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ROYAL ASCOT ENTRIES

TRANSFER ARRANGEMENTS FOR HORSES WITH AN EXISTING ENTRY AT ROYAL ASCOT

Note: The following provisions have been agreed to facilitate the sale of any horse(s) with a Royal Ascot entry (Tuesday 18 – Saturday 22 June) at the Goffs London Sale 2019, so that they may keep the entry and run. It does not apply to other horses sold at this sale. This arrangement is as follows:

1) Transfer of Ownership

Potential purchasers are strongly advised to contact Weatherbys Registrations (+44 1933 440077) to discuss registration status, in confidence, prior to the sale.*

- a) In respect of Ownership Registration status, in order for the horse to take up any existing entry to Royal Ascot, the purchaser/purchasing entity will:
- i) be registered as an Owner with the British Horseracing Authority (“BHA”) or with another Recognised Racing Authority (“RRA”). If registered with an RRA, this status must be verified with the relevant jurisdiction by Weatherbys; and
 - ii) have correctly completed and submitted a Transfer of Engagement (“TE”) form; and
 - iii) complete the additional information form provided to the purchaser by Weatherbys on the night of sale.
- b) In respect of point 1.a above, the following timing requirements apply:

Raceday	Timing Requirements
Tuesday Wednesday	BHA Registration of Ownership entity or verification with another RRA must be undertaken in advance of the sale. All other documentation set out at points 1.a.ii & 1.a.iii above must be provided to Weatherbys on the night of sale. If purchased by an individual who does not hold a pre-existing registration, the horse’s engagements for Tuesday or Wednesday will be void and the horse will be declared a non-runner.
Thursday Friday Saturday	If a pre-existing BHA Registration or RRA verification is not in place, the horse’s entry may be compromised unless registration forms are completed on the night of sale. <u>To guarantee the horse runs in the purchaser’s name, the purchaser(s) should pre-register as an Owner prior to the night of the Goffs London Sale.</u> If an owner does pre-register and is unsuccessful at the sale, BHA will refund the registration fee if requested. Other documentation set out at points 1.a.ii & 1.a.iii above should be provided to Weatherbys on the night of sale, or at the latest, in accordance with the timings set out in the BHA Rules of Racing (“the Rules”) If the entry is on Thursday 20 June, we strongly advocate completing all information required on the night of the sale, as declarations are 10:00am on Tuesday 18 June.



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- c) It is recognised that last minute Partnerships, Syndicates or Club Ownership entities could be formed. In these instances, provided that all individuals involved are already registered as an Owner with BHA, then Weatherbys will endeavour to process the new registration in time for the relevant race. It is unlikely that any other new ownership registration type, including that of a Company, will be processed in time for a horse to run if submitted on or after the date of Sale.

*The BHA will have ultimate discretion in determining the eligibility of any purchaser for registration.

2) Transfer of Trainer

Provided that the transfer of ownership requirements as per section 1 are met, the options in respect of Licensed Trainer (“Trainer”) are as follows:

- a) The Owner may keep the horse with the existing Licensing Trainer*; or
- b) The Owner may transfer the horse to a Trainer who holds a current licence to train horses in Flat Races with the corresponding RRA*

*The BHA will temporarily waive the requirements of Paragraph 5 & 6 of Schedule (B)2 of the Rules as appropriate, to facilitate this.

3) Racecard Details

- a) The racecard details will be as follows:

Raceday	Racecard Details
Tuesday	Racecard will carry the pre-sale Owner & Trainer details. A late amendment notice will be issued to the press by Weatherbys.
Wednesday	Racecard amended to show the new Owner and Trainer details. A late amendment notice will be issued to the press by Weatherbys.
Thursday, Friday & Saturday	Racecard and information issued to the press will contain details of the new connections and their colours.

4) Colours

- a) The horse will be able to run in the new Owner’s colours providing these colours are registered with the BHA or another RRA.
- b) There will be a facility available to register a set of colours on the night with Weatherbys. NB. Colours registrations must conform with the BHA’s colour registration guidelines (<http://www.britishhorseracing.com/resource-centre/ownership/racing-colours/>).
- c) The Trainer and Owner must ensure the correct Registered Colours are sent to Ascot Racecourse to be carried by the Jockey in the race in question.

5) New Owner/ Trainer Liabilities

- a) In purchasing the horse, the new Owner and Trainer assume full responsibility for the horse. In particular, Goffs must make the following points clear to all potential buyers through the catalogue and via the auctioneer:
 - i) If the horse moves to a new Trainer, they take full responsibility for that horse under the Rules, including the results of any prohibited substance testing. (For instance, if the horse was to fail a race day test, that would be the responsibility of the new Trainer).
 - ii) The new Owner take on full liability for any costs incurred after purchase (including confirmations

and supplementary entry fees that are charged after the race). Normal BHA charges apply as set out in Schedule A)1 of the Rules, which the new Owner will be liable for. (including but not limited to Transfer of Engagement and Ownership Registration).

6) Process

- a) Goffs will inform Weatherbys of any horse entered in the sale with actual or anticipated Royal Ascot entries.
- b) The sale of horses with a Royal Ascot entry will take place in absentia. Animals will remain under the care or control of the current Trainer and be stabled in accordance with the requirements of the Rules, until the point of sale.
- c) To assist in swift processing of the transfer of ownership after purchase, Weatherbys, the BHA, and Goffs will work closely together with regards to the external communication and operational delivery of this arrangement. Goffs will provide Weatherbys with the name and contact details of purchasers of horses that hold Ascot entries in order to verify their ownership registration and where required to facilitate the swift transfer of ownership. Ultimately, the responsibility for provision of correct information to Weatherbys and the BHA so that the horse may be allowed to run at Royal Ascot lies with the Owner.
- d) Representative(s) from Weatherbys & BHA will be in attendance at the Sale with the necessary forms for purchasers regarding this arrangement. Goffs will ensure adequate runners are on site to direct relevant buyers to the Weatherbys Team for swift processing of any changes. The Weatherbys Team will need to confirm:

- i) the purchaser’s registration as an owner; and
- ii) the Transfer of Engagement; and
- iii) the Trainer of the horse; and
- iv) registration of colours (if the owner does not have registered colours or their colours are registered overseas); and
- v) any other details required by Weatherbys/BHA.
- e) During the sale, where a lot is trained by a foreign trainer and has a Royal Ascot entry, the auctioneer will announce the specific conditions relating to the Trainer before commencing bidding.
- 7) **BHA Rules of Racing**
 - a) This agreement is without fettering to all other Rules of Racing, as they apply from time to time. The BHA Rules can be found at: <http://rules.britishhorseracing.com>.
- 8) **Cost**
 - a) There will be a cost to Goffs of £1,500 for the services required to deliver this arrangement, to be invoiced by Weatherbys following the Sale.