



RACING AND WAGERING WESTERN AUSTRALIA

ABN 21 347 055 603

MANAGER STEWARDS ADMINISTRATION

70 Grandstand Road ASCOT WA

Telephone: (08) 9277 0796

Facsimile: (08) 9277 0702

**FEE \$200**

## APPLICATION FOR ENTRY ONTO THE RWAA REGISTER OF APPROVED PROMOTERS

**NAME OF APPLICANT:**

*Surname*

*Given Names*

**ADDRESS OF APPLICANT:**

*Street No:*

*Street*

*Suburb*

*State*

*PCode*

**APPLICANT'S OCCUPATION:**

**CONTACT DETAILS:**

Home

Business

Facsimile

Mobile:

Email:

The Applicant applies to be entered in the Racing & Wagering WA (RWAA) Register of Approved Promoters for the purposes of offering shares in horse racing schemes to the public.

I declare that (a) All the particulars in this application are true and correct: (b) I have not been disqualified, suspended, warned off, penalised or placed on a forfeit list as a defaulter by any thoroughbred, harness, greyhound or other sporting authority in any state or country. (c) I have not been convicted of any indictable offence or banned as a director by the Australian Securities and Investments Commission. (d) I have not been a bankrupt. I also agree (e) To be bound by the RWAA Rules of Thoroughbred Racing as amended from time to time. (f) To promptly comply with any requests or requirements of RWAA exercising its functions as a thoroughbred racing controlling body or as a Lead Regulator. (g) To promptly comply with any requirements of ASIC. (h) That RWAA may in its absolute discretion refuse to grant this application or may grant this application subject to conditions. (i) That RWAA may in its absolute discretion revoke this registration should it be granted. (j) To comply with RWAA's directions or requirements in relation to the advertising or the promotion of horse racing syndicates. (k) To promptly comply with RWAA's request for the production of information, accounts, receipts or other documents relating to the promotion of horse racing partnerships or syndicates. (l) To pay RWAA the renewal fees notified by RWAA for each racing year.

**SIGNED:**

**DATE:**

*Applicants Signature*

(If the applicant is a company, all directors must sign).

**NOTE:**

*The Australian Securities and Investment Commission (ASIC) Policy Statement 20, "Horse Racing Schemes", provides for RWAA, as a Lead Regulator, to register promoters of horse racing schemes and to register such schemes. ASIC Class Order 02/319 gives conditional relief from Chapter 5C in relation to the operation of horse racing syndicates. IT IS THE RESPONSIBILITY OF THE APPLICANT TO UNDERSTAND AND COMPLY WITH THE REQUIREMENTS OF THE CLASS ORDER AND THE CORPORATIONS ACT.*

**THE ATTACHED QUESTIONNAIRE MUST BE COMPLETED AND ACCOMPANY THE APPLICATION**

# QUESTIONNAIRE

THE FOLLOWING QUESTIONNAIRE MUST BE COMPLETED AND ACCOMPANY THE APPLICATION .

APPLICANT'S NAME:

Surname

Given Names

SIGNATURE OF APPLICANT:

DATE:

## Privacy Statement

For the purposes of RWWA performing its functions as a Lead Regulator and thoroughbred racing controlling body, RWWA will seek and obtain personal or financial information about you from you and others. RWWA 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 RWWA when requested, RWWA may refuse to grant or renew registration or may revoke registration. You may gain access to information held by RWWA in relation to your activities as a promoter by contacting Manager Stewards Administration.

**RWWA 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.**

✓ Please Tick Yes or No

1. Have you read and do you understand the RWWA Rules of Thoroughbred Racing? Yes [ ] No [ ]

2. Have you read the Class Order issued by the Australian Securities Commission? Yes [ ] No [ ]

3. Do you understand the requirements of the Class Order? Yes [ ] No [ ]

4. Do you understand the requirements of the Promoter's Disclosure Statement (PDS)? Yes [ ] No [ ]

5. After you have been issued with an Australian Financial Services Licence (AFSL), do you understand that you must not make an offer in any form until you have received approval to do so from RWWA?

Yes [ ] No [ ]

6. What is your current occupation?

Do you propose to promote shares and manage horses in association with your current occupation?

Yes [ ] No [ ]

7. What is your expertise in the racing industry and how did you obtain that expertise?

9. What is your expertise in the promotion of racehorses?

10. Do you propose to retain a share in the horses promoted by you? Yes [ ] No [ ]

If yes, are you aware that the share must be purchased by yourself, and financially maintained by yourself at all times? Yes [ ] No [ ]

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11. Are you aware that a separate bank account must be established for each horse promoted?  
Yes [ ] No [ ]

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12. Do you intend to use multiple trainers? Yes [ ] No [ ]

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13. Who do you envisage will train the horses?

1.

2.

3.

4.

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14. Where do you envisage the horses will be stabled and spelled?

1.

2.

3.

4.

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15. 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 [ ]

If so, what are the person/s names and what is their expertise in the racing industry?

1.

2.

3.

4.

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16. Do you intend to enter into the purchase agreement with breeders or auction horses? Yes [ ] No [ ]

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17. Do you intend to purchase any horses through lease finance? Yes [ ] No [ ]

If yes, are you aware that the financial agreement must be disclosed on the PDS to the potential investors?

Yes [ ] No [ ]

If no, are you aware you must have the right to title of the horses prior to submitting a promotion?

Yes [ ] No [ ]

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18. Do you propose to promote partnerships of one to ten persons? Yes [ ] No [ ]

Do you proposed to promote syndicates not exceeding twenty persons? Yes [ ] No [ ]

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19. Do you reside outside of Australia? Yes [ ] No [ ]

If yes, do you maintain a residence in Australia Yes [ ] No [ ]

Australian Address:

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20. Do you intend to have day to day input into the promotions? Yes [ ] No [ ]

Who will be responsible in your absence?

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21. Please provide the names of two referees: (attach references)

1.

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2.

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22. Are you a member of any racing club in Australia? Yes [ ] No [ ]

If yes please provide the name of the club/s:

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23. Are you aware that RWWA may remove your name from the Register of Promoters? Yes [ ] No [ ]

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24. How will you communicate information to the partnership or syndicate members and how regularly will you communicate the information?

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25. Are there any additional benefits you will provide to members syndicate or partnerships operated by you? (e.g. promotions, marketing or hospitality etc.)

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**Attachments required with application**

- **Written references from two referees attesting to the applicants knowledge, integrity, business acumen and/or ability**
- **A valid Police Clearance issued within the last 12-months**
- **A completed RWWA Statement of Assets and Liabilities**
- **A completed intended Financial Services guide**
- **A “Promoters” business plan outlining the intended manner of operations by the Promoter and all related matters.**
- **Any other attachments in support of the application.**