

## Advice to Buyers

Goffs UK advise potential purchasers to read the Goffs UK Conditions of Sale on pages 11-28 before bidding. These are the "laws" of our sales and are designed to protect the rights of both Vendor and Purchaser whilst ensuring that Goffs UK auctions are fair to both parties. They set out the legal basis under which Goffs UK auctions are conducted.

In addition to the Conditions of Sale, Goffs UK offer the following advice:

- Goffs UK strongly recommend that purchasers use a professional adviser.
- Goffs UK strongly recommend that purchasers inspect the horses before bidding.
- There is a tradition at bloodstock auctions worldwide for a Vendor to offer 'luck money' to a Purchaser after the sale. This is solely a voluntary matter for the Vendor and is not governed by the Conditions of Sale. Under no circumstances should Purchasers enter into arrangements of this nature prior to the sale, as such action may well be illegal. If a post sale agreement should be made, it should be disclosed to all parties involved in the sale, including any owners not present on the day of sale.
- Auction is a Free Public Market, Vendors and Purchasers should be free to conduct their business at Goffs UK without interference or intimidation in any form by third parties. A Vendor or Purchaser should be free to do entirely as he wishes in respect of selling or purchasing a horse at our Sales and any Vendor or Purchaser who experiences such interference,

coercion or intimidation in the course of his business should immediately inform a Goffs Executive Director.

### Bloodstock Industry Code of Practice

Goffs UK also assisted in the compilation of the **Bloodstock Industry Code of Practice** which follows the Conditions of Sale. The Code sets out what is, and what is not, acceptable behaviour from people dealing in bloodstock.

### Names of Horses

Purchasers of horses with names are reminded that although those names may be registered with Weatherbys under British Rules of Racing, the names have to be re-registered with Horse Racing Ireland before such horses can run in Ireland. There may be special requirements for horses foaled in countries other than Ireland and The United Kingdom and purchasers should acquaint themselves with any such special conditions.

### Passports

Passports will be forwarded to Purchasers as soon as is practical following the Sale or may be collected by the Purchaser from the Sales Office on the day of Sale.

## Conditions of Sale

Updated 9 August – adapted to this Sale

This sale is held subject to the Conditions of Sale set out below, which have been specifically adapted for the Goffs UK Yorton Sale. This sale is held subject to the Conditions of Sale set out below. All potential Vendors and Purchasers are advised to carefully read these Conditions. The Conditions of Sale in this Sales catalogue take precedence over any previously published Conditions of Sale.

### 1 DEFINITIONS

- 1.1 **Affiliate** means any person that controls Goffs UK, is controlled by Goffs UK or is under common control with Goffs UK.
- 1.2 **Associated Company** means Robert J Goff & Co Plc, a subsidiary of Robert J Goff & Co Plc or a holding company of Robert J Goff & Co Plc or any other subsidiary of that holding company or an Affiliate, but specifically, without limitation of the foregoing, Goffs Country Property Consultants Limited, Goffs Bloodstock Sales Limited and Goffs UK Limited.
- 1.3 **Catalogue** means the catalogue in which these terms and conditions are contained. The word Catalogue also includes any supplement to it issued by Goffs UK from time to time.
- 1.4 **Control** means, in relation to any person, the beneficial ownership of any of the issued share capital of, or the legal power to direct or cause the direction of the general management of the person in question or its holding company or parent company.
- 1.5 **Debtor** means any Vendor, Purchaser or New Purchaser (as appropriate) with any liability to Goffs UK.
- 1.6 **Goffs UK** means Goffs UK Limited.
- 1.7 **Goffs UK Hawick Office** means the Auction Mart Offices in Hawick, Roxburghshire.
- 1.8 **Goffs UK Premises** means the Yorton Stud, Poolton, Leighton, Welshpool SY21 8HJ.
- 1.9 **Lot** means the horse which is to be sold and which has a Lot number in the Catalogue.
- 1.10 **New Purchaser** means the person to whom the Lot has been transferred after the Sale in accordance with 7.2 below.
- 1.11 **Owner** means the person, partnership, syndicate or corporation named on the Entry Form as the owner of the Lot.
- 1.12 **Prohibited Substances** means Anabolic Steroid and/or NSAIDs.
  - (a) **Anabolic Steroid** means an anabolic androgenic steroid or a metabolite, an isomer, an isomer of the metabolite or a pro-drug of the substance.

- (b) Manual means the BHA's Equine Anti-Doping Manual (G) as published and in force in the Rules of Racing at the date of the Sale.
- (c) NSAIDs means Non-Steroidal Anti-Inflammatory Drugs.
- (d) Specific Concentration means the minimum concentration relevant to the sex of the Lot set out in numbered paragraph 2 of schedule 1 of the manual where applicable, and where no minimum concentration for the substance relevant to the sex of the Lot is specific in the manual, in any amount.
- 1.13 Purchaser means the highest bidder to whom a Lot is knocked down by Goffs UK or who purchases the Lot privately following the sale.
- 1.14 Purchase Price (as regards the Purchaser) is the price in pounds at which the Lot was knocked down by Goffs UK in the ring or the price at which it is sold privately plus VAT and commission.
- 1.15 Sale means the sale by auction conducted by Goffs UK.
- 1.16 Sale Price (as regards the Vendor) means the price in pounds sterling at which the Lot was knocked down by Goffs UK or the price at which it is sold privately, subject to deductions for commission, entry fee and any other charges which may apply.
- 1.17 Sales Office means the Goffs UK Office at Yorton Stud.
- 1.18 The Panel means one or more Veterinary Surgeons appointed by Goffs UK.
- 1.19 Vendor means the person, partnership or corporation named on the Entry Form as the owner of the Lot, provided however where an Owner is not named in the Entry Form the person who entered the horse for sale on behalf of the owner shall be deemed to be the Vendor. The Vendor if not the Owner shall be deemed at all times and for all purposes to be the servant or agent of the Owner.
- 1.20 In these Conditions:
- 1.20.1 The singular includes the plural and vice versa;
- 1.20.2 References to persons include bodies corporate, unincorporated associations, governments, states, partnerships and trusts (in each case, whether or not having separate legal personality); and
- 1.20.3 "subsidiary" and "holding company" have the meanings given to them by sections 1159 of the Companies Act 2006.
- 2 THE SALE**
- 2.1 COMMISSION AND FEES**
- 2.1.1 An entry fee is payable to Goffs UK by the Vendor for each Lot entered and catalogued. The fee is non-refundable upon publication of the catalogue.
- 2.1.2 The Vendor will pay commission to Goffs UK equal to 1.5% of the Sale Price of each Lot, (subject to a minimum of £100).
- 2.1.3 The Purchaser will pay commission to Goffs UK equal to 6% of the purchase price.
- 2.1.4 All fees and commissions are subject to VAT at the appropriate rate.
- 2.2 BIDDING**
- 2.2.1 The auction shall be conducted in £ Sterling. Subject to the discretion of the auctioneer, no bid shall advance less than £100 up to £2,000; £200 up to £10,000; £500 up to £20,000; £1,000 up to £50,000; £2,000 up to £100,000; £5,000 up to £500,000; £10,000 thereafter.
- 2.2.2 Should any dispute arise between two or more bidders, or between Goffs UK and any bidder, Goffs UK decision shall be binding on all parties. At Goffs UK's discretion the Lot in dispute may be put up again for auction and resold, subject to the reserve price in accordance with 3.1 below.
- 3 VENDORS**
- 3.1 The Vendors of Lots are subject to entry fees and commission as outlined in 2.1 All Lots are subject to a reserve price which shall either be the minimum selling price set by Goffs UK or any higher reserve price which Goffs UK must have received in writing from the Owner, the Vendor or his agent prior to the Lot being offered for sale. Where no instruction is received in writing from the Owner, the Vendor or his agent, the Lot will be offered without reserve.
- 3.2 The Vendor undertakes that a Lot entered in the Catalogue shall not be sold by the Owner before the Sale.
- 3.3 Goffs UK will endeavour to have all Catalogue information correctly stated, but the Vendor is responsible for the accuracy of its content and the correction of any error or omission. Goffs UK shall not be liable for any statements made in the Catalogue or from the rostrum concerning a Lot. Catalogue descriptions, pedigrees or performances are prepared for them by Weatherbys Ltd. as a service to Goffs UK who are acting in their capacity as agent for the Vendor, and the content or accuracy of any representation or statement are solely made by the Vendor in relation to any Lot. Neither Weatherbys Ltd. nor Goffs UK accept any liability for any loss resulting from any errors or omissions contained in the catalogue detail.
- 3.4 The Vendor undertakes:
- (a) To lodge in the Sales Office for each Lot, the Passport, vaccinations, health certificates in accordance with Appendix 1 of these Conditions and any veterinary certificate prior to the Sale. Goffs UK will not offer any Lot for sale unless the Passport and

- any other relevant documentation have been lodged prior to the Sale in the Sales Office.
- (b) To ensure that all Lots are correctly micro-chipped. The Vendor undertakes to bear the cost of micro-chipping if any Lot is found not to be correctly micro-chipped by the conclusion of the Sale.
- (c) All Lots from yearlings (after 1st July) upwards must have up to date vaccinations in accordance with the Vendor Sale Requirements (Appendix 1 of these Conditions). Where vaccinations are not up to date, the Lot must be withdrawn.
- 3.5 All import/export paperwork must be in order prior to the Sale or the Lot may be withdrawn at Goffs UK's discretion. It will be the sole responsibility of the Vendor to ensure that any Lot's paperwork is in order and the Vendor will bear the cost of any outstanding paperwork whilst Goffs UK will not pay the sales proceeds to the Vendor until the appropriate documentation has been delivered to the Purchaser.
- 3.6 A Vendor or any one person on his behalf may bid for any Lot owned by such Vendor. Where however a Lot is stated to be "the Property of a Partnership" or "to Dissolve a Partnership" any partner, syndicate member, co-owner or other person interested may bid on his own behalf either personally or through an agent.
- 3.7 In the case where any Lot has been knocked down to a bidder who has made no payment arrangements prior to bidding Goffs UK may impose one of the following measures in their absolute discretion:
- (a) The Sale will be deemed to be cancelled and the Lot will immediately be reoffered on behalf of the Vendor.
- (b) Goffs UK will not make payment to the Vendor until the Lot has been paid for in full.
- 3.8 Upon receipt of a single written application from the Vendor, Goffs UK will pay to the Vendor the Sale Price of each Lot sold not earlier than 35 days after the last day of Sale or on such date as specified in the Entry Form or as agreed subject to 3.7 above, 3.9, 3.10, 3.11, 3.12. Goffs UK are not under any obligation to place the sale proceeds on deposit prior to the Vendors Application for Payment. Unless otherwise instructed by the Vendor, Goffs UK will issue payment to the Vendor by way of cheque posted by ordinary post to the address provided by the Vendor on the Application for Payment. Payment to the Vendor in this manner will be deemed to have been made at the time of posting of the cheque by Goffs UK and all payments are sent at the risk of the Vendor and Goffs UK will incur no liability to any party as a result of the non-delivery of the cheque to the Vendor.
- 3.9 In the case of any Lot where a dispute has arisen between the Vendor, the Owner, the Purchaser and/or any third party making any claim in relation to the Lot, or where there are competing claims for payment, Goffs UK may refuse to make payment to the Vendor pending resolution of the dispute. In exercising this right, Goffs UK will incur no liability to any party, and no interest shall be payable by Goffs UK on any sale proceeds retained.
- 3.10 When the Owner of a Lot is a partnership or a syndicate and one or more member(s) of that partnership or syndicate is the Purchaser, Goffs UK reserve the right to withhold payment to the partner(s) selling until the Purchase Price has been received in full from the Purchaser.
- 3.11 The Vendor shall indemnify Goffs UK in respect of any loss, or liability suffered or costs disbursements or expenses incurred bona fide by Goffs UK by reason of bringing or defending any proceedings which arise directly or indirectly from any breach of these Conditions of Sale by the Vendor.
- 3.12 Goffs UK will deduct 0.75% from the sales proceeds of British Vendors as a Sales Levy on behalf of the Thoroughbred Breeders Association, who will be notified of the Vendors name and address unless the Vendor notifies Goffs UK in writing within 28 days of the last day of the Sale that he is unwilling to contribute.
- 4. BASIS OF SALE**
- There is no term implied in any sale that any Lot is of merchantable quality or is fit for training or any particular purpose. Any term, condition or warranty that might be incorporated into or apply to these Conditions of Sale are excluded to the maximum extent permissible by applicable law. It is the responsibility of the Purchaser to ensure that he is satisfied with the condition of any Lot before bidding. Additionally, a Purchaser must make his own enquiries and exercise his own judgement as to the value of a Lot.
- Lots will be offered for sale in one of the following ways:
- 4.1.1 With a Pre Sales Veterinary Certificate (subject to pre-sale examination by The Panel) to which the following conditions shall apply:
- The examination will not include any radiological or other specialized techniques. It will not be concerned with the accuracy of any other statement concerning any particular Lot whether contained in the catalogue or in any veterinary certificate, save that it shall take into account any qualification contained in a veterinary certificate produced.
- (i) The Lot shall be examined prior to the Sale by The Panel
- (ii) The Panel's certificate shall be deemed to be an expression of opinion by a duly qualified

- veterinary surgeon and shall not constitute a warranty
- (iii) the Certificate will be read out by Goffs UK at the time of Sale
- (iv) the fee for the re-examination shall be borne by the Purchaser
- (v) No Lot shall be permitted to leave Goffs UK Premises between the re-examination by The Panel and the time of sale
- 4.1.2 Goffs UK in no way accept responsibility for the findings of The Panel carrying out the Pre Sale- examination.
- 4.2 Sold with a Pre Sale Examination of Wind Only.
- 4.2.1 If yearling should make an abnormal inspiratory sound when actively exercised on the lunge. The Panel shall then, and only then, examine the Lot at rest, by endoscope. If this endoscopic examination of the Lot demonstrates any of the following conditions:
- (a) A Whistler and/or a Roarer (being a horse which makes an abnormal inspiratory sound when actively lunged) and in addition has Laryngeal Hemiplegia (Recurrent Laryngeal Neuropathy); or
- (b) Rostral displacement of the palatopharyngeal arch; or
- (c) Epiglottic entrapment; or
- (d) Chondroma or significant arytenoid chondritis; or
- (e) Subepiglottic cyst(s); or
- (f) Cleft palate
- 4.2.2 The Purchaser expressly acknowledges that there are other conditions other than those set out in Conditions 4.2.1 which may be revealed by endoscope which are not grounds for return to the Vendor.
- 4.2.5 The appropriate examination fee carried out by The Panel shall be paid to Goffs UK by the Purchaser.
- 4.2.6 Goffs UK in no way accept responsibility for the findings of The Panel carrying out the examination.
- 4.2.7 For this Condition no other rights of re-examination will apply
- 5. BLOOD SAMPLING FOR PROHIBITED SUBSTANCES & PIROPLASMOSIS**
- 5.1 NSAIDs and Anabolic steroids**
- 5.1.1 This Condition stands alone and is separate and distinct from Condition 4 and applies to all Lots from yearlings (after 1st July) upwards.
- 5.1.2 Where Prohibited Substances are referred to in a certificate signed by an independent veterinary surgeon and read out by Goffs UK at the time of the Sale the Condition will apply but the Lot shall not be returnable to the Vendor unless other Prohibited Substances than those certified and read out are present.
- 5.1.3 A blood sample will be taken from the Lot for the purpose of testing for Prohibited Substances where the Purchaser instructs Goffs UK to do so immediately after purchase of the Lot by signing to this effect on the Acknowledgement of Purchase Form supplied by Goffs UK. The Purchaser shall be responsible to Goffs UK for the costs and expenses of taking and testing the sample unless the said sample contains Prohibited Substances other than those certified and read out in which event the Vendor shall be responsible for such costs and expenses. Failure to request a drug test under this Condition will be an absolute bar to the Purchaser returning the Lot under this Condition.
- 5.1.4 When a Purchaser makes a request under Condition 5.1.3 the Vendor shall immediately deliver the Lot to a designated holding area in accordance with Goffs UK's instructions where The Panel will take a sample from the said Lot. If the Vendor fails to comply with these instructions the Sale may be cancelled at the discretion of the Purchaser.
- 5.1.5 Where a Purchaser instructs Goffs UK to take and test a blood sample the said Lot shall not be removed from the United Kingdom or Ireland and if they do so, the Purchaser shall be liable for the costs of returning the Lot back to the Vendor in the event of a Purchaser electing to return the Lot in accordance with a right to do so under this Condition.
- 5.1.6 If after one hour from the delivery of the Lot to the designated holding area a blood sample has not been taken from the said Lot (notwithstanding that The Panel has used such reasonable endeavours as are commensurate with the circumstances) the Sale may be cancelled at the Purchaser's discretion.
- 5.1.7 Where a blood sample is found to contain Prohibited Substances other than those certified and read out the Purchaser may elect to return the Lot to the Vendor providing such election is made to Goffs UK by 5pm on the seventh calendar day after the Purchaser was notified by Goffs UK of the result.
- 5.1.8 Where a Purchaser elects to return a Lot in accordance with this Condition, Goffs UK shall notify both parties that the Sale is cancelled and the Lot will be at the Vendor's risk from such time that he is notified. The Vendor must arrange for the Lot to be collected, and pay for any such transport, and any other reasonable costs incurred by the Purchaser in connection with this Lot subject to Condition 5.1.5.
- 5.3 FURTHER SAMPLING**
- 5.3.1 Nobody may remove a sample of hair, blood or any other testable material from any Lot while on Goffs UK Premises, without specific permission from the Vendor. No sample of hair, blood, urine or other testable material from any Lot, other than those described in Condition 5 shall be used as reason for the return of any Lot.

## 6 ENGAGEMENTS

6.1 A Lot is sold with engagements as given in the Catalogue, or announced at the time of Sale. Goffs UK however, accept no responsibility for engagements given or omitted. It will be the sole responsibility of the Vendor to ensure that the relevant documentation is completed and lodged with the Authority in question, but of the Purchaser to cancel any race entry if a forfeit applies. A Declaration of Forfeit for UK engagements must be made to Weatherbys and for Irish engagements to Horse Racing Ireland.

6.2 In particular Goffs UK do not warrant that a Lot is eligible for participation in the Plus 10 or any other breeders' scheme whether European or American notwithstanding that a statement to that effect or so implying may have been included in the Catalogue or made from the Rostrum.

## 7 PRIVATE SALES AND TRANSFERS

7.1 Any sale concluded on the day of the Sale or within seven calendar days between a Purchaser and a Vendor after the Lot has been unsold or bought in by the Vendor at the Sale shall be subject to the Goffs UK Conditions of Sale. Such transactions must be finalised in writing on a Private Sale Form signed by the Vendor, the Purchaser and an authorised representative of Goffs UK. For the avoidance of doubt, this

includes any Sale conducted online. The terms of Condition 9 below will apply to the Purchaser.

7.2 Where Goffs UK accepts the transfer of a Lot from the Purchaser to a third party (the New Purchaser), the appropriate Private Sale Form must be completed in the Sales Office. The terms of Condition 9 below will apply to the New Purchaser.

## 8 PASSING OF RISK AND TITLE

8.1 The Lot will be at the Vendor's risk at all times until the fall of hammer (or time of sale if sold privately) when the risk shall pass to the Purchaser subject to 8.2 and 8.3 below.

8.2 Any Lot Sold Subject to Re-examination under the terms of 4.1 above shall be at the Vendor's risk for 60 minutes from the fall of the hammer or, if Re-examination is requested, until the completion of the Re-examination. Risk remains with the Vendor if the Lot fails the examination and passes to the Purchaser if/when the Lot passes.

8.3 Any Lot tested for Prohibited Substances and Piroplasmiasis under the terms of Condition 5 above shall remain at the Vendor's risk from the fall of the hammer until the sample has been taken from the Lot when risk passes to the Purchaser. If the sample proves to be positive for Prohibited Substances or Piroplasmiasis, risk will pass back to the Vendor when the Vendor is notified.

8.4 Notwithstanding the passing of risk in this Condition or delivery of the Lot to the Purchaser, the Vendor shall retain title to the Lot until the full purchase price has been paid to Goffs UK.

8.5 Where Goffs UK have paid out the Vendor in accordance with 3.8 above, title of the Lot will vest in Goffs UK on the same terms as 8.4 above.

## 9. PURCHASERS

9.1 All purchases are subject to 6% buyers' commission as outlined in Condition 2.1.3.

9.2 Goffs UK strongly recommend that Purchasers should attend the Sale in person and Purchasers are strongly advised to inspect each Lot prior to purchase. It is the responsibility of the Purchaser to ensure that he is satisfied with the condition of any Lot before bidding. Prospective Purchasers may use a veterinary surgeon of their own choice to check or inspect the condition of any Lot prior to sale provided the consent of the Vendor is obtained in advance, that the Vendor expressly consents to the form of inspection to take place and it is understood by prospective Purchasers that such consent is entirely at the Vendor's own discretion.

9.3 All Lots are sold subject to these Goffs UK Conditions of Sale and are subject to any announcements that may be made by the auctioneer. A Vendor may call upon Goffs UK to amend the

Catalogue description at the Sale and it is the Purchaser's responsibility to ensure he hears any such announcement made by the auctioneer as a consequence. The information on the Goffs UK notice board, website and announcement boards in the Sales ring is for guidance only and Goffs UK are not liable for any error or omission from such information.

9.4 All certificates referred to in the Catalogue will be available for inspection in the Sales Office prior to the Sale.

9.5 Immediately after the purchase of each Lot, the Purchaser must sign the Acknowledgement of Purchase Form confirming the sales details together with his name, address and other information as required by Goffs UK.

9.6 Subject to 9.9 below, payment must be made in pounds sterling by the Purchaser for each Lot on the day of the Sale and the Lot must be removed by the Purchaser by the close of each day's sale. Prior to the Sale Goffs UK may agree to other payment terms at their discretion and may allow the Purchaser to remove the Lot before full payment has been received. In the event that payment is not received under the agreed terms, Goffs UK will endeavour to collect the debt by whatever means are deemed appropriate.

9.7 No Lot will be raced until it has been paid for in full.

9.8 Where a Purchaser bids or buys



on behalf of another, the Purchaser must disclose the name and address of his principal when required by Goffs UK and both the Purchaser and his principal shall be jointly and severally liable under these Conditions.

- 9.9 Where the Purchaser notifies Goffs UK that a Lot has been bought on behalf of another after the Sale and asks Goffs UK to invoice that person (the "Nominee"), Goffs UK (at its absolute discretion) may agree to do so on the basis that the Purchaser and the Nominee will be jointly and severally liable to pay the Purchase Price. The Purchaser's payment obligations in respect of the relevant Lot will only be discharged in the event that the Nominee has paid the whole of the Purchase Price. However, where the Nominee pays part of the sum due but the remainder is unpaid, Goffs UK claim shall be limited to the unpaid sum.
- 9.10 Where a Vendor and a Purchaser agree to terms not covered by the Conditions of Sale, a copy of that agreement must be lodged in writing in the Sales Office before the Sale, and approved by Goffs UK. If no such copy of the agreement is lodged, and any dispute arises as a result of this agreement between the Vendor and the Purchaser, Goffs UK will demand that the Purchase Price is paid in full in accordance with Condition 9.6 unless the Vendor has notified Goffs UK in writing that the sale has been cancelled.

9.11 It is the sole responsibility of the Purchaser to ascertain whether the Lot is eligible for point to pointing within the meaning of the rules laid down by the BHA.

## 10 GOFFS UK's RIGHTS

- 10.1 Goffs UK reserve the right to exclude or remove any person or animal from their premises without giving any reason.
- 10.2 Goffs UK reserve the right to refuse to include in the catalogue or offer for sale any Lot which is:
- A mare with a foal at foot less than seven days old.
  - A pregnant mare whose due foaling date is not more than 14 days after the day of Sale.
  - Any mare aged 18 or over that is not in foal.
  - Any animal aged 20 years or over.
- 10.3 Goffs UK, as Agents for the Vendors, reserve the following rights, viz:
- To refuse the bidding of any person, without giving any reason.
  - To bid by themselves for any Lot.
  - To withdraw the Lot from sale at any time before it has been knocked down without disclosing the reserve price.
  - To fix a minimum price at any or all Sales.
- 10.4 Goffs UK do not make any representation whatsoever express or implied as to the identity of the Owner or Owners of any Lot at the time of entry, time of sale or at

any other time. In the event of any dispute the Purchaser's remedy, if any, shall be against the Vendor and the Vendor's remedy shall be against the Purchaser, and not against Goffs UK who act as Agents between Vendor and Purchaser and shall not be liable as a Party in any action or dispute between them.

- 10.5 Goffs UK reserve the right to charge interest on unpaid accounts at 1.5% per month on all accounts which are unpaid 21 days after the last date of the Sale.
- 10.6 If for any reason a Lot is purchased and not paid for as hereinbefore provided (notwithstanding if the risk has passed to the Purchaser) then the following provisions shall take effect until payment is received:
- Goffs UK shall be entitled to retain the Lot, and shall have a lien over the Lot and all documents relating to it for all expenses, including freight, incurred by them or any agent of Goffs UK during such period of retention. Such lien may be exercised in respect of any other sum due by the Purchaser to Goffs UK. Goffs UK shall also be entitled to exercise the said lien over any documents in their possession relating to any other Lot or Lots owned by the Purchaser. A Lot shall not be delivered to the Purchaser until the expenses referred to above have been paid, in addition to the Purchase Price.
  - In the event of a Lot having been removed from Goffs UK' premises

then Goffs UK shall be entitled to repossess the Lot from anyone in possession of it.

- Should the Purchaser fail to pay for a Lot then such Lot may at any time be resold by public auction or private treaty, and the deficiency (if any) resulting from such resale shall immediately be made good by the defaulting Purchaser.
- Nothing in these Conditions shall preclude Goffs UK and/or the Vendor of a Lot from pursuing all legal remedies available to them for the recovering of the Purchase Price from a defaulting Purchaser and all expenses and damages and commission lost resulting from such default.
- Goffs UK will not release any Lot until a written release form in the form of a pass-out has been issued by Goffs UK.
- Goffs UK may at any time, without notice, set off any liability of a Debtor (including but not limited to the outstanding purchase price of any Lot) against any liability of any Associated Company to the Debtor (whether any such liability is present or future, actual or contingent, liquidated or unliquidated and irrespective of the currency of its denomination) and Goffs UK may for such purpose convert or exchange any currency.
- Any exercise by Goffs UK of its rights under Condition 10.8 shall be without prejudice to any other rights or remedies available to Goffs UK under these Conditions or otherwise.

**11-13 DISPUTES PROCEDURE****11 COMPLAINTS PROCEDURE**

The Complaints Procedure applies only in the circumstances set out in Condition 12 below. For the avoidance of doubt, the clinical examinations in Condition 4 above do not apply to this Condition 11 as those examinations must be dealt with on the day of the Sale by The Panel.

- 11.1 A Purchaser wishing to invoke this Condition must do so by informing Goffs UK in writing (as per Condition 16) by **5.00pm on the seventh calendar day after the Lot was purchased** (third calendar day in the case of Conditions 12.1.5 & 12.1.6) giving specific details of their complaint, supported by a certificate signed by an independent veterinary surgeon (or independent professional rider in the case of Conditions 12.1.5 & 12.1.6)
- 11.2 The complaint shall be dealt with by Goffs UK, or their appointee, which may be a veterinary surgeon or professional/international rider or other deemed appropriate by Goffs UK at such time, at such place and in such manner as Goffs UK deems appropriate. The decision of Goffs UK on the complaint, shall be final and binding on both the Vendor and the Purchaser. Goffs UK may have the Lot examined by their appointee and where the opinion of their appointee does not agree

with the opinion of the Purchaser's appointee as expressed in his certificate furnished, then the opinion of the Goffs UK appointee shall prevail and shall be final and binding on the parties.

- 11.3 All expenses and charges incurred by such adjudication as well as the transport and keep cost of any Lot shall be paid by the Party found to be in error.
- 11.4 For the avoidance of doubt risk remains with the Purchaser throughout any complaint and only passes back to the Vendor when both parties are notified of Goffs UK decision to cancel the sale (if appropriate).
- 11.5 It will be the Purchaser's responsibility to transport the lot at their cost within five days to a referee in Ireland, the United Kingdom or France as appointed by Goffs UK.
- 11.6 No Lot may be returned for the reasons set out in Condition 12 if it has raced following the Sale.

**12 LOTS RETURNABLE**

- 12.1 The Complaints Procedure set out in 11 above will only apply if the information in 12.1 below is not stated in the catalogue or announced at the Sale or if the Conditions in 12.2 below are not declared in the Catalogue or are not announced without qualification at the Sale. In these cases, the Sale may be cancelled at the discretion of the Purchaser.

12.1.1 The Lot is not registered with a Stud Book Authority approved by the International Stud Book Committee.

12.1.2 The pedigree or description of the Lot does not correspond with the pedigree or description as stated in the catalogue.

12.1.3 The Lot has run at an unrecognised meeting or is on the forfeit list maintained by a recognised Turf Authority.

12.1.4 The Lot is described as a Colt and does not at such time have both testes palpable (this provision is to apply only to any horse offered for sale after 1st July of their yearling year) and may be so described by the auctioneer, or on the bid board, as a rig.

12.1.5 The Lot is described as unbroken and should have more properly been described as broken and ridden prior to the sale. For the avoidance of doubt a Lot described as driven in long reins will not be returnable under this Condition.

12.1.6 The Lot is described as untried and has been tried prior to Sale in the opinion of Goffs UK or their appointee. A Lot will be deemed tried if it:

- (a) Has run in any race.
- (b) Has been catalogued in any previous Breeze-Up Sale.
- (c) Has appeared on any published Trainer's or Permit Holder's List.
- (d) Has been galloped "upsides" prior to Sale.

(e) Is deemed to have been broken & tried prior to Sale.

12.2 Any Lot which:

- (a) Is a wind-sucker, (i.e. frequently swallows air whether in association with grasping fixed objects with incisor teeth or not; a crib-biter is not returnable unless the crib-biting is associated with wind-sucking, in which case the Lot is returnable as a wind-sucker).
- (b) Has been operated on for the correction of wind-sucking as defined above.
- (c) Is a weaver; (i.e. frequently swings its head and neck to and fro and transfers weight from one forelimb to the other alternately).
- (d) Is a boxwalker (i.e. frequently walks either backwards and forwards or round and round the box repeatedly in an aimless manner).
- (e) Has been tubed or otherwise operated on for unsoundness in wind; (Operations to treat the displacement of the soft palate, including the operations tie forward, cautery of the soft palate, trimming of the soft palate and myectomy are not operations for the correction of unsoundness in wind within the meaning of this Condition).
- (f) Has impaired vision or injury to the eye.
- (g) Is a wobbler.
- (h) Has been unnerved.

### 13 DISPUTES

- 13.1 Any dispute arising out of the sale of any Lot in accordance with these Conditions of Sale shall be a dispute between the Vendor and the Purchaser and in no circumstances shall Goffs UK be liable to either party in connection with such dispute.
- 13.2 Where Goffs UK are brought in as a party to any dispute despite 13.1 above, Goffs UK will be entitled to payment of their legal and other expenses on a full indemnity basis from the party who joins them in.

### 14 SAFETY

- 14.1 Every person on Goffs UK premises before, during or after the Sale shall be deemed to be there at their own risk and shall have no claim against Goffs UK in respect of any injury sustained or any loss or damage to property which may occur from any cause whatsoever save that nothing in this sub-clause shall be taken to exclude or restrict liability for death or personal injury arising from Goffs UK's negligence.
- 14.2 Goffs UK accept no liability for any, disease, accident, loss or fatal or non-fatal injury caused to a Lot (including death, theft or injury) or caused by any Lot while it is being moved by Goffs UK employees, agents or subcontractors between yards and Goffs UK Premises or at any time whilst it is on Goffs UK Premises. Provided always that nothing in this sub-clause shall be taken to exclude or restrict Goffs

UK's liability at law for death or personal injury to persons arising from Goffs UK's negligence.

- 14.3 All Lots must wear a head collar at all times on Goffs UK premises. Where a Vendor is found to have left a Lot without a head collar after the Sale, Goffs UK will supply a head collar at the Vendor's expense.
- 14.4 If any Lot is ridden at any time in conjunction with the Sale, the rider must wear a BHA approved helmet and body protector, and it shall be the responsibility of the Vendor or Purchaser to ensure that they, their employees or agents, adhere to this Condition.

### 15 GENERAL

- 15.1 Goffs UK reserve the right to add, cancel, alter or otherwise modify these Conditions of Sale.
- 15.2 These Conditions of Sale form the entirety of the agreement between Goffs UK, the Owner, the Vendor and the Purchaser and no variation shall be valid or binding unless specifically authorised in writing by two Executive Directors of Goffs UK.
- 15.3 These Conditions of Sale are to be construed and shall take effect in accordance with English Law.
- 15.4 The Owner, the Vendor and the Purchaser agree for the exclusive benefit of Goffs UK that these Conditions of Sale shall be subject to the non-exclusive jurisdiction of the Courts of England and

Wales and, for such purpose, irrevocably submit to the non-exclusive jurisdiction of those Courts.

- 15.5 The submission to the jurisdiction of the Courts of England and Wales shall not limit the right of Goffs UK to take proceedings against the Owner, the Vendor or the Purchaser in any other Court of competent jurisdiction and the taking of proceedings in one or more jurisdictions shall not preclude the taking of proceedings in any other jurisdiction whether concurrently or not.

### 16 NOTICES

When any certificate or notice is required to be given to Goffs UK under these Conditions of Sale, it must be made in writing and sent by first class post to the Goffs UK Hawick Office or emailed to winners@goffsuks.com. Any notice required to be given by Goffs UK to the Vendor or the Purchaser shall be sent to the address given on the Entry Form or the Acknowledgement of Purchase Form. Such notice shall be deemed given on the date of delivery or the second day after posting or on the day of transmission depending whether the notice is sent by hand, post or email.



# The Future Looks Bright...

Breeding & young  
stock sold up to **£130,000**

Doncaster January Sale 2020

NH Mares, Foals, HIT & Pointers

Enter now for the UK's only NH foal sale

**GOFFS**  
UNITED KINGDOM

## Vendor Sale Requirements

(Appendix 1)

This page is referred to in the Goffs UK Conditions of Sale. Passports must be lodged in the Sales Office prior to sales per Condition of Sale 3.4.

**All Vendors must leave a contact telephone number at the Stable Office to ensure that they are contactable in case of emergency.**

**A.1.1 Foals:** Passport. Flu vaccinations not mandatory. Health certificate in accordance with A.1.11. Horse passport validity see A.1.12.

**A.1.2. Yearlings:** Passport. Flu vaccinations must be up-to-date in accordance with A.1.10. Health certificate in accordance with A.1.11. Horse passport validity see A.1.12.

**A.1.3. Breeze-Ups:** Passport. Any Lot that does not have a passport or up-to-date vaccinations in accordance with A.1.10 will not be permitted entry onto the racecourse and will be withdrawn from the Sale. Health certificate in accordance with A.1.11. Horse passport validity see A.1.12.

**A.1.4. Horses-in-Training (Aged two years and upwards):** Passport. Flu vaccinations must be up-to-date in accordance with A.1.10. Health certificate in accordance with A.1.11. Horse passport validity see A.1.12.

**A.1.5. Three & Four Year Stores:** Passport. Flu vaccination must be up-to-date in accordance with A.1.10. Health certificate in accordance with A.1.11. Horse passport validity see A.1.12.

**A.1.6. Mares in Foal:** Broodmare Passport (Registered with Weatherbys),

Flu vaccinations should be up-to-date in accordance with A.1.10. Pregnancy certificate dated within 14 days of sale and EVA Certificate dated within 30 days of the sale. CEM (Contagious Equine Metritis-Free) Certificate Stating Negative Clitoral swab (fossa and Sinuses) dated within 30 days of sale (the standard Horserace Betting Levy Board certificate should be used as this also refers to other venereal diseases), Health Certificate in accordance with A.1.11. Covering Certificate are all mandatory. Horse passport validity see A.1.12.

**A.1.7. Barren Mares:** Broodmare Passport (Registered with Weatherbys), Flu vaccinations should be up-to-date in accordance with A.1.10. CEM (Contagious Equine Metritis-Free) Certificate dated within 30 days of sale stating that a negative clitoral swab (fossa and sinuses) has been obtained (the standard Horserace Betting Levy Board certificate should be used as this also refers to other venereal diseases), EVA Certificate dated within 30 days of the Sale, Health certificate in accordance with A.1.11. Covering Certificate and Breeding Certificates are all mandatory. Horse passport validity see A.1.12.

**A.1.8 Potential Broodmares:** Passport. Flu vaccinations must be up to date in accordance with A.1.10. Breeding certificate dated within 14 days. Health certificate in accordance with A.1.11. Horse Passport validity See A.1.12. (Optional EVA Certificate and CEM Certificate (Contagious Equine Metritis Free) stating Negative Clitoral swab (fossa and sinuses) dated within 30

*(Appendix 1: continued)*

days of Sale (the standard horserace Betting Levy Board certificate should be used as this only refers to venereal diseases)).

**A.1.9. Broodmares Covered in a Previous Season:** Same documents as Barren Mares except Covering Certificate is not required. Horse passport validity see A.1.12.

**A.1.10. Flu Vaccinations (Condition of Sale 3.4(c)):** Two primary injections to be given not less than twenty-one and not more than ninety-two days apart. A booster injection should be given not less than one hundred and fifty and not more than two hundred and fifteen days apart. Thereafter, one injection should be given annually. Additional notification relating to vaccinations may be given by Goffs UK prior to Sale.

**A.1.11. Health certificate** Stating that for 14 days prior to the Sale the horse has not been in contact with equines suffering from contagious diseases.

**A.1.12 In order for a horse passport to be considered a valid document within the EU, it must now contain the official pages which allow a declaration to be made as to whether the horse is ultimately destined for human consumption or not. Weatherbys passports issued before the year 2000 and foreign passports (particularly non EU) may need these pages adding in. These additional pages need to be bound into the passport as integral to the document.**

**A.1.13 Headcollars (Condition of Sale 14.3):** It is a Condition of Sale that all horses must wear a headcollar at all times in the Sales Complex. This is in the

interests of Health & Safety to prevent possible injury to horse and handler when a lot is removed from its box. Where the Vendor is found to have left the lot without a headcollar after the sale, Goffs UK will supply a headcollar at the Vendor's expense.

**A.1.14. Showing:** All Lots should have a bit in their mouth when being shown on the Goffs UK Sales Complex in the interests of Health and Safety.

**A.1.15. Microchips (Condition of Sale 3.4(b)):** All Lots born in UK or Ireland after 2000 should have been microchipped at birth. Please note that all horses must be microchipped when arriving at the Sales Complex. This may be particularly relevant to those foaled outside UK or Ireland.

**A.1.16. French Import/Export (Condition of Sale 3.5)** It is the responsibility of the Vendor to ensure that all Import/Export documents have been completed prior to Sale or the lot must be withdrawn. No horse will be offered for sale unless both the Passport & Ownership Card have been lodged in the Sales Office. Goffs UK will return the relevant documentation to France-Galop and will deduct the Export fee from the sale proceeds. Goffs UK will not pay the sale proceeds to the Vendor until the appropriate documentation has been completed.

*These requirements may be altered or waived in the absolute discretion of Goffs UK.*

## The Bloodstock Industry Code of Practice *(Appendix 2)*

### Introduction

The Code of Practice sets out the principles which apply to all sales of bloodstock and sales of stallion shares and nominations, be they private sales or sales at public auction. The intention is to ensure that sales of bloodstock in Britain not only comply with the law, but operate to the highest standards of integrity and transparency, and safeguard the interests of vendors, consignors, bloodstock agents, owners, trainers and the sales companies.

### Definitions

- “Agent” means any trainer, consignor, bloodstock agent, racing or stud manager or other person or entity who represents a Principal in the sale or purchase of bloodstock, stallion shares and nominations, whether the Agent is paid by way of retainer, commission or other forms of remuneration, or has ongoing financial arrangements (for example the payment of management or training fees), or not.
- “Principal” means a person or entity who appoints an Agent to act as agent on his behalf in the sale or purchase of bloodstock, stallion shares and nominations as in the definition above.
- For clarification, words importing the masculine gender shall include the feminine.

any payment or benefit in kind received by an Agent that is not disclosed to his Principal.

3. When an Agent acts as a vendor or part-vendor and sells or intends to sell any horse in which he has an interest to a Principal, or intended Principal, the Agent must disclose to his Principal, before completion, the full extent of that ownership or interest and the benefit to be derived from that transaction.
4. If an Agent acts for more than one Principal in a transaction (which might be both the vendor and purchaser), the Agent can only do so if he has first disclosed this fact, before completion, to all his Principals, and obtained their consent.
5. An Agent must notify his Principal, wherever possible in advance, when a conflict of interest could arise, such as transactions involving third parties with whom he has a retainer, transactions where he is aware he will benefit from a third party, or transactions concerning horses which he has previously purchased or been involved with.
6. An Agent shall disclose to his Principal and, if required, account to his Principal for any Luck Money paid to him by or on behalf of a vendor.

### Code

1. An Agent owes a duty to his Principal to act at all times in accordance with his Principal's best interests.
2. An Agent shall not place himself in a position where personal interests conflict with the duty to his Principal. In particular, an Agent shall not use his position to benefit from a secret payment or secret profit, which means

“Luck Money” means any financial payment or payment in kind made by or on behalf of a vendor to a Purchaser or his Agent, after the sale of a horse has been concluded. The practice of giving and receiving Luck Money shall be entirely voluntary, transparent and should be disclosed to all appropriate parties by the recipient. A vendor has no obligation whatsoever to pay Luck Money and the non-payment of such should not prejudice any further business activity.

7. If an Agent receives an offer to purchase a horse he must relay that offer in its entirety to his Principal and respond in accordance with the Principal's instructions.
8. A vendor must not offer any secret payment or secret profit to any person whom he believes to be an Agent acting for a prospective purchaser.

#### Dispute Resolution

9. Any dispute arising out of an alleged breach of the Code of Practice should be reported by a complainant to one of the following trade bodies or to the appropriate Sale Company in the first instance:

**Federation of Bloodstock Agents**  
Geoffrey Howson (01451 860428)

**National Trainers Federation**  
Rupert Arnold (01488 71719)

**Racehorse Owners Association**  
Dena Arstall (020 7408 0903)

**Thoroughbred Breeders Association**  
Claire Sheppard (01638 661321)

**Goffs UK**  
Tony Williams (01450 372222)

**Tattersalls**  
Gavin Davies (01638 665931)

A complainant shall provide written evidence of the alleged breach of the Code to the relevant trade body or the Sale Company in support of the allegation. The Sale Company or the trade body will conduct its own investigation and may seek to mediate, or may advise the complainant of their right to pursue the complaint through the courts.

The commencement of a mediation will not prevent the parties commencing court proceedings.

#### Disciplinary Proceedings under the Rules of Racing

10. If the British Horseracing Authority is satisfied there has been a breach of this Code of Practice, it is likely to consider this to be contrary to the integrity, proper conduct or good reputation of horse racing, and the persons involved, whether bound by the Rules of Racing, or not, may be banned from British racecourses and other licensed premises and will also not be permitted to conduct business with licensed individuals.

**This Code of Practice has been drawn up & published by the following organisations:**

The British Horseracing Authority, Goffs UK Ltd, Federation of Bloodstock Agents, National Trainers Federation, Racehorse Owners Association, Tattersalls Ltd, Thoroughbred Breeders Association and endorsed by the Society of International Thoroughbred Auctioneers.

## ICSC Criteria for Pedigree Compilation (*Appendix 3*)

The following criteria have been agreed in principle by those Sales Companies represented on the European Sub-Committee of the International Cataloguing Standards Committee.

1. Pedigrees may not extend beyond the fifth dam. Only black-type performers and their links may be mentioned under the fifth dam.
2. Certain relationships to the subject animal are designated ‘key positions’. Key positions comprise:
  - the subject animal him/herself
  - the first dam of the subject animal and any of her descendants
5. ‘Excellence narrative’ must be restricted to the top horse in any qualifying category. Thus, while a Sales Company may elect to use any one of the following terms – ‘Champion’, ‘Top-rated’ or ‘High-weighted’ – such terms as ‘2nd Top-rated’ may not be used. Further, excellence narrative may only be applied to horses which have been officially rated top within the following categories or combination of categories:
  - Continent
  - Country
  - Sex
  - Age
  - Distance range

Only in the case of animals in key positions may the race names of non-black type races be carried.

Only in the case of animals in key positions may a 4th placing in a Group/Graded race be mentioned (NB Such a placing will not confer black type, except as set out on page vi of the ICSC Booklet 2006).

3. Jump Races appearing in Part IV of the ICSC Booklet may confer black type, but only if the type is italicised to differentiate it clearly from the black type given to flat race performances.
4. No reference to relationships may be made other than in the case of the Full (i.e. ‘own’) brother or sister. (That is to say, references such as ‘three-parts sister to’ and ‘bred on the same lines as’ are disallowed). Except in the case of the subject animal, the horse to whom the animal in question is related must be a black-type horse.
6. Performances outside the home country of the catalogue in question will be indicated as such, either by citing the country(ies) by name or by use of the word ‘abroad’.

