 or CB2 receptors in the central nervous system
  - 2.2 Rimonabant or any other Cannabinoid receptor antagonist whether used as an appetite suppressant or for any other purpose
- 3 Gamma-hydroxybutyrate (GHB) and pro-drugs of GHB (1,4-Butanediol, Gammabutyrolactone) at or above a threshold of 10 micrograms per millilitre.
- 4 Dissociative Anaesthetics and related substances. Substances in this group include, but are not exclusively restricted to Ketamine, Phencyclidine, Tiletamine and related compounds.
- 5 Lysergic Acid Diethylamide (LSD).
- 6 Sibutramine and related compounds.
- 7 Stimulants – excluding Caffeine, Phenylpropanolamine and Pseudoephedrine (For Ephedrine see paragraph 9 below).  
  
Substances in this group include, but are not exclusively restricted to, Amphetamines, Cocaine, and the “Ecstasy” group e.g. Methylenedioxymphetamine (MDA), Methylenedioxyethylamphetamine (MDEA), and Methylenedioxymethylamphetamine (MDMA). N.B. L-methamphetamine (levo-metamphetamine) is excluded. Cocaine metabolites to be screened at 300 nanograms per millilitre and confirmed at 150 nanograms per millilitre. N.B. Salbutamol, Salmeterol, Formoterol and Terbutaline may be taken by inhaler only.  
  
*N.B. Salbutamol, Salmeterol, Formoterol and Terbutaline may be taken by inhaler only.*
- 8 Other prohibited stimulants – Clenbuterol, Benzylpiperazine and its derivatives, Ketoamphetamines, Cathinone and its derivatives, whether naturally occurring, synthetic or semi-synthetic.
- 9 Ephedrine at or above a threshold in the A sample of 10 micrograms per millilitre in urine.
- 10 Diuretics – substances in this group include but are not exclusively restricted to Furosemide, Glycerol, Acetazolamide, Spironolactone, Thiazides, Amiloride, Triamterine, Canrenone, Diclofenamide, Chlorthalidone, Bumetanide, Etacrynic acid and Piretanide.
- 11 Methylphenidate.
- 12 Modafinil, Armodafinil and related compounds.
- 13 Opiates and Opioids – excluding Codeine, Dextromethorphan, Ethylmorphine, Loperamide and Pholcodine.  
  
Substances in this group include, but are not exclusively restricted to, Heroin, Methadone, Morphine, Oxycodone, Fentanyl, Tramadol, Tapentadol, Buprenorphine, Dihydrocodeine and Pethidine. Morphine to be screened at a threshold of 2 micrograms per millilitre in urine.

# NOTIFIABLE MEDICATIONS

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**The substances referred to in paragraphs 14 to 17 are defined as Notifiable Medications.**

- 14 Anti-depressants, including but not exclusively restricted to
  - 14.1 Monoamine Oxidase inhibitors (MAOIs) including Selegiline
  - 14.2 Tetracyclic Anti-depressants
  - 14.3 Tricyclic Anti-depressants
  - 14.4 4 5HT reuptake inhibitors and other neurotransmitter re-uptake inhibitors such as Venlafaxine
  - 14.5 Lithium Salts.
- 15 Benzodiazepines (e.g. Diazepam, Lorazepam, Nitrazepam, Oxazepam, Temazepam) and substances with similar structure or pharmacological activity (e.g. Benzodiazepine receptor agonists, Zaleplon, Zolpidem, Zopiclone).
- 16 Sedative medications including the H1 receptor antagonists (e.g. Diphenhydramine, Promethazine and Trimeprazine) as well as medications such as Chloral Hydrate and Meprobromate.
- 17 Anti-Psychotic drugs including Chlorpromazine, Clozaril, Haloperidol, Olanzapine, Phenothiazines, Atypical anti-psychotic drugs, Melatonin agonists (e.g. Ramelteon) and related substances.

# JOCKEY TESTING CODE

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SAMPLING  
POSITIVE ANALYSIS  
PROCEDURES TO BE FOLLOWED REGARDING REINSTATEMENT  
ENHANCED SAMPLING PROGRAMME  
NOTIFIABLE MEDICATIONS: DETERMINING FITNESS TO RIDE

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# JOCKEY TESTING CODE

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## SAMPLING

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### GENERAL

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- 1 The BHA may take a Sample from a Jockey at any time with or without notice.
- 2 All Samples will be taken by an Approved Person.
- 3 A Jockey must, on request from a BHA Official:
  - 3.1 provide a Sample to an Approved Person; and/or
  - 3.2 submit to a medical examination by a Racecourse Medical Officer.
- 4 There shall be no breach of paragraph 3.1 if a Jockey can demonstrate:
  - 4.1 that there was a departure from this Jockey Testing Code that materially contributed to the Jockey's failure or refusal to provide a Sample; and/or
  - 4.2 other reasonable grounds for that failure or refusal.
- 5 A secure chain of custody shall be maintained in respect of a Sample.

### SAMPLING OFF THE RACECOURSE

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- 6 A Jockey must always be contactable using the contact details that they have provided to the BHA.
- 7 If an Approved Person gives the Jockey notice by telephone, the Sample must be taken as soon as possible and in any event within 8 hours of the first contact. The Jockey shall nominate a suitable, private place that is easily accessible to meet the Approved Person and provide the Sample. In the event that the Approved Person deems the meeting place to be unsuitable, the Jockey shall propose alternative(s).
- 8 The Jockey must bring identification and may be accompanied by one other person.

### URINE SAMPLING ON THE RACECOURSE

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- 9 Jockeys engaged to ride shall be selected to provide a urine Sample as follows:
  - 9.1 The BHA shall inform the Approved Person how many urine tests are to be conducted in relation to each category of Jockey at a Race Meeting;
  - 9.2 The Jockeys will be selected randomly by a BHA Official in the presence of the Approved Person, save that:
    - 9.2.1 any Jockey who is subject to the enhanced sampling programme must be tested; and
    - 9.2.2 the BHA may select further Jockeys for testing at its discretion (if authorised by a BHA executive director).
- 10 Where a Jockey has been selected to provide a urine Sample, they must:
  - 10.1 sign to acknowledge that they have been notified of the selection; and
  - 10.2 provide a urine Sample as soon as reasonably practicable, without leaving the Racecourse and in any event within 30 minutes of the finishing time of the last Race of the Race Meeting.
- 11 A Steward may exempt a Jockey from the requirement to provide a urine Sample in limited circumstances, such as where the Jockey:
  - 11.1 is unable to get to the Race Meeting where they are required to provide the urine Sample; or

- 11.2 is engaged to ride at another Race Meeting taking place later that day and it would be unreasonable to require them to provide the urine Sample.
- 12 A Jockey shall not be in breach of paragraph 10.2 where they can establish that:
- 12.1 there was a satisfactory explanation for failing to provide a urine Sample: and
- 12.2 where they did not seek exemption from a Steward pursuant to paragraph 11, there was a satisfactory explanation for failing to seek such an exemption; or
- 12.3 where they did seek exemption from a Steward pursuant to paragraph 11 but the exemption was refused, the exemption was refused wrongfully.
- 13 The procedure relating to the taking of a urine Sample shall be as follows:
- 13.1 The Jockey must report to the location assigned for sampling by the Approved Person.
- 13.2 The Jockey must select an unused plastic collecting vessel and must give the Sample in the presence of the Approved Person.
- 13.3 To ensure the authenticity of the Sample, the Approved Person may require exposure of the Jockey's body from the middle of the back to below the knees. If the Approved Person has reason to believe that the Sample is not an authentic Sample, they may require a further Sample and both Samples will be sent to the laboratory.
- 13.4 If the volume of urine produced by the Jockey is 30ml or more, the Sample will be deemed complete and the process will continue from paragraph 13.9 below. If not, the process will continue from paragraph 13.5 below.

#### Partial Sample

- 13.5 The partial sample shall be stored in a temporary bottle and sealed in the corresponding container. The unique ID number on the temporary bottle and container shall be confirmed by the Jockey.
- 13.6 When the Jockey is ready to provide more urine, the process set out in paragraphs 13.3 to 13.4 and shall be repeated until a sample of 30ml or more has been provided. After each Sample is given, the Jockey will check the seal on the temporary container before the Approved Person breaks it and pours the additional urine from the collecting bottle into the temporary bottle. In the event that a Sample of 30ml or more is not provided within 30 minutes of the end of the last Race, this process shall stop and any partial Sample shall be destroyed.
- 13.7 A Jockey may leave before having produced a complete Sample, but must return to provide a complete Sample.
- 13.8 When the volume of urine produced by the Jockey reaches or exceeds 30ml, the process will continue from paragraph 13.9 below.

#### Complete Sample

- 13.9 The Jockey must choose a pair of unopened empty bottles from a standard sampling control kit each of which shall bear unique ID numbers.
- 13.10 On the presence of the Approved Person, the Jockey and any accompanying person:
- 13.10.1 the Jockey (or, if requested, the Approved Person) shall put half the urine Sample into one bottle (the A Sample) and the other half into the other bottle (the B Sample);
- 13.10.2 the bottles shall be sealed and the seal shall be tested by the Jockey or the Approved Person by inverting the bottles;
- 13.10.3 the bottles shall be placed into their corresponding containers from the control kit and sealed and their unique identifier will be noted by the Approved Person;
- 13.10.4 the Jockey and the Approved Person shall check the container seal and the unique ID number against that recorded; and
- 13.10.5 the Jockey shall inform the Approved Person of any drugs or medications they have taken in the last seven days.
- 13.11 The Jockey and the Approved Person shall sign the chain of custody form and any accompanying person shall be invited to do likewise. Any irregularities in the Sample collection procedure to that point that are identified by the

Jockey or any accompanying person shall be indicated on the chain of custody form before signature, otherwise the signature will certify that the Jockey is satisfied with the Sample collection procedure.

#### Analysis of the urine Sample

- 13.12 The sealed containers carrying the A Sample and the B Sample will be placed in an outer transport bag, together with a sealed envelope labelled 'Confidential' containing the (white) laboratory copy of the chain of custody form.
- 13.13 The yellow copy of the chain of custody form shall be placed in the stamped addressed envelope provided, sealed and labelled 'Confidential' and sent to the BHA immediately.
- 13.14 The Approved Person shall prepare a report that appends the race card and/or Jockey list and records:
  - 13.14.1 the number of 'A' and 'B' Samples collected;
  - 13.14.2 the selection procedure;
  - 13.14.3 the details of any matters which might need to be brought to the attention of the Chief Medical Adviser; and
  - 13.14.4 the approved collecting agent relating to facilities.

## ALCOHOL

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- 14 At any Race Meeting, the BHA may require a Jockey to undergo one or more breath tests for alcohol at any time. Where the BHA does so, no Jockey may ride in a Race until they have completed the test(s).
- 15 Breath testing for alcohol shall be carried out as follows:
  - 15.1 A screening Sample will be taken and tested. If the result indicates that a breath test to obtain a quantitative reading is necessary, one shall be carried out immediately (the **First Breath Sample**).
  - 15.2 If the First Breath Sample indicates the presence of alcohol at or above the limit specified in the Rules, a second quantitative breath Sample shall be taken within 15 minutes of the First Breath Sample (the **Second Breath Sample**).
  - 15.3 If the Second Breath Sample, after being subjected to a quantitative test, also indicates the presence of alcohol at or above the permitted limit, the Jockey will be immediately suspended from riding for the rest of that day and the matter shall be referred to the BHA.

## POSITIVE ANALYSIS

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### NOTIFICATION OF A POSITIVE ANALYSIS

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- 16 The BHA shall, wherever possible, notify the Jockey of a Positive Analysis with 72 hours of receipt of notification by the BHA.

## INTERIM SUSPENSION

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- 17 The Licensing Committee may immediately suspend a Jockey's Licence pending a disciplinary hearing if a Jockey:
  - 17.1 returns a Positive Analysis;
  - 17.2 fails or refuses to give a Sample; or
  - 17.3 has taken a Notifiable Medication without informing the Chief Medical Adviser.
- 18 Where an interim suspension is imposed:
  - 18.1 subject to paragraph 19, such decision is final and binding;
  - 18.2 the Jockey will be entitled to a disciplinary hearing on an expedited basis; and
  - 18.3 other than in exceptional circumstances, the interim suspension will be credited against any penalty imposed by the Disciplinary Panel.

- 19 If a Jockey is suspended:
- 19.1 because they failed or refused to give a Sample they may, within 3 working days, apply to the Licensing Committee to have the suspension lifted;
  - 19.2 for any other reason, they may, within 3 working days apply to the Licensing Committee to have that suspension lifted.

## B SAMPLE

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- 20 Where a Jockey returns a Positive Analysis, they may within 3 working days of being notified of the Positive Analysis request an analysis of the B Sample.
- 21 Where a Jockey requests an analysis of the B Sample:
- 21.1 the analysis must take place within 10 working days of the request;
  - 21.2 the analysis shall take place at the same laboratory as the analysis of the A Sample unless the Jockey requests that it takes place at another Approved Laboratory;
  - 21.3 the Jockey, and / or their nominated representative, is entitled on request to be present during analysis of the B Sample and to be given 3 working days' notice of the date of that analysis; and
  - 21.4 in any subsequent proceedings, the Disciplinary Panel may order the Jockey to pay the costs of the analysis (up to a maximum of £1,000).
- 22 The result of the analysis of the B Sample will, wherever possible, be notified to the Jockey within 72 hours of the result being received by the BHA.

## PROCEDURES TO BE FOLLOWED REGARDING REINSTATEMENT

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- 23 Where a Jockey intends to apply for the reinstatement of their Licence, the Jockey must first give the Chief Medical Adviser no less than four weeks' notice and must:
- 23.1 during this period be available at all times in England, Scotland or Wales; and
  - 23.2 provide a contact address and telephone number.

## ENHANCED SAMPLING PROGRAMME

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- 24 A Jockey may be required to submit to an enhanced sampling programme:
- 24.1 as a condition of a Licence being reinstated;
  - 24.2 if they return a Positive Analysis; and / or
  - 24.3 if they are found to have committed an offence relating to drugs by another Recognised Racing Authority or criminal court.

## NOTIFIABLE MEDICATIONS: DETERMINING FITNESS TO RIDE

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- 25 When determining whether a Jockey is fit to ride when taking a Notifiable Medication, the Chief Medical Adviser may require the Jockey to give consent to the Chief Medical Adviser obtaining their medical records to the extent necessary to determine their fitness to ride.
- 26 Having completed their investigation, the Chief Medical Adviser may:
- 26.1 give written consent to a Jockey continuing to ride whilst taking a Notifiable Medication if they consider that the Jockey will be fit to do so; or
  - 26.2 recommend to the Licensing Committee that the Jockey's Licence be suspended until the course of medication is

completed or the Jockey's medical status is no longer a cause for concern.

# DEFINITIONS

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# DEFINITIONS

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**(For the purposes of these Rules the singular includes the plural and vice versa)**

**Adverse Analytical Finding** means a positive finding for the presence of a Prohibited Substance.

**Afternoon Meeting** means a Race Meeting which is not an Evening, Twilight or Floodlit Meeting;

**Age and Markings Certificate** means a certificate that confirms the age and markings of a horse, signed by a Veterinary Surgeon;

**All-Weather Track** means a track with a racing surface that is not turfed;

**Amateur Expenses** means:

any expenses or benefits approved by the BHA;

any assisted or free travel approved by a Recognised Racing Authority; and / or

any approved expenses for Overseas Jockeys which are offered by sponsors of an amateur or club Race and included in the conditions of the Race;

**Amateur Jockey** means a person who holds a valid Licence issued by the BHA, or equivalent licence issued by a Recognised Racing Authority, which allows them to ride in:

Category A: Races that are confined to Amateur Jockeys;

Category B: All races in Category A, National Hunt Flat Races and Steeple Chases and Hurdle Races that are not confined to Professional Jockeys;

**Ambiguous Sex** means a horse whose visible sexual characteristics are contradicted by its genetic make-up or internal organs;

**Appeal Board** means a panel convened in accordance with the Disciplinary Panel Terms of Reference;

**Appearance Money** means additional money paid to the Owner of a horse in accordance with the Stakes and Prize Money Code;

**Appellant** means any person appealing a decision of the Stewards or of a Disciplinary Panel in accordance with the Judicial Panels Code;

**Applicable Limit** means either the Field Size Limit, the Maximum Figure or the Safety Factor, whichever is the lower, as applicable to the specific Race;

**Apprentice Jockey** means a person who holds a valid Licence issued by the BHA which allows them to ride in Flat Races and is subject to the restrictions in [Rule \(B\)33](#);

**Apprentice Jockey's Agreement** means a riding agreement for Apprentice Jockeys on the standard form approved by the BHA;

**Approved Equipment** means equipment approved by the BHA for the purpose of analysing Samples;

**Approved Laboratory** means Laboratories approved by the BHA for the purpose of analysing Samples. They include but are not limited to:

1. Australian Racing Forensic Laboratory (ARFL), Australia
2. Deutsche Sporthochschule Koln Institut fur Biochemie (DSKIB), Germany
3. Hong Kong Jockey Club Racing Laboratory, Hong Kong
4. Laboratoire Des Courses Hippiques (LCH), France
5. LGC Laboratory, Newmarket, UK
6. Racing Analytical Services Limited (RASL), Australia

**Approved Person** is an individual appointed by the BHA to carry out the functions as set out in Rule (L)2;

**AQPS Register** means the Autre Que Pur-Sang register published in France;

**Assistant Valet** means a person who holds a valid Licence issued by the BHA which permits a person to be an Assistant Valet;

**Auction Race** is a Race restricted to horses which have been sold or bought in by public auction at Specified Sales (sales where the horse is unsold at auction or sold privately do not qualify);

**Authorised Agent** means a person appointed to act on behalf of an Owner, Owner's Representative, or other Licensed Person;

**Banned Substance** means the substances prohibited from being present in a Jockey's body as set out in the Banned Substance and Notifiable Medications for Jockeys Code.

**Beginners' Steeple Chase** means a Steeple Chase restricted to horses which have never won a steeple chase run under the Rules of the BHA or any Recognised Racing Authority, other than a point- to-point steeple chase;

**Bet** or **Betting** means:

- placing, taking or having an interest in a bet connected to horseracing in any jurisdiction;
- instructing another person to do so; or
- benefitting in any way from someone else doing so.

**Betting Operator** means any bookmaker; any pool betting operator; any organisation offering spread betting on horseracing or person-to-person betting exchanges on horseracing; any organisation offering a bet; and the employees of any such organisations;

**BHA** means the British Horseracing Authority Limited;

**BHA Identity Card** means an identity card issued by the BHA;

**BHA Objectives** are as approved by the Board of the BHA and published on the BHA website (available[here](#));

**BHA Official** means a Steward, Clerk of the Scales, Starter, Judge, Integrity Officer, any one of their assistants or nominees, and any other person authorised by the BHA;

**Blinkers** means a garment fitted over a horse's head with holes for the eyes and ears, one or both eyeholes being fitted with cowls cutting out all vision to the rear but permitting full forward vision;

**Bloodstock Industry Code of Practice** is the code of practice with that name as published on the BHA website (available[here](#));

**Breeder** means a person or entity recorded as such by the stud book authority of the country of foaling;

**Bribe** means a financial or other advantage to another person in order to induce that person (or any other person) to act in an improper manner, or to reward that person (or any other person) for acting in a way that is contrary to these Rules;

**Business Partner** means a partner in a Business Partnership;

**Business Partnership** means an entity currently entered into the Register of Owners as a Business Partnership;

**Certificate of Non-Contagiousness** means the [prescribed form](#) signed by a Veterinary Surgeon independent of the Trainer and Owner of the horse, stating that the horse is free from ringworm;

**Charge Response Form** means the form used by a person to respond to a charge;

**Chief Medical Adviser** means the chief medical adviser of the BHA;

**Cheek Pieces** means two strips of sheepskin of equal size (or any other similar material or device) which is attached to the cheek pieces of the bridle;

**Claim** is an offer to purchase a horse that ran in a Claiming Race or Selling Race for the Claim Purchase Price;

**Claim Purchase Price** is the total of the advertised price, any premium included in the Race Conditions and VAT;

**Claiming Race** is a Race in which some or all horses that ran may be claimed, and is conducted in accordance with the Selling and Claiming Code;

**Classified Stakes** means a Weight-for-Age Race which is restricted to horses with Handicap Ratings at or below a figure specified in the Race Conditions;

**Clerk of the Scales** means a BHA Official who weighs Jockeys out and in at a Race Meeting;

**Closing** means the deadline for making Entries as set out in the Race Conditions, and **Closes** shall be defined accordingly;

**Codes** mean the codes referred to in the Rules from time to time;

**Communicable Disease** means a disease listed in the Communicable Diseases List as published on the BHA website and which is available [here](#);

**Communication Device** means any powered device which enables a person to communicate by any means with another person

(for the avoidance of doubt this includes, but is not limited to, mobile phones, iPads and tablets);

**Company** means a limited company registered as an Owner;

**Company Manager** means an Owner appointed to act on behalf of a Company;

**Conditional Jockey** means a person who holds a valid Licence issued by the BHA which allows them to ride in Jump Races and is subject to the restrictions in [Rule \(B\)33](#);

**Conditional Jockey's Agreement** means a riding agreement for Conditional Jockeys on the standard form approved by the BHA;

**Conditions Stakes** means a Race which is not:

- a Handicap Race,
- a Classified Stakes,
- a Pattern Race or Listed Race,
- a Selling Race or Claiming Race,
- a Race restricted to Novice or Maiden horses, or a Race restricted to Apprentice Jockeys or Amateur Jockeys where the Total Prize Fund is less than £7,500;

**Conditions Race** means a Race which is not:

- a Handicap Race,
- a Selling Race or Claiming Race, or
- a Race restricted to Novice or Maiden horses;

**Confirmation of Entry** means a notice submitted for a horse with an Entry in an Early Closer, five or six days before the Race, to keep the horse entered in the Race, and **Confirmation of Entries** shall mean the deadline for a Confirmation of Entry;

**Consideration** means any fee, expenses, reward, gift, favour or benefit in kind, but shall not include:

- any trophy that was advertised in the conditions of the race; or
- any expenses apportioned by F.E.G.E.N.T.R.I. for their Championship races under these Rules;

**Dangerous Riding** means where a Jockey causes serious interference by:

- purposely interfering with another horse or Jockey, or
- riding in a way that is far below that of a competent and careful Jockey and where it would be obvious to such a competent and careful Jockey that riding in that way was likely to endanger the safety of a horse or Jockey.

**Debt** means a debt owed: (i) by a Person to another Person which arises from the operation of these Rules; (ii) by a person to the BHA;

**Declaration Sheet** means the document on the Racecourse which contains details relating to each horse in a Race;

**Declaration of Jockey** means a notice confirming which Jockey will ride the horse in the Race;

**Declaration to Run** means a notice that a horse will run in a Race for which it has an Entry;

**Disciplinary Officer** means a person appointed by the BHA to that role;

**Disciplinary Panel** means a panel convened in accordance with the Disciplinary Panel Terms of Reference;

**Disciplinary and Licensing Panel Pool** means the pool of individuals from which Disciplinary Panels and Licensing Committees are selected;

**Early Closer** means a Race that Closes more than six days before the Race, as specified in the Race Conditions;

**Eligible Race** means a Race listed at paragraph 28 of the [Stakes and Prize Money Code](#);

**Entry** means a notice that a horse is entered to run in a Race;

**Entry Point** A Panel should start their penalty deliberations at the 'Entry Point' and, dependent on the circumstances, reduce the sanction to take account of mitigating factors or increase the sanction to take account of aggravating factors. The 'Entry Point' is therefore the normal penalty for a case with no aggravating or mitigating factors. Where no 'Range' is provided for the offence, the recommended 'Entry Point' is a fixed penalty. A Panel should impose this sanction in all cases unless exceptional circumstances are found.

**Equine Anti-doping Rule Violation** means a breach of any of **Rules (K)2 to (K)10**;

**Equine Medication Record Book** means the record of each Treatment administered to horses in the care of a Trainer;

**Equine Welfare Integrity Officer** means a person appointed by the BHA to that role;

**Evening, Twilight or Floodlit Meeting** means a Race Meeting designated as such by the BHA where the first Race is programmed to start on or after 3.30p.m.;

**Excluded Equipment** means anything worn on the horse's legs, Blinkers, breast girth, breast plate, bridle, ear plugs, Eye Cover, Eye Shield, Hood, martingale, muzzle, neck strap, number cloth, plates, rings, Cheek Pieces, silk cap, Skull Cap, Tongue Strap, Visor, whip;

**Exclusion Order** means an order excluding a person from any premises licensed by the BHA;

**Exempted Horse** means:

- A horse that has not passed a Pre-Race Assessment; or
- A horse that:
  - has been properly schooled but will always require special handling under race conditions because of its temperament; and
  - has twice been referred and has subsequently passed a Stalls Test;

**Export Certificate** in relation to a horse foaled outside Great Britain, Ireland or the Channel Islands, means a certificate of pedigree for the horse which:

- states the name, pedigree, age, sex, colour and markings of the horse;
- is issued and endorsed by a Recognised Stud Book Authority or, in the absence of such an Authority, the Recognised Racing Authority of the country in which the horse was foaled; and
- is endorsed by the Stud Book Authority or Racing Authority of any other country which the horse has visited before importation into Great Britain;

**Eye Cover** means a garment similar to Blinkers except that in place of the eye cowls one eye only is completely covered by an opaque cover;

**Eye Shield** means a garment similar to Blinkers except that in place of the eye cowls both eyes are covered with a mesh or other transparent material;

**Family Member** means a spouse, civil partner, parent, step parent, daughter, step daughter, son, step-son, grandparent, grandchild, brother, sister, a co-habitee, or an executor or administrator or any of them;

**Fast Track Protocol** is the document setting out the BHA's procedure for fast track cases, published on the BHA website (available [here](#));

**Fees List** means [Schedule (A)1] the list of fees as published by the BHA;

**F.E.G.E.N.T.R.I.** means the Fédération Internationale des Gentlemen-Riders et des Cavalières (the International Federation of Gentlemen and Lady Riders);

**Field Size Limit** means an upper limit on the number of horses permitted to run in a Race, set to prevent the Stabling Capacity at the meeting from being exceeded;

**First Preference Race** means a Race which has been nominated as such in accordance with paragraphs 51 to 54 of the [Race Entries Code](#);

**Flat Race** means a Race run on the flat, and does not include national hunt flat races;

**Flat Season** is the season which begins on the day of the Lincoln Handicap and ends on the afternoon of the November Handicap;

**Floodlit Meeting** means a Race Meeting which is programmed to take place under floodlights;

**Forfeit List** is the BHA's published record of Debts;

**General Instructions** means any instructions as may be issued by the BHA from time to time;

**General Public** means an audience of sufficient number to immediately render the information publicly known or publicly available;

**Handicap Race** means a Race where the weights for the horses are determined by the BHA in accordance with the Handicapping Code;

**Handicap Rating** means the number allocated to a horse by a Handicapper reflecting on assessment of the horse's performances;

**Handicapper** means a person appointed by the BHA to set Handicap Ratings;

**Headgear** means Blinkers, Cheek Pieces, Eye Covers, Eye Shields, Hoods and Visors;

**Heritage Handicap Race** means a Race designated as such in the Race Conditions;

**Hood** means a garment similar to Blinkers, incorporating ear covers but without eye cowl;

**Horse Suspension Grounds** means those grounds set out at Rule (L)15;

**Human Anti-doping Rule Violation** means a breach of any of Rules (K)49, 52, 53, 55 and 58;

**Hunters' Steeple Chase** means a steeple chase which is confined to Amateur Jockeys and horses with a registered Hunter Certificate;

**Hunter Certificate** means the form with that name published on the [Point-to-Point Authority website](#);

**Hunters' Steeple Chase Season** is the season which begins on 1 January and ends on the day of the final Hunters' Steeple Chase of that year;

**Hurdle Race** means a Race run over hurdles;

**Inside Information** means any information regarding a horse's potential performance in, entry into or withdrawal from a Race and which is not publicly known or publicly available;

**Jockey** means a person who holds a valid Licence issued by the BHA which allows them to ride in Races, or equivalent licence issued by a Recognised Racing Authority, and includes Apprentice Jockeys, Conditional Jockeys, Overseas Jockeys and Amateur Jockeys;

**Jockey's Agent** means a person who holds a valid Licence issued by the BHA which permits them to act as an agent for a Jockey;

**Jockey's Allowance** means a weight allowance for a Jockey as set out in either the Handicapping Code or the Race Conditions;

**Judge** means the person appointed to determine the result of a Race or a substitute appointed to act on their behalf;

**Judge's Box** means the place designated by the Stewards as the Judge's box;

**Judicial Panels** means Disciplinary Panels, Appeal Boards and Licensing Committees;

**Judicial Panel Chairman** means the independent head of the BHA's judicial system who oversees and is responsible for the Judicial Panels;

**Jump Race** means a Hurdle Race, Steeple Chase or a National Hunt Flat Race;

**Jump Season** is the season which begins on the day after the Sandown Park Gold Cup and ends on the day of the Sandown Park Gold Cup in the following year;

**Juvenile** means a horse that is three years old at the beginning of the current Jump Season;

**Laboratory Standards** means those standards as set out by the International Laboratory Accreditation Cooperation in the 'Accreditation Requirements and Operating Criteria for Horseracing Laboratories' (ILAC-G7);

**Lease** means a lease of a horse that is registered with the BHA;

**Licence** means a valid licence issued by the BHA in accordance with these Rules;

**Licensed Person** means any person licensed by the BHA;

**Licensed Premises** means Racecourse Property and any location stated on a Trainer's Licence;

**Licensed Trainer** means a person who holds a valid Licence issued by the BHA which allows them to train horses to run in Races, including Permit Trainers, or an equivalent licence issued by a Recognised Racing Authority, and means each person in a Training Partnership;

**Licensed Person** means any person licensed by the BHA;

**Licensing Committee** means a Committee convened in accordance with the [Judicial Panels Code](#);

**Listed Information** means:

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

**Listed Person** means any Owner and Owner's Representative, and also where applicable:

- where the Owner is a Company, any director of the Company or the Company Secretary;
- where the horse is owned in a Partnership, Business Partnership, Racing Club, Stud Company or is subject to a Lease or Single Race Leasing Arrangement, any Person who, at or around the material time, played an active part in managing the horse;
- where the horse is subject to a Registered Lease, the lessor of the horse; and
- where the Owner is a Syndicate, all members of the Syndicate;
- where the Owner is a Stud Company, any director of the company;

**Listed Race** means:

- i) a Flat Race which appears as a listed race in the European Pattern Race Book;
- ii) Jump Race which appears as a listed race in the Programme Book;

**Maiden:**

- i) for a Flat Race, means a horse that has never won a flat race run under the rules of a Recognised Racing Authority;
- ii) for a Steeple Chase or Hurdle Race, means a horse that has never won a steeple chase or hurdle race run under the rules of a Recognised Racing Authority;
- iii) for a National Hunt Flat Race, means a horse that has never won a National Hunt Flat Race, an Irish national hunt flat race or a French AQPS race.

**Manipulative Therapy** includes physiotherapy, osteopathy, chiropractic and acupuncture;

**Marker Poles** means the orange poles situated before or after the start;

**Master Valet** means a person who holds a valid Licence issued by the BHA which permits a person to be a master valet;

**Maximum Figure** means

**Median Auction Race** means a Race restricted to horses which are the progeny of stallions which established a median price for the sale of yearlings contemporary with the entrants in the Race based on the sale or bought in price of one or more animals at Specified Sales, but excludes two-year-old horses that have been sold or bought in at Specified Sales for more than £20,000 above the median price stated in the Race Conditions;

**Medical Record Book** means a document issued by the BHA or a Recognised Racing Authority to a Jockey containing their personal details and medical and injury history;

**Military Race** means a Race confined to horses owned and ridden by current or former members of the armed forces or reserve forces of any country, or their relatives;

**National Hunt Flat Race** means a Race restricted to horses which have not run in a race run under the Rules of the BHA or a Recognised Racing Authority, other than a National Hunt Flat Race, an Irish national hunt flat race or a French AQPS race;

**Natural Service or Covering** means the physical mounting of a mare by a stallion and can include the immediate re-enforcement of the stallion's service or cover by a portion of the ejaculate produced by that stallion during that service or cover of that same mare;

**Neurectomy** means a procedure which permanently interferes with a specific and anatomically recognised nerve using surgery, cryosurgery, chemical interference or any other means resulting in desensitisation of any part of the limb;

**Non-Racing Declaration** means notification to the BHA that a horse will not race again;

**Non-Runner Notice** means a notice that a horse declared for a Race will not run;

**Non-Thoroughbred Register** means the register of non-thoroughbred horses issued by the Stud Book Authority;

**Notice of Appeal** means a notice of an appeal made by an appellant to an Appeal Board in accordance with the [Judicial Panels Code](#);

**Notice of Charge** means a notice of charge issued to a person in accordance with the [Judicial Panels Code](#);

**Notifiable Medication** means medications that must be reported to the BHA before a Jockey can take them and ride;

**Novice:**

- i) for a Flat Race, other than a Novice Auction Race or Novice Median Auction Race, means a horse that:
  - a. has not won more than two flat races run under the rules of a Recognised Racing Authority;
  - b. has not won a Class 1 flat race or more than one Class 2 flat races run under the rules of a Recognised Racing Authority; and
  - c. has not run more than twice, except if it has never previously won a race run under the rules of a Recognised Racing Authority or is a two-year-old;
- ii) for a Flat Race that is a Novice Auction Race or Novice Median Auction Race, means a horse that:
  - a. has not won more than two flat races run under the rules of a Recognised Racing Authority;
  - b. has not won a Class 1 flat race or more than one Class 2 or 3 flat races run under the rules of a Recognised Racing Authority; and
  - c. has not run more than twice, except if it has never previously won a race run under the rules of a Recognised Racing Authority or is a two-year-old;
- iii) for a Hurdle Race, means a horse that has not won a hurdle race run under the rules of a Recognised Racing Authority before the current Jump Season, except that a horse that has won one or more such hurdle races between 1 March and the end of the previous Jump Season will be a Novice until 31 October of the current Jump Season;
- iv) for a Steeple Chase, means a horse that has not won a steeple chase run under the rules of a Recognised Racing Authority before the current Jump Season, except that a horse that has won one or more such steeple chases between 1 March and the end of the previous Jump Season will be a Novice until 31 October of the current Jump Season;
- v) for a Hunters' Steeple Chase, means a horse that has not won a steeple chase run under the rules of a Recognised Racing Authority before the end of the previous Hunter's Steeple Chase Season;

**Nursery Handicap Race** means a Handicap Flat Race which is restricted to two-year-old horses;

**Objection** means a challenge to the result of Race where the person making the challenge considers that something has happened that is capable of affecting the result of the Race;

**Off** a Race will be declared 'Off' when, as applicable, the Starter has:  
released the starting stalls, in a Race started from starting stalls;  
released the starting gate, in a Race started by starting gate; or  
lowered their flag, otherwise,  
except where the Starter has declared a false start.

**Open Race** means a Flat Race which is not a Handicap Race, Auction Race, Median Auction Race, Selling Race or Claiming Race, Classified Stakes or Rating Related Maiden Race, and which can only be restricted by the number of starts, number of wins, age, sex, or EBF-eligibility of the horse;

**Overseas Jockey** means a person who holds a licence issued by a Recognised Racing Authority which allows them to ride in races and who is not suspended;

**Owner** means the owner or lessee of a horse registered with the BHA as one of the following types:

Sole Owner;  
Company;  
Syndicate;  
Partnership;  
Racing Club;  
Business Partnership; or  
Stud Company;

**Owner's Representative** means a Syndicator, Racing Club Manager or Stud Company Nominee;

**Parade** means the presentation in race-card order before a Race of all runners mounted by their Jockeys and either led or cantered at intervals in front of the stand;

**Partner** means a partner in a Partnership;

**Partnership** means two or more Partners registered under one name as an Owner;

**Passport** means a passport issued to a horse by the Stud Book Authority or, in the case of horses bred outside of Great Britain, Ireland and the Channel Islands, a passport issued by the equivalent stud book authority;

**Pattern Race** means:

- i) a Flat Race which appears as a pattern race in the European Pattern Race Book;
- ii) a Jump Race which appears as a pattern race in the Programme Book;

**Permit Trainer** means a person who holds a Licence to train horses solely owned by one or more Family Members to run in Jump Races, and means each person in a Training Partnership;

**Person** means a person or body corporate who agrees to be bound by the Rules, whether through conduct or otherwise;

**Phone Zone** means the area in the Weighing Room which is designated for the use of Communication Devices;

**Plea Agreement** has the meaning given to it in paragraph 43 of the [Judicial Panels Code](#);

**Plus 10 Bonus Scheme** means the bonus scheme administered in accordance with the terms published on the Plus 10 website (available [here](#));

**Point-to-Point Steeple Chase** means a race run under the Regulations for Point-to-Point Steeple Chases, or the equivalent in Ireland;

**Pool Money** means the share of Prize Money payable to employees at the stable where the relevant horse is trained;

**Positive Analysis** means a positive finding for the presence of a Banned Substance or, where a Jockey has not obtained prior written consent of the Chief Medical Adviser in accordance with Rule (K)52, a Notifiable Medication.

**Post Race Report** means a report given by a Trainer or Jockey after a Race of any matter that may have materially affected the performance of their horse during the Race;

**Pre-Race Assessment** means an assessment to determine whether a horse can satisfactorily start from starting stalls that it is not a Stalls Test;

**Prize Money** means the Stakes, and any further money guaranteed by the Racecourse, excluding Appearance Money;

**Procedural Rules** has the meaning given in paragraph 5 of the [Judicial Panels Code](#);

**Professional Jockey** means a person who holds a valid Licence issued by the BHA which allows them to ride in Races, or equivalent licence issued by a Recognised Racing Authority, but excludes Amateur Jockeys;

**Prohibited Method** means any of the following:

- those methods that are listed as **Category A** Prohibited Methods in the [Equine Prohibited List Code](#); or
- those methods that are listed as **Category B** Prohibited Methods in the [Equine Prohibited List Code](#);

**Prohibited Substance** means any of the following

- those substances that are listed as **Category A** Prohibited Substances in the [Equine Prohibited List Code](#);
- those substances that are listed as **Category B** Prohibited Substances in the [Equine Prohibited List Code](#); or
- those substances that are listed as **Category C** Substances in the [Equine Prohibited List Code](#);

**Public Event** means an event that has been advertised to the General Public for a reasonable period of time and to which any member of the General Public is able to attend for free or for a reasonable fee;

**Qualified Person** means:

- BHA Officials, except for Stewards;
- in respect of any horse engaged in a Race:
  - the Owner;
  - the Jockey;
  - the Trainer; or
  - any validly-appointed representative of the above.

**Race** means a race run under the Rules of the BHA or the rules of another Recognised Racing Authority, excluding point-to-point steeple chases or Arabian horse races;

**Race Conditions** means the details of the Race as published on the Racing Administration site;

**Race Meeting** means a day on which Races are held at a Racecourse;

**Racecourse** means a racecourse licensed by the BHA;

**Racecourse Managing Executive** means the Person who holds a Racecourse Licence granted by the BHA and any authorised representative;

**Racecourse Medical Officer** means any registered medical practitioner who is engaged by the Racecourse Managing Executive to provide medical cover for Jockeys at a Race Meeting;

**Racecourse Property** means any property owned, used or controlled by the Racecourse Managing Executive;

**Racecourse Stables** means stables on Racecourse Property;

**Racing Administration Website** means [this website](#)

**Racing Calendar Office** means Weatherbys, Sanders Road, Wellingborough, Northamptonshire, NN8 4BX;

**Racing Clearance Notification** means a notification

from the Racing Calendar Office:

- that the Trainer holds a Licence issued by the BHA;
- that the Owner of the horse is registered with the BHA and does not appear on the Forfeit List; and
- indicating whether the horse is free from restrictions that prevent it from racing, or from another Recognised Racing Authority;

or from another Recognised Racing Authority:

- that the trainer is duly qualified with that Recognised Racing Authority;
- that all requirements of the rules of the Recognised Racing Authority that apply to the owner of the horse are met; and
- indicating whether the horse is free from restrictions that prevent it from racing.

**Racing Club** means a club where the legal owner of a horse retains the legal ownership interest but invites participation from other individuals who do not own the horse to form an ownership entity;

**Racing Club Manager** means an Owner appointed to act on behalf of a Racing Club;

**Rating Range** means the range of Handicap Ratings stated in the Race Conditions;

**Rating Related Maiden Race** means a Weight-for-Age Race for Maidens which have a Handicap Rating at or below the figure specified in the Race Conditions;

**Reclaim** means a Claim submitted by or on behalf of the horse’s Owner;

**Recognised Racing Authority** means each of the below:

COUNTRY/JURISDICTION	RECOGNISED RACING AUTHORITY
Algeria	Societe des Courses Hippiques et du Pari Mutuel
Argentina	Jockey Club Argentino
Australia	Australian Jockey Club Australian Racing Board Queensland Turf Club South Australian Jockey Club Tasmanian Turf Club Victoria Racing Club Western Australia Turf Club
Austria	Direktorium für Galopprennsport und Vollblutzucht in Österreich
Bahrain	Equestrian and Horse Racing Club
Barbados	Barbados Turf Club
Belgium	Belgian Galop Federation
Bolivia	Jockey Club of Bolivia
Brazil	Jockey Club Brasileiro/Jockey Club of Sao Paulo
Bulgaria	Bulgarian National Horse Racing Association
Canada	Jockey Club of Canada
Chad	Association d’Encouragement pour l’Ameliorations des Races de Chevaux au Tachad
Channel Islands	Channel Islands Racing and Hunt Club
Chile	Club Hipico of Santiago
Colombia	Association Colombiana de Cuadores de Caballos PSI
Croatia	Jockey Club of Croatia
Cyprus	Cyprus Turf Club
Czech Republic	Jockey Club Ceske Republiky
Denmark	Jockey Club of Denmark
Ecuador	Jockey Club of Ecuador
France	France Galop
Germany	Deutscher Galopp e.V. – Verband für Vollblutzucht und Rennen
Great Britain	The British Horseracing Authority (BHA)

Greece	Jockey Club of Greece
Hong Kong (including Conghua)	The Hong Kong Jockey Club
Hungary	National Horseracing Ltd.
India	Royal Western India Turf Club Royal Calcutta Turf Club Madras Race Club Bagalore Turf Club Ltd Hyderabad Race Club
Republic of Ireland and Northern Ireland	Irish Horseracing Regulatory Board
Isle of Man	Manx Racing Authority
Israel	Ministry of Agriculture
Italy	MIPAAFT
Jamaica	Jockey Club of Jamaica
Japan	Japan Racing Association National Association of Racing
Kenya	Jockey Club of Kenya
Korea	Korea Racing Association
Lebanon	Societe pour la Protection et l'Amelioration des Chevaux Arabes au Liban
Macau	Macau Jockey Club
Malaysia	Malayan Racing Association
Mauritius	Mauritius Turf Club
Mexico	Jockey Club Mexicano A.C.
Morocco	Societe Royale d'Encouragement du Cheval
Netherlands	Stiching Nederlandse Draf-en-Rensport
New Zealand	New Zealand Thoroughbred Racing Inc
Norway	Norsk Jockey Club
Pakistan	Jockey Club of Pakistan
Panama	Panama Turf Authority
Paraguay	Jockey Club of Paraguay
Peru	Jockey Club of Peru
Philippines	Manila Jockey Club Philippine Racing Club
Poland	Polish Jockey Club
Qatar	Racing and Equestrian Club
Romania	Jockey Club of Romania
Saudi Arabia	The Equestrian Club
Serbia	Horsemanship Federation of Serbia
Singapore	Singapore Turf Club
Slovakia	Turf Direktorium
Slovenia	Slovenian Turf Club
South Africa	National Horseracing Authority
Spain	Sociedad de Fomento de la Cría Caballar de Espana Jockey Club Espanol

Sweden	Swedens
Switzerland	Schweizer Galopprensport Verband Federation Suisse du Galop
Thailand	The Royal Bangkok Sports Club
Trinidad and Tobago	Trinidad and Tobago Racing Authority
Tunisia	Societe des Courses de Tunis
Turkey	Jockey Club of Turkey
U.A.E	Emirates Racing Association
United States of America	The Jockey Club, State Racing Commissions and Boards
Uruguay	Jockey Club of Montevideo
Venezuela	Institutio Nacional de Hipodromos

**Registered Agent** means a person appointed to act on behalf of a Company;

**Re-opening** means where the deadline for Closing is extended due to too few Entries being received;

**Respondent** means any person charged with a breach of these Rules by the BHA;

**Responsible Person** means:

where a horse is trained solely for the purposes of Hunters' Steeple Chases and/or Military Races:

the Person(s) who own the horse; or

in the case of a Company, Syndicate, Racing Club or Stud Company, the Owner's Representative.

The keeper of the horse (if not the Responsible Person) will be deemed jointly liable with the Responsible Person for any equine anti-doping violation pursuant to Rule (K)10.

In all other cases:

if the horse has been in training, the current or most recent Trainer of the horse, unless the Trainer has written confirmation from the Owner or legal owner of the horse that they have transferred responsibility to the Owner or legal owner of the horse or the Trainer can establish they have taken reasonable steps to obtain written confirmation; or

if the horse has never been in training, the legal owner.

A horse not in training shall mean a horse (i) that is foaled in Great Britain and which has been notified to the Stud Book Authority or (ii) that has been registered to the Stud Book Authority, but in either case is not yet registered with the BHA and in training.

**Restricted Period** means, for each Race Meeting, the period commencing half an hour before the advertised time of the first Race and ending on the starting of the last Race;

**Restricted Person** means a Jockey or Valet who attends a Race Meeting in their capacity as a Licensed Person;

**Rules** means the Rules of Racing as issued by the BHA from time to time;

**Safety Factor** means the maximum number of horses permitted to start a race, as determined by the Inspector of Courses;

**Sample** means a urine, blood, hair or other intimate sample;

**Scratching Deadline** means one or more times between Closing and Confirmation of Entries, as specified in the Race Conditions, by which a Scratching Notice must be submitted or a fee becomes payable;

**Scratching Notice** means a notice made before Declarations to Run that a horse entered for a Race will not run;

**Second Preference Race** means a Race which has been nominated as such in accordance with paragraphs 51 to 54 of the [Race Entries Code](#);

**Selling Race** is a Race in which the winning horse will be offered for sale by auction, and all other horses that ran may be claimed, and is conducted in accordance with the [Selling and Claiming Code](#);

**Service Provider** means a person who provides a service to a Person which involves them gaining access to or learning information about a horse, including but not limited to Veterinary Surgeons, farriers, and physiotherapists;

**Single Race Leasing Arrangement** means an arrangement pursuant to which a horse is leased from one Owner to another for one Race;

**Specified Sales** means the sales listed on the Racing Admin website and/or in the Racing Calendar as such;

**Sponsorship Codes of Conduct** means the Sponsorship Framework for Racehorse Owners and the Jockey Sponsorship Code of Conduct;

**Stable Employee** means a stable employee registered with the BHA; Register of Horse Names means the register of horse names maintained by the BHA; Register of Owners means the register of Owners maintained by the BHA;

**Stable Employee Register** means the register of stable employees maintained by the BHA;

**Stabling Capacity** means the total number of official racecourse stables available to runners at a Race Meeting on a specified raceday, as notified by the Racecourse Managing Executive;

**Stake** means all payments and amounts due from a Person in respect of an Entry in a Race, excluding any administrative fees;

**Stakeholder** means a person appointed by the BHA to collect all stakes, all other sums due under the conditions of Races, all debts and fees due under the Rules, any account or legal charges which the BHA may from time to time determine should be paid towards recovering the costs of administering accounts, and any VAT which is payable in connection with each of those sums;

**Stalls Test** means a test to determine whether a horse can satisfactorily start from starting stalls;

**Starter** means a BHA Official appointed to start a Race;

**Starting Flag** means a flag used by the Starter;

**Steeple Chase** means a Race run over steeple chase fences;

**Steward** means a person appointed by the BHA to steward a Race Meeting;

**Stewards' Enquiry** means where the Stewards enquire into a matter;

**Stop Race Flag** means a flag of a designated colour used by the Racecourse Managing Executive to stop the Race;

**Stud Book** means the register of the breeding of thoroughbred horses issued by the Stud Book Authority;

**Stud Book Authority** means the Stud Book Authority of Great Britain and Ireland;

**Stud Company** means a company which is currently entered in the Register of Owners as a stud company;

**Stud Company Nominee** means an Owner appointed to act on behalf of a Stud Company;**Supplementary Entry** means an Entry submitted after Closing as allowed for in the Race Conditions;

**Syndicate** means an entity registered in the Register of Owners as a Syndicate;

**Syndicator** means an Owner appointed to act on behalf of a Syndicate;

**Telephone Claiming Line** means the telephone line nominated by the BHA to be used to submit a Claim;

**Third Party Claim** means a Claim submitted by or on behalf of a Person other than the Owner;

**Tongue Strap** means a device used to tie down a horse's tongue;

**Total Prize Fund** means the total amount of Prize Money to be distributed for a Race;

**Total Race Value** means the value of the race as advertised in the Race Conditions;

**Trainer** means a Licensed Trainer, or where the horse is intended to run in Hunters' Steeple Chases or Military Races, the Responsible Person;

**Transaction Notice** means an Entry, Scratching Notice, Confirmation of Entry, Supplementary Entry, Declaration to Run, Declaration of Jockey or Non-Runner Notice;

**Treatment** means any medication or treatment containing a Prohibited Substance administered to a horse under the care or control of a Trainer whether or not that horse is currently in training;

**Training Agreement** means a signed agreement between a Trainer and Owner, as detailed in the [Trainer Code](#);

**Training Partnership** means two people who jointly hold a Licence to train racehorses;

**Transaction Notice** means an Entry, Scratching Notice, Confirmation of Entry, Supplementary Entry, Declaration to Run, Declaration of Jockey or Non-Runner Notice; horse under the care or control of a Trainer whether or not that horse is currently in training;

**Unrecognised Meeting** means a meeting which has not been recognised or authorised by the BHA or a Recognised Racing Authority, but does not include pony races or meetings that have been exempted by the BHA;

**Upper Rating Limit** means the upper end of the Rating Range;

**Vaccination App** means the system used for recording vaccination details, published by Weatherbys and available [here for iPhones and iPads](#), [here for Android devices](#), and here for use on a desktop.

**Veterinary Officer** means a registered Veterinary Surgeon engaged by the BHA;

**Veterinary Surgeon** means any qualified veterinary practitioner appropriately registered to practice, and includes Veterinary Officers;

**Valet** means a Master Valet or Assistant Valet;

**Visor** means a garment similar to Blinkers in which one or both cowls have holes cut in them permitting limited side or rear vision;

**Weighed In** means the announcement given on the Racecourse that the result is official;

**Weight-for-Age Race** means a Race that is not a Handicap Race.

**Weight-for-Age Scale** means the scale published by the BHA detailing the weight allowances given to horses because of their age (available on the [BHA website](#));

**Wind Surgery** means tie back (prosthetic laryngoplasty); hobday (venticulectomy/cordecotomy); epiglottic entrapment surgery; tie forward (dorsal displacement soft palate surgery); soft palate cautery;

**Winter Flat Season** is the season which begins following the afternoon of the November Handicap and ends on the day before the Lincoln Handicap.

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# INTRODUCTION

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This guidance contains information on the Rules of Racing and the various procedures and charts which will be referred to when deciding on the appropriate course of action either by the Stewards on the racecourse or at a Disciplinary Panel enquiry.

The guidance should not be seen as either a replacement for, or an interpretation of, the Rules of Racing. It does, however, seek to clarify and provide easy reference to a number of crucial areas which may arise during the course of a day's racing.

The guidelines as to penalties are not intended to override the discretion of the Stewards or the Disciplinary Panel under the Rules. However, in the interest of consistency and fairness, Panels are expected to operate within the guidelines unless they have good reason to consider that there are exceptional circumstances in the case before them which justifies a greater or lesser penalty outside the guidelines; Panels should be prepared to explain their reasons for so doing.

If you have any questions, or need any further advice, on the information contained in this guidance you should speak to a BHA Steward or a member of the Regulatory Department at High Holborn (0207 152 0120).

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# RUNNING AND RIDING - RULE (F)37

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In order to maintain confidence in the integrity of racing it is particularly important either that questions are asked of the trainer or that an enquiry under [Rule \(F\)37](#) is held when appearances suggest a horse may not have been run on its merits. Stewards should not be deterred from holding an enquiry because they consider it unlikely that they will be able to prove a breach of the Rules. These enquiries are not time sensitive but the Chairperson should ensure the rider and trainer are warned that they will be required to attend.

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## THE RULES

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Rule [\(F\)37](#) - A Jockey must, and must be seen to:

37.1 ask their horse for timely, real and substantial efforts to achieve the best possible position; and

37.2 take all other reasonable and permissible measures throughout the Race to ensure the horse is given a full opportunity to achieve the best possible position.

Rule [\(F\)39](#) - A Trainer is responsible for ensuring that a Jockey who rides a horse trained by them in a Race is given instructions that shall allow the Jockey to ensure that the horse is given a full opportunity to achieve the best possible position.

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## WHEN TO HOLD AN ENQUIRY

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Stewards should always initiate an enquiry on the day or ask questions rather than leaving it to the Stewards officiating at a following meeting when the horse runs in deciding whether or not to hold an enquiry.

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## HAVING DECIDED TO HOLD AN ENQUIRY

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A series of questions should be asked of the rider and trainer to establish the reasons for the way the horse was ridden.

Under [Rule \(E\)35](#) the trainer, if he is unable to attend the meeting, must authorise another person to represent him on the racecourse. This person must attend Stewards' enquiries on the trainer's behalf. He must know the riding instructions that the trainer gave to the rider, must be authorised by the trainer and must be able to inform the Stewards whether the rider has complied with such instructions. Failure by the trainer to do so will result in a breach of [Rule \(E\)35](#). Furthermore, if the representative has not been made aware of the riding instructions given by the trainer, the Stewards will progress the enquiry as to whether the trainer is in breach of [Rule \(F\)39](#) on the basis of the evidence of the rider as to what instructions were given to him.

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## HAS A BREACH OF THE RULES BEEN COMMITTED ?

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Prior to determining whether or not the rider and/or trainer are in breach of [Rule \(F\)37](#) or [Rule \(F\)39](#) the Chief Steward will sum up and then ask the following questions:

1. Was the horse asked for "... timely, real and substantial effort?"
2. Was it ridden to obtain the best possible position?
3. Were all other reasonable and permissible measures taken throughout the Race to ensure the horse was given a full opportunity to achieve the best possible position?

If the answer to any of these questions is NO, was the explanation given by either the rider or trainer an acceptable reason?

If the answer to either question remains NO, the rider is in breach of [Rule \(F\)37](#) and the Stewards must decide the level of appropriate sanction.

# LEVEL OF SANCTION

In order to assist in deciding upon the level of sanction, the Chief Steward will ask the Stewards whether the conduct was negligent or intentional.

\*The line between intentional and negligent conduct can be illustrated for many cases by the example of a rider who appears to be doing the opposite of what you would expect a rider in his circumstances to be doing and cases where the rider is simply not doing enough.

Having decided which category the rider is in breach of, the Chairperson will advise on penalty for rider and, if appropriate, the trainer. Previous offences are to be taken into account.

## THE TRAINER

With regard to the trainer he will be liable to disciplinary action under [Rule \(F\)39](#) if the Stewards are not satisfied that he gave adequate instructions; which is to say such instructions as are necessary to ensure that the horse runs on its merits. The trainer will also be liable to disciplinary action under [Rule \(F\)39](#) if the rider's breach is deliberate and the trainer is unable to satisfy the Stewards that the rider was given adequate instructions and that he failed to comply with them.

## OTHER OPTIONS

The following other options are open to the Stewards:

1. Noting - all explanations
2. Referral for viewing horse's previous runs
  - horse wins a Handicap, Classified Stakes or Rating Related Maiden Race without having been previously placed in the first four
  - a marked improvement in performance
  - concerns are expressed about performance last time out
3. Adjourned enquiry – more information is required.

## RECOMMENDED PENALTIES FOR BREACHES OF RULES (F)34 - (F)39 RUNNING & RIDING

### RULES (F)38 AND (F)39 TRAINER'S RESPONSIBILITIES

SUBDIVISION OF POTENTIAL OFFENCE	RECOMMENDED PENALTIES FOR 1ST OFFENCE	
	ENTRY POINT	RANGE
(These are the more common examples of breaches but they are by no means exhaustive)		
a) Trainer fails to give adequate instructions which contributes to the rider failing to comply with <a href="#">Rule (F)37</a> . Trainer in breach of <a href="#">Rule (F)39</a> .	£1,500	£1,000 - £2,500
b) Trainer sends unfit or unschooled horse to the racecourse <a href="#">Rule (F)38</a> . Rider unlikely to fall within <a href="#">Rule (F)37</a> .	£3,000	£2,000 - £5,000
c) Rider deliberately fails to comply with <a href="#">Rule (F)37</a> . Trainer in breach of <a href="#">Rule (F)39</a> .	<a href="#">See below</a>	

Second offence:

Two findings of [Rule \(F\)39](#) (sub: a)) within 12 months - deal with on racecourse but penalty should generally be double that for a 1st Offence

Two findings of [Rule \(F\)39](#) (sub: a)) between 12 - 24 months - deal with on racecourse but penalty should generally be higher than that for a 1st Offence.

[Rule \(F\)39](#) (sub: b)) - as above

## RULE (F)37 NEGLIGENCE BY RIDER

SUBDIVISION OF RULE	RECOMMENDED PENALTIES	
	1st Offence	2nd Offence
2.1 Failing to ride out approaching the finish on a horse that would have been placed:		
Place not obtained - first	28 days (18)* If wilful, refer	refer
Place not obtained - second/third	10 days (5)*	21 days (14)*
Place not obtained - fourth	4 days (3)*	10 days (7)*
Place not obtained - any other placing for which there is prizemoney	2 days (1)*	4 days (3)*

\*Figures in brackets should be used for dead heats. With a second offence the fact that the first offence was or was not a dead heat should be ignored

	ENTRY POINT	RANGE	ENTRY POINT	RANGE
2.2 Mistaking the race distance and either riding a finish a circuit too early or failing to ride a finish	12 days	10 - 14 days	28 days	21 - 42 days
2.3 Taking the wrong course	12 days	10 - 21 days	28 days	21 - 42 days
2.4 Asking for an effort or making some other permissible manoeuvre too late as a result of serious misjudgement or inattention	10 days	7 - 21 days	21 days	14 - 28 days

## RULE (F)37 INTENTIONALLY NOT RUNNING A HORSE ON ITS MERITS - DISCIPLINARY PANEL

In all cases where the racecourse Stewards consider that a horse has been intentionally not run on its merits the matter should be referred to the BHA Head Office and the horse suspended for 40 days.

SUBDIVISION OF POTENTIAL OFFENCE	RECOMMENDED PENALTIES	
	ENTRY POINT	RANGE
Intentionally not riding a horse on its merits for personal reward or in the knowledge that it had been laid to lose	8 years Rider/trainer/owner Disqualify	5 - 25 years
Intentionally not riding a horse on its merits that would have won	2 years Rider/trainer/owner Disqualify/Withdraw	18 months - 3 years
Intentionally not riding a horse on its merits that would have finished second or third	1 year Rider/trainer/owner Disqualify/Suspend/ Withdraw	6 months - 2 years

Intentionally not riding a horse on its merits that would not have finished first, second or third	42 days (rider) £7,500 (trainer/owner)	28 - 90 days £5,000 - £25,000 Suspend 1 month - 3 months
Examples: Horse being intentionally restrained Horse intentionally not being asked for sufficient effort Horse which appears capable of reaching challenging position being intentionally never asked to do so. (This list is not exhaustive)		
Second Offence: Two breaches of 'Intentionally Not Running A Horse On Its Merits' within 36 months	12 months Rider/trainer Disqualify/Suspend/ Withdraw	6 months - 3 years

Penalties for both a 1st and 2nd offence should also take into account any other previous breaches of Running and Riding Rules in previous 24 months. The use of Conditional or Apprentice Jockeys should always be taken as an aggravating feature when considering a breach of ‘Intentionally Not Running A Horse On Its Merits’ ([Rule \(F\)37](#)).

## RULES (F)37 AND (F)38 SCHOOLING AND CONDITIONING - RACECOURSE STEWARDS

To be dealt with by racecourse Stewards but cognisance to be given to previous breaches of Running and Riding Rules by respective rider and trainer in previous 24 months.

SUBDIVISION OF POTENTIAL OFFENCE	RECOMMENDED PENALTIES	
	ENTRY POINT	RANGE
	Racecourse Stewards	
Using the racecourse as a training ground  Examples: First time out in a Flat, Steeplechase or Hurdle Race Returning after a lengthy absence Confidence restoring run Educating or assessing horse after previous run (This list is not exhaustive)	14 days (rider) £3,000 (trainer)  Horse suspended 40 days	10 - 18 days £2,500 - £4,000
Second Offence: Penalty for two breaches within 12 months should generally be double that for a 1st Offence Penalty for two breaches within 24 months should generally be higher than that for a 1st Offence		
	Disciplinary Panel	
Third Offence: Three Offences within 24 months - refer to Disciplinary Panel	60 days (rider) £20,000 (trainer) and/or restriction on entries and running horses - 21 days	42 - 90 days £15,000 - £30,000 and/or 14 - 42 days

## RULE (F)37.2 FAILURE TO TAKE ALL REASONABLE AND PERMISSIBLE MEASURES

SUBDIVISION OF POTENTIAL OFFENCE	RECOMMENDED PENALTIES FOR 1ST OFFENCE	
	ENTRY POINT	RANGE
(These are the more common examples of breaches but they are by no means exhaustive)		

a) Rider suffers interference and then fails to ride out to the winning post on a horse that:  (i) would have been placed first, second, third, fourth or any other placing for which there is prize money (ii) could have been placed first, second, third, fourth or any other placing for which there is prize money (iii) is unplaced	See <a href="#">here</a> See c) below. See d) below.		
b) Rider fails to take all reasonable and permissible measures throughout the race	10 days	7 - 21 days	
Second Offence:  Two findings of Rule (F)37.2 (sub: b) within 12 months - deal with on racecourse but penalty should generally be double that for a 1st Offence One finding of Rule (F)37.2 (sub: b) after one of Rule (F)37.1 (sub: any) within 12 months - deal with on racecourse but penalty should generally be double that for a 1st Offence Two findings of Rule (F)37.2 (sub: b) between 12 - 24 months - deal with on racecourse but penalty should generally be higher than that for a 1st Offence  One finding of Rule (F)37.2 (sub: b) after one of Rule (F)37.1 (sub: any) between 12 - 24 months - deal with on racecourse but penalty should generally be higher than that for a 1st Offence			
Third Offence:  Any three findings of either Rule (F)37.1 (sub: b) and/or Rule (F)37.2 (sub: any) within 24 months - refer			
c) Failing to ride out approaching the finish on a horse that could have been placed	1st Offence	2nd Offence	3rd Offence
First	10 days	21 days	refer
Second/Third	7 days	14 days	28 days
Fourth	2 days	5 days	10 days
Any other placing for which there is prize money	1 day	2 days	4 days
d) Rider demonstrates an acceptable degree of effort during the race until prematurely easing his horse, which would never have finished in the first four or any other placing for which there is prize money but is allowed to coast home with no assistance from the rider	1st Offence - Caution 2nd - 1 day 3rd - 1 day 4th - 3 days 5th - refer		

# INTERFERENCE - RULES (F)34 - (F)36

## INTERFERENCE PROCEDURE TO BE FOLLOWED AFTER HEARING THE EVIDENCE

After the riders have left the room, the Chief Steward will ask the following questions of the Panel:

Was there interference?

If the answer is NO the enquiry should be closed. If YES

Who caused it?

If it cannot be established who caused it, the enquiry should be closed and the appropriate notice issued. If the cause is established:

THE CHIEF STEWARD WILL SUM UP

It should then be established whether the interference was serious by asking the following question:

Was the nature of the incident such as to place in serious jeopardy the safety of any horse or rider?

If YES, the Chief Steward should start at the top category and work down the left-hand side (the 'definitions') bearing in mind that a decision should be reached on the balance of probabilities and if the Panel is having difficulty reaching agreement he will move on to the next category. The Panel should only refer to the right-hand side (the 'examples') after agreement has been reached on the category of interference.

If NO, the Panel should consider the placings by proceeding to the section headed 'Determining the Result Following Interference' on pages 16 and 17 before returning to Careless Riding.

CATEGORY AND DEFINITION	EXAMPLES (THESE ARE THE MORE COMMON EXAMPLES OF INTERFERENCE BUT THEY ARE BY NO MEANS EXHAUSTIVE)
<b>1. FOR DANGEROUS RIDING THE RIDER MUST CAUSE SERIOUS INTERFERENCE. SERIOUS INTERFERENCE IS WHEN INTERFERENCE CAUSES A HORSE AND/OR RIDER TO FALL OR VERY NEARLY FALL OR THE HORSE IS SEVERELY HAMPERED E.G. UP AGAINST THE RUNNING RAIL, OR IS PUSHED OR NEARLY PUSHED OFF THE COURSE.</b>	
<p>WAS IT DANGEROUS RIDING?</p> <p>A rider is guilty of Dangerous Riding if he causes serious interference by:</p> <p>a) purposely interfering with another horse or rider or b) riding in a way that is far below that of a competent and careful rider and where it would be obvious to such a competent and careful rider that riding in that way was likely to endanger the safety of a horse or rider.</p>	<p>RIDER CAUSES SERIOUS INTERFERENCE BY:</p> <p>a) Riding across to prevent a horse from going 'up the inner'. b) Attempting to force a horse off the track e.g. at the wing of a fence. c) Deliberately barging his way between two horses. d) Persistently attempting to get past any horse when there is insufficient room. e) Failing for a sustained period of time to take corrective action. f) Intentionally striking another horse or rider. g) Manoeuvring/changing direction, suddenly or gradually (particularly on to the rail)</p>
<b>If the rider is guilty of Dangerous Riding the horse must be disqualified.</b>	
<p><b>Advice to Stewards</b></p> <p>There are two parts to Dangerous Riding. Firstly, there has to be serious interference but this is not enough on its own to warrant a breach of Dangerous Riding - serious interference can be caused by Careless or Improper Riding or can even be Accidental. The second part relates to the culpability of the rider in terms of his riding - see 1a) and b) and the examples a) to g) in the righthand column.</p>	
IF YOU ARE SATISFIED THAT THE INTERFERENCE IS NOT DANGEROUS YOU SHOULD PROCEED TO THE SECTION HEADED <a href="#">DETERMINING THE RESULT FOLLOWING INTERFERENCE</a> TO DETERMINE WHETHER THE PLACINGS NEED TO BE ALTERED. HAVING COME TO A DECISION ON PLACINGS, WHICH SHOULD BE IMMEDIATELY ANNOUNCED, YOU SHOULD REVERT BACK TO DECIDE ON THE CATEGORY OF INTERFERENCE.	
<b>2. FOR CARELESS RIDING THE RIDER USUALLY CAUSES INTERFERENCE BY FAILING TO TAKE CORRECTIVE ACTION OR BY MISJUDGEMENT.</b>	

<p>WAS IT CARELESS RIDING?</p> <p>A rider is guilty of Carless Riding if he fails to take reasonable steps to avoid causing interference or causes interference by inattention or misjudgement</p>	<p>a) Horse drifts into another without rider straightening it up, either by switching his whip, or, if that is insufficient, by using his reins.</p> <p>b) Horse hangs into the whip but the rider does not take sufficient action to straighten it up.</p> <p>c) Horse hangs in on bend without rider taking any action.</p> <p>d) Rider changes direction causing interference due to a misjudgement..</p> <p>e) Rider unintentionally strikes another horse or rider but should have moderated his use of the whip because of the close proximity of another horse or rider.*</p> <p>* see <a href="#">Striking other horses or riders with whip</a>.</p>
<p><b>Demotion only occurs if the horse causing the interference has improved its placing as a result of that interference.</b></p>	
<p><b>3. FOR IMPROPER RIDING THE RIDER USUALLY CAUSES INTERFERENCE BY CARRYING OUT A MANOEUVRE OR STRIKING ANOTHER HORSE OR RIDER.</b></p>	
<p>WAS IT IMPROPER RIDING?</p> <p>A rider is guilty of Improper Riding if he causes interference by some manoeuvre where he knew or ought reasonably to have known that interference would be the result, or any other form of misconduct (whether mounted or dismounted) in the course of riding.</p>	<p>a) Rider manoeuvres or changes direction, where it was obvious that it would cause another rider to be moved off his intended line or to take evasive action.</p> <p>b) Rider pushes through, thereby creating a gap or widening an existing gap which never looked like being big enough.</p> <p>c) Rider moves across to the rails at the start causing interference.</p> <p>d) Rider intentionally rides across to cause interference.</p> <p>e) Rider intentionally strikes another horse or rider*</p> <p>f) Rider intentionally attempts to interfere with or strike another horse or rider with his whip*</p> <p>* see <a href="#">Striking other horses or riders with whip</a>.</p>
<p><b>Demotion only occurs if the horse causing the interference has improved its placing as a result of that interference.</b></p>	
<p><b>4. FOR ACCIDENTAL THE RIDER WILL HAVE BEEN TAKING REASONABLE STEPS TO PREVENT THE INTERFERENCE FROM OCCURRING OR THE INTERFERENCE WILL HAVE BEEN DUE TO CIRCUMSTANCES BEYOND THE RIDER’S CONTROL.</b></p>	
<p>WAS IT ACCIDENTAL?</p>	<p>a) Horse hangs without warning.</p> <p>b) Horse continues to hang despite rider’s best efforts to prevent it.</p> <p>c) Horse runs down an obstacle without warning</p>
<p>The interference can probably be regarded as accidental but the following must still be asked:-</p> <p>Was the rider taking reasonable steps to prevent the interference from occurring?</p> <p>Was the interference due to circumstances beyond the rider’s control?</p> <p>If the answer to both questions is NO, probably a riding offence has been committed and therefore go back to question 2. If the answer to either question is YES, the interference must be regarded as accidental and no breach is found pursuant to <a href="#">Rule (F)36</a>.</p>	
<p><b>Demotion only occurs if the horse causing the interference has improved its placing as a result of that interference.</b></p>	
<p>NOTE: It should be remembered that being taken off one’s intended line (intimidation) constitutes interference. It follows that there does not have to be physical contact for interference to occur</p>	

To conclude the enquiry the Chairman must complete the Aide Memoire and read it out to the riders.

# DETERMINING THE RESULT FOLLOWING INTERFERENCE

One of the most difficult and contentious decisions a Panel has to make is to determine the result following interference. If the Panel considers that interference might have affected the result i.e. the interferer might have improved his placing as a result of the interference, an enquiry must be called which has the effect of delaying the weighed-in signal until the Panel has come to its conclusion.

THE STEWARDS HAVE TO DECIDE WHETHER THE SUFFERER WOULD HAVE BEATEN THE INTERFERER BUT FOR THE INTERFERENCE.

There are a series of factors to take into account. The questions and Guiding Principles (below) provide a framework within which the Panel work in order to come to their decision. They do not provide the answer but try to ensure that the Panel addresses the correct questions when making a decision.

The Panel should ask themselves the following questions, being mindful of the relevant Guiding Principles:

1. Where did the incident take place in relation to the winning post?
2. How were the horses involved in the interference going at the time of the incident?
3. How serious was the interference i.e. how much momentum did the sufferer lose and/or how much ground was lost?
4. If the sufferer had had an uninterrupted run to the line, might it have finished in front of the interferer? If NO - order placings to remain unaltered If YES i.e. there is some doubt - proceed to question 5.
5. How easily did the interferer beat the sufferer?

Having considered those factors relevant to the incident in question, if the Panel is satisfied that on the balance of probabilities the interference did improve the placing of the interferer in relation to the sufferer(s), the placings must be altered. Otherwise, the placings must remain unaltered. Generally speaking, the longer the Panel discusses whether the placings should be altered, the less likely it is that they should be. If the Panel is unable to conclude one way or the other, the result should stand.

After reaching a decision on placings, which should be announced immediately, turn back to Careless Riding in order to continue your deliberations on the category of Interference.

Remember: in amending the placings you are demoting the interferer not promoting the sufferer.

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## GUIDING PRINCIPLES

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- a) Dangerous Riding - the placing(s) must be altered as the interferer must be disqualified.
- b) Careless, Improper or Accidental - if the Panel is satisfied that the interference improved the placing of the horse causing it, the placings must be altered.
- c) Where more than one horse is interfered with either in turn as a result of the same occurrence or simultaneously, each is a separate incident by the horse causing the original interference for which separate placing assessments are to be made.
- d) The benefit of doubt should go to the horse which finished in front.
- e) The Panel should have in mind that interference is likely to have impeded the sufferer to some degree and therefore a reversal of placings is more likely to follow where there is only a nose between the horses.
- f) The further away from the winning post that the incident occurs, the less likely it is that the result should be changed.
- g) The Panel must make allowance for the momentum and ground lost by the sufferer by imagining that it had an uninterrupted run to the line.
- h) The Panel must NOT make an allowance for any effect on the horse causing the interference.
- i) The Panel must take into account the ease with which the interferer beat the sufferer.
- j) If a horse is carried off its intended line, the effect will vary depending on the distance from the winning post.

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## OVERTAKING ON THE INSIDE AND FALSE RAILS

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### OVERTAKING ON THE INSIDE

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- 1 Where a Jockey attempts to pass another horse on the inside on an unrailled part of the course:
  - 1.1 the Jockey must ensure that their horse has the speed to do so;

- 1.2 they must be clear of the horse which they have overtaken on the inside well before the next obstacle or section of running rail; and
  - 1.3 they must ensure that they do not interfere in any way with the horse which they are overtaking.
- 2 The Jockey being overtaken is entitled to maintain their line to the inside of the next obstacle or section of running rail but they must not ride across to ride off any horse trying to pass them on the inside.

## FALSE RAIL

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- 3 A false rail is a running rail which:
  - 3.1 cuts away to an inner running rail (this can vary from three furlongs to one furlong from the winning post), and
  - 3.2 is intended to prevent interference and give every horse, wherever it is positioned, the best opportunity of a clear run to the finish.
- 4 Where a Jockey comes to the false rail they must either:
  - 4.1 cut quickly across to the inner running rail, providing such a manoeuvre will not cause any interference; or
  - 4.2 keep straight.
- 5 Any Jockey who allows their horse to gradually drift to the rail and in so doing causes the Jockey behind to be taken off their intended line, and as a result has to 'take a pull' as they reach the rail, is likely to be guilty of causing interference.
- 6 A Jockey will not be guilty of a riding offence if they allow their horse to drift slowly across to the rail provided that interference is not the result but, by allowing this to occur, it increases the risk of causing interference and therefore this practice should be avoided.

## NOTES ON PENALTIES FOR INTERFERENCE OFFENCES

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The final matter which needs to be considered is the question of appropriate penalty. The following penalty ranges are those recommended by the BHA. In the interest of consistency, and using the respective guidance notes, the Stipendiary Stewards will give further advice on the appropriate penalty within the range given for each offence. The level of penalty should be entirely dependent on the actual offence and previous offences must not be taken into account.

OFFENCE	RECOMMENDED PENALTY
Dangerous Riding	14 - 28 days or refer rider loses entitlement to riding fee
Careless Riding	caution or 2-14 days
Improper Riding	1 - 21 days

## EFFECTIVE DAYS FOR RIDING SUSPENSIONS

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To establish the days when the suspension applies reference should be made to [Chapter H](#).

1. If in the opinion of the Stewards an Interference offence warrants a suspension of more than 28 days the matter should always be referred to the Disciplinary Panel.
2. The level of penalty for Interference breaches should be dependent on the actual offence and previous offences should not be taken into account.
3. Subject to Paragraph 7, a rolling 6 month period will apply for totting up Interference suspensions, the relevant dates being the dates on which a finding of a breach was first made.
4. A rider should be referred to the Disciplinary Panel on the second occasion during the previous 12 months that he is found guilty of Dangerous Riding.

- If a rider is found to have committed a riding offence involving Interference and it warrants a suspension and he has already been suspended from riding for a total of 20 days or more for Interference within the previous 6 months he should be referred to the Disciplinary Panel.\*
- After a rider has appeared before the Disciplinary Panel following a referral under Paragraphs 4 or 5 above and has been suspended, all offences prior to and including the offence for which the rider was referred are not to be taken into consideration for totting up purposes.
- Suspensions imposed by the Disciplinary Panel as a result of an appeal, referral or a case instigated by the BHA are to be included in the number of days suspended during the previous 6 months. However, if the rider has already been suspended for 20 days or more the Disciplinary Panel will take this into account when imposing a penalty after which that suspension and all previous suspensions will not be taken into consideration for totting up purposes.

\* The Disciplinary Panel will usually impose a suspension of between 10 and 28 days with an entry point of 14 days for the accumulation of days suspended plus a period of suspension for the offence. Part of the suspension may be deferred for a period not exceeding 6 months but it will take effect in the event of the rider being further suspended during the said period. The said period will not commence until after the suspension from the 'totting up' enquiry has been served. The entry point for a deferred suspension is 3 months and it is recommended that the entry point should be decreased for the 'high season' (May to August inclusive) and increased for the 'low season'. The number of days that should be deferred are as follows:

10 - 15 days suspension  $\frac{1}{5}$  deferred (fractions of days will be rounded down)

16 - 25 days suspension  $\frac{1}{4}$  deferred

26+ days suspension  $\frac{1}{3}$  deferred

When a deferred suspension is activated it shall commence immediately after the conclusion of the suspension on days applicable to the rider. Suspensions that include deferred suspension days will not be subject to the Group 1/Grade 1 exception.

The deferred part of the suspension will not count towards the total number of days suspended during the current rolling 6 month period.

## PENALTY GUIDELINES

**Penalties should always reflect the effect and the cause of the interference i.e. the effect and the standard of riding. Penalties should rise as the seriousness of the interference increases.**

To assist in maintaining a consistent approach to penalty the following guidelines are given for each of the three categories of Interference:

DANGEROUS RIDING	
Rider intentionally makes contact with another horse and/or rider resulting in serious interference.	14 - 28 days or refer
Rider intentionally interferes with another horse and/or rider resulting in serious interference.	
Rider causes serious interference as a result of steering a course or carrying out a manoeuvre when it should have been obvious to the rider that interference would result.	
Rider intentionally pushes another horse and/or rider off course, including but not limited to through or around the wing of an obstacle, or through or outside the running rail	28 days or refer
CARELESS RIDING	
Minimal interference, due to misjudgement or inattention, which results in the sufferer having to take a slight check or horse being shifted slightly off its line.	Caution

Increased interference, due to misjudgement, inattention or failing to take corrective action, which results in the sufferer having to take a check or the horse being shifted notably off its line.	2-4 days
Rider allows horse to hang or drift which results in considerable interference  Rider causes considerable interference by allowing horse to interfere with another horse(s) over a considerable length of time, especially when preventing the sufferer from riding a finish.	5- 14 days
If rider strikes or attempts to strike another horse or rider.	See here

IMPROPER RIDING	
Rider carries out a manoeuvre and causes minimal interference - where it ought to have been obvious to the rider that interference would result	4 – 5 days
Rider carries out a manoeuvre and causes increased interference - where it ought to have been obvious to the rider that interference would result.	6 – 10 days
Rider carries out a manoeuvre and causes considerable interference - where it ought to have been obvious to the rider that interference would result.	11 – 21 days
If rider strikes or attempts to strike another horse or rider	<a href="#">Refer to Whip penalty table</a>

## NOTES TO PENALTY GUIDELINES

- In judging the effect, the Panel should take into consideration the overall effect on the sufferer which includes:
  - the degree of danger e.g. squeezed up against the rails
  - the loss of opportunity to challenge for prize money e.g. chance of challenging effectively destroyed
  - the loss of prize money e.g. sufferer comes third but would have been second but for the interference
  - It is important that all these aspects of the effect on the sufferer(s) are taken into account when deciding on penalty - one or other of the above 'effects' should increase the penalty by one or even two days.
- Penalty should increase when:
  - the horse hangs or drifts for a long period when it ought to have been obvious that, uncorrected, interference would result
  - the rider is coming from behind and able to assess what is in front of him
- Indirect ('knock on') interference should be taken into account when assessing the level of penalty unless you are certain that the indirect interference was not reasonably foreseeable.
- When a rider is brought down the Panel should start in 'considerable' with an entry penalty off the bottom. Actual injuries sustained by a fallen horse or rider should not be taken into account, the fall is enough.
- It is impossible to cover every eventuality and therefore the level of penalty should be varied to suit the circumstances.

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# WHIP - RULE (F)45

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Improper Riding also includes cases of misuse of the whip, and other forms of misconduct by the rider, whether mounted or dismounted (Rules [\(D\)2](#), [\(F\)34](#) & [\(F\)45](#))

The BHA remains totally committed to preventing any abuse of horses through improper or unacceptable use of the whip. Stewards may hold an enquiry into any case where, taking into consideration the guidelines [here](#) and [here](#), the rider appears to have misused his whip or the rider has used his whip in any way as to cause them concern.

Veterinary Officers will inspect horses after a race and if a horse is wealed it will be reported to the Stewards.

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## GUIDANCE ON USE OF THE WHIP

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In assessing a rider's use of the whip the Stewards should always remember that the whip should be used for safety and encouragement. Whilst there is a requirement for all riders to carry a whip, there is no obligation on riders using their whip.

- Any use of the whip by a rider must be appropriate, proportionate, professional, and take account of the Rules and these Guidelines
- The whip may be used to encourage a horse and to maintain its focus and concentration
- The stimulus provided by the use of the whip must be limited so as not to compromise the welfare of the horse
- All riders must use an approved whip

Riders should consider the following factors so as to minimise any possibility of being found in breach of the Rules:

- a) Urging the horse to lengthen its stride and increase its pace by first using hands and heels before picking up the whip;
- b) Giving consideration to how much of the race is still left to run before starting to use the whip;
- c) Showing the horse the whip and giving it time to respond before using it;
- d) Using the whip in the backhand position;
- e) Having used the whip, giving the horse a chance to respond before using it again;
- f) Keeping both hands on the reins when using the whip down the shoulder in the backhand position;
- g) Using the whip in rhythm with the horse's stride and close to its side.

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## WHEN TO HOLD AN ENQUIRY - RULE (F)45

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The Stewards should consider whether to hold an enquiry if a rider has:

1. Used his whip 8 times or more in a Flat race or 9 times or more in a Jump race.
2. Misused his whip taking into consideration the guidelines [here](#) and [here](#).

When deciding whether or not to hold an enquiry Stewards should consider how the rider has used the whip during the course of the entire race, with particular attention to its use in the closing stages, and relevant factors such as:

- a) The manner in which the whip was used, including the degree of force;
- b) The purpose for which the whip was used;
- c) The distance over which the whip was used and whether the number of times it was used was reasonable and necessary;
- d) Whether the horse was continuing to respond.

Provided that the manner in which the whip had been used was measured, Stewards may choose to disregard occasions when the whip has been used:

All Races

- a) To keep a horse in contention or to maintain a challenging position prior to what would be considered the closing stages of a race;
- b) To maintain a horse's focus and concentration;
- c) To correct a horse that is noticeably hanging;
- d) Where there is only light contact with the horse;

#### Jump Races

- e) Following a mistake at an obstacle;
- f) To correct a horse that is running down an obstacle.

Factors that the Stewards may be less tolerant about should a rider use the whip 8 times or more in a Flat race or 9 times or more in a Jump race:

- a) When the horse is young or inexperienced;
- b) When a rider uses no other method in the closing stages, to ask his horse to quicken or maintain its position, other than using his whip;
- c) When a rider continues to use the whip when not being directly challenged for a finishing position;
- d) When a rider fails to recognise that his use of the whip is not having the intended effect.

If the Stewards are still concerned, having considered disregarding some occasions when the whip has been used, an enquiry should be held.

Unless, having heard from the rider, the Stewards decide to accept his explanation for the use of the whip or discount any further occasions when the whip has been used, the Stewards should find the rider in breach and refer [here](#) and [here](#) for guidance on the appropriate penalty.

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## NOTES ON PENALTIES - RULE (F)45

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- 1 Having found the rider in breach, the Stewards must decide on the level of penalty for the offence.
- 2 Previous offences are not to be taken into account by the Stewards when deciding on the level of penalty.
- 3 Offences which incur a suspension of 2 - 6 days are to be treated separately from those offences that incur a suspension of 7 days or more.
- 4 Having decided on a penalty, the Stewards should then establish if the rider has committed previous breaches and if it is the rider's:
  - Fifth suspension of 2 - 6 days within the previous 6 months - refer
  - Fourth suspension of 7 days or more within the previous 6 months - refer
- 5 When checking previous whip offences for referral purposes, the relevant date is the date on which a finding of a breach was first made.
- 6 After a rider has appeared before the Disciplinary Panel following a referral under paragraph 4 and has been suspended, all offences in the band prior to and including the offence for which the rider was referred should not be taken into account when calculating the number of subsequent offences.
- 7 If in the opinion of the Stewards a whip offence warrants a suspension of more than 20 days the matter should be referred to the Disciplinary Panel.
- 8 Group 1 and Grade 1 exemptions will apply to those suspensions of 4 days or less. Group 1 and Grade 1 exemptions will not apply to suspensions imposed by the Disciplinary Panel following a referral.
- 9 If a Professional Jockey is suspended for 7 days or more he may also be fined a sum between £200 and £10,000 (£100 and £5,000 in the case of an apprentice) depending upon the type and value of the race, the rider's finishing position and the length of the suspension imposed.

- 10 Using the same criteria in paragraph 9, Amateur Jockeys may also be fined a sum of either £200 or £400.
- 11 The Disciplinary Panel will usually impose a suspension of:
- Fifth suspension of 2 - 6 days within previous 6 months:**
- 14 - 42 days suspension with an entry point of 21 days.
- Fourth suspension of 7 days or more within previous 6 months:**
- 2 months - 6 months suspension with an entry point of 3 months.
- May be fined as set out in paragraphs 9 & 10 above.
- 12 Part of the suspension may be deferred for a period of between 42 days and 4 months, but it will take effect in the event of the rider being further suspended 2 during the said period. The said period will not commence until after the suspension for the offences has been served.

The entry point for a deferred suspension is 2 months for a fifth suspension of 2 - 6 days and 3 months for a fourth suspension of 7 days or more.

The number of days of the suspension that should be deferred is 1/3 (fractions of days will be rounded down).

When a deferred suspension is activated it will commence immediately after the conclusion of the suspension on days applicable to the rider. Suspensions that include deferred suspension days will not be subject to Group 1/Grade 1 exceptions.

## PENALTY GUIDELINES - RULE (F)45

OFFENCE	RECOMMENDED PENALTY
Misuse of the whip - <a href="#">Rule (F)45</a>	2 - 20 days or refer 7 days or more - an additional fine of between £200 - £10,000

These are Guidelines and do not provide an exhaustive list of offences, or circumstances, whereby a rider's use of the whip may be considered improper.

USE OF THE WHIP (EXAMPLES OF MISUSE)	USE OF THE WHIP WHICH COULD AMOUNT TO A BREACH	MINIMUM PENALTY - DAYS
Arm above shoulder height	2	2
Without regard to stride (rat - tat - tat)	3	2
Excessive force	1	2
Without time to respond (allow 3 strides per stroke) *including first hit	3*	2
Showing no response	3	5
Out of contention	3	5
Clearly winning (or other placing)	2	2
Past the post	2	2
Incorrect place	1	2
Down shoulder in forehand	2	2
Frequency - uses above the permitted level for frequency: 7 times in a Flat race or 8 times in a Jump race.		
Flat	1	2
	2	4
	3	7
Jump	1	2

	2	4
	3	7

If the finding is a breach of one example, the Stewards should refer to the respective example and its corresponding penalty (as above) and then add a further 2 days for each use thereafter.

If the finding is a breach of more than one example, the Stewards should impose a single suspension to take account of all of the individual breaches. In calculating such a suspension the Stewards should start by looking at 'frequency' and then add on further days to reflect any other breaches - normally, following a finding of 'frequency', where the number of occasions the whip has been used has already been taken into account, it is not necessary to increase any other penalty similarly e.g. 8 times in a flat race (2 days: frequency) of which 4 were without time to respond (2 days: no time to respond) totals a 4-day suspension; 11 times in a jump race (7 days: frequency) of which 3 were in the incorrect place (2 days: incorrect place) totals a 9-day suspension.

If a rider is in breach of [Rule \(F\)45](#) for misuse of the whip and furthermore has wealed his horse, this should be treated as an aggravating feature, and an additional penalty should be added, as set out below:

Minor Weal - 5 days

Moderate Weal - 8 days

If the horse is injured the case should be referred.

In considering whether a horse has been wealed, and whether that weal is minor, moderate or an injury, the Stewards should have regard to the opinion of the Veterinary Officer.

## FINES

13 If the Professional Jockey of a horse placed first, second, third, fourth, fifth or sixth:

13.1 in a Flat Race with a Total Prize Fund of £27,500 or more; or

13.2 in a Jump Race with a Total Prize Fund of £20,000 or more,

is found to have contravened [Rule \(F\)45](#) (improper use of the whip) and is suspended for 7 days or more before previous offences are taken into account, the Professional Rider may be fined a sum of not less than £200 and not more than £10,000, except as provided for in paragraph 2.

14 An Apprentice Jockey, in the circumstances set out in paragraph 1, may be fined a sum of not less than £100 and not more than £5,000.

15 The amount of the fine shall be calculated by reference to that payment which the Stakes and Prize Money Code provides to be paid to the Jockey for the Race and placing in question.

16 If the suspension is for 7 or 8 days, the Professional Jockey shall be fined 20% of that payment, 10% in the case of an Apprentice Jockey, providing that the payment referred to in paragraph 3 is £1,000 or above.

17 If the suspension is for 9 days or more the Professional Jockey shall be fined 40% of that payment, 20% in the case of an Apprentice Jockey, providing that the payment referred to in paragraph 3 is £500 or above.

18 If the Amateur Jockey of a horse placed first, second, third, fourth, fifth or sixth:

18.1 in a Flat Race with a Total Prize Fund of £27,500 or more, or

18.2 in a Jump Race with a Total Prize Fund of £20,000 or more,

is found to have contravened [Rule \(F\)45](#) (improper use of whip) and is suspended for 7 days or more before previous offences are taken into account, the Amateur Jockey may be fined a sum of not less than £200 and not more than £400.

19 The amount of the fine shall be calculated by reference to that payment which the Stakes and Prize Money Code provides to be paid to a Professional Jockey for the Race and placing in question.

20 If the suspension is for 7 or 8 days the Amateur Jockey shall be fined £200 provided the sum referred to in paragraph 7 is £1,000 or above.

21 If the suspension is for 9 days or more the Amateur Jockey shall be fined £400 provided the sum referred to in paragraph 7 is £500 or above.

## PENALTY GUIDELINES - RULE (D)2

Jabbing the horse in the mouth, kicking or striking the horse in any way when not mounted, or any behaviour towards the horse whether mounted or not which the Stewards consider to be unacceptable.	1 - 5 days
Using a whip at the start	B

## STRIKING OR ATTEMPTING TO STRIKE OTHER HORSES OR RIDERS WITH A WHIP

Rider accidentally strikes another horse or rider with his whip causing interference.	Accidental Interference	
Rider unintentionally strikes another horse or rider causing some interference but should have moderated his use of the whip because of the close proximity of another horse or rider.	Careless Riding	2 - 4 days
Rider attempts to strike another horse or rider with his whip.	Improper Riding	4 - 7 days
Rider intentionally strikes another horse or rider with his whip.	Improper Riding	7 - 10 days

NOTE: If a rider hits another horse only once in a finish and the Panel consider that the rider is unlikely to have known that the horse was within striking range, more often than not it is likely to be categorised as Accidental Interference.

# TABLE OF PENALTIES

## FIXED PENALTY BANDS

	1ST OFFENCE	2ND OFFENCE	3RD OFFENCE	4TH OFFENCE
Band A	£80	£160	£320	refer
Band B	£140	£280	£560	refer
Band C	£290	£580	£1,160	refer
Band D	£650	£1,300	refer	

## B: LICENSING

RULE	SUMMARY	ENTRY POINT	RANGE	
<a href="#">(B)27</a>	Failure to notify change in employment status	£300	£200 - £500	DP
<a href="#">(B)31</a>	Unlicensed rider rides in race	Disqualify horse £150 or suspend licence 2 days	£100 - £1,000 1 - 5 days	DP
<a href="#">(B)32</a>	Failure to report any injury or illness	£250	£150 - £1,000	DP
<a href="#">(B)36</a>	Failure to notify termination of Apprentice/Conditional Jockey's agreement	£300	£150 - £1,000	DP
<a href="#">(B)46</a>	Breach of BHAGIs by Racecourse Managing Executive	£3,500	£1,000 - £15,000	DP
	Breach of BHAGI 11.1 Part 1(a) - RMO not registered with Medical Department	£500	-	DP
	Breach of BHAGI 11.1 para 13(c) - medical services incomplete	£5,000	£3,500 - £15,000	DP
	Breach of BHAGI 11.2 para 3 - Annex B form signed when medical arrangements incomplete	£7,500	£5,000 - £15,000	DP
	Minor technical breach of the medical arrangements	Caution	-	DP
	Failure by racecourse to pay prize money to stakeholders	£2,000	£1,000 - £3,000	DP

## C: OWNERSHIP AND REGISTRATION

RULE	SUMMARY	ENTRY POINT	RANGE	
<a href="#">(C)5</a>	Jockey is owner or part owner of a horse	Suspend/withdraw licence 3 months	1 month - 3 years	DP
<a href="#">(C)18</a>	Failure to lodge a transfer of engagements	£200	£150 - £500	DP
<a href="#">(C)19</a>	Failure to register colours	£110	-	DP
<a href="#">(C)22</a>	Runs in colours other than those registered	A	-	RC
<a href="#">(C)25</a>	Failure to declare alternative colours to the Racing Calendar Office or subsequently runs in wrong colours	£80	-	DP

# D: HORSE WELFARE AND MANAGEMENT

## WELFARE

RULE	SUMMARY	ENTRY POINT	RANGE	
<a href="#">(D)1</a>	Responsible Person failing to ensure safety and welfare of horse			
	(a) below acceptable standard	£2,000	£1,000 - £3,000	DP
	(b) neglect over a period of time - very poor husbandry	Withdraw licence/registration 9 months	6 months - 3 years	DP
	(c) wilful cruelty	Disqualify 8 years	5 - 25 years	DP
<a href="#">(D)2</a>	Jabbing the horse in the mouth, kicking or striking the horse in any way when not mounted, or any behaviour towards the horse whether mounted or not which the Stewards consider to be unacceptable.		1 - 5 days	RC
<a href="#">(D)2</a>	Using a whip at the start	<a href="#">B</a>	-	RC

## COMMUNICABLE DISEASES

RULE	SUMMARY	ENTRY POINT	RANGE	
<a href="#">(D)4</a>	Failure to report communicable disease	£1,500	£1,000 - £10,000	DP

## PASSPORTS AND IDENTITY CHECKS

RULE	SUMMARY	ENTRY POINT	RANGE	
<a href="#">(D)6</a>	Passport not produced on request	<a href="#">C</a> if on racecourse, horse withdrawn	-	RC
<a href="#">(D)7</a>	Horse cannot be identified from markings in passport	if on racecourse, horse withdrawn	-	RC
	(a) incorrect horse	£750	£450 - £1,500	DP
	(b) correct horse but marking errors	£300	£200 - £500	DP
<a href="#">(D)7</a>	Failure to report markings discrepancies	£100	£75 - £150	DP
<a href="#">(D)8</a>	Failure to present correct horse	£750	£450 - £1,500	DP

## NEURECTOMY OPERATIONS

RULE	SUMMARY	ENTRY POINT	RANGE	
<a href="#">(D)9</a>	Running a horse that has had a neurectomy	Disqualify 2 years	6 months - 3 years	DP
<a href="#">(D)10</a>	Failure to notify neurectomy	£1,000; or withdraw/disqualify 6 months	£250 - £5,000 1 month - 2 years	DP

# RACEDAY RESTRICTIONS

RULE	SUMMARY	ENTRY POINT	RANGE	
<a href="#">(D)11</a>	Substance given on day of Race before horse runs	refer withdraw horse if pre-Race	-	RC
		£1,000 disqualify horse	£750 - £2,000	DP
<a href="#">(D)11</a>	Glycerin given on day of Race without permission	<a href="#">C</a> horse can run	-	RC
<a href="#">(D)11</a>	Manipulative therapy on day of Race	<a href="#">A</a>	-	RC

# DEATH OF A HORSE

RULE	SUMMARY	ENTRY POINT	RANGE	
<a href="#">(D)20</a>	Failure to notify death of a horse	£100	-	DP

# DUTIES OF CARE AND SKILL

RULE	SUMMARY	ENTRY POINT	RANGE	
<a href="#">(D)22</a>	Failure to ensure protective clothing and head gear is worn	£250	£100 - £2,000	DP

# MEDICATION RECORDS

RULE	SUMMARY	ENTRY POINT	RANGE	
<a href="#">(D)24</a>	Failure to keep clear and accurate medication records	£500	£250 - £2,000	DP

# NOTIFICATION OBLIGATIONS

RULE	SUMMARY	ENTRY POINT	RANGE	
<a href="#">(D)28</a>	Failure to notify horse has been gelded	£200	£100 - £500	DP
<a href="#">(D)29</a>	Failure to notify horse is of ambiguous sex	£100	-	DP
<a href="#">(D)30</a>	Failure to report wind surgery			
	(a) reported before Race	<a href="#">C</a>	-	RC
	(b) not reported	<a href="#">D</a>	-	RC
<a href="#">(D)31</a>	Failure to notify horse has had suprachoroidal cyclosporine implant	£1,000	£250 - £2,000	DP
<a href="#">(D)32</a>	Failure to report pregnant mare			
	(a) reported before Race	<a href="#">C</a>	-	DP
	(b) not reported	<a href="#">D</a>	-	DP

# NEW HORSES AND RACING OUTSIDE GB

RULE	SUMMARY	ENTRY POINT	RANGE	
<a href="#">(D)34</a>	Failure to update current horses in training	£200	£150 - £500	DP
<a href="#">(D)36</a>	Failure to notify overseas performances	£300	£200 - £500	DP
<a href="#">(D)38</a>	Failure to notify overseas performances	£300	£200 - £500	DP

## E: PREPARING FOR THE RACE

### ENTERING A HORSE FOR A RACE

RULE	SUMMARY	ENTRY POINT	RANGE	
<a href="#">(E)1</a>	Entering/running a horse not qualified to race	Disqualify horse £1,000 or Disqualify/exclude 3 months	- £500 - £3,000 1 month - 3 years	DP
<a href="#">(E)1</a>	Running wrong horse in race	£800	£500 - £2,000	DP

### OVERNIGHT ACCOMMODATION

RULE	SUMMARY	ENTRY POINT	RANGE	
<a href="#">(E)2</a>	Failure to reserve overnight accommodation/stabling	<a href="#">A</a>	-	RC

### ADVERTISING

RULE	SUMMARY	ENTRY POINT	SUMMARY	
<a href="#">(E)4</a>	Sponsorship			
	- 1st to 3rd offence	Caution*	-	RC
	- 4th offence onwards	<a href="#">A</a>	-	RC
	- deliberate	refer	-	RC
		£3,000	£1,000 - £25,000	DP
	- failure to remove when instructed	refer	-	RC
		£600	£500 - £5,000	DP
	<i>*extra caution for 750 runners and every 250 runners thereafter</i>			
<a href="#">(E)4</a>	Failure to notify Racing Calendar Office no longer registered for VAT	£100	-	DP

### ON COURSE DECLARATIONS

RULE	SUMMARY	ENTRY POINT	RANGE	
<a href="#">(E)7</a>	Failure to correct errors in racecard			
	- colours	<a href="#">A</a>	-	RC
	- weight	<a href="#">B</a>	-	RC

(E)7	Failure to declare correct information on declaration sheet	A	-	RC
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## REQUIREMENTS TO USE RACECOURSE STABLES

RULE	SUMMARY	ENTRY POINT	RANGE	
(E)8	Failure to use racecourse stable	B	-	RC

## RESTRICTIONS ON RACECOURSE PROPERTY

RULE	SUMMARY	ENTRY POINT	RANGE	
(E)9	Application of ice within 2 hours of Race time	B	-	RC
(E)10	Substance administered on racecourse premises before day of Race	horse can run		
	- permission would have been granted if sought from VO	C	-	RC
		refer	-	RC
	- permission would not have been granted	£1,000	£750 - £2,000	DP

## RINGWORM

RULE	SUMMARY	ENTRY POINT	RANGE	
(E)12	Ringworm certificate not produced and scrapings positive	£750	-	DP
(E)13	Failure to produce a Certificate of Non-Contagiousness			
	- 1st - 3rd offence	£140	-	RC
	- 4th offence	refer	-	RC

## EQUIPMENT REQUIREMENTS

RULE	SUMMARY	ENTRY POINT	RANGE	
(E)14	Not fully shod (Flat turf)	B	-	RC
(E)14	Reins not correctly attached to bridle	A	-	RC
(E)14	Unserviceable/incorrectly fitted equipment worn by horse	B	-	RC

## DECLARATION OF UNFITNESS TO RIDE

RULE	SUMMARY	ENTRY POINT	RANGE	
(E)23	Not passed fit			
	- attempts to weigh out	B	-	RC
	- rides in a Race	14 days	-	RC

# WEIGHING OUT

RULE	SUMMARY	ENTRY POINT	RANGE	
<a href="#">(E)15</a>	Late arrival or failure of rider to weigh out (impose on employer if Apprentice/Conditional - <a href="#">Rule (E)34</a> )	<a href="#">B</a>	-	RC
<a href="#">(E)15</a>	Declared Jockey not present on instructions of Trainer/Owner	<a href="#">C</a>	-	RC
<a href="#">(E)15</a>	Refusal to ride before weighing out	<a href="#">C</a>	-	RC
<a href="#">(E)16</a>	Failure to bring Medical Record Book			
	- 1st and 2nd offence	<a href="#">A</a>	-	RC
	- 3rd offence	<a href="#">C</a>	-	RC
<a href="#">(E)18</a>	Failure to include all equipment when weighing out			
	- accidental	<a href="#">B</a>	-	RC
	- deliberate	<a href="#">D</a>	-	RC
<a href="#">(E)21</a>	Leaving saddle unattended	<a href="#">A</a>	-	RC
<a href="#">(E)21</a>	Equipment or clothing changes or removed after weighing out			
	- accidental	<a href="#">B</a>	-	RC
	- deliberate	<a href="#">D</a>	-	RC
<a href="#">(E)21</a>	Removal of lead	<a href="#">B</a>	-	RC
<a href="#">(E)22</a>	Failure to ride after weighing out	£800	£650 - £2,500	RC

# THE COURSE

RULE	SUMMARY	ENTRY POINT	RANGE	
<a href="#">(E)25</a>	Jockey fails to familiarise themselves with course	4 days	3 - 7 days	RC
<a href="#">(E)25</a>	Jockey goes into wrong stall			
	- 1st offence	Caution	-	RC
	- 2nd offence	£80	-	RC
	- 3rd offence	£140	-	RC
	- 4th offence	1 day	-	RC
	- deliberate (1st offence)	7 days	-	RC
<a href="#">(E)25</a>	.Jockey starts from wrong stall/wrong position in flip start			
	- accidental	1 day	-	RC
	- deliberate	7 days	-	RC

# REQUIREMENTS BEFORE MOUNTING

RULE	SUMMARY	ENTRY POINT	RANGE	
<a href="#">(E)26</a> <a href="#">(E)27</a>	Leading horses incorrectly	<a href="#">A</a>	-	RC
<a href="#">(E)28</a>	Number cloth not carried	<a href="#">B</a>	-	RC

<a href="#">(E)28</a>	Wrong weight carried	£500 disqualify horse	£250 - £1,500	DP
<a href="#">(E)28</a>	Removal of speed sensing device	<a href="#">C</a>	-	RC
	Removal of speed sensing device (x4)	£5,000 obtain undertaking from trainer not to run horses without SSD	£4,000 - £8,000	DP
<a href="#">(E)29</a>	Horse late in parade ring			
	- Group/Grade 1	£1,000	£500 - £5,000	RC
	- other Races	<a href="#">B</a>	-	RC
<a href="#">(E)30</a>	Saddling errors	<a href="#">B</a>	-	RC

## MOUNTING, PARADES AND PROCEEDING TO THE START

RULE	SUMMARY	ENTRY POINT	RANGE	
<a href="#">(E)31</a>	Failure to comply with parade ring protocol	<a href="#">A</a>	-	RC
<a href="#">(E)31</a>	Late arrival of Jockey in parade ring	<a href="#">B</a>	-	RC
<a href="#">(E)33</a>	Failure to ride past stands	<a href="#">B</a>	-	RC
<a href="#">(E)33</a>	Taking incorrect route to start	<a href="#">B</a>	-	RC
<a href="#">(E)33</a>	Parades			
	- Group/Grade 1	£1,000	£750 - £1,500	RC
	- other Races	£500	£300 - £1,000	RC

## TRAINERS' RESPONSIBILITIES FOR APPRENTICES/CONDITIONALS

RULE	SUMMARY	ENTRY POINT	RANGE	
<a href="#">(E)34</a>	Trainers of Apprentice/Conditional Jockeys			
	(a) fit condition of saddle	<a href="#">B</a>	-	RC
	(b) late arrival of Apprentice Jockey/Conditional Jockey	<a href="#">B</a>	-	RC

## TRAINERS' REPRESENTATIVE

RULE	SUMMARY	ENTRY POINT	RANGE	
<a href="#">(E)35</a>	Trainer fails to authorise person to represent him on racecourse	<a href="#">C</a>	-	RC
<a href="#">(E)35</a>	Trainer's representative unaware of Jockey's instructions	<a href="#">C</a>	-	RC

## ACCESS ON THE RACECOURSE

RULE	SUMMARY	ENTRY POINT	RANGE	
<a href="#">(E)39</a>	Identity card offence	<a href="#">A</a>	-	RC

# RESTRICTED PERIOD

RULE	SUMMARY	ENTRY POINT	RANGE	
(E)42	Restricted Person leaves racecourse and returns without permission	C; or refer	-	RC
(E)43	Use of mobile phone/other Communication Device			
	- oversight	C	-	RC
	- deliberate	refer	-	RC
		£500; or suspend/withdraw licence 1 month	£350 - £2,000 7 days - 1 year	DP
(E)44	Request for telephone records	£300 10 days	£250 - £5,000 5 - 28 days	DP

# F: THE RACE

## GETTING TO THE START

RULE	SUMMARY	ENTRY POINT	RANGE	
(F)1	Rider late to the start			
	- 1st to 4th offence (same penalty)	1 day	-	RC
	- 5th offence	refer	-	RC
		7 days	5 - 10 days	DP
(F)4	Jumping a preliminary jump	B	-	RC

## AT THE START

RULE	SUMMARY	ENTRY POINT	RANGE	
(F)6	Misconduct by Trainer/representative at the start	B	-	RC
(F)6	Misconduct by Jockey at the start			
	(a) disregarded the marker poles	1 day	1 - 5 days	RC
	(b) disregarded the marker poles and allowed horse's head to be in contact with/over the starting tape	2 days	1 - 5 days	RC
	(c) attempted to line up/lined up for start before being instructed to do so	1 day	1 - 5 days	RC
	(d) did not walk in or jig jog/broke the starting tape	1 day	1 - 5 days	RC
	(e) ignored instructions	1 day	1 - 5 days	RC
	(f) deliberately faced horse backwards	2 days	1 - 5 days	RC
	(g) abusive comments towards Official	2 days	1 - 5 days	RC

## FALSE STARTS

RULE	SUMMARY	ENTRY POINT	RANGE	
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(F)13	Failure to obey recall flag	10 days	-	RC
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## STALLS TESTS

RULE	SUMMARY	ENTRY POINT	RANGE	
(F)15	Stalls test failure (1st report in 12 months)			
	- within 7 days of report	£650	-	RC
	- between 8 - 14 days of report	£290	-	RC
(F)15	Stalls test failure (2nd report in 12 months)			
	- within 14 days of report	£1,300	-	RC
	- between 15 - 28 days of report	£290	-	RC
(F)15	Failing consecutive stalls tests			
	- second consecutive test	6 month restriction on taking stalls tests	-	RC
	- third consecutive test	refer	-	RC
		indefinite restriction	-	DP
(F)17	Starting Stalls - report by Starter			
	- 1st occasion	Stalls test required	-	RC
	- 2nd occasion within 12 months	Stalls rest required (and warning)	-	RC
	- 3rd occasion within 12 months	6 month restriction (see exception in Stalls Test Code)	-	RC
	- 4th occasion within 12 months	refer	-	RC
		indefinite restriction	-	DP
(F)17	Unruly behaviour of horse			
	- 1st occasion before Stewards	Warning (FSB)	-	RC
	- 2nd occasion	refer	-	RC

## REMOUNTING

RULE	SUMMARY	ENTRY POINT	RANGE	
(F)25	Remount in Race	4 days	-	RC

## PULLING UP A HORSE

RULE	SUMMARY	ENTRY POINT	RANGE	
(F)26	Failure to pull up	8 days	5 - 12 days or refer	RC
(F)27	Failure to dismount from lame/injured horse	10 days	7 - 14 days or refer	RC
(F)28	Complete the course with other runners, having pulled up	4 days	-	RC

## RIDING THE COURSE

RULE	SUMMARY	ENTRY POINT	RANGE	
<a href="#">(F)29</a>	Jockey ignores direction markers	10 days disqualify horse	-	RC
<a href="#">(F)29</a>	<a href="#">Taking the wrong course</a>	disqualify horse	-	RC
	- 1st offence	12 days	10 - 21 days	RC
	- 2nd offence	28 days	21 - 42 days	RC
<a href="#">(F)29</a>	Jockey pulls up after waving of chequered flag	7 days	-	RC
<a href="#">(F)30</a>	Jockey fails to pull up having knowingly taken the wrong course	3 days (in addition to taking wrong course penalty) disqualify horse	1 - 10 days	RC
<a href="#">(F)31</a>	Failure to ride to their draw			
	- 1st - 4th offence (same penalty)	1 day	-	RC
	- 5th offence	refer	-	RC
		7 days	5 - 10 days	DP
	- on Trainer's instructions	<a href="#">C</a>	-	RC

## EMERGENCY PROCEDURES

RULE	SUMMARY	ENTRY POINT	RANGE	
<a href="#">(F)32</a>	Jockey ignores <b>Stop Race</b> flag	10 days	-	RC

## REPORTING ACCIDENTS OCCURRING IN A RACE

RULE	SUMMARY	ENTRY POINT	RANGE	
<a href="#">(F)33</a>	Failure to report to the RMO	<a href="#">B</a>	-	RC

## WHIP INSTRUCTIONS

RULE	SUMMARY	ENTRY POINT	RANGE	
<a href="#">(F)42</a>	Trainer fails to give whip instructions to Apprentice/Conditional (Jockey not in breach)	<a href="#">C</a>	-	RC
<a href="#">(F)43</a>	Whip instructions by Trainer/Owner			
	(a) Jockey in breach - inadequate instructions	<a href="#">D</a>	£2,000 - £10,000	RC
	(b) Jockey in breach - unacceptable instructions	£2,500	£2,000 - £10,000	RC
	(c) Jockey in breach - failure to give instructions	<a href="#">D</a>	£2,000 - £10,000	RC
	(d) Jockey not in breach - failure to give instructions	<a href="#">C</a>	£2,000 - £10,000	RC

## ASSISTING ANOTHER HORSE IN THE RACE

RULE	SUMMARY	ENTRY POINT	RANGE	
<a href="#">(F)46</a>	Jockey makes a manoeuvre to allow another horse a clear run			

	(a) but causes no interference	7 days	5 - 10 days	RC
	(b) and fails to achieve their best possible placing	14 days	7 - 21 days	RC
<a href="#">(F)46</a>	Jockey intentionally interferes with a horse to assist another horse in the race	14 days	7 - 21 days	RC
<a href="#">(F)46</a>	Jockey causes interference as a result of moving off his racing line to assist another horse in the race	10 days	7 - 14 days	RC
<a href="#">(F)47</a>	Trainer instructs Jockey to breach <a href="#">Rule (F)46</a>	£10,000	£5,000 - £15,000	RC

## G: FOLLOWING THE RACE

### DISMOUNTING

RULE	SUMMARY	ENTRY POINT	RANGE	
<a href="#">(G)8</a>	Dismount before appropriate place	<a href="#">B</a>	-	RC

### WEIGHING IN

RULE	SUMMARY	ENTRY POINT	RANGE	
<a href="#">(G)9</a>	Removal of saddle	1 day	-	RC
<a href="#">(G)9</a>	Failure to present themselves to Clerk of the Scales	<a href="#">A</a>	-	RC
<a href="#">(G)9</a>	Failure to weigh in	disqualify horse	-	RC
	(i) Winner	21 days	-	RC
	(ii) Second/Third	7 days	-	RC
	(iii) Fourth (or any other placing for which there is prize money)	3 days	-	RC
	(iv) Any other placing	2 days	-	RC
<a href="#">(G)11</a>	Procedures prior to weighing in			
	(a) accidental	1 day	-	RC
	(b) deliberate	3 days	-	RC
<a href="#">(G)13</a>	Failure to draw the weight at which the Jockey weighed out by more than 1lb	disqualify horse	-	RC
	(a) Jockey or Trainer in breach			
	(i) Winner	5 days (Jockey) or £1,500 (Trainer)	-	RC
	(ii) Second/Third	4 days (Jockey) or £1,000 (Trainer)	-	RC
	(iii) Any other placing	3 days (Jockey) or £750 (Trainer)	-	RC
	(b) Cause not established - joint penalty			
	(i) Winner	3 days (Jockey) £750 (Trainer)	-	RC
	(ii) Second/Third	2 days (Jockey) £500 (Trainer)	-	RC

	(iii) Any other placing	1 day (Jockey) £250 (Trainer)	-	RC
<a href="#">(G)13</a>	Weighing in at 2lbs or more overweight			
	(i) First four placings	3 days	-	RC
	(ii) Any other placing	1 day	-	RC
<a href="#">(G)15</a>	Jockey not remaining within the vicinity of the weighing room for 5 minutes after the announcement of "Weighed In"	<a href="#">C</a>	-	RC

## POST RACE REPORTS

RULE	SUMMARY	ENTRY POINT	RANGE	
<a href="#">(G)17</a>	Failure of Jockey to report reason for poor performance	<a href="#">B</a>	-	RC
(G)17	Failure of Trainer to report reason for poor performance	<a href="#">C</a>	-	RC
	- Horse wins, rating having dropped	<a href="#">D</a>	-	RC
(G)21	Trainer fails to report that horse lost tongue strap during race	<a href="#">B</a>	-	RC

## H: STEWARDS' POWERS, OBJECTIONS AND ENQUIRIES

RULE	SUMMARY	ENTRY POINT	RANGE	
<a href="#">(H)1</a>	Failure to obey Stewards	2 days (Jockey) £500 (Trainer)	1 - 28 days £100 - £10,000	RC
<a href="#">(H)7</a>	Refusal to allow horse to be examined			
	(a) Pre Race	horse withdrawn refer		RC
	(b) Post Race	£2,000	£1,000 - £7,500 or refer	RC
	Refusal to allow horse to be examined	£5,000; or suspend/withdraw Licence 3 months	£2,500 - £12,000 1 month - 1 year	DP
<a href="#">(H)16</a>	No good and reasonable grounds for objection	<a href="#">A</a>	-	RC
	- frivolous or vexatious	<a href="#">C</a>	-	RC
<a href="#">(H)21</a>	Refusal to attend an enquiry	£3,000	£1,000 - £10,000 or refer	RC

## I: RACE ADMINISTRATION

RULE	SUMMARY	ENTRY POINT	RANGE	
(I)18	Failure to comply with the Claiming and Selling Code			
Claiming and Selling Code	- failure to comply with the protocol for claimants	£400; or disqualify/exclude 3 months	£200 - £2,000 1 month - 3 years	DP
Claiming and Selling Code, para 11	- multiple claims	£800	£250 - £2,000	DP
Claiming and Selling Code	- claim not paid or secured within 2 days	£400	£250 - £2,000	DP
Claiming and Selling Code	- not honour claim within 12 days	£400	£250 - £2,000	DP

Claiming and Selling Code	- dishonour claim	disqualify/exclude 2 years	1 - 5 years	DP
Claiming and Selling Code	- claimant sells horse before paying for it	£400	£250 - £1,000	DP
Claiming and Selling Code, para 24	- horse entered or run contrary to paragraph 24	£800 suspend horse	£250 - £2,000 suspend horse	DP
Claiming and Selling Code, para 35	- failure to lodge passport	A	-	RC

J: INTEGRITY

RULE	SUMMARY	ENTRY POINT	RANGE	
(J)2	Failure to notify of an arrangement with a Betting Operator	£100	£75 - £500	DP
(J)3	Owner compensates Jockey or instructs another to do so	£12,500; or disqualify 6 months	£5,000 - £30,000 1 month - 3 years	DP
(J)3 (J)4	Bribes	Disqualify/Exclude 3 years	3 months - 10 years	DP
(J)5	Jockey bets, lays or accepts the proceeds etc.	Disqualify 18 months	3 months - 10 years	DP
(J)5	Amateur Jockey bets, lays or accepts the proceeds etc.	Disqualify 18 months	3 months - 10 years	DP
(J)5	Valet bets, lays or accepts the proceeds etc.	Disqualify 18 months	3 months - 10 years	DP
(J)6	Trainer lays a horse under their care etc.	Disqualify 18 months	3 months - 10 years	DP
(J)6	Stable Employee lays a horse under the care of their employer etc.	Disqualify 18 months	3 months - 10 years	DP
(J)8	Jockey's Agent lays any horse ridden by a Jockey for whom they act etc.	Disqualify 18 months	3 months - 10 years	DP
(J)9	Owner lays a horse they own etc.	Disqualify 18 months	9 months - 10 years	DP
(J)10	Service Provider lays any horse owned, trained or ridden by the person for whom they have provided a service etc.	Disqualify/exclude 18 months	3 months - 10 years	DP
(J)13	Failing to ensure that no other person uses an account in their name to lay an horse	£10,000	£5,000 - £20,000	DP
(J)16	Inside Information			

	Jockey	Disqualify 3 years	18 months - 5 years	DP
	Trainer/Owner/Jockey's Agent	Disqualify 3 years	18 months - 5 years	DP
	Stable Employee	Disqualify 3 years	18 months - 5 years	DP
	Service Provider/Other person	Disqualify/exclude 3 years	18 months - 5 years	DP
(J)19	Prejudicial to the integrity, proper conduct or good reputation of horseracing	£2,000 or suspend/withdraw/disqualify 3 months	£1,000 - £15,000 1 month - 3 years	DP
(J)20	Violent or improper conduct between Jockeys/Trainers	4 days (Jockey) £500 (Trainer)	1 - 21 days £100 - £5,000	RC/DP
(J)20	Ignoring veterinary surgeon's instructions and riding a lame horse back from the start	21 days	14 - 28 days	RC
(J)21	Violent or improper conduct towards Officials			
	(i) Abusive behaviour (verbal only)	4 days (Jockey) £1,000 (Trainer)	1 - 21 days £100 - £5,000	RC/DP
	(ii) Threatening behaviour (verbal, physical gestures)	21 days (Jockey) £5,000 (Trainer)	14 - 42 days £2,500 - £10,000	RC/DP
	(iii) Violent conduct (physical contact)	refer	-	RC
		£5,000 or suspend/disqualify/exclude 3 months	£2,5000 - £12,000 1 month - 3 years	DP
(J)22	Bloodstock code of practice	£7,500 or suspend/withdraw/disqualify/exclude 3 months or refuse to accept entries	£5,000 - £15,000 3 months - 3 years	DP
(J)23	Associating with a Disqualified Person or excluded person	£1,000 or suspend/withdraw/disqualify 3 months or refuse to accept entries	£500 - £2,500 1 month - 3 years	DP
(J)24	Jockey failing to attend seminar or training course	5 days	2 - 10 days	DP
(J)24	Breach of declaration or undertaking by licensed person i.e. Terms and Conditions of Employment	£750	£500 - £5,000	DP
(J)24	Provide inaccurate information or omit any relevant information	£250	£100 - £2,000	DP

(J)24	Failure to comply with requirement	£750	£500 - £5,000	DP
(J)24	Assist or cause another person to be in breach	<i>For penalty see Rule that was breached</i>		DP
(J)24	Causing a licensed/registered person to breach the betting restriction Rules	disqualify/exclude 6 months	3 months - 10 years	DP
(J)24	Misleading or endeavouring to mislead BHA employee or racecourse official	£2,000; or suspend/withdraw/disqualify/exclude 3 months	£1,000 - £5,000 1 month - 3 years	DP
(J)24	Misleading or endeavouring to mislead an Investigating Officer	£2,000 or suspend/withdraw/disqualify/exclude 3 months or refuse to accept entries	£1,000 - £5,000 1 month - 3 years	DP
(J)24	Misuse of badges			
	(a) Jockey/Trainer who allows an unauthorised person to use their badge on a racecourse	C		RC
	(b) person who uses a Jockey's/Trainer's badge on the racecourse to which they are not entitled*	C		RC
	<i>* can only be fined on racecourse if agrees to be bound by Rules; otherwise refer</i>			
(J)24	Misleading the Stewards	£1,500	£500 - £5,000; or refer	RC
(J)24	Jockey giving deliberately misleading evidence at an enquiry	refer	-	RC
		7 days	5 - 10 days	DP
(J)24	Trainer giving deliberately misleading evidence at an enquiry	refer	-	RC
		£1,500	£500 - £5,000	DP
(J)24	Forged signature	£750 or suspend/withdraw/disqualify 2 months	£500 - £2,000 1 month - 1 year	DP
(J)25	Running a 'ringer'	Disqualify/exclude 20 years	15 - 25 years	DP
(J)25	Corrupt or fraudulent practice	disqualify/exclude 3 years	6 months - 10 years	DP
	<i>Where the corrupt or fraudulent practice included the actual or intended breach(es) of any other Rule(s) by other individuals involved in such practice, see penalty for such Rule(s) if the corresponding penalty exceeds the entry point and range above. Where there is no such associated Rule(s), see the penalty above.</i>			
(J)26	Criminal offence with regard to racing	disqualify/exclude 1 year	6 months - 10 years	DP

(J)27	Failure to disclose unacceptable behaviour	£2,000 or suspend/withdraw/disqualify 3 months	£1,000 - £5,000 1 month - 3 years	DP
(J)28	Participation at Unrecognised Meeting	disqualify 3 months	1 month - 1 year	DP

## K: ANTI-DOPING

### RULE (K)2.1 – CATEGORY A – PROHIBITED AT ALL TIMES

#### STAGE 1

The Disciplinary Panel must assess the level of culpability of the Responsible Person by reference solely to the facts that have been established (if any) relating to the source, the involvement of the Responsible Person and the precautions in place at the yard.

ASSESSMENT OF CULPABILITY	
Low	No knowledge of administration and reasonable precautions taken. Satisfactory attendance at BHA/NTF Seminars is a required precaution.
Medium	No knowledge of administration but significant failings at the yard or Panel is satisfied of an acceptable explanation for an administration error.
High	Deliberate administration or serious failings in the administration of the yard bordering upon negligence.

#### STAGE 2

Once the Panel has decided upon the level of culpability, they will then decide upon sanction. Each case should be considered on the basis of its factual circumstances and previous precedent ought not normally be considered. Panels should start at the Entry Point and adjust for the mitigating and aggravating features that they have found as part of their consideration of the evidence and during their assessment of the level of culpability. At this stage the Panel can take into consideration further mitigating or aggravating features such as the Responsible Person's personal mitigation, credit for cooperation with the BHA or their previous history of disciplinary offences. This might necessitate a shift, either upwards or downwards in the assessment of the level of culpability.

	ENTRY POINT	RANGE
Low	2 years disqualification suspended for 24 months & financial penalty of £1,000.	Additional Financial Penalty (£750 - £10,000)
Medium	2 years disqualification* (If suspended – Financial Penalty of £2,000)	1 -10 years disqualification* (£1,000 - £10,000)
High	2 years disqualification	2-10 years disqualification

\*Disqualification can be suspended for a 24 month period.

#### GUIDANCE NOTE

The Panel must impose a financial penalty in addition to any suspended period of disqualification. No suspended penalty can be imposed for a High level breach. There is no alternative financial penalty available at any level. Any Disciplinary Panel considering any further breach of the Rules of Racing may activate the suspended penalty if the Panel considers it appropriate in the circumstances.

### RULE (K)2.2 – CATEGORY B – PROHIBITED ON RACEDAY

## STAGE ONE

The Disciplinary Panel must assess the level of culpability of the Responsible Person by reference solely to the facts that have been established (if any) relating to the source, the involvement of the Responsible Person and the precautions in place at the yard.

ASSESSMENT OF CULPABILITY	
Low	No knowledge of administration and reasonable precautions taken or therapeutic dose administered close to withdrawal period. Satisfactory attendance at BHA/NTF Seminars is a required precaution.
Medium	No knowledge of administration but significant failings at the yard or Panel is satisfied of an acceptable explanation for a significant therapeutic administration error.
High	Deliberate administration for performance enhancing purposes or serious failings in the administration of the yard bordering upon negligence.

## STAGE TWO

Once the Panel has decided upon the level of culpability, they will then decide upon sanction. Each case should be considered on the basis of its factual circumstances and previous precedent ought not normally be considered. Panels should start at the Entry Point and adjust for the mitigating and aggravating features that they have found as part of their consideration of the evidence and during their assessment of the level of culpability. At this stage the Panel can take into consideration further mitigating or aggravating features such as the Responsible Person's personal mitigation, credit for cooperation with the BHA or their previous history of disciplinary offences. This might necessitate a shift, either upwards or downwards in the assessment of the level of culpability.

	ENTRY POINT	RANGE
Low	Financial Penalty of £1,000*	Financial Penalty Only (Caution - £5,000)
Medium	3 months disqualification/withdrawal** OR Financial Penalty of £2,000	1 month -3 years disqualification/withdrawal** OR (£1,000 - £10,000)
High	2 years disqualification	1 -10 years disqualification

\*Where early admissions are made and reasonable precautions are present, it is expected the Panel will find sufficient mitigation to apply a caution for a first breach.

\*\*Disqualification/withdrawal can be suspended for a 24 month period.

### GUIDANCE NOTE

The Panel must impose a financial penalty in addition to any suspended period of disqualification or withdrawal. No suspended penalty can be imposed for a High level breach. Any Disciplinary Panel considering any further breach of the Rules of Racing may activate the suspended penalty if the Panel considers it appropriate in the circumstances.

## RULE (K)3 - RULE (K)58

RULE	SUMMARY	ENTRY POINT	RANGE	
(K)4	Administration or attempted administration			
	(a) Category B Prohibited Substance or Category B Prohibited Method	disqualify horse £2,000 disqualify 2 years	- £1,000 - £12,000 6 months - 10 years	DP
	(b) Category A Prohibited Substance or Category A Prohibited Method	disqualify horse disqualify 2 years	- 6 months - 10 years	DP
(K)5	Possession of a prohibited substance or prohibited method	refer	-	RC

	(a) Category B Prohibited Substance or Category B Prohibited Method	£1,000	£750 - £1,500	DP
	(b) Category A Prohibited Substance or Category A Prohibited Method	disqualify 2 years	1 - 10 years	DP
<a href="#">(K)6</a>	Evading, refusing or failing to submit a sample collection			
	(a) Evasion or refusal	disqualify horse disqualify 2 years	- 1 - 10 years	DP
	(b) Failing - intentional conduct	disqualify horse disqualify 2 years	- 1 - 10 years	DP
	(c) Failing - negligent conduct	disqualify horse disqualify 1 year	- 6 months - 5 years	DP
<a href="#">(K)7</a>	Whereabouts failures - Filing failures (x3)	£2,000 disqualify 6 months	£1,000 - £5,000 1 month - 3 years	DP
<a href="#">(K)8</a>	Trafficking or attempted trafficking	disqualify horse disqualify 4 years	- 2 - 12 years	DP
<a href="#">(K)9</a>	Tampering or attempted tampering	disqualify horse disqualify 2 years	- 1 - 10 years	DP
<a href="#">(K)10</a>	Complicity	<i>For penalty see the breach that the complicity was relevant to</i>		DP
<a href="#">(K)49</a>	Diuretics			
	1st offence	£350	£300 - £500	DP
	2nd offence (within 24 months)	£700	£500 - £1,000	DP
	3rd offence (within 36 months)	10 days	7 - 14 days	DP
<a href="#">(K)49</a> <a href="#">(K)53</a>	Other Banned Substances and Notifiable Medications			
	1st offence*	2 months	1 - 6 months	DP
	2nd offence* (within 24 months)	9 months	6 months - 2 years	DP
	3rd offence* (within 36 months)	3 years	2 - 5 years	DP
	<i>* The only exception being for cocaine when the rider will normally have their Licence withdrawn at the top of the range</i>			
<a href="#">(K)55</a>	Alcohol			
	1st offence: 20 - 38* micrograms per 100 millilitres of breath or at or above 54 milligrams per 100 millilitres in urine (the 'Lower Level')	stand down for the day refer	-	RC
		caution	-	DP
	1st offence: 39* and upwards micrograms per 100 millilitres of breath or 108 and upwards milligrams per 100 millilitres of urine (the 'Upper Level')	40 days	28 - 60 days	DP
	2nd offence (within 24 months): Lower Level (if 1st offence was Lower Level)	10 days	7 - 21 days	DP
	2nd offence (within 24 months): Lower Level (if 1st offence was Upper Level)	14 days	7 - 21 days	DP
	2nd offence (within 24 months): Upper Level (if 1st offence was Lower Level)	45 days	40 - 60 days	DP
	2nd offence (within 24 months): Upper Level (if 1st offence was Upper Level)	100 days	90 - 120 days	DP
	3rd offence (within 36 months): Upper Level or Lower Level	90 days	60 - 180 days	DP
	<i>* These figures take account of the error factor in the equipment used for determining alcohol levels</i>			
<a href="#">(K)58</a>	Refusal or failure to provide a Sample*			
	Urine: 1st offence	9 months	6 - 12 months	DP
	Urine: 2nd offence (within 36 months)	3 years	2 - 5 years	DP
	Breath: 1st offence	90 days	60 - 120 days	DP

	Breath: 2nd offence (within 36 months)	9 months	6 - 12 months	DP
	<i>* In cases of breath and urine a refusal or failure to provide a sample is likely to be considered to be serious and to attract a penalty at the higher end of the range</i>			
NOTE: Alcohol and Diuretic findings stand alone when looking at previous and subsequent offences except when in combination with a refusal to provide a sample. Offences under the headings 'Other Banned Substances and Notifiable Medications' and 'Refusal or Failure to Provide a Sample' will be combined when taking into account previous offences. An offence shall drop out of the reckoning after 36 months of it being imposed, except in the case of an alcohol reading within the 'Lower Level' when it shall be 24 months.				

## L: BHA INVESTIGATIONS AND DISCIPLINARY ACTION

RULE	SUMMARY	ENTRY POINT	RANGE	
<a href="#">(L)5</a>	Fails to agree a time or place for an interview	£2,000; or suspend/withdraw/disqualify 3 months	£1,000 - £5,000 1 month - 3 years	DP
<a href="#">(L)6 - (L)2</a>	Records not produced	Disqualify 18 months	1 - 3 years	DP
<a href="#">(L)6 - (L)2</a>	Late production of records	£2,000; or suspend/withdraw/disqualify 2 months	1 month - 1 year	DP
<a href="#">(L)6 - (L)2</a>	Tampering with records	suspend/withdraw/disqualify 9 months	6 - 18 months	DP
<a href="#">(L)6</a>	Failure to co-operate with an authorised person	£2,000; or suspend/withdraw/disqualify 3 months	£1,000 - £5,000 1 month - 3 years	DP
<a href="#">(L)6</a>	Hinders or obstructs	£2,000; or suspend/withdraw/disqualify 3 months	£1,000 - £5,000 1 month - 3 years	DP
<a href="#">(L)51</a>	Attending meeting whilst a disqualified person	£2,000; or increase period of disqualification	£1,000 - £10,000	DP

## 3. EQUIPMENT CODE

### HORSE EQUIPMENT

RULE	SUMMARY	ENTRY POINT	RANGE	
<a href="#">paragraph 4</a>	Modification of visor			
	- first offence	Caution	-	RC
	- second (and subsequent) offence	<a href="#">B</a>	-	RC
<a href="#">paragraph 8</a>	Failure to wear headgear/wearing undeclared headgear in paddock if able to rectify	Caution	-	RC
<a href="#">paragraph 8</a> <a href="#">paragraph 13</a>	Failure to wear headgear/wearing undeclared headgear in paddock and unable to rectify, or at start	<a href="#">B</a> horse withdrawn	-	RC
<a href="#">paragraph 8</a>	Loss of headgear			
	- accidental	no penalty	-	-
	- deliberate to affect performance	refer	-	RC
<a href="#">paragraph 9</a>	Declared tongue strap not shown to Veterinary Officer/Surgeon	<a href="#">B</a>	-	RC
<a href="#">paragraph 12</a>	Declared tongue strap not fitted	<a href="#">B</a>	-	RC
<a href="#">paragraph 13</a>	Undeclared tongue strap worn prior to or in a Race	<a href="#">C</a> removed if pre-race	-	RC

<a href="#">paragraph 14</a>	Trainer gets permission for a hood to be worn to the start but:			
	- Horse arrives at start with hood that isn't red:			
	first offence	Caution	-	RC
	second and later offences	<a href="#">B</a>	-	RC
	- Trainer fails to send representative to remove hood	<a href="#">B</a>	-	RC
<a href="#">paragraph 14</a>	- Horse arrives at start with undeclared hood, without permission	<a href="#">B</a>	-	RC
<a href="#">paragraph 15</a>	Oversize calkins/nailheads			
	- horse withdrawn or problem resolved	<a href="#">B</a>	-	RC
	- horse runs	<a href="#">C</a>	-	RC
<a href="#">paragraph 16</a>	Horse not fully shod (Flat turf)	<a href="#">B</a> horse withdrawn	-	RC
<a href="#">paragraph 17</a>	Nasal dilators, supports or bells	<a href="#">B</a>	-	RC

## JOCKEY EQUIPMENT

RULE	SUMMARY	ENTRY POINT	RANGE	
<a href="#">paragraph 21</a>	Poor condition of saddle	<a href="#">B</a>	-	RC
<a href="#">paragraph 23</a>	Failure to wear skull cap/safety vest when mounted	<a href="#">B</a>	-	RC
<a href="#">paragraph 23</a> <a href="#">paragraph 28</a>	Unserviceable/modified skull cap/safety vest			
	- accidental	<a href="#">B</a>	-	RC
	- deliberate	<a href="#">D</a>	-	RC
<a href="#">paragraph 31</a>	Failure to carry a whip	<a href="#">A</a>	-	RC
<a href="#">paragraph 31</a>	Whip not complying with specifications	<a href="#">B</a> prohibit use and confiscate	-	RC
<a href="#">paragraph 32</a>	Modified whip	<a href="#">B</a>	-	RC
<a href="#">paragraph 33</a>	Failure to remove blindfold	<a href="#">B</a>	-	RC
<a href="#">paragraph 33</a>	Ear plugs removed			
	- by Jockey	1 day	-	RC
	- on instructions of Owner/Trainer	<a href="#">D</a>	-	RC

## 6. JUDICIAL PANELS CODE

RULE	SUMMARY	ENTRY POINT	RANGE	
paragraph 15	Failure to attend an enquiry/appeal	£1,000; or suspend Licence 5 days; or disqualify 3 months	£200 - £2,000 2 - 20 days 1 month - 1 year	DP
paragraph 15	Failure to attend an enquiry - witness	£1,000; or suspend Licence 5 days; or disqualify 3 months	£200 - £2,000 2 - 20 days 1 month - 1 year	DP
paragraph 15	Failure to produce information or records for enquiry/appeal	£2,500	£500 - £10,000	DP

paragraph 33	Failure to return Charge Response Form	£250	£200 - £5,000	DP
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## 8. RACE ENTRY CODE

RULE	SUMMARY	ENTRY POINT	RANGE	
<a href="#">paragraph 29</a>	Delay in making a scratching	£500	£250 - £2,000	DP
<a href="#">paragraph 40</a>	Horse does not run	£140	-	RC
	- after 9 a.m. on the day of Race	£500	-	RC
	- wilful disregard of interest of racegoers - taking account of nature of offence and importance of race	£500	£250 - £1,500	RC
<a href="#">paragraph 41</a>	Non-runner - failure to notify Racing Calendar Office or Clerk of the Scales	£500	-	RC
<a href="#">paragraph 52</a>	Double declaration - circumstances not exempted by <a href="#">Race Preferences</a>	-	-	RC
	- accidental	<a href="#">B</a>	-	RC
	- deliberate	<a href="#">D</a>  reduce by £140 if meeting abandoned where horse due to run	-	RC
	<i>Where a horse runs at neither meeting, the second NR penalty should be considered on its merits</i>			
<a href="#">paragraph 52</a>	Deliberate double declaration (x3)	£2,000	£1,500 - £3,000	DP
<a href="#">paragraph 55</a>	Double declaration - runs at non-preferred meeting contrary to <a href="#">Race Preferences</a>	£1,200	-	RC
<a href="#">paragraph 58</a>	Failure to declare a Jockey	<a href="#">B</a>	-	RC
<a href="#">paragraph 61</a>	Unavailable Jockey declared to ride	<a href="#">A</a>	-	RC
<a href="#">paragraph 66</a>	Failure to notify late change of Jockey	<a href="#">A</a>	-	RC

## 9. RUNNING REQUIREMENTS CODE

RULE	SUMMARY	ENTRY POINT	RANGE	
paragraph 7	Horse administered intra-articular corticosteroid on the day of the race or on any of the 14 days before the race	£1,000 disqualify horse	£750 - £2,00	DP
paragraph 13	Horse not in care of Licensed Trainer			
	(a) mistake	£500	£400 - £1,000	DP
	(b) deliberate	£5,000	£2,500 - £10,000	DP
paragraph 20	RCN not received	£150	£150 - £500	DP

## 10. STABLE EMPLOYEES CODE

RULE	SUMMARY	ENTRY POINT	RANGE	
paragraph 1	Failure to contact previous employer	£150	£150 - £500	DP
paragraph 2	Failure to keep Stable Employee Register updated	£200	£150 - £1,000	DP
paragraph 2	Failure to register new employee	£300	£250 - £500	DP
paragraph 2	Failure to notify National Insurance number	£100	£75 - £150	DP
paragraph 4	Failure to notify termination of employment	£100	£75 - £150	DP

## 11. STAKES AND PRIZE MONEY CODE

RULE	SUMMARY	ENTRY POINT	RANGE	
paragraph 12	Failure to display criteria for payment	£100	£75 - £500	DP
paragraph 13	Failure to display return	£100	£75 - £500	DP
paragraph 14	Incorrect payment of pool money (administrative)	£100	£75 - £500	DP
paragraph 14	Retention of pool money by Trainer	£2,000; or suspend/withdraw Licence 3 months	£1,000 - £5,000 1 month - 3 years	DP

## 13. STARTING PROCEDURES CODE

RULE	SUMMARY	ENTRY POINT	RANGE	
paragraph 27	Trainer reported - unschooled horse			
	- 1st occasion	Caution (FSB)	-	RC
	- 2nd occasion	refer	-	RC

## 15. TRAINER CODE

RULE	SUMMARY	ENTRY POINT	RANGE	
paragraph 2	Failure to enter into Training Agreement	£100	-	DP
paragraph 5	Trainer submits unjustified or frivolous report	£300	£150 - £1,000	DP
paragraphs 7 - 13	Failure to comply with Trainer's Code of Conduct	£2,000; or suspend/withdraw/disqualify 3 months	£1,000 - £10,000 1 month - 3 years	DP

## 16. VACCINATIONS CODE

RULE	SUMMARY	ENTRY POINT	RANGE	
<a href="#">paragraph 2</a>	Horse never vaccinated	<a href="#">D</a> horse withdrawn	-	RC
<a href="#">paragraph 2</a>	Vaccination section of passport not completed correctly	<a href="#">B</a>	-	RC

<a href="#">paragraph 2</a>	Recheck reveals vaccination record still out of order	<a href="#">D</a>	-	RC
<a href="#">paragraph 3</a>	Horse vaccinated within previous seven days	<a href="#">C</a> horse withdrawn	-	RC
<a href="#">paragraph 5</a>	Alteration to vaccination record	<a href="#">A</a>	-	RC
<a href="#">paragraph 5</a>	Recheck reveals alteration to vaccination record still out of order	<a href="#">C</a>	-	RC
	Vaccination offence (x4, if referred)	£1,000	£750 - £1,500	DP

## 17. WEIGHTS AND HANDICAPPING CODE

RULE	SUMMARY	ENTRY POINT	RANGE	
<a href="#">paragraph 51</a>	Failure to claim correct riding allowance	£250	£150 - £1,000	DP