

**RACING VICTORIA LIMITED**

**CLUB BOOKMAKER'S LICENCE RULES 2009**

# CONTENTS

Clause	Page
<b>1. PRELIMINARY .....</b>	<b>1</b>
1.1 Title .....	1
1.2 Purpose.....	1
1.3 Authorising provision.....	1
1.4 Rules of Betting.....	1
1.4.1 <i>Directors may make</i> .....	1
1.4.2 <i>Effect of Rules of Betting</i> .....	1
<b>2. COMMENCEMENT AND TRANSITIONAL PROVISIONS.....</b>	<b>2</b>
2.1 Definitions .....	2
2.2 Commencement.....	2
2.3 Preservation of effect, decision, rights and obligations .....	2
<b>3. DEFINITIONS AND INTERPRETATION .....</b>	<b>3</b>
3.1 Definitions .....	3
3.2 Interpretation .....	5
<b>4. THE REQUIREMENT FOR A LICENCE .....</b>	<b>5</b>
4.1 Licence required to operate as a bookmaker .....	5
4.2 Licence is sufficient.....	5
4.3 Clubs may specify requirements .....	5
4.4 Licence is non-transferable .....	5
<b>5. CATEGORIES AND CONDITIONS OF LICENCE .....</b>	<b>6</b>
5.1 General categories.....	6
5.2 Other Conditions .....	6
<b>6. APPLICATION FOR A LICENCE.....</b>	<b>7</b>
6.1 Application by a Registered Bookmaker .....	7
6.2 Incomplete application may be rejected.....	7
<b>7. GRANT OF LICENCE.....</b>	<b>7</b>
7.1 Directors may grant licence.....	7
7.2 Directors' approval of grant of Licence.....	7
7.3 Limitations on grant of Licence .....	7
<b>8. TERM OF A LICENCE.....</b>	<b>7</b>
8.1 Term.....	7
8.2 Termination .....	7
<b>9. APPROVED SUBSTITUTE .....</b>	<b>8</b>
9.1 Directors may issue.....	8
9.2 Purpose and effect.....	8
9.3 Application for Approved Substitute .....	8
9.4 Grant of Approval for an Approved Substitute .....	8

9.5	Term.....	8
9.6	Conditions .....	9
9.7	Approved Substitute Register .....	9
9.8	Approved Substitute subject to the Racing Victoria Rules .....	9
<b>10.</b>	<b>TIMES AND METHOD OF OPERATION .....</b>	<b>9</b>
10.1	Betting during the holding of a race meeting.....	9
10.2	Telephone Betting.....	9
10.3	Internet Betting.....	9
<b>11.</b>	<b>CONDUCT OF RACE, FUTURE DOUBLE AND FUTURE WIN/PLACE BETTING .....</b>	<b>9</b>
11.1	Bookmaker engaged in Race, Future Double and Future Win/Place Betting .....	9
11.1.1	<i>Notice of intention not to field up to two days prior to race meeting.....</i>	<i>9</i>
11.1.2	<i>Notice of intention not to field between date of allocation of stand and two days prior to race meeting .....</i>	<i>10</i>
11.1.3	<i>Commencement of betting .....</i>	<i>10</i>
11.1.4	<i>Continuation of betting .....</i>	<i>10</i>
11.1.5	<i>Display of odds.....</i>	<i>11</i>
<b>12.</b>	<b>CONDUCT OF BOOKMAKING OPERATIONS .....</b>	<b>11</b>
12.1	Computerised Betting System.....	11
12.2	Use of manual betting system.....	11
12.3	Use of Decimal Dividend Odds .....	11
12.4	Recording of bets .....	11
12.5	No other use of betting system .....	11
12.6	Provision of access to betting system .....	11
12.7	Provision of reports and information .....	12
<b>13.</b>	<b>FUTURE SPORTS BETTING .....</b>	<b>12</b>
13.1	Trust account .....	12
13.1.1	<i>Establishment.....</i>	<i>12</i>
13.1.2	<i>Use.....</i>	<i>12</i>
13.1.3	<i>No fees or charges.....</i>	<i>12</i>
13.2	Reports .....	12
<b>14A.</b>	<b>ACCOUNT CLIENTS.....</b>	<b>13</b>
<b>14.</b>	<b>OBLIGATIONS OF LICENCE HOLDERS.....</b>	<b>14</b>
<b>15.</b>	<b>AUDIT OF BETTING OPERATIONS.....</b>	<b>16</b>
15.1	Purpose.....	16
15.2	Conduct and report .....	16
15.3	Bookmaker to pay cost.....	16
<b>16.</b>	<b>WITHDRAWAL OF A LICENCE OR APPROVAL FOR APPROVED SUBSTITUTE BY AN AUTHORISED OFFICER.....</b>	<b>16</b>
<b>17.</b>	<b>REVOCAION OR SUSPENSION OF A LICENCE BY THE DIRECTORS OR THE STEWARDS .....</b>	<b>16</b>
17.1	Revocation or suspension of Registered Bookmaker's Certificate .....	16

17.2	Directors or the Stewards may revoke or suspend .....	17
17.3	Grant subject to conditions.....	17
<b>18.</b>	<b>DIRECTORS OR THE STEWARDS MAY IMPOSE PUNISHMENT .....</b>	<b>18</b>
18.1	Bookmakers .....	18
<b>19.</b>	<b>REMOVAL OF PERSONS WITHOUT LICENCES.....</b>	<b>18</b>
<b>20.</b>	<b>AUTHORISED OFFICER TO PROVIDE IDENTIFICATION.....</b>	<b>18</b>
<b>21.</b>	<b>DELEGATION BY THE DIRECTORS .....</b>	<b>18</b>
<b>22.</b>	<b>POWER AND PROCEDURES OF STEWARDS AND RIGHTS OF APPEAL.....</b>	<b>19</b>
22.1	Powers .....	19
22.2	Procedures.....	19
22.3	Right of Appeal .....	19
<b>23.</b>	<b>NOTIFICATION TO THE COMMISSION.....</b>	<b>19</b>

**RACING VICTORIA LIMITED**  
**CLUB BOOKMAKER'S LICENCE RULES 2009**

---

**1. PRELIMINARY**

**1.1 Title**

These Licence Rules may be cited as the Club Bookmaker's Licence Rules 2009.

**1.2 Purpose**

The purpose of these Licence Rules is to provide rules pursuant to sections 91A and 91AB of the *Racing Act 1958* for and with respect to:

- (a) the issue of Licences to Registered Bookmakers, and approval for Approved Substitutes, to carry on the business of bookmaking on a Racecourse or part of a Racecourse;
- (b) the terms and conditions of Licences;
- (c) the exclusion or removal from a Racecourse or part of a Racecourse bookmakers who do not hold a valid Licence.

**1.3 Authorising provision**

These Licence Rules are made pursuant to sections 91A and 91AB of the *Racing Act 1958*.

**1.4 Rules of Betting**

**1.4.1 Directors may make**

The Directors may from time to time make Rules of Betting (and from time to time amend, modify or rescind any such Rules of Betting) to regulate the conduct of:

- (a) Race Betting;
- (b) Future Doubles Betting;
- (c) Future Win/Place Betting;
- (d) Non-Future Sports Betting; and
- (e) Future Sports Betting.

**1.4.2 Effect of Rules of Betting**

Rules of Betting made by the Directors pursuant to Licence Rule 1.4.1:

- (a) are made pursuant to section 91A of the *Racing Act 1958*;
- (b) have effect and are binding and may be enforced as if part of these Licence Rules.

## 2. COMMENCEMENT AND TRANSITIONAL PROVISIONS

### 2.1 Definitions

In this Licence Rule 2:

“**Appointed Day**” means the day on which the *Racing and Gambling Legislation Amendment Act 2008* comes into operation.

“**Former Club Bookmaker’s Licence Rules**” means the Club Bookmaker’s Licence Rules 2001 of Racing Victoria immediately before the Appointed Day.

### 2.2 Commencement

These Licence Rules come into operation and effect on and from the beginning of the Appointed Day.

### 2.3 Preservation of effect, decision, rights and obligations

Everything done, arising or suffered under the Former Club Bookmaker’s Licence Rules is deemed to have been done, arisen or suffered under these Licence Rules and, without limiting the generality of the foregoing:

- (a) **Appointments:** all appointments of persons (including but not limited to the Betting Supervisor and Authorised Officers) made under or pursuant to the Former Club Bookmaker’s Licence Rules are deemed to have been made, and to continue in effect, under or pursuant to these Licence Rules.
- (b) **Decisions made and action taken under Former Club Bookmaker’s Licence Rules :** all decisions made, action taken and discretions and powers exercised under or pursuant to the Former Club Bookmaker’s Licence Rules are deemed to be fully effective and to continue in force as if properly and validly made or taken under or pursuant to these Licence Rules.
- (c) **Licences, permits, etc:** all licences, permits, registrations, authorisations and any other rights or privileges granted under or pursuant to the Former Club Bookmaker’s Licence Rules are deemed to continue in full force and effect and upon the same terms and conditions as if properly and validly made under or pursuant to these Licence Rules.
- (d) **Obligations and liabilities:** all obligations and liabilities of any kind (including pecuniary obligations and liabilities) incurred or arising under or pursuant to the Former Club Bookmaker’s Licence Rules are deemed to have been incurred or to have arisen under or pursuant to these Licence Rules.
- (e) **Offences:** any offence under or breach of the Former Club Bookmaker’s Licence Rules is deemed to be an offence under or breach of these Licence Rules.
- (f) **Penalties and disabilities:** all penalties, disabilities, disqualifications, suspensions and obligations of any kind (including fines and other pecuniary obligations) imposed, incurred or arising under or pursuant to the Former Club Bookmaker’s Licence Rules are deemed to be imposed, incurred or to arise under or pursuant to these Licence Rules.
- (g) **Inquiries, investigations and proceedings:** all inquiries, investigations and other proceedings of any nature initiated or conducted under or pursuant to the

Former Club Bookmaker's Licence Rules are deemed to be initiated or conducted under or pursuant to these Licence Rules.

### 3. DEFINITIONS AND INTERPRETATION

#### 3.1 Definitions

In these Licence Rules:

**"Approved Betting Event"** has the same meaning as in the *Racing Act 1958*.

**"Approved Method of Communication"** means a method of communication approved by the Minister under section 4A of the *Racing Act*.

**"Approved Substitute"** means a Registered Bookmaker's Key Employee who has been approved by Racing Victoria pursuant to section 91AB of the *Racing Act 1958* and Licence Rule 10 to carry on the business of a bookmaker during a period of absence by the Bookmaker.

**"Authorised Officer"** means:

- (a) a person authorised in writing by the Chief Executive or by the Directors for the purposes of these Licence Rules;
- (b) a Betting Supervisor;
- (c) a Steward;
- (d) the General Manager or Manager, Racing Victoria Integrity Services.

**"Betting Supervisor"** means the person appointed as such by Racing Victoria, and any other person to whom duties have been delegated by the person so appointed.

**"Bet Types Register"** means the register of bet types created and maintained by Racing Victoria.

**"Bookmaker"** means a Registered Bookmaker who is the holder of a Licence granted pursuant to these Rules.

**"Bookmaker's Key Employee"** means the holder of a current certificate of registration as a Registered Bookmaker's Key Employee under Part 5A of Chapter 4 of the *Gambling Regulation Act 2003*.

**"Bookmaker's Licence Levy Rules"** means the Bookmaker's Licence Levy Rules made pursuant to section 91B and approved pursuant to section 91D of the *Racing Act 1958*;

**"Chief Executive"** means the chief executive officer of Racing Victoria.

**"Club"** means a thoroughbred racing club in Victoria that:

- (a) is registered by Racing Victoria under the Rules of Racing; or
- (b) conducts a race meeting that is registered by Racing Victoria under the Rules of Racing.

**"Commission"** means the Victorian Commission for Gambling Regulation;

**"Controlling Body"** has the same meaning as in the *Racing Act 1958*;

**“Designated Area”** means one or more of the parts of a Racecourse as determined by the Directors from time to time for the conduct of the business of a Bookmaker at the Racecourse.

**“Directors”** means the directors of Racing Victoria acting as a board.

**“Future Doubles Betting”** means betting made by the nomination of a horse or greyhound or a combination of two horses or two greyhounds on the chance that such horse or horses or greyhound or greyhounds will fill first place or fill first, second and third places in two specified races providing at least one of the races is decided at a race meeting conducted on a day after the day the bet is placed.

**“Future Sports Betting”** means betting made by the nomination of a result of a betting contingency approved under section 4(1)(b) of the *Racing Act 1958* where the result of the contingency is to be decided 14 days or more after the day on which the bet is placed.

**“Future Win/Place Betting”** means a bet made with a Bookmaker who is authorised by Racing Victoria to accept future win/place bets and is a bet made by the nomination of a horse or greyhound on the chance that such horse or greyhound will fill first place or fill first, second or third place in a specified race providing that the bet is made not later than 30 minutes prior to the advertised start time of that race.

**“Internet Betting Rules”** means the rules of that name made by Racing Victoria and approved by the Minister pursuant to section 4A of the *Racing Act 1958*.

**“Licence”** means a club bookmaker’s licence as defined in section 84 of the *Racing Act 1958* which is granted to a Registered Bookmaker by Racing Victoria under these Licence Rules.

**“Licence Rules”** means these Club Bookmaker’s Licence Rules 2009.

**“Licence Levy”** means the levy payable by the holder of a Licence or Approved Substitute in accordance with the Bookmaker’s Licence Levy Rules.

**“Non-Future Sports Betting”** means betting made by the nomination of a result of a betting contingency approved under section 4(1)(b) of the *Racing Act 1958* where the result is to be decided in less than 14 days after the day on which the bet is placed.

**“Race Betting”** means betting by way of wagering on any horse race, harness race or greyhound race.

**“Racecourse”** means a racecourse licensed under section 24(1) of the *Racing Act 1958* for horse racing, and includes an Approved Racecourse;

**“Racing Victoria”** means Racing Victoria Limited;

**“Racing Victoria Rules”** means, together:

- (a) the Licence Rules;
- (b) the Rules of Racing;
- (c) the Rules of Betting;
- (d) the Bookmaker’s Licence Levy Rules 2009;
- (e) the Bookmaker Sports Betting Rules 2007;

- (f) the Bookmaker's Telephone Betting Rules 2001; and
- (g) the Bookmaker's Internet Betting Rules 2001.

**"Registered Bookmaker"** has the same meaning as in the *Racing Act 1958*.

**"Registered Bookmaker's Certificate"** means a certificate of registration issued by the Commission.

**"Rules of Betting"** means the betting rules as made by the Directors from time to time pursuant to Licence Rule 1.4.

**"Sports Betting"** means betting by way of wagering on an Approved Betting Event as referred to in section 4(1)(b) of the *Racing Act 1958*.

**"Telephone Betting Rules"** means the rules of that name made by Racing Victoria and approved by the Minister pursuant to section 4A of the *Racing Act 1958*.

## **3.2 Interpretation**

Unless the context requires to the contrary:

- (a) words and expressions used in these Licence Rules have the meaning ascribed to them in the *Racing Act 1958* and the Rules of Racing; and
- (b) these Licence Rules shall be interpreted in accordance with the provisions of the *Interpretation of Legislation Act 1984*.

## **4. THE REQUIREMENT FOR A LICENCE**

### **4.1 Licence required to operate as a bookmaker**

A person, including a Registered Bookmaker, must not carry on the business of a bookmaker on any Racecourse unless the person holds a current Licence or is an Approved Substitute.

### **4.2 Licence is sufficient**

Subject to Licence Rule 4.3, a holder of a Licence does not require any authorisation under the *Racing Act 1958* from any racing club to carry on business as a Bookmaker on a Racecourse or part of a Racecourse.

### **4.3 Clubs may specify requirements**

A Club conducting race meetings at a Racecourse may, with the prior approval of the Directors, make rules, regulation, by-laws or specifications, consistent with and subordinate to these Licence Rules, specifying terms and conditions upon which a Bookmaker or Bookmakers may conduct their business or vocation as a Bookmaker on Designated Areas of the Racecourse, providing that a Club may not require the payment of any fees or charges other than the reasonable cost of providing services to the Bookmaker.

### **4.4 Licence is non-transferable**

- (a) A Licence is not transferable to any other person.

(b) Except as permitted by a Licence or otherwise expressly authorised in writing by Racing Victoria:

- (i) a Bookmaker; or
- (ii) an Approved Substitute;

must not carry on bookmaking activities on behalf of, or in conjunction with, any other person.

## **5. CATEGORIES AND CONDITIONS OF LICENCE**

### **5.1 General categories**

A Licence issued to a Registered Bookmaker may be restricted by Racing Victoria, in its absolute discretion, to limit a Bookmaker to undertaking one or more of the following:

- (a) Race Betting;
- (b) Future Doubles Betting;
- (c) Future Win/Place Betting;
- (d) Future Sports Betting;
- (e) Non-Future Sports Betting; and/or
- (f) any other category of betting as determined by the Directors at their discretion.

### **5.2 Other Conditions**

A Licence may be granted to a Bookmaker by Racing Victoria, in its absolute discretion, with conditions relating to:

- (a) the use of Telephone Betting;
- (b) the use of Internet Betting;
- (c) conducting bookmaking activities at Racecourses;
- (d) conducting bookmaking activities in Designated Areas;
- (e) days and times of operation;
- (f) the allocation of bookmaker stands;
- (g) the term of the Licence;
- (h) the types of bets listed on the Bet Types Register that a Bookmaker may offer and make;
- (i) further applications and approvals required to conduct bookmaking activities at Racecourses; and.
- (j) any other matter that the Directors determine from time to time.

## **6. APPLICATION FOR A LICENCE**

### **6.1 Application by a Registered Bookmaker**

- (a) Any Registered Bookmaker may apply to Racing Victoria for a Licence.
- (b) An application under Licence Rule 6.1 must be in the form, and provide the information, that is specified by Racing Victoria from time to time.

### **6.2 Incomplete application may be rejected**

An application made under Licence Rule 6.1 may be rejected if it is not in the form, or does not contain the information, as specified by Racing Victoria.

## **7. GRANT OF LICENCE**

### **7.1 Directors may grant licence**

The Directors may grant or refuse an application made under Licence Rule 0 and may at any time revoke or vary an approval under this Licence Rule.

### **7.2 Directors' approval of grant of Licence**

The Directors may:

- (a) suspend an approval of a Licence application, and during the period of suspension, the approval has no force or effect;
- (b) impose any term or condition on an approval either on or after the granting of the application for the approval;
- (c) vary or revoke a term or condition of an approval.

### **7.3 Limitations on grant of Licence**

A Licence granted under Licence Rule 7.1 pursuant to an application that was made under Licence Rule 6.1 is subject to the limitations or conditions applicable to the holder's Registered Bookmaker's Certificate.

## **8. TERM OF A LICENCE**

### **8.1 Term**

A Licence has effect from the date specified by the Directors and remains in force subject to:

- (a) Licence Rule 8.2;
- (b) any special terms and conditions imposed by the Directors; and
- (c) revocation or suspension in accordance with these Licence Rules.

### **8.2 Termination**

A Licence terminates immediately upon:

- (a) revocation of the Licence in accordance with these Licence Rules;
- (b) the resignation in writing by the Bookmaker addressed to Racing Victoria;

- (c) the person ceasing to be a Registered Bookmaker for any reason; or
- (d) the expiration of the term of the Licence.

## **9. APPROVED SUBSTITUTE**

### **9.1 Directors may issue**

The Directors may grant approval for an Approved Substitute upon the terms and conditions of this Licence Rule 9.

### **9.2 Purpose and effect**

In accordance with section 91AB of the *Racing Act 1958*, the purpose and effect of an Approved Substitute is to authorise a Bookmaker's Key Employee to carry on the business or part of the business of a bookmaker for and on behalf of a Bookmaker in circumstances where the Bookmaker is absent.

### **9.3 Application for Approved Substitute**

- (a) A Bookmaker may make written application to Racing Victoria for an Approved Substitute.
- (b) An application under Licence Rule 9.3(a) must be in the form, and provide the information, that is specified by the Directors from time to time.
- (c) An application may be rejected if it is not in the form, or does not contain the information, as specified by the Directors.

### **9.4 Grant of Approval for an Approved Substitute**

The Directors may, upon receipt by Racing Victoria of a valid application from a Bookmaker, in their absolute discretion:

- (a) approve or refuse an application that complies with Licence Rule 9.3 and may at any time revoke or vary an approval under this Licence Rule;
- (b) suspend an approval of a Approved Substitute application, and during the period of suspension, the approval has no force or effect;
- (c) impose any term or condition on an approval either on or after the granting of the application for the approval; or
- (d) vary or revoke a term or condition of an approval.

### **9.5 Term**

An Approved Substitute is only authorised to carry on the business on behalf of the Bookmaker:

- (a) at race meetings;
- (b) at Racecourses; and
- (c) on dates and at times;

as may be specified by Racing Victoria in its absolute discretion.

## **9.6 Conditions**

In addition to any special terms and conditions, an Approved Substitute is subject to the terms and conditions applying to the Licence held by the Bookmaker for whom the Approved Substitute acts.

## **9.7 Approved Substitute Register**

Racing Victoria will maintain a Register of Approved Substitutes in accordance with sections 91AB(3) and 91AB(4) of the *Racing Act*.

## **9.8 Approved Substitute subject to the Racing Victoria Rules**

An Approved Substitute is subject to the provisions of the Licence Rules and the other Racing Victoria Rules as if the Approved Substitute were the holder of a Licence.

## **10. TIMES AND METHOD OF OPERATION**

### **10.1 Betting during the holding of a race meeting**

During the holding of a race meeting, a Bookmaker must only conduct bookmaking activities in accordance with his or her Licence.

### **10.2 Telephone Betting**

A Bookmaker must not engage in Telephone Betting, unless he or she:

- (a) is expressly authorised by Racing Victoria to engage in Telephone Betting; and
- (b) at all times complies with the Telephone Betting Rules.

### **10.3 Internet Betting**

A Bookmaker must not engage in Internet Betting, unless he or she:

- (a) is expressly authorised by Racing Victoria to engage in Internet Betting; and
- (b) at all times complies with the Internet Betting Rules.

## **11. CONDUCT OF RACE, FUTURE DOUBLE AND FUTURE WIN/PLACE BETTING**

### **11.1 Bookmaker engaged in Race, Future Double and Future Win/Place Betting**

Licence Rule 11 applies to the conduct of betting by a Bookmaker who is authorised to engage in Race Betting, Future Double Betting and Future Win/Place Betting.

#### **11.1.1 *Notice of intention not to field up to two days prior to race meeting***

Except as permitted by a Licence, a Bookmaker must give two (2) clear days notice (not counting Saturdays, Sundays or Victorian public holidays as days) to the Betting Supervisor of the Bookmaker's intention to not field at any race meeting to which the Licence applies and the Bookmaker has been allocated to field.

**Penalty:** A Bookmaker who does not give a notice pursuant to this Licence Rule 11.1.1 and without reasonable cause (such as illness) fails to field at a race meeting to which the Licence or Substitute Licence applies is thereby liable to pay the following relevant fine as determined by the Betting Supervisor:

Metropolitan Rail position:	\$600
Metropolitan non-Rail:	\$400
Country race meeting:	\$400
Picnic race meeting:	\$200
Point-to-point race meeting:	\$200

#### **11.1.2 Notice of intention not to field between date of allocation of stand and two days prior to race meeting**

In the event that a Bookmaker, without reasonable cause (as determined by Racing Victoria in its discretion), provides notice to the Betting Supervisor of the Bookmaker's intention not to field at any race meeting to which the Bookmaker has been allocated to field between:

- (a) the day on which the Bookmaker was allocated to field at that meeting; and
- (b) two days prior to that meeting,

the Bookmaker may be penalised by Racing Victoria.

**Penalty:** A Bookmaker who provides notice in respect of a race meeting pursuant to this Licence Rule 11.1.2 in without reasonable cause is liable to pay \$25.

#### **11.1.3 Commencement of betting**

A Bookmaker must commence betting on races as follows:

- (a) **accepting bets on races at the Race Meeting:** if accepting bets on races conducted at the Race Meeting at which the Bookmaker is fielding:
  - (i) *the first race:* twenty-five minutes (or, if fielding on the rails at a Metropolitan Race Meeting, thirty minutes) before the starting time of the first race as advertised or otherwise specified by the relevant Club or the Stewards;
  - (ii) *races other than the first race:* five minutes after the running of the previous race; or
- (b) **accepting bets on races not at the Race Meeting:** if accepting bets on races not run at the Race Meeting at which the Bookmaker is fielding: immediately after the first call of odds has been transmitted.

#### **11.1.4 Continuation of betting**

A Bookmaker engaging in Race Betting must remain at the Bookmaker's stand(s) until 15 minutes after the last race or until 30 minutes if requested by the Betting Supervisor to do so.

### **11.1.5 Display of odds**

Once a Bookmaker has commenced betting on a race being held at the Racecourse at which the Bookmaker is fielding, the Bookmaker must display odds for every runner for that particular race until the start time of the race.

## **12. CONDUCT OF BOOKMAKING OPERATIONS**

### **12.1 Computerised Betting System**

Subject only to Licence Rule 12.2, a Bookmaker must conduct all betting activities as a Bookmaker using only computer hardware and computer software approved by the Betting Supervisor as meeting the specifications prescribed by Racing Victoria, including without limitation betting boards for the display of betting information.

### **12.2 Use of manual betting system**

A Betting Supervisor may permit a Bookmaker or Bookmakers to use a manual betting system which complies with the requirements of the Bookmaker's Licence Levy Rules at a race meeting, or generally at a Racecourse, if the use of a computerised betting system approved as provided in Licence Rule 12.1 is not reasonably possible because of:

- (a) a lack of facilities available at the Racecourse; or
- (b) a failure of the Bookmaker's computerised betting system.

### **12.3 Use of Decimal Dividend Odds**

A Bookmaker must conduct all betting activities as a Bookmaker using Decimal Dividend Odds only, provided that a Bookmaker may give any information expressly requested by a client or potential client regarding the prices offered by the Bookmaker.

### **12.4 Recording of bets**

A Bookmaker must properly, accurately and completely record on the betting system approved for use under Licence Rule 12.1 or 12.2 all bets accepted and made by the Bookmaker, including but not limited to:

- (a) all bets made by telephone or internet or any other means;
- (b) bets-back with any Bookmaker or with any totalisator operator; and
- (c) any bets which may have been cancelled or are unpaid.

### **12.5 No other use of betting system**

A Bookmaker must not use a betting system approved under Licence Rule 12.1 or 12.2 for any purpose other than the conduct of activities as a Bookmaker.

### **12.6 Provision of access to betting system**

A Bookmaker must whenever requested to do so by an Authorised Officer:

- (a) allow the Authorised Officer or any person approved by him or her to inspect the betting system used by the Bookmaker as approved under Licence Rule 12.1 or 12.2;

- (b) deliver into the custody of the Authorised Officer the computerised betting system used as approved under Licence Rule 12.1; and
- (c) provide all information requested by an Authorised Officer in respect of the computerised betting system used as approved under Licence Rule 12.1, including but not limited to provision of all computer codes incorporated in the system whether approved or not.

## **12.7 Provision of reports and information**

A Bookmaker must:

- (a) immediately after the Bookmaker finishes fielding at a race meeting, or at any other time required by an Authorised Officer, provide the Betting Supervisor the Bookmaker's completed holding cards and betting ledger; and
- (b) as soon as is reasonably possible provide as directed by an Authorised Officer all such information regarding bets made by the Bookmaker as may be required by the Authorised Officer.

## **13. FUTURE SPORTS BETTING**

### **13.1 Trust account**

#### **13.1.1 Establishment**

A Bookmaker conducting Future Sports Betting must establish a separate bank account for Future Sport Bets.

#### **13.1.2 Use**

- (a) All Future Sports Bets must be paid into that separate bank account.
- (b) No payments may be made from moneys held in the account except to settle a Future Sport Bet once it has been decided.

#### **13.1.3 No fees or charges**

A Bookmaker conducting Future Sports Betting must ensure that no bank fees or other charges are deducted from the account in which Future Sport Bets are held.

### **13.2 Reports**

A Bookmaker conducting Future Sports Betting must, not later than the tenth day of each month, lodge with the Betting Supervisor:

- (a) a return for the previous month listing all Future Sport Bets which had not been decided as at the first of the month; and
- (b) a copy of the relevant bank statement and a reconciliation of the bank account in which the Future Sport Bets are held.

## **14A. ACCOUNT CLIENTS**

### **14A.1 Interpretation**

For the purpose of this Licence Rule 14A:

**“account”** means any arrangement or facility by which a Bookmaker permits a client to place bets either:

- (a) on credit; or
- (b) using funds held by the Bookmaker in advance.

**“Customer Identification Form”** is the generic “Customer identification procedure form – individuals” dated March 2008 that appears in Schedule 1 to these Licence Rules and has been produced by AUSTRAC.

**“signatory”**, in relation to an account, means a person other than the client, on whose instructions (whether required to be in writing or not and whether required to be signed or not) the Bookmaker conducts transactions in relation to the client’s account.

### **14A.2 Account opening procedures and information**

- (a) A Bookmaker must not open an account for a client without first collecting and recording the client’s name, date of birth and residential address.
- (b) As soon as practicable, but no later than 7 days from the date of first opening an account for a client, every Bookmaker must lodge with the Betting Supervisor of the Controlling Body, in the form prescribed by that Controlling Body, the name, date of birth and address of the client.
- (c) As soon as practicable, but no later than 21 days from the date of first opening an account for a client, every Bookmaker must complete a Customer Identification Form in relation to the client and verify the identity of the client in accordance with that form.
- (d) In the event that a client does not verify his or her identity in accordance with the Customer Identification Form within 21 days of opening an account, a Bookmaker must immediately close the account and report the matter to the Betting Supervisor of the Controlling Body.

### **14A.3 No withdrawals or deposits permitted without identity verification**

- (a) A Bookmaker must not pay any winnings from the account of a client where the identity of the client has not been verified in accordance with the Customer Identification Form.
- (b) Except in the case of an account used exclusively to conduct betting over the internet, a Bookmaker must not permit any deposits to be paid to an account where the identity of the client has not been verified in accordance with the Customer Identification Form. For the avoidance of doubt, a deposit does not include payment of credit owing on the account.

#### 14A.4 Signatories to accounts

- (a) A Bookmaker must not allow a person to be a signatory to an account without first completing a Customer Identification Form and verifying the identity of the signatory in accordance with that form.
- (b) As soon as practicable, but no later than 7 days from the date of allowing a person to be a signatory to an account a Bookmaker must lodge with the Betting Supervisor of the Controlling Body, in the form prescribed by that Controlling Body, the name, date of birth and address of the relevant signatory.

#### 14A.5 Other matters

- (a) Subject to sub-rules (b) and (d), the obligations of this Licence Rule 14A do not apply to accounts already in existence at the commencement of this Licence Rule 14A.
- (b) With respect to accounts already in existence at the commencement of this Licence Rule 14A, a Bookmaker must lodge the information required by Licence Rule 14A.2(a) and 14A.4(b) with the Betting Supervisor of the Controlling Body within 7 days of the commencement of this Licence Rule 14A, if the bookmaker has not already done so.
- (c) A Bookmaker must maintain and produce immediately upon request by any Authorised Officer any Customer Identification Form required to be completed under this Licence Rule 14A.
- (d) Notwithstanding anything in this Licence Rule 14A, a Bookmaker must comply with any requirements of the *Anti-Money Laundering and Counter Terrorism Financing Act 2006*.

### 14. OBLIGATIONS OF LICENCE HOLDERS

Without limiting the terms, conditions and limitations that the Directors may impose upon any Licence, a Bookmaker must, as a condition of holding the Licence:

- (a) **Comply with laws, etc:** Comply at all times with:
  - (i) the Racing Victoria Rules;
  - (ii) the terms and conditions of the Licence;
  - (iii) any code of practice made or endorsed by Racing Victoria for the purpose of encouraging or promoting responsible wagering; and
  - (iv) all laws, by-laws, regulations, whether applicable generally or in respect of a particular Racecourse.
- (b) **No person other than Bookmaker's Key Employee:** Except as authorised by the Licence, not employ, engage, arrange or permit any person other than his or her Bookmaker's Key Employee to accept or place bets for or on his or her behalf or in the course of his or her business.

- (c) **Bookmaker's Key Employee:** Not employ any Bookmaker's Key Employee unless:
- (i) the Bookmaker's Key Employee wears, prominently displayed and as directed by an Authorised Officer, the identity card most recently issued to him or her by the Commission pursuant to section 4.5A.6 of the *Gambling Regulation Act 2003*;
  - (ii) the employment or use of the services of the Bookmaker's Key Employee does not cause obstruction to the public; and
  - (iii) the Bookmaker's Key Employee is presented in accordance with standards as specified by Racing Victoria.
- (d) **Guarantee:** Have in place guarantees as required by section 94A of the *Racing Act 1958*.
- (e) **Dress standards:** Comply with minimum dress requirements as specified by Racing Victoria from time to time.
- (f) **Conduct:** Not engage in any conduct that, in the opinion of the Directors, is detrimental to the best interests of the profession of bookmaking in Victoria.
- (g) **Provision of financial information:** Provide such financial information and other information as the Directors may require from time to time.
- (h) **Change in financial position:** Immediately advise the Betting Supervisor of any material change in the holder's assets, liabilities or general financial position.
- (i) **Identity Card:** When conducting the business of bookmaking, wear, prominently displayed and as directed by an Authorised Officer, the identity card most recently issued to him or her by the Commission pursuant to section 4.5A.6 of the *Gambling Regulation Act 2003*.
- (j) **Not to display advertising:** Unless approved by the Directors, not display or permit to be displayed in any Designated Area any advertising or any registered or unregistered trade mark, logo, design or other distinguishing patterns, colour or feature promoting or associated with any business organisation, enterprise or undertaking other than the bookmaking business conducted by the bookmaker pursuant to his or her Licence.
- (k) **Not to permit loitering:** Not permit any person to loiter or remain in the vicinity of his or her allotted betting stand during the conduct of betting other than his or her Bookmaker's Key Employee engaged in the Bookmaker's betting operations on the day, and for that purpose may if necessary call upon the assistance of any Authorised Officer.
- (l) **Not to bet with raceday official:** A Bookmaker must not accept a bet from a person when the bookmaker knows, or has reasonable grounds to believe, that the person is a raceday official who is, or may be, officiating at a race meeting.
- (m) **Not to accept bet on credit with RVL employee:** A Bookmaker must not accept a bet from a person on credit where the Bookmaker knows, or has reasonable grounds to believe, that the person is an employee of Racing Victoria (whether on a full-time, part-time or casual basis).

For the purpose of Licence Rule 14(m), a bet on credit means a bet where payment for the bet is not made by the bettor at the time of placing the bet but is settled at a later time.

## **15. AUDIT OF BETTING OPERATIONS**

### **15.1 Purpose**

A Bookmaker must when requested to do so by the Betting Supervisor, allow a person approved by the Betting Supervisor to audit the Bookmaker's betting operations for the purpose of verifying compliance with these Licence Rules, Licence terms and conditions and relevant legislation and regulations.

### **15.2 Conduct and report**

A Bookmaker must ensure that the audit is conducted and an audit report is given to the Betting Supervisor within thirty (30) days of receipt of a request by the Betting Supervisor in accordance with this Licence Rule.

### **15.3 Bookmaker to pay cost**

A Bookmaker must pay the cost of such audit as required by Racing Victoria.

## **16. WITHDRAWAL OF A LICENCE OR APPROVAL FOR APPROVED SUBSTITUTE BY AN AUTHORISED OFFICER**

If an Authorised Officer is satisfied that, at a Racecourse, a Bookmaker or an Approved Substitute:

- (a) is or has been drunk or disorderly; or
- (b) is assaulting or has assaulted any person or is using or has used any profane indecent or blasphemous language or any threatening or abusive words or has been or is otherwise misconducting or misbehaving himself or herself; or
- (c) is acting or has acted dishonourably or improperly in connection with any race meeting, any race or any bet;
- (d) has made a bet for or with any jockey or apprentice jockey or with any person apparently under the age of 18 years; or
- (e) is in breach of any of these Licence Rules,

the Authorised Officer may advise the Bookmaker that the Licence, or the approval for an Approved Substitute, is withdrawn in respect of that day and the Licence or approval for an Approved Substitute, granted by the Directors shall be taken to have been withdrawn by the Directors in respect of that day, and the Authorised Officer shall refer the matter to the Directors or to the Stewards.

## **17. REVOCATION OR SUSPENSION OF A LICENCE BY THE DIRECTORS OR THE STEWARDS**

### **17.1 Revocation or suspension of Registered Bookmaker's Certificate**

A Licence shall be automatically revoked or suspended immediately upon the revocation or suspension (respectively) of the holder's Registered Bookmaker's Certificate.

## **17.2 Directors or the Stewards may revoke or suspend**

The Directors or the Stewards may revoke or suspend a Licence or, in the case of a person approved to be an Approved Substitute, prohibit that person from holding approval to be an Approved Substitute for any specified period of time, in all cases at any time by notice in writing given personally or by post to a Bookmaker or an Approved Substitute if it is satisfied that the Bookmaker or Approved Substitute:

- (a) obtained the Licence or approval for an Approved Substitute by misrepresentation or concealment of any material fact;
- (b) has breached any of the Racing Victoria Rules;
- (c) is in default in the payment of the Licence Levy;
- (d) has made default in payment of any bet;
- (e) has been disqualified by the Directors or Stewards or governing body of any Club;
- (f) is untrustworthy or disreputable or associated with disreputable persons;
- (g) has been convicted of any offence punishable by imprisonment;
- (h) is conducting or has conducted the business of a bookmaker in an area on a Racecourse other than the Designated Area specified in the Licence; or
- (i) is guilty of any malpractice or dishonourable or improper conduct in connection with betting or sporting contingencies whether on a Racecourse or elsewhere;
- (j) has made a bet for or with any person apparently under the age of 18 years;
- (k) has made a bet with a jockey or apprentice jockey under circumstances that involve, cause or may cause bribery or corruption;
- (l) was drunk or disorderly on a Racecourse;
- (m) has assaulted any person or used any profane indecent or blasphemous language or used threatening or abusive words or otherwise misconducted or misbehaved himself or herself on a Racecourse; or
- (n) is guilty of conduct prejudicial to the interests of racing.

## **17.3 Grant subject to conditions**

In any case where the Directors or the Stewards may revoke or suspend a Licence or revoke or suspend approval for a person to be an Approved Substitute for a period of time, the Directors or Stewards may impose conditions or limitations on a Licence or on the approval of an Approved Substitute, including for example precluding the holder from using an Approved Method of Communication.

## **18. DIRECTORS OR THE STEWARDS MAY IMPOSE PUNISHMENT**

### **18.1 Bookmakers**

In any case where the Directors or the Stewards may revoke or suspend a Licence or prohibit a person from being an Approved Substitute the Directors or the Stewards may, in addition to or in lieu of taking such action:

- (a) impose a fine upon the Bookmaker or Approved Substitute; and
- (b) require the Bookmaker or Approved Substitute to take such action as the Directors or the Stewards direct.

## **19. REMOVAL OF PERSONS WITHOUT LICENCES**

- (a) If an Authorised Officer is satisfied that a person is carrying on activities, or attempting to carry on, as a bookmaker on a Racecourse and that person does not hold the required Licence or is not an Approved Substitute, the Authorised Officer may:
  - (i) seize and detain any equipment, apparatus, gear, tools or any other article, matter or thing which may be used by the person in carrying on the business; and
  - (ii) request the person to leave the Racecourse.
- (b) If a person fails within a reasonable time to comply with a request made under Licence Rule 19(a), the Authorised Officer or any person requested by an Authorised Officer to provide assistance may remove or cause the person to be removed from the Racecourse using any means that appear reasonably necessary.

## **20. AUTHORISED OFFICER TO PROVIDE IDENTIFICATION**

An Authorised Officer may not exercise his or her powers under these Licence Rules unless he or she first identifies himself or herself to the person who is the subject of such exercise, but the failure to do so will not render any exercise of powers invalid or unenforceable.

## **21. DELEGATION BY THE DIRECTORS**

The Directors may delegate any of their powers and discretions under these Licence Rules to:

- (a) a subcommittee or subcommittees, whether or not comprised by members of the Directors;
- (b) the Betting Supervisor;
- (c) the Stewards;
- (d) the Chief Executive;
- (e) the General Manager or Manager, Integrity Services; or
- (f) officers of Racing Victoria or any Club.

## **22. POWER AND PROCEDURES OF STEWARDS AND RIGHTS OF APPEAL**

### **22.1 Powers**

For the purposes of these Licence Rules the Stewards may exercise the powers granted to them by or pursuant to the Rules of Racing as though the Rules of Racing formed part of these Licence Rules.

### **22.2 Procedures**

In the exercise of their powers and discretions under these Licence Rules the Stewards shall comply with the quorum and procedural requirements of the Rules of Racing as though the Rules of Racing formed part of these Licence Rules.

### **22.3 Right of Appeal**

A Bookmaker aggrieved by a decision of the Stewards made under Licence Rule 17 or Licence Rule 18 may appeal to the Racing Appeals Board in accordance with the provisions of the Rules of Racing relating to appeals to the Racing Appeals Board as though those provisions formed part of these Licence Rules.

## **23. NOTIFICATION TO THE COMMISSION**

Racing Victoria:

- (a) may give to the Commission:
  - (i) information regarding any matter relating to the conduct of a Bookmaker or Approved Substitute; and
  - (ii) information that the Commission may reasonably require relating to the conduct of a Bookmaker or Approved Substitute;
- (b) must notify the Commission of any suspension or revocation of a Licence and of any other penalty imposed or disciplinary action taken under these Licence Rules and the reasons therefore; and
- (c) may make recommendations to the Commission in respect of the grant, conditions, suspension or revocation of a Registered Bookmaker's Certificate or registration of any person as a Bookmaker's Key Employee.

**Made by the Directors  
of Racing Victoria**

## **SCHEDULE 1**

### **CUSTOMER IDENTIFICATION PROCEDURE FORM – INDIVIDUALS**

**Anti-Money Laundering and Counter-Terrorism Financing Act 2006 (AML/CTF Act)**  
**Customer identification procedure (CIP) form - individuals**

This form may be used to verify the identity of a customer receiving a designated service (for example, a customer opening a bank account) under Part 7 of the AML/CTF Act and chapters 4 and 5 of the AML/CTF Rules). A reporting entity may choose whether or not to use this procedure depending on the requirements of their AML/CTF program – Part B.

**IMPORTANT: This procedure may only be used where the relationship with the individual is deemed by the reporting entity to present a medium or lower money laundering or terrorism financing risk. Other know your customer (KYC) information may need to be collected (refer section 2 below) if warranted by a customer's money laundering or terrorism financing risk.**

The AUSTRAC Help Desk can be contacted on 1300 021 037 or at help\_desk@austrac.gov.au if you require general assistance to complete this form.

**1. COLLECTION OF MINIMUM KYC INFORMATION**

Full name of customer

Date of birth   
day / month / year

Residential address   
number street name suburb state/territory country postcode

Where the customer is a sole trader also collect:

Full business name (if any)

Full business address (if any)   
number street name suburb state/territory country postcode

Australian Business Number

**2. COLLECTION OF ADDITIONAL KYC INFORMATION (where applicable)**

Other information collected

Other information collected

If more information is required to be collected, please attach to this record.

**3. VERIFICATION OF KYC INFORMATION (refer to instructions on the following page)**

At a minimum, CUSTOMER'S FULL NAME and either their DATE OF BIRTH or RESIDENTIAL ADDRESS must be verified.

Type of document		
Document number		
Person to whom it relates		
Date of birth (age if relevant)		
Place of residence		
Date of issue		
Place/Office of issue		
Expiry date		

**4. NAME OF CHECKING OFFICER**

**DATE**

**Anti-Money Laundering and Counter-Terrorism Financing Act 2006 (AML/CTF Act)**  
**Customer identification procedure (CIP) form - individuals**

**INSTRUCTIONS FOR VERIFICATION OF KYC INFORMATION**

You must verify the

**CUSTOMER'S FULL NAME** and either their

- **DATE OF BIRTH** or
- **RESIDENTIAL ADDRESS** using:

**AN ORIGINAL OR CERTIFIED COPY OF A PRIMARY PHOTOGRAPHIC IDENTIFICATION DOCUMENT**

- a licence or permit issued under a law of a State or Territory or equivalent authority of a foreign country for the purpose of driving a vehicle that contains a photograph of the person in whose name the document is issued
- a passport issued by the Commonwealth
- a passport or a similar document issued for the purpose of international travel, that:
  - (a) contains a photograph and the signature of the person in whose name the document is issued;
  - (b) is issued by a foreign government, the United Nations or an agency of the United Nations; and
  - (c) if it is written in a language that is not understood by the person carrying out the verification - is accompanied by an English translation prepared by an accredited translator.
- a card issued under a law of a State or Territory for the purpose of proving the person's age which contains a photograph of the person in whose name the document is issued.
- a national identity card issued for the purpose of identification, that:
  - (a) contains a photograph and the signature of the person in whose name the document is issued;
  - (b) is issued by a foreign government, the United Nations or an agency of the United Nations
  - (c) if it is written in a language that is not understood by the person carrying out the verification - is accompanied by an English translation prepared by an accredited translator.

**OR**

**AN ORIGINAL OR CERTIFIED COPY OF A PRIMARY NON-PHOTOGRAPHIC IDENTIFICATION DOCUMENT**

- a birth certificate or birth extract issued by a State or Territory;
- a citizenship certificate issued by the Commonwealth;
- a citizenship certificate issued by a foreign government that, if it is written in a language that is not understood by the person carrying out the verification, is accompanied by an English translation prepared by an accredited translator;
- a birth certificate issued by a foreign government, the United Nations or an agency of the United Nations that, if it is written in a language that is not understood by the person carrying out the verification, is accompanied by an English translation prepared by an accredited translator;
- a pension card issued by Centrelink that entitles the person in whose name the card is issued, to financial benefits.

**AND**

**AN ORIGINAL OR CERTIFIED COPY OF A SECONDARY IDENTIFICATION DOCUMENT**

- a notice that:
  - (a) was issued to an individual by the Commonwealth, a State or Territory within the preceding twelve months;
  - (b) contains the name of the individual and his or her residential address; and
  - (c) records the provision of financial benefits to the individual under a law of the Commonwealth, State or Territory (as the case may be);
- a notice that:
  - (a) was issued to an individual by the Australian Taxation Office within the preceding 12 months;
  - (b) contains the name of the individual and his or her residential address; and
  - (c) records a debt payable to or by the individual by or to (respectively) the Commonwealth under Commonwealth law relating to taxation;
- a notice that:
  - (a) was issued to an individual by a local government body or utilities provider within the preceding three months;
  - (b) contains the name of the individual and his or her residential address; and
  - (c) records the provision of services by that local government body or utilities provider to that address or to that person.
- in relation to a person under the age of 18, a notice that:
  - (a) was issued to a person by a school principal within the preceding three months;
  - (b) contains the name of the person and his or her residential address; and
  - (c) records the period of time that the person attended at the school.