

Guidelines for the Penalty Ranges regarding Contraventions of the Rules of The National Horseracing Authority

Preamble

The purpose of this document is to provide clarity and act as a guideline regarding ranges for penalties which may be imposed for contraventions of the Rules below.

When determining whether an offence is a second or further offence the period stipulated under “Period for Consideration” shall apply, with the relevant date being the date on which a finding of the contravention was first made.

However, without derogating from the above purpose, this document shall not limit the discretion of a board in imposing a penalty and under circumstances, which it deems exceptional, the board shall be entitled to deviate from the penalty range below.

Any penalties imposed regarding Rules which are not stipulated below shall remain at the discretion of the relevant Board.

| Rule | Description | First Offence | Second Offence | Third Offence | Period for Consideration |
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| 8.3.1 | Club Colours | 500 - 1000 | 500 – 1000 | 500 – 1000 | N/A |
| 10.5.6.1 | Gelding: Failing to Notify SB within 7 Days Notification provided before 09:00 raceday | 750 - 1500 per horse 500 – 1500 per horse | 750 – 2500 per horse 500 – 2500 per horse | 750 – 3000 per horse 750 – 3000 per horse | 1 Month |
| 10.5.6.3 | Gelding: Failing to notify within 7 Days of entering training establishment Notification provided before 09:00 on raceday | 750 – 1500 per horse 500 – 1500 per horse | 750 – 2500 per horse 500 – 2500 per horse | 750 – 3500 per horse 500 – 3500 per horse | 1 Month |

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| 10.5.9 | Horses with infectious or contagious disease | 2000 – Warning Off | 2000 – Warning Off | 2000 – Warning Off | 36 Months |
| 10.5.10 | Letter of Delegation | 750 - 1500 | 750 – 2000 | 750 – 2500 | 6 Months |
| 10.5.12 | Failing to Notify SB of circumstances which could lead to scratching | 1000 – 5000 | 1000 – 7500 | 1000 - 10000 | 12 Months |
| 10.5.18 | Confiscation of Drugs | 2000 and thereafter increased at 500 per confiscated drug | 2500 and thereafter increased at 500 per confiscated drug | 3000 and thereafter increased at 500 per confiscated drug | 6 Months |
| 11.2.8 | Incorrectly Equipped in the parade ring | 750 – 5000 | 750 – 7500 | 750 – 10000 | 3 Months |
| 21.7 | Jockey double engagement | 1500 – 3000 | 1500 – 3500 | 1500 - 4000 | 3 Months |
| 21.13 | Jockey failing to fulfill riding engagement | 1500 - 2500 | 1500 – 3500 | 1500 – 5000 | 3 Months |
| 25.3 | Jockey failing to present medical book | 750 – 2500 | 750 – 3500 | 750 – 5000 | 3 Months |
| 26 | Failing to Register Jockey's Agent | 2500 – 8 000 | 2500 – 9000 | 2500 - 10000 | 12 Months |
| 38.3 | Passport not available at any time | 750 – 2500 | 750 – 3000 | 750 – 3500 | 3 Months |
| 38.4 | Failing to Update Passport | 500 – 5000 | 500 – 6000 | 500 – 10 000 | 3 Months |
| 38.5 | Unauthorized change and/or amendment to passport | 1500 – 10000 | 1500 – 25 000 | 1500 – Warning Off | 36 Months |

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| 39 | Late Vaccinations | 2000 – 10000 Or Warning Off | 2000 – 10000 Or Warning Off | 2000 – 10000 Or Warning Off | 24 months |
| 41.1 | Ownership not registered | 1500 – 5000 | 1500 – 6000 | 1500 – 7000 | 12 Months |
| 49.1 | Failing to comply with the rules under the ROR conditions | 750 – 2500 | 750 – 3750 | 750 – 5000 | 6 Months |
| 50.1.3.3 | No Valid Starting Stall Certificate at time of entry - final declarations | 1000 – 2500 | 1000 – 3000 | 1000 – 5000 | 6 Months |
| 53.1 | Failing to scratch by close of declarations | 1500 – 5000 | 1500 – 7500 | 1500 – 10 000 | 12 Months |
| 55.1 | Failing to Declare a Rider / Declaration of rider without consent | 1500 – 10000 | 1500 – 12500 | 1500 – 15000 | 6 Months |
| 55.4 | Failing to weigh out at carded weight | 1500 – 15 000 | 1500 – 20000 | 1500 – 25000 | 3 Months |
| 56.2.2 | Leaving jockey room without consent | 1500 – 10 000 | 1500 – 12500 | 1500 – 15000 | 12 Months |
| 56.2.4 | Communication Device in Jockey Room | 2500 – 15000 | 2500 – 20000 | 2500 – 25000 | 24 Months |
| 56.2.6 | Smoking in the Jockey's Room | 750 – 2500 | 750 – 3000 | 750 - 5000 | 3 Months |
| 56.4.1.1 | Horses late to the Parade Ring | 750 – 2500 | 750 – 3500 | 750 – 5000 | 3 Months |

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| 56.4.1.3 | Rider failing to proceed to the parade ring timeously | 750 - 2500 | 750 – 3500 | 750 – 5000 | 3 Months |
| 57.1.1 | Failing to present the passport on race day | 750 – 2500 | 750 – 3500 | 750 – 5000 | 3 Months |
| 57.1.2 | Horse late on course | 1500 – 5000 | 1500 – 6000 | 1500 – 7500 | 3 Months |
| 57.1.4 | Saddling outside the designated area without permission | 750 – 5000 | 750 – 6000 | 750 – 7500 | 3 Months |
| 57.5.1 | Failing to report to clerk of scales | 1500 - 2500 | 1500 – 3500 | 1500 – 5000 | 3 Months |
| 58.2 | Defective Equipment | 1500 – 15 000 and/or Suspension: 7 Days – 30 Days | 1500 – 20000 and/or Suspension: 7 Days – 60 Days | 1500 – 25000 and/or Suspension: 7 Days – 90 Days | 12 Months |
| 58.7 | Incorrect Martingales, Reins and Bits | 1500 – 15000 per contravention | 1500 – 20000 per contravention | 1500 – 25000 per contravention | 12 Months |
| 58.8 | Incorrectly Shod | 2500 – 20 000 | 2500 – 22500 | 2500 – 25000 | 12 Months |
| 58.9.2 | No Skull Cap | 500 - 2500 | 500 – 3500 | 500 – 5000 | 3 Months |
| 58.9.3 | No Chin Strap | 750 - 2000 | 750 – 2500 | 750 – 3000 | 3 Months |
| 58.10.2 Appendix E (excluding Guideline A, C and N) | Crop Misuse | Fine: 750 – 5000 and/or Suspension: 7 Days – 30 Days | Fine: 750 – 7500 and/or Suspension: 7 Days – 60 Days | Fine: 750 – 10000 and/or Suspension: 7 Days – 90 Days | 12 Months |

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| 58.10.2 Appendix E – Guideline C | Consecutive | Fine: 750 – 5000 and/or Suspension: 7 Days – 30 Days | Fine: 750 – 7500 and/or Suspension: 7 Days – 60 Days | Fine: 750 – 10000 and/or Suspension: 7 Days – 90 Days | 12 Months |
| 58.10.2 Appendix E – Guideline A | Injury to Horse | 2000 – 25 000 per injury and/or 7 Days – 30 Days | 2000 – 25 000 per injury and/or 7 Days – 60 Days | 2000 – 25 000 per injury and/or 7 Days – 90 Days | 12 Months |
| 58.10.2 Appendix E – Guideline N | Hitting Horse on Head | 5000 – 15 000 and/or 7 Days – 30 Days | 5000 – 20 000 and/or 7 Days – 60 Days | 5000 – 25 000 and/or 7 Days – 90 Days | 12 Months |
| 58.11 | Failing to wear body protector | 1500 – 7500 | 1500 – 10000 | 1500 – 12500 | 12 Months |
| 59.2 | Failing to weigh out timeously | 1000 – 2500 | 1000 – 3500 | 1000 – 5000 | 12 Months |
| 59.3 | Failing to weigh out in accordance with the rule | 1500 – 10 000 | 1500 – 12500 | 1500 – 15000 | 12 Months |
| 61.3.4 and/or 61.3.7 | Fail to Canter and/or Maintaining Feet in Stirrups | 1000 – 2500 | 1000 – 3500 | 1000 – 5000 | 3 Months |
| 61.5.17 | Misdemeanour at start | 500 – 1000 | 500 – 1000 or Inquiry (if the circumstances warrant such) | 500 – 1000 or Inquiry (if the circumstances warrant such) | 6 Months |
| 62.2.1 | Full Opportunity to win or obtain the best possible placing | Suspension: 30 Days – 90 Days | Suspension: 45 Days – 120 Days | Suspension: 60 Days – 180 Days | 36 months |

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| 62.2.2 | Competent and Professional | Fine: 750 – 50000 and/or Suspension: 7 Days – 90 Days | Fine: 750 – 75000 and/or Suspension: 7 Days – 120 Days | Fine: 750 – 100000 and/or Suspension: 7 Days – 180 Days | 36 months |
| 62.2.3 | Failing to ride out to the end of the race: | | | | |
| | Unplaced: | Fine: 750 – 2500 | Fine: 750 – 3500 | Fine: 750 – 5000 | 6 Months |
| | First (Prejudiced) | 45 Days – 90 Days | 60 Days – 120 Days | 90 Days - 180 Days | 36 Months |
| | Second (Prejudiced) | 21 Days – 45 Days | 45 Days – 90 Days | 60 Days – 120 Days | 24 Months |
| | Third (Prejudiced) | 14 Days – 30 Days | 14 Days - 60 Days | 14 Days - 90 Days | 24 Months |
| | Fourth (Prejudiced) | 10 Days – 21 Days | 10 Days – 45 Days | 10 Days – 60 Days | 18 Months |
| | Fifth (Prejudiced) | Fine: Equivalent to fifth place stake in the race Or 2500 – 15000 and/or Suspension: 7 Days – 14 Days | Fine: Equivalent to fifth place stake in the race Or 2500 – 12500 and/or Suspension: 7 Days – 21 Days | Fine: Equivalent to fifth place stake in the race Or 2500 – 15000 and/or Suspension: 7 Days – 30 Days | 12 Months |
| 62.2.4 | Ride in a careless or negligent manner | Fine: 2000 – 5000 Or | Fine: 2000 – 10000 Or | Fine: 2000 – 15000 Or | 12 Months |
| 62.2.5 | Horse crossing another | Suspension: 7 Days – 45 Days | Suspension: 7 Days – 60 Days | Suspension: 7 Days – 90 Days | |
| 62.2.6 | Interfere or Jostle | | | | |
| 62.2.7 | Interference | 7 Days – 45 Days | 7 Days – 60 Days | 7 Days – 90 Days | 12 Months |

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| 62.2.8 | Straight Course | Fine: 1000 – 2500 and/or Suspension: 7 Days – 21 Days | Fine: 1000 – 3500 and/or Suspension: 7 Days – 30 Days | Fine: 1000 – 5000 and/or Suspension: 7 Days – 45 Days | 12 Months |
| 62.2.9 | Failing to ride to Instructions | Fine: 1000 – 2500 and/or Suspension: 7 – 14 Days | Fine: 1000 – 3500 and/or Suspension: 7 – 21 Days | Fine: 1000 – 5000 and/or Suspension: 7 – 30 Days | 12 Months |
| 62.2.10 | Celebratory Gesture | Fine: 1500 – 10 000 | Fine: 1500 – 12500 | Fine: 1500 – 15000 | 12 Months |
| 66.4 | Overweight or Underweight when weighing in | Fine: 1500 – 20 000 and/or 10 Days – Warning Off | Fine: 1500 – 25 000 and/or 21 Days - Warning Off | Fine: 1500 – 30 000 and/or 30 Days - Warning Off | 12 Months |
| 67 | Objection Fee | 4485 | | | |
| 70 | Failing to Report Circumstances | Fine: 750 – 5000 | Fine: 750 – 7500 | Fine: 750 – 10000 | 12 Months |
| 72 | Prohibited Practices | Fine: 5000 – 1000 000 Or Warning Off | Fine: 5000 – 1000 000 Or Warning Off | Fine: 5000 – 1000 000 Or Warning Off | 36 Months |
| 77 | Banned Substances (Rider) | 14 Days – 180 Days | 14 Days – Warning Off | 14 Days – Warning Off | 36 Months |