



AUTHORISED SYNDICATOR STATUS FOR A CLASS A TRAINER

This application is intended for Class A Trainers who, in accordance with the FINANCIAL MARKETS CONDUCT ACT (BLOODSTOCK) EXEMPTION NOTICE 2021, and Bloodstock Syndication Code of Practice (Appendix 2 to the Rules of Racing), are planning to publicly advertise shares in Thoroughbreds.

Name	
Date of Birth	
Address	
Post Code	

Mobile	
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COMPLIANCE AGREEMENT

(Full Name and Trading Name)

("the Promoter") in consideration of the Promoter [being granted/having] Authorised Syndicator Status under the Code of Practice being Appendix Two to the New Zealand Rules of Racing (which sets out the procedures for the offer of shares in thoroughbred bloodstock or bloodstock companies pursuant to the Securities Act (Bloodstock) Exemption Notice 2021 which but for the said Notice would require disclosure pursuant to the Financial Markets Conduct Act 2013) HEREBY CONFIRMS that the said Code of Practice has been read and understood by the Promoter (or its directors) and AGREES with New Zealand Thoroughbred Racing Inc. ("NZTR") to comply with and to be bound by the New Zealand Rules of Racing and all the provisions and requirements of the Code of Practice as amended from time to time and without limiting the generality of the forgoing:

- (a) to supply all information required under the New Zealand Rules of Racing including the Code of Practice; and
- (b) to observe and comply with all lawful directions given by or on behalf of the Chief Executive of NZTR concerning the Code of Practice.

The Promoter acknowledges that in accordance with the Code of Practice the Board of NZTR may suspend or cancel the Authorised Syndicator status of the Promoter under the Code of Practice.

DATED this day of 20

SIGNED