



The Queensland Racing Integrity Commission Promoters' Register

APPLICATION TO BE ENTERED ON THE REGISTER OF APPROVED PROMOTERS

RG 91. THIS GUIDE SETS OUT ASIC'S POLICY ON THE REGULATION OF CERTAIN SMALL-SCALE HORSE RACING AND BREEDING SCHEMES. IN PARTICULAR, IT SETS OUT MANAGED INVESTMENTS, AFS LICENSING AND PRODUCT DISCLOSURE RELIEF THAT MAY BE AVAILABLE:

IT IS THE RESPONSIBIL ITY OF THE APPLICANT TO UNDERSTAND AND COMPLY WITH THE REQUIREMENTS OF THE REGULATORY GUIDE AND THE CORPORATIONS ACT.

Application process

Important Note: The Queensland Racing Integrity Commission does not accept any liability for matters relating to or arising from the applicant's conduct and activities as a promoter of horse racing syndicates.

- 1. The Applicant applies to be entered by The Queensland Racing Integrity Commission in the register of approved promoters and authorised representatives for the purposes of offering shares in horse racing schemes to the public. This application must be accompanied by:
 - Written references from two referees attesting to the applicants' knowledge, integrity, business acumen and/or ability
 - A "Promoters" business plan outlining the intended manner of operations by the Promoter and all related matters and statement of assets and liabilities
 - the Applicant's CV (resume) including references from industry -written references from two referees attesting to the applicants' knowledge, integrity, business acumen and/or ability (see no. 22);
 - a completed and signed questionnaire.
 - · copy of certificate of incorporation
 - National Police Certificate issued within the last 12-months
 - attach evidence of your identity e.g. certified copy of passport or birth certificate
 - attach one recent passport sized photograph of yourself.
 - a copy of AFS license or AR approval including number (this may be supplied when received from ASICapproval would be subject to receiving this)

Fee Payable: \$200.00				Insert receipt number or payment reference here:
Payment can be made by:	1) Credit card by phone	2) Pay by direct deposit:		
	Call 1300 087 021 and	Account name:	QRIC	
	select 1 then the code of	BSB:	064 013	
	racing and quote payment	Account number:	1004 2676	
	code: 3517	Quote payment code: 3517		

V1.00 | Reference number 3517

Refer to the Commission's privacy policy on our website.





Applicant's Name							
Trading Name							
Company Name							
Directors (Name and Address)							
Directors (Name and Address)		and					
Directors (Name and Address)							
Directors (Name and Address)							
Company Postal Address		Address					
ABN / ACN					Incorp. in (State)		
Nominated Contact person for this application				Position			
Phone			Fax			Email	
AFSL No.					Or date applied		
Mobile:					Home		
Fax:					Fax:		
EMAIL:							

V1.00 | Reference number 3517

Refer to the Commission's privacy policy on our website.





| confirm that:

- (a) I have not been disqualified, suspended, warned off, penalised or placed on a forfeit list as a defaulter by any racing other sporting authority in any state or country;
- (b) I have not been convicted of any indictable offence or banned as a director by the Australian Securities and Investments Commission ("ASIC"); and
- (c) I have not been a bankrupt.
- (d) I have not been a director of a company which has gone into receivership, liquidation or bankruptcy administration of any kind.

2. I agree:

- (a) to be bound by the Australian Rules of Racing as amended from time to time;
- (b) to promptly comply with any requests or requirements of The Queensland Racing Integrity Commission exercising its functions as a Principal Racing Authority.
- (c) to promptly comply with any requirements of ASIC;
- (d) that the Queensland Racing Integrity Commission may in its absolute discretion refuse to grant this application or may grant this application subject to conditions;
- (e) that the Queensland Racing Integrity Commission may in its absolute discretion revoke this registration should it be granted;
- (f) to comply with the Queensland Racing Integrity Commission's directions or requirements in relation to the advertising or the promotion of horse racing syndicates;
- (g) to promptly comply with the Queensland Racing Integrity Commission's request for the production of information, accounts, receipts or other documents relating to the promotion of horse racing syndicates; and
- (h) to pay the Queensland Racing Integrity Commission the renewal fees notified by the Queensland Racing Integrity Commission for each racing year.
- (i) to provide appropriately detailed income and expense accounts for each horse syndication under management according to the policies and rules of and as directed from time to time by the Lead regulator.

3. Privacy Statement

For the purposes of The Queensland Racing Integrity Commission performing its functions as a Lead Regulator and thoroughbred racing controlling body, The Queensland Racing Integrity Commission will seek and obtain personal or financial information about you from you and others. The Queensland Racing Integrity Commission may disclose your personal and financial information to other racing controlling bodies, ASIC and enforcement bodies. Should you decline to provide personal or financial information to The Queensland Racing Integrity Commission when requested, The Queensland Racing Integrity Commission or may revoke registration. You may gain access to information held by The Queensland Racing Integrity Commission in relation to your activities as a promoter by contacting, The Queensland Racing Integrity Commission.

sign).

Date:

Signature

Date:

Signature

Date:

I declare that all particulars in my application are true and correct. (If the applicant is a company, all directors must

V1.00 | Reference number 3517

Refer to the Commission's privacy policy on our website.





QUESTIONNAIRE BY APPLICANTS FOR PLACEMENT ON THE REGISTER OF APPROVED PROMOTERS AND AUTHORISED REPRESENTATIVES BY THE QUEENSLAND RACING INTEGRITY COMMISSION

The following questionnaire must accompany the Application to be recorded on the Register of Approved Promoters and Authorised Representatives

Representatives /Promoter's Company Name					
Trading N	rading Name				
Name of F	Name of Person making application				
1.	Have you read and do you understand the Australian Rules of Racing?	Yes No No			
	Do you have any comments:				
2.	Have you seen the Class Orders and Regulatory Guide Issued by the Australian Securities Commission in relation to racehorse syndications and promotions?	Yes No No			
	(a). If the applicant has not received the Class Order please state –				
	Will you undertake to make yourself fully aware of the requirements of the Class Order?	Yes No No			
3.	Do you understand the requirements of the Class Order?	Yes No No			
4.	Do you understand the requirements of the Product Disclosure Statement?	Yes No No			
5.	After you have been issued with an AFS Licence, do you understand that you must not make an offer in any form until you have received approval to do so from The Queensland Racing Integrity Commission?	Yes No No			

V1.00 | Reference number 3517

Refer to the Commission's privacy policy on our website.

Queensland Racing Integrity Commission ABN: 64 838 583 571 PO Box 15666 CITY EAST QLD 4002

Phone: 1300 087 021
Email: <u>licensing@qric.qld.gov.au</u>
Website: <u>www.qric.qld.gov.au</u>

Office Hours: 8:30am to 4:00pm, Mon to Fri Closed public holidays





6.	What is your current occupation?	
7.	Do you propose to promote shares and manage horses in association with your current occupation?	Yes No No
8.	What is your expertise in the racing industry and how did you obtain this expertise?	Comment:
9.	What is your expertise in the promotion /syndications/ownership of racehorses?	Comment:
10.	Do you propose to retain a share in the horses promoted by you?	Yes No No
11.	Do you propose to promote shares and manage horses in association with your current occupation?	Yes No No IIIIIIIIIIIIIIIIIIIIIIIIIIIIIIII
12.	Are you aware that a separate bank account must be established for each horse? promoted?	Yes No No
13.	Do you intend to use multiple trainers?	Yes No No
14.	Where do you envisage the horses will be trained?	

V1.00 | Reference number 3517

Refer to the Commission's privacy policy on our website.

Queensland Racing Integrity Commission ABN: 64 838 583 571 PO Box 15666 CITY EAST QLD 4002

Phone: 1300 087 021
Email: <u>licensing@qric.qld.gov.au</u>
Website: <u>www.qric.qld.gov.au</u>

Office Hours: 8:30am to 4:00pm, Mon to Fri Closed public holidays





15.	Where do you envisage the horses will be stabled and spelled?	
16.	Do you intend to employ personnel to assist you in the promotion of horses and the day to day running of each promoted horse?	Yes No No
	If yes, who and what are their expertise in the racing industry?	
17.	Do you intend to enter into purchase agreements with breeders or Auction houses?	Yes No No
18.	Do you intend to purchase any horses through lease finance?	Yes No No
	If the answer is yes, are you aware that the financial agreement must be disclosed on the Promoter's Disclosure Statement to the potential investors?	Yes No No
	If the answer is no, are you aware that you must have the right title prior to submitting a promotion?	
19.	What is the maximum number of persons who can be members of a single syndicate?	
20.	Do you maintain a residence in Australia?	Yes No No
21.	Please state your residential address	
22.	Do you intend to have day to day input into the promotion?	Yes No No
	Who will be in overall charge in your absence?	
23.	Please supply the names of two referees, preferably connected to the industry	1
		2
24.	Are you a member of any Racing Club in Australia?	Yes No No
	If so, please state which club(s)	

V1.00 | Reference number 3517

Refer to the Commission's privacy policy on our website.

Queensland Racing Integrity Commission ABN: 64 838 583 571 PO Box 15666 CITY EAST QLD 4002

Phone: 1300 087 021
Email: <u>licensing@qric.qld.gov.au</u>
Website: <u>www.qric.qld.gov.au</u>

Office Hours: 8:30am to 4:00pm, Mon to Fri Closed public holidays



CITY EAST QLD 4002



ABN: 64	nsland Racing Integrity Commission 4 838 583 571 ox 15666 EAST QLD 4002	Phone: Email: Website	1300 087 021 <u>licensing@qric.qld.gov.au</u> : <u>www.qric.qld.gov.au</u>	Office Hours: 8:30am to 4:00pm, Mon to Fri Closed public holidays
	Reference number 3517	ı	Refer to the Commission's privacy p	policy on our website.
Name: Signatur	e		Date / /	
Name:				
33.	Have you or any associated entity ever beer refused an Australian Financial Securities lic		Yes No No	
32.	Have you or any associated entity ever beer refused a promoter registration or authorised representative approval?		Yes No No	
31.	Have you or any associated entity ever beer disciplined or fined by any Government regulated body including ASIC, ATO and Offices of Fatrading?	latory	Yes No No	
30.	Have you ever been suspended, disqualified warned off by any racing control body? If so, provide details:	or	Yes No No	
29.	Have you ever been licensed by any racing body? If so, provide details:		Yes No No	
28.	Are there any additional benefits for member (owners) belonging to a syndicate operated (e.g. promotions / marketing / hospitality).	by you?	Yes No Details:	
27.	Do you undertake to provide detailed income expense accounts for each horse syndicatio management and as directed by the Lead re	n under	Yes No No	
26.	How will you communicate information about horse to the syndicate or partnership member how regularly will you communicate this information?			
26.	Are you aware that The Queensland Racing Integrity Commission could remove you from Register of Promoters and Authorised Representatives?	n the	Yes No No	