



TRNT BOARD POLICY NO: 011

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LICENSING

Thoroughbred Racing NT (“TRNT”) is the Principal Club for the purposes of the *Racing and Betting Act* (NT) (“the Act”).

Thoroughbred Racing NT is recognised as the Principal Racing Authority in the Northern Territory by the Australian Rules of Racing.

Australian Rule 13 (a) & (b) provides TRNT with the power to license persons who wish to participate in racing in the NT.

In addition to the Rules of Racing this Policy applies to any application for a licence within the Northern Territory.

AR13 Licensing and registration

Without limiting any other PRA powers, a PRA has the following powers in respect of licensing and registration:

- (a) to license riders, trainers and other persons on terms and conditions as it thinks fit;
- (b) to register Clubs, race meetings, owners, companies, bookmakers, horses, riders, trainers and their employees or contactors and other persons on terms and conditions as it thinks fit

Similar powers are contained in Section 44(2)(e) of the *Racing and Betting Act* (NT).

The following Local Rules apply to licensing within the NT:

TRAINERS

NT 59. Applications on the prescribed form for Trainers License, Dual License, Permits to Train or Owner-Trainers Permit must be made annually to the Principal Racing Authority and must be accompanied by such fee as the Principal Racing Authority shall determine from time to time.

NT 69. All Licenses or Permits to Train shall expire on the thirtieth day of April each year.

JOCKEYS AND RIDERS

NT 72. Every application for a License shall be made on the form prescribed for that purpose and shall be accompanied by such fee as shall from time to time be determined by the Principal Racing Authority.

(a) Each applicant shall furnish the Principal Racing Authority such information as the Principal Racing Authority may require, and will be required to furnish a medical history and examination record from an "Approved Medical Officer".

(b) All Licenses shall expire on the thirtieth day of April in each year.

(c) The Principal Racing Authority may refuse to grant any License or may at any time cancel any License before the termination of the year for which it was granted without giving any reason therefor.

(d) The Principal Racing Authority may impose such terms and conditions on any applicant as they think fit, may require him to ride work regularly for a period, and/or ride in barrier trials before considering any application for a License, or may impose any restrictions as to locality in which he may ride, or persons for whom he may ride, as they think fit.

APPRENTICES

NT81 (a) Any person holding a Trainer License, Restricted Permit to Train or Owner-Trainer Permit issued by the Principal Racing Authority may apply to the Principal Racing Authority for approval to indenture an Apprentice

(b) The Secretary of the Principal Racing Authority may apply through the Principal Racing Authority to the Northern Territory Training Authority for approval to indenture an apprentice to the Club

(c) Any such application shall be accompanied by a completed copy of the Articles of Apprenticeship in a form acceptable to the Principal Racing Authority or the Northern Territory Training Authority, a written certificate of a qualified medical practitioner that he has medically examined the apprentice on a date not more than seven days prior to the date of the Articles and that the Apprentice is in all respects medically fit to perform his duties as an Apprentice and such references as to character or otherwise as the Principal Racing Authority may require.

(d) The wages payable to an apprentice by the host trainer shall, subject to any statutory law for the time being in force in the Northern Territory, be fixed by resolution of the Principal Racing Authority from time to time.

NT82 (a) The Principal Racing Authority may refuse to register any Articles and may at any time by written notice to the parties notify their intention to cancel any Articles if in their opinion either the host trainer or the apprentice shall have failed to carry out their obligations. In addition if either party has committed any act or been guilty of any conduct as a result of which the Principal Racing Authority considers it undesirable for the apprenticeship to continue. In lieu of cancellation, the Principal Racing Authority may punish the offenders.

(b) In the case of any Apprentice indentured to the Club, the functions of the Principal Racing Authority referred to in NT 82(a) will be undertaken by the Northern Territory Training Authority.

NT83 In all matters pertaining to the employment of an Apprentice indentured to the Club, the Secretary shall be deemed to be the Manager in terms of the Articles of apprenticeship and shall make all such arrangements as he or she considers necessary for the daily work and riding engagements for the Apprentice. Once the apprentice secures a riding engagement, the trainer of the horse ridden by the apprentice shall be deemed to be the host trainer in respect of any matter arising out of the race and will represent the apprentice at all inquiries.

NT84 A Permit granted to any apprentice to ride in races may be issued subject to such terms and conditions as the Principal Racing Authority deems fit to impose and, without limiting the generality of the foregoing words, may be restricted as to its duration or locality. Any such Permit granted expires on the thirtieth day of April each year, and application for its renewal must be made on the prescribed form by the host trainer of the apprentice.

NT85 No apprentice may be granted a Permit to ride in races until:

(a) the apprentice has been indentured for a period at least three (3) months;

(b) the apprentice has ridden in at least ten (10) barrier trials to the satisfaction of the Stewards.

NT86 A Permit granted to an apprentice to ride in races may be withdrawn or suspended at any time by the Stewards or the Committee of the Principal Racing Authority.

NT87 If on the termination of Articles of Apprenticeship the person apprenticed thereunder applies for and obtains a license as a jockey, such person shall not be bound by any engagement made for him during the period of his apprenticeship.

NT88 All engagements for an apprentice to ride in races must be approved by their host trainer. No apprentice shall accept a ride in any race without the approval and consent of either their host trainer or in their absence, the trainer temporarily put in charge by the host trainer.

STABLEHANDS

NT89 (a) Every person holding a Trainer License, Permit to Train, Dual License or Owner-Trainer Permit shall register with the Principal Racing Authority. Every person other than a Licensed Jockey or Apprentice, engaged by them in connection with the training or care of racehorses (to be called "employee")

(b) Every such application shall be on the prescribed form and be accompanied by a fee as prescribed by the Principal Racing Authority.

NT90 The Principal Racing Authority may at its absolute discretion:

(a) Refuse to register such employee;

(b) Register such employee either unconditionally or upon such conditions, as the Principal Racing Authority deems fit to impose;

(c) Revoke or cancel any registration at any time.

NT91 On termination of any employee's engagement, the employer shall either;

(a) Register a transfer of the employment to another Trainer or person holding a Permit to Train or

(b) Notify the Principal Racing Authority that such employment has been terminated where upon the name of the employee in question shall be removed from the Register and his registration shall be deemed to have ceased from the date of such termination

(c) All registrations shall expire on the thirtieth day of April each year.

NT92 A registered stable hand attendant on a horse at a race meeting must wear a current registration card issued by the Principal Racing Authority and shall be worn so as to be clearly visible to officials.

BOOKMAKERS

NT93 (a) No person shall be permitted to carry on or assist in carrying on the business of a Bookmaker at a race meeting held by any Racing Club unless he has been duly registered as a Bookmaker by the NT Licensing Commission and is the holder of a current permit to act as such issued by the Principal Racing Authority

(b) Each Bookmaker may operate on any racecourse only on a stand provided for that purpose and allocated for such purpose and subject to such conditions as the Committee of the Club may determine. Boards of a specified type shall be used as directed by the Committee of the Club. Stands may be allocated in such manner and in such numbers as the Committee of the Club may from time to time determine

(c) No person shall be permitted to act as a Clerk to any person carrying on the business of a Bookmaker at a race meeting held by any Racing Club unless he is the holder of a current permit to act as such issued by the Principal Racing Authority.

(d) Application for registration as a Bookmaker or a Bookmaker's Clerk must be made to the Principal Racing Authority annually by lodgement of the prescribed form accompanied by such fee as shall be determined by the Principal Racing Authority from time to time

(e) Any Permit to act as a Bookmaker or Bookmaker's Clerk shall expire on the thirtieth day of April each year

(f) The Principal Racing Authority may at any time remove from the Register of Bookmakers or Bookmakers' Clerks the name of any person convicted of an offence under the provisions of the *NT Racing and Betting Act* or otherwise found by the Principal Racing Authority to have engaged in illegal Bookmaking activities or to have been a defaulter in betting.

LICENSING CRITERIA

TRAINER

THE APPLICANT FOR A LICENCE OR RENEWAL OF A LICENCE MUST:

- a) Demonstrate they can maintain a minimum of 8 horses in work within the Northern Territory;
- b) Have qualification (minimum) Certificate IV Trainer/Racing or with demonstrated Racing Industry experience be undertaking a course to obtain the Certificate IV Trainer/Racing, which must be completed within 6 months of the applicant's license being granted;
- c) In the event that an applicant has held a similar license for an extended period in another Racing jurisdiction/s (where the completion of the Certificate IV was not mandatory) and can demonstrate sufficient experience has already been achieved in the category of license being applied for the PRA may, at their discretion be satisfied that such applicant is exempt from having to obtain the Certificate IV Trainer/Racing qualification.
- c) Show they have adequate financial resources to carry on the full time business of racehorse trainer; and
- (d) Have suitable stabling and feed/tack rooms and facilities. Whilst sharing a stable block with another trainer/s is permitted the feed/tack room facilities must be independent of any other trainer and should provide a sufficient level of security. These facilities are to be inspected and approved by the Stewards.
- (e) Be a fit and proper person to hold a license to train horses in the Northern Territory.

THE FOLLOWING CONDITIONS APPLY TO THE HOLDER OF SUCH A LICENCE:

- a) Have the ability to maintain a minimum of 8 horses in work within the Northern Territory;
- b) May seek permission to have an unsupervised stable foreperson;
- c) May seek permission to indenture an apprentice jockey; and
- d) Whilst sharing a stable block with another trainer/s is permitted the feed/tack rooms must be independent of any other trainer and must be approved by the Stewards;
- e) Must be a fit and proper person to hold a license in the Northern Territory.

RESTRICTED PERMIT TO TRAIN

THE APPLICANT FOR A LICENCE OR RENEWAL OF A LICENCE MUST:

- a) Demonstrate that within the first year they can achieve a minimum of 3 horses in work within the Northern Territory;
- b) Have qualification (minimum) Certificate IV Trainer/Racing or with demonstrated Racing Industry experience be undertaking a course to obtain the Certificate IV Training/Racing, which must be completed within 6 months of the applicant's license being granted;
- c) In the event that an applicant has held a similar license for an extended period in another Racing jurisdiction/s (where the completion of the Certificate IV was not mandatory) and can demonstrate sufficient experience has already been achieved in the category of license being applied for the PRA may, at their discretion be satisfied that such applicant is exempt from having to obtain the Certificate IV Trainer/Racing qualification.
- d) Show they have adequate financial resources to carry on at least a part time business of Racehorse Trainer; and
- e) Have suitable stabling and feed/tack rooms and facilities. Whilst sharing a stable block with another trainer/s is permitted the feed/tack room facilities must be independent of any other trainer and should provide a sufficient level of security. These facilities are to be inspected and approved by the Stewards.
- f) Be a fit and proper person to hold a license in the Northern Territory.

THE FOLLOWING CONDITIONS APPLY TO THE HOLDER OF SUCH A LICENCE:

- a) Have the ability to maintain a minimum of 3 horses in work within the Northern Territory.
- b) Will be permitted to have a maximum of 8 horses in work (unless owned wholly by themselves or their immediate family). They may seek permission for short periods to have a greater or lesser number in work.
- c) Not permitted to have a stable foreman other than for short periods (up to 1 month) except under special circumstances; i.e. illness, travel interstate or racing carnival.
- d) Not permitted to have an apprentice jockey except in special circumstances, i.e. family member or close associate of the family.

e) Whilst sharing a stable block with another trainer/s is permitted the feed/tack room the applicant must maintain feed/tack rooms which are independent of any other trainer and must be approved by the Stewards;

OWNER/TRAINER

THE APPLICANT FOR A LICENCE OR RENEWAL OF A LICENCE:

a) A person holding an owner/trainer license may train only horses owned or leased solely or in partnership with members of the person's direct family. For the purpose of this policy direct family shall mean - parents, spouse, children, siblings or grandchildren over the age of 18 years. Spouse includes a de facto partner of the person. For the purpose of this policy, de facto means where two persons are living together as a couple on a genuine domestic basis and have been for a reasonable period of time. Couples does not include co – tenants.

b) An owner/trainer is not permitted to train for syndicates.

c) Have qualification (minimum) Certificate III Advanced Stablehand/Racing or with demonstrated Racing Industry experience be undertaking a course to obtain the Certificate III Advanced Stablehand/Racing, which must be completed within the first 6 months of the applicant's license been granted.

d) In the event that an applicant has held a similar license for an extended period in another Racing jurisdiction/s (where the completion of the Certificate III was not mandatory) and can demonstrate sufficient experience has already been achieved in the category of license being applied for the PRA may, at their discretion be satisfied that such applicant is exempt from having to obtain the Certificate III Advanced Stablehand/Racing qualification.

e) Not permitted to have a Stable Foreman other than for short periods (up to 1 month) except under special circumstances; i.e. illness, travel interstate or racing carnival.

f) Not permitted to have an apprentice jockey except in special circumstances; i.e. family member or close associate of the family

g) Have suitable stabling and feed/tack rooms and facilities. Whilst sharing a stable block with another trainer/s is permitted the feed/tack room facilities must be independent of any other trainer and should provide a sufficient level of security. These facilities are to be inspected and approved by the Stewards.

h) Be a fit and proper person to hold a license in the Northern Territory.

LICENSED TRAINER/JOCKEY

THE APPLICANT FOR A LICENCE OR RENEWAL OF A LICENCE MUST:

- a) Demonstrate they can maintain a minimum of 8 horses in work within the Northern Territory.
- b) Have qualification (minimum) Certificate IV Trainer/Racing and Certificate IV Jockey.
- c) Whilst the minimum Certificate IV Jockey is a mandatory requirement, in the event that an applicant has held a similar dual license for an extended period in another Racing jurisdiction/s (where the completion of the Certificate IV Trainer/Racing was not mandatory) and can demonstrate sufficient experience has already been achieved in the category of license being applied for the PRA may, at their discretion be satisfied that such applicant is exempt from having to obtain the Certificate IV Trainer/Racing qualification.
- d) Must provide a medical certificate
- e) Should demonstrate that they will be able to ride at 59.0kg or lower
- f) Demonstrate that they intend to continue to ride in races on a regular basis and within the first year will achieve a minimum of 2 race rides per month.
- g) Show they have adequate financial resources to carry on the full time business as racehorse trainer.
- h) Demonstrate that they will derive all or the principal part of their income from racing.
- i) Have suitable stabling and feed/tack rooms and facilities. Whilst sharing a stable block with another trainer/s is permitted the feed/tack room facilities must be independent of any other trainer and should provide a sufficient level of security. These facilities are to be inspected and approved by the Stewards.
- j) Be a fit and proper person to hold a license in the Northern Territory.

THE FOLLOWING CONDITIONS APPLY TO THE HOLDER OF SUCH A LICENCE:

- a) Must maintain a minimum of 8 horses in work within the Northern Territory.
- b) Must provide a medical certificate annually.
- c) May seek permission to have an unsupervised stable foreperson.
- d) Ride in races on a regular basis and have a minimum 2 race rides per month.
- e) If they have not ridden regularly during the season they will be licensed on 3 months probation. During that time they must demonstrate that they can and intend to ride regularly at or below 59.0 kg. If they fail to do so without a valid reason their Jockey's license will not be renewed at the expiration of the 3 months probation period.

RESTRICTED PERMIT TO TRAIN/JOCKEY

THE APPLICANT FOR A LICENCE OR RENEWAL OF A LICENCE MUST:

- a) Demonstrate that within the first year they can achieve a minimum of 3 horses in work within the Northern Territory.
- b) Have qualification (minimum) Certificate IV Trainer/Racing and Certificate IV Jockey or be undertaking to obtain a Certificate IV Trainer/Racing and that qualification must be completed within 6 months of the applicant's license being granted.
- c) Must provide a medical certificate.
- d) Must demonstrate that they will be able to ride at 59.0kg or lower.
- e) Demonstrate that they intend to continue to ride in races on a regular basis and within the first year will achieve a minimum of 2 race rides per month.
- f) Show they have financial resources to conduct at least a part time business of racehorse trainer.
- g) Have suitable stabling and feed/tack rooms and facilities. Whilst sharing a stable block with another trainer/s is permitted the feed/tack room facilities must be independent of any other trainer and should provide a sufficient level of security. These facilities are to be inspected and approved by the Stewards.
- h) Be a fit and proper person to hold a license to train horses in the Northern Territory.

THE FOLLOWING CONDITIONS APPLY TO THE HOLDER OF SUCH A LICENSE:

- a) Must maintain a minimum of 3 horses in work within the Northern Territory.
- b) Must provide a National Medical Certificate annually
- c) If they have not ridden regularly during the season they will be licensed on 3 months probation. During that time they must demonstrate that they can and intend to ride

regularly at or below 59.0 kg. If they fail to do so without a valid reason their license will not be renewed

- d) Will be permitted to have a maximum of 8 horses in work (unless permission is sought, in writing, and granted by the Principal Racing Authority).
- e) Ride in races on a regular basis and have a minimum 2 race rides per month.

TRAINING PARTNERSHIP

THE APPLICANTS FOR A LICENCE OR RENEWAL OF A LICENCE MUST:

- a) Hold a current NT Trainers License or NT Restricted Permit to Train. If at the time of application to Train in Partnership one of the applicants does not hold such license a separate application may be lodged at that time.
- b) The Training Partnership must train on behalf of a business entity. That business entity must be either a legal partnership or a company and have a registered ABN.
- c) Trainers approved to Train in Partnership may not train any horse/s as an individual trainer or in any other Training Partnership.
- d) All stakes payments payable to the business entity will be paid to one bank account as nominated and approved by those trainers. If those details are to alter all trainers in the Training Partnership must agree in writing.
- e) Applicants for permission to Train in Partnership should ensure they are fully conversant with AR 98 and especially AR 98(6). If there is any doubt as to the intent of AR 98(6) applicants are advised to seek legal advice.
- f) Have suitable stabling and feed/tack rooms and facilities. Whilst sharing a stable block with another trainer/s is permitted the feed/tack room facilities must be independent of any other trainer and should provide a sufficient level of security. These facilities are to be inspected and approved by the Stewards.
- g) Each applicant must be a fit and proper person to hold a license to train horses in the Northern Territory.

JOCKEY

THE APPLICANT FOR A LICENCE OR RENEWAL OF A LICENCE MUST:

- a) Have obtained a Certificate IV Jockey qualification through the completion of an indenture ship as an apprentice jockey;
- b) Must provide a National Medical Certificate; and
- c) Should demonstrate that they will be able to ride at 59.0kg or lower.

THE HOLDER OF SUCH A LICENSE

- a) Must provide a National Medical Certificate annually;
- b) Have at least 10 rides per season;
- c) Ride track work on a regular basis; and
- d) If they have not ridden regularly during the season they will be licensed for a 3 months probation period. During that time they must demonstrate that they can and intend to ride regularly at or below 59.0 kg. If they fail to do so without a valid reason their license will not be renewed beyond the 3 month period.

TRACKRIDER

THE APPLICANT FOR A LICENCE OR RENEWAL OF A LICENCE MUST BE:

Only persons who hold a Jockey's license, track riders permit or are visiting from interstate where they are licensed to ride trackwork will be permitted to ride trackwork.

FOREPERSON

THE APPLICANT FOR A LICENCE OR RENEWAL OF A LICENCE MUST:

Trainers who are regularly absent from their training establishment would be permitted to have an Foreperson. The Trainer's regular absence could be due to work commitment or in cases where a trainer has stables in more than one area.

The Foreperson will be able to carry on the normal running of the stable unsupervised in the Trainer's absence and will not need to provide written authority from the Trainer when they are absent.

The Foreman will undertake many of the roles of the Trainer and will be required to have a minimum Certificate III accreditation or have held a similar license in another jurisdiction for a reasonable period of time.

NATIONAL MEDICAL CERTIFICATES

Any person who is applying to hold a Jockey's license, Track riders permit or a Trainer's license with permission to ride trackwork must provide a National Medical Certificate. Such medical must be completed;

- a) In the case of an NT resident by an AMO at the time of annual license renewal or when applying to ride trackwork.
- a) In the case of a visiting trainer or trackrider, they must have completed a National Medical Certificate within the previous 12 months. If no such medical is available a National Medical certificate from an NT AMO must be provided prior to a trackriders permit being granted.

ONGOING REQUIREMENTS FOR ALL TRNT LICENSE HOLDERS

It is a requirement that all licensed persons must inform the TRNT Stewards (within 7 days) if after submitting a license application or renewal:

- they are charged with any criminal offence against a law of the Commonwealth or any State or Territory.
- they have bankruptcy proceedings issued against them
- they become a declared bankrupt

ALL TRNT LICENSE HOLDERS OR APPLICANTS FOR A LICENSE PLEASE NOTE:

The Principal Racing Authority may regard a person as not fit and proper to hold a license with TRNT if it is of the opinion that:

- a) **An application by the person for registration, a license or other form of authorization to train horses in a State or Territory of the Commonwealth, or a place outside the Commonwealth, has at any time been refused;**

- b) A registration, license or other form of authorization for the person to train horses in a State or Territory of the Commonwealth, or a place outside the Commonwealth, has at any time been cancelled or suspended;**
 - c) The person has at any time been reprimanded or cautioned or is the subject of an investigation relating to a breach or an alleged breach of any rule of racing or any law relating to the training of horses in a State or Territory of the Commonwealth or a place outside the Commonwealth;**
 - d) A claim for damages or compensation for or in respect of alleged negligence or misconduct in the provision of training services has been made against the person in the 2 years immediately before the application for a licence or renewal of a licence;**
 - e) Any conviction of the person of an offence against a law of the Commonwealth or a State or Territory punishable by imprisonment regardless of whether imprisonment was applied;**
 - f) If the person is, or has been, an undischarged bankrupt or is taking, or has taken, advantage of the laws relating to bankruptcy;**
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- g) If any false or misleading information or document has been provided by or on behalf of the person at the time of application for a licence or renewal of a licence;**
 - h) If the person is, or is likely to be, in breach of a licence condition;**
 - i) If the person has omitted to disclose or has not fully disclosed information that is relevant to an application for a licence or renewal of a licence;**
 - j) If the person has any association with persons or groups that, in the opinion of the Principal Racing Authority, are undesirable or may cause detriment to the reputation or integrity of the racing industry; or**
 - k) If the person was, at any time, disqualified or in the Forfeit List maintained by any principal racing authority; or**
 - l) If the person has failed to pay an amount for which the person is or was liable as confirmed by an order of a Court having jurisdiction in such matters.**