

## 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
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	750 - 1500 per horse	750 – 2500 per horse	750 – 3000 per horse	1 Month
	Notification provided before 09:00 raceday	500 – 1500 per horse	500 – 2500 per horse	750 – 3000 per horse	
10.5.6.3	Gelding: Failing to notify within 7 Days of entering training establishment	750 – 1500 per horse	750 – 2500 per horse	750 – 3500 per horse	1 Month
	Notification provided before 09:00 on raceday	500 – 1500 per horse	500 – 2500 per horse	500 – 3500 per horse	

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

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

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 [Amended 15.11.2017]	Defective Equipment <b>(except incorrectly shod)</b>	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
<del>58.8</del> [Deleted 15.11.2017]	<del>Incorrectly Shod</del>	<del>2500 – 20 000</del>	<del>2500 – 22500</del>	<del>2500 – 25000</del>	<del>12 Months</del>
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

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

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

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