

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 RESPONSIBILITY 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 ASIC- approval 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 Call 1300 087 021 and select 1 then the code of racing and quote payment code: 3517	2) Pay by direct deposit: Account name: QRIC BSB: 064 013 Account number: 1004 2676 Quote payment code: 3517

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: licensing@qric.qld.gov.au
Website: www.qric.qld.gov.au

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



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

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**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 Name _____

Name of Person making application _____

1.	<p>Have you read and do you understand the Australian Rules of Racing?</p> <p>Do you have any comments:</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>
2.	<p>Have you seen the Class Orders and Regulatory Guide Issued by the Australian Securities Commission in relation to racehorse syndications and promotions?</p> <p>(a). If the applicant has not received the Class Order please state –</p> <p>Will you undertake to make yourself fully aware of the requirements of the Class Order?</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>
3.	Do you understand the requirements of the Class Order?	Yes <input type="checkbox"/> No <input type="checkbox"/>
4.	Do you understand the requirements of the Product Disclosure Statement?	Yes <input type="checkbox"/> No <input type="checkbox"/>
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 <input type="checkbox"/> No <input type="checkbox"/>

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6.	What is your current occupation?	
7.	Do you propose to promote shares and manage horses in association with your current occupation?	Yes <input type="checkbox"/> No <input type="checkbox"/>
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 <input type="checkbox"/> No <input type="checkbox"/>
11.	Do you propose to promote shares and manage horses in association with your current occupation?	Yes <input type="checkbox"/> No <input type="checkbox"/> If so, are you aware that the share must be purchased by yourself, and financially maintained by yourself at all times? Yes <input type="checkbox"/> No <input type="checkbox"/>
12.	Are you aware that a separate bank account must be established for each horse promoted?	Yes <input type="checkbox"/> No <input type="checkbox"/>
13.	Do you intend to use multiple trainers?	Yes <input type="checkbox"/> No <input type="checkbox"/>
14.	Where do you envisage the horses will be trained?	

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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? If yes, who and what are their expertise in the racing industry?	Yes <input type="checkbox"/> No <input type="checkbox"/>
17.	Do you intend to enter into purchase agreements with breeders or Auction houses?	Yes <input type="checkbox"/> No <input type="checkbox"/>
18.	Do you intend to purchase any horses through lease finance? 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? If the answer is no, are you aware that you must have the right title prior to submitting a promotion?	Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/>
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 <input type="checkbox"/> No <input type="checkbox"/>
21.	Please state your residential address	
22.	Do you intend to have day to day input into the promotion? Who will be in overall charge in your absence?	Yes <input type="checkbox"/> No <input type="checkbox"/>
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? If so, please state which club(s)	Yes <input type="checkbox"/> No <input type="checkbox"/>

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26.	Are you aware that The Queensland Racing Integrity Commission could remove you from the Register of Promoters and Authorised Representatives?	Yes <input type="checkbox"/> No <input type="checkbox"/>
26.	How will you communicate information about the horse to the syndicate or partnership members and how regularly will you communicate this information?	
27.	Do you undertake to provide detailed income and expense accounts for each horse syndication under management and as directed by the Lead regulator?	Yes <input type="checkbox"/> No <input type="checkbox"/>
28.	Are there any additional benefits for members (owners) belonging to a syndicate operated by you? (e.g. promotions / marketing / hospitality).	Yes <input type="checkbox"/> No <input type="checkbox"/> Details:
29.	Have you ever been licensed by any racing control body? If so, provide details:	Yes <input type="checkbox"/> No <input type="checkbox"/>
30.	Have you ever been suspended, disqualified or warned off by any racing control body? If so, provide details:	Yes <input type="checkbox"/> No <input type="checkbox"/>
31.	Have you or any associated entity ever been disciplined or fined by any Government regulatory body including ASIC , ATO and Offices of Fair Trading?	Yes <input type="checkbox"/> No <input type="checkbox"/>
32.	Have you or any associated entity ever been refused a promoter registration or authorised representative approval?	Yes <input type="checkbox"/> No <input type="checkbox"/>
33.	Have you or any associated entity ever been refused an Australian Financial Securities license?	Yes <input type="checkbox"/> No <input type="checkbox"/>

Name: _____

Signature _____

Date ___ / ___ / ___

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