

THE AMERICAN STUD BOOK

Principal Rules and Requirements



November 2008

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Owners, breeders and/or their authorized agents are responsible for being familiar with the rules and requirements of *The American Stud Book*.

Amendments and new rules are available on The Jockey Club web site at *jockeyclub.com*.

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Section II
LOCATION OF OFFICES
AND AVAILABILITY OF
FORMS AND INFORMATION

Executive Office:

The Jockey Club
40 East 52nd Street
New York, New York 10022
Telephone: (212) 371-5970
FAX: (212) 371-6123

Registry Office:

The Jockey Club
821 Corporate Drive
Lexington, Kentucky 40503-2794
Telephone: (859) 224-2700
Registration Services: (800) 444-8521
FAX: (859) 224-2710

Web Sites:

The Jockey Club: *jockeyclub.com*
Interactive Registration™: *registry.jockeyclub.com*

Canada:

The Jockey Club of Canada
P.O. Box 66
Station B
Etobicoke, Ontario M9W 5K9
Telephone: (416) 675-7756
FAX: (416) 675-6378

Availability of forms and information only

All Registry Office forms and current Fee Schedules are available from the Registry Office in Lexington, KY.

Section III
GLOSSARY OF TERMS

The American Stud Book

The American Stud Book is the registry maintained by The Jockey Club for all Thoroughbreds foaled in the United States, Puerto Rico and Canada and for all Thoroughbreds imported into the United States, Puerto Rico and Canada from countries that have a stud book approved by The Jockey Club and the International Stud Book Committee.

Age of a Horse

Age of the Thoroughbred: For the purpose of determining age, the date of birth for all Thoroughbreds is deemed to be January 1 of the year of foaling.

Foal: A young horse of either sex in its first year of life.

Suckling: A foal of any sex in its first year of life while it is still nursing.

Weanling: A foal of any sex in its first year of life after being separated from its dam.

Yearling: A colt, filly or gelding in its second calendar year of life (beginning January 1 of the year following its birth).

Two Year Old: A colt, filly or gelding in its third calendar year of life (beginning January 1 of the year following its yearling year).

Breeding Practices Not Approved by The Jockey Club

Artificial Insemination: The process of depositing semen into the reproductive tract of a broodmare in order to get a broodmare in foal (pregnant) without the physical mounting by a stallion.

Cloning: Any method by which the genetic material of an unfertilized egg or an embryo is (i) removed, (ii) replaced by genetic material taken from another organism, (iii) added to with genetic material from another organism, or (iv) otherwise modified by any means in order to produce a live foal.

Embryo Transfer (Transplants): The method whereby a developing embryo or unfertilized egg is removed from its natural dam and implanted into the reproductive tract of either the natural dam or a host dam for a portion of the gestation period in order to produce a live foal.

Breeding Terminology

Bred (Mated): Any filly or mare that has undergone the physical act of breeding (mating).

Bred (Area Foaled): The term “bred” is sometimes used to describe the location where a foal was born, i.e., Kentucky bred, New York bred, etc.

Breeder: The breeder of a foal is the owner of the dam at the time of foaling, unless the dam was under a lease or foal-sharing agreement at the time of foaling. In that case, the person(s) specified by the terms of the agreement is (are) the breeder(s) of the foal.

Stallion: A male horse that is used to produce foals.

Sire: A male horse that has produced, or is producing, foals.

Broodmare: A filly or mare that has been bred (mated) and is used to produce foals.

Dam: A female horse that has produced, or is producing, foals.

Maiden: A filly or mare that has never been bred (mated).

In Foal (Pregnant) Broodmare: A filly or mare that was bred (mated), conceived and is currently in foal (pregnant).

Aborted: A term used to describe a broodmare that has been pronounced in foal (pregnant) based on an examination of 42 days or more post breeding (mating) and lost her foal prematurely; or a broodmare from whom an aborted fetus has been observed.

Barren (Not Pregnant): A term used to describe a filly or mare, other than a maiden mare, that was bred (mated) and did not conceive during the last breeding season.

Breeding (Mating): The physical act of a stallion mounting a broodmare with intromission of the penis and ejaculation of semen into the reproductive tract.

Gender of a Horse

Colt: An entire male horse four years old or younger.

Horse: When reference is made to gender, a “horse” is an entire male five years old or older.

Ridgling (“rig”): A lay term used to describe either a monorchid or cryptorchid.

Cryptorchid: A male horse of any age that has no testes in his scrotum but was never gelded (the testes are undescended).

Monorchid: A male horse of any age that has only one testicle in his scrotum (the other testicle was either removed or is undescended).

Gelding: A male horse of any age that is unsexed (had both testicles removed).

Filly: A female horse four years old or younger.

Mare: A female horse five years old or older.

Thoroughbred

A Thoroughbred is a horse that has satisfied the rules and requirements set forth herein and is registered in *The American Stud Book* or in a Foreign Stud Book approved by The Jockey Club and the International Stud Book Committee.

United States

The United States includes the 50 states, the District of Columbia, and the insular territories and possessions of the United States of America.

Interactive Registration™

An internet site where breeders, owners and authorized agents can submit registration forms, check registration status and browse the Online Names Book.

Genetic Typing

The process of determining the genetic factors present in a blood or DNA sample.

Section IV COLOR GUIDE

The following colors are recognized by The Jockey Club:

Bay: The entire coat of the horse may vary from a yellow-tan to a bright auburn. The mane, tail and lower portion of the legs are always black, unless white markings are present.

Dark Bay/Brown: The entire coat of the horse will vary from a brown, with areas of tan on the shoulders, head and flanks, to a dark brown, with tan areas seen only in the flanks and/or muzzle. The mane, tail and lower portion of the legs are always black, unless white markings are present.

Black: The entire coat of the horse is black, including the muzzle, the flanks, the mane, tail and legs, unless white markings are present.

Chestnut: The entire coat of the horse may vary from a red-yellow to a golden-yellow. The mane, tail and legs are usually variations of the coat color, unless white markings are present.

Gray/Roan: The Jockey Club has combined these colors into one color category. This does not change the individual definitions of the colors for gray and roan and in no way impacts on the two-coat color inheritance principle as stated in Rule 1(E).

Gray: The majority of the coat of the horse is a mixture of black and white hairs. The mane, tail and legs may be either black or gray, unless white markings are present.

Roan: The majority of the coat of the horse is a mixture of red and white hairs or brown and white hairs. The mane, tail and legs may be black, chestnut or roan, unless white markings are present.

Palomino: The entire coat of the horse is golden-yellow, unless white markings are present. The mane and tail are usually flaxen.

White: A rare color not to be confused with the colors gray or roan. The entire coat, including the mane, tail and legs, is white and no other color should be present.

Section V
RULES FOR REGISTRATION,
GENETIC TYPING AND PARENTAGE
VERIFICATION

1. ELIGIBILITY FOR FOAL REGISTRATION

- A. These rules apply to horses foaled in the United States, Puerto Rico or Canada, provided Rules 11 and 12 apply to horses foaled outside of the United States, Puerto Rico or Canada.
- B. Foals must be genetically typed and qualified by parentage verification by a laboratory approved and authorized by The Jockey Club.
- C. A foal is eligible for registration provided it is shown to the satisfaction of The Jockey Club that the foal's pedigree authentically traces in all its lines to horses recorded in *The American Stud Book* or a Foreign Stud Book approved by The Jockey Club and the International Stud Book Committee and if it satisfies all other requirements set forth in these rules. No horse foaled in the United States, Puerto Rico or Canada may be registered unless both its sire and dam have been previously registered in *The American Stud Book*. The only exception to this rule is a foal imported in utero whose dam is properly registered in *The American Stud Book* and whose sire was not imported but is properly registered in an approved Foreign Stud Book.

For the purpose of determining Age of the Thoroughbred, the date of birth of a Thoroughbred is deemed to be January 1 of the year of foaling.

The Jockey Club may require any party who seeks to register a foal or who submits information related in any way to registration of a foal to provide such further evidence and assurances as The Jockey Club may reasonably require, and may also require any such party make the horse(s) involved available for inspection.

A dead horse is not eligible for registration.

- D. To be eligible for registration, a foal must be the result of a stallion's Breeding with a broodmare (which is the physical mounting of a broodmare by a stallion with intromission of the penis and ejaculation of semen into the reproductive tract). As an aid to the Breeding, a portion of the ejaculate produced by the stallion during such mating may immediately be placed in the uterus of the broodmare being bred. A natural gestation must take place in, and delivery must be from, the body of the same broodmare in which the foal was conceived. Without limiting the above, any foal resulting from or produced by the processes of Artificial Insemination, Embryo Transfer or Transplant, Cloning or any other form of genetic manipulation not herein specified, shall not be eligible for registration.
- E. If a broodmare is bred to two or more stallions during the same breeding season, The Jockey Club will make every effort to eliminate the incorrect stallion or stallions including:
1. Genetic typing and parentage qualification;
 2. Calculation of gestation period; and
 3. Applying the principles of two-coat color inheritance, that is, a chestnut sire and a chestnut dam must produce a chestnut or, in some instances, a palomino foal; and a gray/roan foal must have at least one gray/roan parent.

In the case of double-qualifying sires, the name of each sire must be recorded as the sire of the foal in the same order that they were bred to the dam. A valid Service Certificate must be supplied with respect to the services of each qualifying sire.

F. A foal is not eligible for registration unless all requirements to register that foal as set forth in Rule 2 are met within one year of the actual foaling date. Provided however, a foal may be eligible for late registration if the applicant completes all registration requirements and submits the appropriate late registration fee (see Fee Schedule).

G. A foal is not eligible for registration unless its sire and dam have been genetically typed or re-DNA typed, as required under Rule 5, provided however, if the sire or dam died prior to being genetically typed or re-DNA typed, a foal may still be eligible for registration if a notarized statement is submitted by the stallion owner or breeder reporting the death, explaining why the sire or dam was not genetically typed or re-DNA typed, and requesting The Jockey Club waive this requirement for the registration of the resulting foal. The deceased sire or dam's Certificate of Foal Registration should also be returned to The Jockey Club (see Rule 16).

If a foal's sire or dam has been blood typed and dies before being DNA typed, it may be necessary to DNA and blood type the foal in order to qualify its parentage.

H. When an application is made to register a foal by an unnamed but registered sire or out of an unnamed but registered dam, the unnamed sire or dam must be named before the registration of the foal can be completed. A fee may be required to claim a name for an unnamed, but registered, sire or dam (see Fee Schedule).

2. REGISTRATION, GENETIC TYPING AND PARENTAGE VERIFICATION OF FOALS

A. A preprinted Live Foal/No Foal Report will be sent to the owner of record of each broodmare listed on a Report of Mares Bred form. If for any reason a breeder does not receive a preprinted Live Foal/No Foal Report by the time the foal is born, the breeder should contact The Jockey Club immediately. The Live Foal/No Foal

Report serves a dual purpose; it is used to report the birth of a live foal or to report the status of a broodmare which did not produce a live foal. This report may be submitted through Interactive Registration™ at *registry.jockeyclub.com*.

- B. To begin the registration process, each Live Foal Report should be fully completed, signed and returned to The Jockey Club no later than 30 days following the birth of the foal.

If reporting no live foal, submit the No Foal Report within 30 days of the intended birth of the foal. If the mare was not bred, submit the No Foal Report in January.

- C. A genetic typing kit and a preprinted Registration Application will be sent to the person specified on the Live Foal Report. If the genetic typing kit and preprinted Registration Application are not received within 180 days (6 months) of the foaling date, contact The Jockey Club immediately to request a genetic typing kit.
- D. Within 45 days of receipt, the genetic typing kit should be used and the sample sent to the laboratory. The fully completed and signed Registration Application, along with a set of four color photographs of the foal (front, both sides and rear views) clearly showing the color and the markings (or lack of markings) on the head, legs and body, should be submitted to The Jockey Club along with the prescribed fee (see Fee Schedule) and a valid Service Certificate (see Rule 14C). The Registration Application may also be submitted through Interactive Registration™ at *registry.jockeyclub.com*. If either of these requirements are not met, the foal owner may be required to restart the process by obtaining a new genetic typing kit from The Jockey Club and an additional restart fee may be assessed (see Fee Schedule).
- E. To correctly identify the foal, a Registration Application must be fully completed and signed each time a genetic sample is submitted.

- F. In the case of twins, each twin must be registered separately. The fact that the foal is the product of a twin birth must be reported on the Live Foal Report (see Rule 15). If both twins are alive, the birth of each twin must be reported separately on a Live Foal Report. When submitting the Registration Applications for twins, attach a photocopy of the Service Certificate to the second Registration Application.
- G. Upon the completion of all registration requirements within the specified deadlines, and if the foal qualifies as an offspring of its reported sire and dam, a Certificate of Foal Registration will be issued.

If a foal does not qualify as an offspring of its reported sire and/or dam, additional genetic typing may be required. Based on the results of the genetic typing and any other relevant information available, The Jockey Club will make a determination regarding the registration of the foal.

It is the registration applicant's responsibility to resolve doubts regarding parentage.

3. RACING PERMIT

- A. The Jockey Club, in its discretion and for good cause, may issue a Racing Permit for any horse which has been genetically typed and parentage analyzed and whose dam qualified, but whose sire did not qualify. The Jockey Club may consider any other relevant factors in its determination and may require the owner and/or breeder to provide additional information which The Jockey Club deems necessary. A horse issued a Racing Permit cannot be considered a Thoroughbred for breeding purposes and cannot be entered into *The American Stud Book*. The term "Racing Permit" should always accompany the name of the horse in any trade journal or racetrack program. Any horse receiving a Racing Permit will never be entitled to receive a Certificate of Foal Registration.
- B. To apply for a Racing Permit, the owner must submit a written request to The Jockey Club.

4. FEES TO REGISTER, GENETIC TYPE AND PARENTAGE VERIFY A FOAL

- A. Foal registration fees are assessed according to a Registry Office Fee Schedule. Copies of this Fee Schedule are available from The Jockey Club Registry Office and are periodically included in Registry Office mailings. The Fee Schedule is also available on The Jockey Club web site at *jockeyclub.com*.
- B. The fee to register a foal as stated in the current Fee Schedule also covers:
 - 1. Naming, provided a valid attempt to claim a name is received prior to February 1 of the two-year-old year;
 - 2. The correction of a Certificate of Foal Registration, within six months of the date of issue, if necessary;
 - 3. Subsequent transfers of ownership; and
 - 4. Reissuance of a genetic typing kit for untestable samples.
- C. Fees are not refundable, unless a foal dies and the death is reported prior to the issuance of a Certificate of Foal Registration. In this case, a fee will be charged for the genetic typing kit and processing, and upon written request, the remainder of the fee will be refunded (see Fee Schedule).

5. GENETIC TYPING REQUIREMENTS FOR STALLIONS, MARES AND EXPORTED HORSES

- A. In addition to genetic typing and parentage verification of all foals as outlined in Rule 2, the following horses must be genetically typed:
 - 1. All stallions and broodmares if not previously genetically typed;
 - 2. All stallions and broodmares for foal crops of 2001 and thereafter must be DNA typed, either from DNA samples extracted from a blood sample already on file with the genetic laboratories or, if none is available, from DNA samples submitted in accordance with this Rule;

3. Foals of 2001 and thereafter that enter the stud for the first time as stallions must be re-DNA typed; and
 4. All horses applying for an Export Certificate that have not been previously genetically typed (see Rule 10).
- B. To apply for a blood typing kit, complete a Request for a Blood Typing Kit form and submit it to The Jockey Club, along with:
1. A check or money order payable to The Jockey Club for the prescribed fee (see Fee Schedule); and
 2. The Certificate of Foal Registration (copies are not acceptable).

DNA typing kits can be obtained from The Jockey Club by request.

- C. Within 45 days of receipt, the genetic typing kit should be used and the sample sent to the laboratory. The fully completed Identification form, along with a set of four color photographs of the horse (front, both sides and rear views) clearly showing the color and markings (or lack of markings) on the head, legs and body, must be submitted to The Jockey Club. If either of these requirements are not timely met, the owner may be required to restart the process by obtaining a new genetic typing kit from The Jockey Club, and a restart fee may be assessed (see Fee Schedule).
- D. To correctly identify a horse, an Identification form must be fully completed each time a genetic sample is submitted.
- E. The Jockey Club shall have the right to require that any horse be genetically typed or re-genetically typed at any time to establish or investigate a horse's identity or pedigree. If at any time The Jockey Club determines that the genetic type of a horse is inconsistent with the genetic type of either or both of its reported parents, The Jockey Club will notify the owner and the Certificate of Foal Registration will be revoked unless the owner provides an explanation satisfactory to the Registrar (or any other person designated by the

President of The Jockey Club) within 30 days of notice. In the event that an explanation from the owner is timely received and establishes parentage to the satisfaction of The Jockey Club, a corrected Certificate of Foal Registration may be issued.

- F. The Jockey Club will not respond to inquiries, other than pursuant to legal process, Court Order, approved Foreign Stud Book Authorities, recognized State Racing Commissions, Racetrack Authorities or law enforcement agencies with respect to genetic typing information as to specific horses, except upon written request, from a person whose name appears in The Jockey Club records as having an ownership interest in that horse, stating why this information is needed. In these instances, The Jockey Club will state in writing, if requested, whether, based upon information on file, the horse qualifies as an offspring of its reputed parents.

6. NAMING

- A. A name may be claimed on the Registration Application, on a Name Claiming Form or through Interactive Registration™ at *registry.jockeyclub.com*. Name selections should be listed in order of preference. Names will be assigned based upon availability and compliance with the naming rules as stated herein. Names may not be claimed or reserved by telephone. When a foreign language name is submitted, an English translation must be furnished to The Jockey Club. An explanation must accompany “coined” or “made-up” names that have no apparent meaning. Horses that were born in the United States, Puerto Rico or Canada and currently reside in another country must be named by The Jockey Club through the Stud Book Authority of their country of residence.
- B. If a valid attempt to name a foal is submitted to The Jockey Club by February 1 of the foal’s two-year-old year and such a name is determined not eligible for use, no fee is required for a subsequent claim of name for that foal. If a valid attempt to name a foal is not submitted to The Jockey Club by February 1 of the

foal's two-year-old year, a fee is required to claim a name for such a foal (see Fee Schedule).

- C. A reserved name must be used within one year from the day it was reserved. Reserved names cannot be used until notification requesting the assignment of the name to a specific horse is received by the Registry Office. If the reserved name is not used within one year from its reservation, it will become available for any horse. A fee is required to reserve a name (see Fee Schedule).
- D. A foal's name may be changed at any time prior to starting in its first race. Ordinarily, no name change will be permitted after a horse has started in its first race or has been used for breeding purposes. However, in the event a name must be changed after a horse has started in its first race, both the old and new names should be used until the horse has raced three times following the name change. The prescribed fee (see Fee Schedule) and the Certificate of Foal Registration must accompany any request to the Registry Office for a change of name.
- E. Names of horses over ten years old may be eligible for use if they are not excluded under Rule 6(F) and have not been used during the preceding five years either for breeding or racing.

Names of horses that were never used for breeding or racing may be available for use five years from the date of their death as reported.

- F. The following classes of names are not eligible for use:
 1. Names consisting of more than 18 letters (spaces and punctuation marks count as letters);
 2. Names consisting entirely of initials such as C.O.D., F.O.B., etc.;
 3. Names ending in "filly," "colt," "stud," "mare," "stallion," or any similar horse-related term;
 4. Names consisting entirely of numbers. Numbers above thirty may be used if they are spelled out;
 5. Names ending with a numerical designation such as

“2nd” or “3rd,” whether or not such a designation is spelled out;

6. Names of living persons unless written permission to use their name is on file with The Jockey Club;
7. Names of persons no longer living unless approval is granted by The Jockey Club based upon a satisfactory written explanation submitted to the Registrar;
8. Names of racetracks or graded stakes races;
9. Names clearly having commercial, artistic or creative significance;
10. Names that are suggestive or have a vulgar or obscene meaning; names considered in poor taste; or names that may be offensive to religious, political or ethnic groups;
11. Names that appear to be designed to harass, humiliate or disparage a specific individual, group of individuals or entity;
12. Names that are currently active either in racing or breeding (see Rule 6(E));
13. Names of winners in the past 25 years of grade one stakes races;
14. Permanent names. The list of criteria to establish a permanent name is as follows:
 - a. Horses in racing’s Hall of Fame;
 - b. Horses that have been voted Horse of the Year;
 - c. Horses that have won an Eclipse Award;
 - d. Horses that have won a Sovereign Award (Canadian Champions);
 - e. Annual leading sire and broodmare sire by progeny earnings;
 - f. Cumulative money winners of \$2 million or more;
 - g. Horses that have won the Kentucky Derby, Preakness, Belmont Stakes, The Jockey Club Gold Cup, the Breeders’ Cup Classic or the Breeders’ Cup Turf; and
 - h. Horses included in the International List of Protected Names.
15. Names similar in spelling or pronunciation to the classes of names listed in Rule 6(F) 6 – 14 above.

G. In addition to the provisions of this Rule 6, the Registrar of The Jockey Club reserves the right of approval on all name requests.

**7. TRANSFER AND REPORT OF OWNERSHIP;
OWNERSHIP DISPUTES**

A. The transfer of ownership for all registered Thoroughbreds may be reported to The Jockey Club by completing a Transfer of Ownership Form or through Interactive Registration™ at *registry.jockeyclub.com*.

B. The ownership of all Thoroughbred stallions and broodmares must be reported to The Jockey Club each year. For stallions, ownership must be reported by submitting a Report of Mares Bred form (see Rule 14). In the case of a broodmare, ownership must be reported by submitting a Live Foal/No Foal Report (see Rules 2(A), (B), and 15). Based on the ownership reported on the respective forms, The Jockey Club will record any transfer of ownership. If a Thoroughbred stallion or broodmare is sold or otherwise transferred after submitting a Report of Mares Bred form or Live Foal/No Foal Report, the new ownership must be reported by submitting a Transfer of Ownership Form as in Rule 7(A).

C. If The Jockey Club becomes aware of conflicting information with respect to the ownership of a horse, or other rights in or related to a horse (“Ownership Issues”), The Jockey Club may request additional information and The Jockey Club may defer action related to the horse until the interested parties agree to resolve the Ownership Issues or The Jockey Club may take action based upon court order (see Rule 21(F)) or other factors it deems appropriate in its discretion. The Jockey Club shall have no obligation to any party arising out of its decision to defer action or to take action.

In addition, the failure of an owner to submit a valid Service Certificate pursuant to Rule 2(D) may be considered evidence of an ownership issue to be resolved as set forth above, but in the event action is

deferred by The Jockey Club it will process but not issue the Certificate of Foal Registration until a valid Service Certificate is submitted to The Jockey Club and all other requirements of Rule 2 are satisfied.

- D. The Jockey Club will not respond to inquiries, other than pursuant to legal process, Court Order, approved Foreign Stud Book Authorities, recognized State Racing Commissions, Racetrack Authorities or law enforcement agencies with respect to ownership information as to a specific horse, except upon written request, from a person whose name appears in The Jockey Club records as having an ownership interest in that horse.
- E. It is advisable that no one complete the purchase of a Thoroughbred until the Certificate of Foal Registration has been transferred by the previous owner. Before completing the sale, the new owner should compare the description on the Certificate of Foal Registration with the actual markings, including cowlicks, found on the horse.

8. CORRECTION OF CERTIFICATE OF FOAL REGISTRATION

- A. To obtain a Corrected Certificate of Foal Registration, the following must be submitted to the Registry Office:
 - 1. A check or money order payable to The Jockey Club covering the prescribed fee (see Fee Schedule);
 - 2. A set of four color photographs of the horse (front, both sides, and rear views) clearly showing the color, markings (or lack of markings) on the head, legs and body, and showing any discrepancies, if possible, with the existing Certificate of Foal Registration;
 - 3. A completed and signed Corrected Certificate Form containing the written description of the markings as they now appear on the horse, including the exact location of the head and neck cowlicks; and
 - 4. The Certificate of Foal Registration.

- B. Nothing in this rule shall preclude the use of genetic typing information for the purpose of re-identifying any horse at any time. If the identity or pedigree of any horse is in question, The Jockey Club may require genetic typing and/or parentage verification to ensure proper identity or pedigree.

9. DUPLICATE CERTIFICATE OF FOAL REGISTRATION

- A. If a Certificate of Foal Registration has been lost or destroyed, a Duplicate Certificate of Foal Registration may be issued by the Registry Office upon submission of the following:
 - 1. A check or money order payable to The Jockey Club covering the prescribed fee (see Fee Schedule);
 - 2. A set of four color photographs of the horse (front, both sides, and rear views) clearly showing the color and the markings (or lack of markings) on the head, legs and body;
 - 3. A completed and signed Duplicate Certificate Form containing the written description of the markings on the horse, including the exact location of the head and neck cowlicks;
 - 4. A notarized statement from the owner or his authorized agent describing the circumstances under which the Certificate of Foal Registration was lost or destroyed;
 - 5. Proof of ownership of that specific horse (for example, a bill of sale or cancelled check including the name or pedigree of the horse, date of sale and the name of the new owner); and
 - 6. Any further evidence and assurances as The Jockey Club may require, such as genetic typing and/or parentage verification.
- B. Except as expressly provided in this Rule 9, a Duplicate Certificate of Foal Registration will not be issued as long as the Certificate of Foal Registration is known to be in existence; provided however, in the event of a sheriff's (or similar) sale or under a non-appealable

Court Order, a Duplicate Certificate of Foal Registration will be issued if the original Certificate of Foal Registration cannot be obtained from the previous owner only after a good faith effort to recover it is made by the seller and/or the new owner. In either case, the requirements of Rule 9(A) 1, 2, 3, 5 and 6 must be met and an opinion must be submitted to The Jockey Club from an attorney or an official representative of the court, indicating that the sale (if applicable) was conducted in accordance with the laws of the state and providing such other information as The Jockey Club may request regarding the circumstances and validity of the sale or Court Order.

- C. Once a Duplicate Certificate of Foal Registration is issued, the original Certificate of Foal Registration becomes null and void, and if located, must be returned to the Registry Office.

10. EXPORT REQUIREMENTS

- A. When a horse is to be exported to a country outside of the United States, Puerto Rico or Canada, a Certificate of Exportation and passport must be obtained from The Jockey Club within 60 days after exportation. If for any reason the requirements are not completed within 60 days after exportation, the Certificate of Exportation may be obtained only after approval of The Jockey Club and the payment of an additional fee (see Fee Schedule).
- B. To obtain a Certificate of Exportation and passport, a horse must be genetically typed or be in the process of being genetically typed (samples must have arrived at the laboratory in a testable condition) unless the horse was genetically typed previously. If genetic typing is required, a genetic typing kit must be obtained as set forth in Rule 5(B) and the following must be completed and submitted to The Jockey Club Registry Office by the time of the horse's departure:
 - 1. A check or money order payable to The Jockey Club covering the prescribed fee (see Fee Schedule);
 - 2. A set of four color photographs of the horse (front, both sides and rear views) clearly showing the color

and the markings (or lack of markings) on the head, legs and body;

3. A completed Export Identification Form. The form must be signed by the owner or authorized agent and must also indicate the country of destination, name of broker, date of shipment, and ownership of the horse. This form may also be submitted through Interactive Registration™ at *registry.jockeyclub.com*;
 4. The Certificate of Foal Registration, 30-Day Racing Permit or Certificate of Foreign Registration;
 5. A valid Service Certificate for all mares in foal. If a Service Certificate is not available at the time of shipment, it must be submitted to The Jockey Club as soon as it is received by the owner.
- C. The Jockey Club will forward directly to the appropriate Foreign Stud Book Authority the Certificate of Exportation and any other necessary documents as may be reasonably requested by that Stud Book Authority.
- D. If a horse is exported to a country whose Stud Book is not approved and then returns to the United States, Puerto Rico or Canada, the owner or authorized agent must satisfy all of the requirements of Rule 10(A) and (B), and the horse must be genetically typed and identified within 60 days after its return. No progeny foaled or conceived in a country whose Stud Book is not approved will be eligible for registration in *The American Stud Book*.
- E. Any horse exported without receiving a Certificate of Exportation that returns to the United States, Puerto Rico or Canada must be re-identified, genetically typed, obtain a Certificate of Exportation and pay an additional fee (see Fee Schedule) before The Jockey Club will reissue the Certificate of Foal Registration.
- F. Any horse imported into the United States, Puerto Rico or Canada whose sire or dam was not exported properly in accordance with Rule 10 will not receive a Certificate of Foreign Registration until that sire or dam has fulfilled the export requirements.

- G. If a horse is imported into the United States, Puerto Rico or Canada and its sire or dam was not exported in accordance with Rule 10, and has since died, The Jockey Club will issue a Certificate of Foreign Registration only upon written application and approval of The Jockey Club to waive the export requirements.

11. IMPORT REQUIREMENTS

- A. Horses bred outside of the United States, Puerto Rico or Canada must satisfy the eligibility requirements of Rules 1(C) and 1(D) and must obtain a Certificate of Foreign Registration from The Jockey Club when imported into the United States, Puerto Rico or Canada.
- B. To obtain a Certificate of Foreign Registration, the owner or broker must cause the exporting country's registry to submit the following directly to the Registry Office within 60 days after arrival of the horse in the United States, Puerto Rico or Canada:
 - 1. The Stud Book Certificate or Export Certificate containing the written description and diagrams of the markings on the horse, including the exact location of the head and neck cowlicks;
 - 2. A certified copy of the horse's complete racing record. Racing records from the World Hub may also be accepted if available; and
 - 3. A valid Service Certificate if the imported broodmare is in foal.
- C. In addition, within 60 days after arrival of the horse in the United States, Puerto Rico or Canada, the owner or broker of the horse must submit the following to The Jockey Club Registry Office:
 - 1. A check or money order payable to The Jockey Club covering the prescribed fee (see Fee Schedule);
 - 2. A completed and signed Import Registration Form containing the written description and diagrams of the markings on the horse, including the exact

location of the head and neck cowlicks. This form may also be submitted through Interactive Registration™ at *registry.jockeyclub.com*,

3. Four color photographs of the horse (front, both sides, and rear views) taken in this country clearly showing the color and the markings (or lack of markings) on the head, legs and body; and
4. The Passport Book, if applicable.

D. If for any reason, the requirements are not completed within 60 days after arrival, the Certificate of Foreign Registration may be obtained only after approval of The Jockey Club and the payment of an additional fee (see Fee Schedule). A horse is not eligible for a Certificate of Foreign Registration unless all requirements, including the appropriate fee (see Fee Schedule), are received by The Jockey Club within one year of the date of arrival in the United States, Puerto Rico or Canada; provided however, under limited circumstances, late registration may be granted to a horse that has been in the United States, Puerto Rico or Canada for more than one year since its arrival provided the following conditions are met:

1. The applicant sets forth in writing to The Jockey Club the reasons the applicant believes he should be relieved from the one-year registration requirement; and
2. The Jockey Club determines that the applicant has sufficiently demonstrated mistake, inadvertence, excusable neglect or other circumstances which justify late registration; and
3. The horse had been genetically typed in its country of birth and/or its identity can be established to the satisfaction of The Jockey Club; and
4. The applicant completes all registration requirements, including genetic typing, and submits a late registration fee (see Fee Schedule).

12. 30-DAY FOREIGN RACING PERMIT

- A. A 30-Day Foreign Racing Permit is a permit issued by the Registry Office of The Jockey Club entitling foreign Thoroughbreds to race in the United States, Puerto Rico or Canada for a period of not longer than 30 days.
- B. To obtain a 30-Day Foreign Racing Permit, the owner or broker must cause the exporting country's registry to submit directly to The Jockey Club:
 - 1. The Stud Book Certificate or Export Certificate containing the written description of the markings on the horse, including the exact location of the head and neck cowlicks, or if neither of these documents are available at that time, a written confirmation of the identity of the horse from the exporting country's Stud Book Authority;
 - 2. A certified copy of the horse's complete racing record.
- C. The owner or broker of the horse must submit the following directly to The Jockey Club Registry Office:
 - 1. A check or money order payable to The Jockey Club covering the prescribed fee (see Fee Schedule);
 - 2. A completed and signed Import Registration Form containing the written description and diagrams of the markings on the horse, including the exact location of the head and neck cowlicks;
 - 3. Four color photographs of the horse (front, both sides and rear views) clearly showing the color and the markings (or lack of markings) on the head, legs and body; and
 - 4. The Passport Book, if applicable.
- D. A 30-Day Foreign Racing Permit shall expire upon the expiration date on the permit or earlier if the Thoroughbred leaves the country prior to the expiration date.
- E. In the event a Thoroughbred with a 30-Day Foreign Racing Permit remains in the United States, Puerto

Rico or Canada more than 30 days, the owner or authorized agent must apply for a Certificate of Foreign Registration and all import requirements must be satisfied as stated in Rule 11.

13. LEASES AND FOAL-SHARING AGREEMENTS

When a Thoroughbred, through contract or agreement, is leased or entered into foal sharing, it must be reported to The Jockey Club each year. The lease of a stallion should be reported by checking the lessee box on the Report of Mares Bred form. For a broodmare, a lease or foal-sharing agreement must be reported by checking the lessee or foal-sharing box on the Live Foal Report.

14. STALLION REPORTS (REPORT OF MARES BRED)

- A. All stallion owners must report each Thoroughbred broodmare that was bred to their stallion(s) on the Report of Mares Bred form which should be sent to The Jockey Club no later than August 1 of each breeding year. This form may also be submitted through Interactive Registration™ at *registry.jockeyclub.com*. Failure to comply with this deadline will result in delays in the issuance of Service Certificates. Mares bred on Southern Hemisphere time must be reported as soon as possible.
- B. A separate Report of Mares Bred form must be completed yearly for each stallion and must be signed by the stallion owner, lessee or authorized agent.

If the stallion was leased, check the appropriate box provided on the Report of Mares Bred form. If the stallion has died since the last stallion report, a Report of Deaths form should also be submitted.

- C. Based on the information on the Report of Mares Bred form submitted by August 1, The Jockey Club will forward to the stallion owner, lessee or authorized agent a preprinted Service Certificate for each broodmare bred, including the name of the stallion, the name of the broodmare, the name of the dam of the broodmare, and the date of the last cover.

When the stallion owner, lessee or authorized agent receives the preprinted Service Certificate, it should be examined for accuracy, signed by the stallion owner, lessee or authorized agent and forwarded to the breeder of the foal or submitted to The Jockey Club through Interactive Registration™ at *registry.jockeyclub.com*. The Service Certificate is required to register a foal. Service Certificates will not be issued unless a Report of Mares Bred form is on file at The Jockey Club and until genetic or re-DNA typing of the stallion has been completed (see Rule 5).

- D. If the preprinted Service Certificates are lost, duplicate Service Certificates will be issued upon request of the stallion owner, lessee or authorized agent.

15. LIVE FOAL/NO FOAL REPORTS (MARE REPORTS)

- A. The breeding status of all Thoroughbred broodmares must be reported yearly to The Jockey Club by submitting a Live Foal/No Foal Report indicating either live foal information or no foal information. This report may also be submitted through Interactive Registration™ at *registry.jockeyclub.com*.
- B. In the case of a live foal, a fully completed and signed Live Foal Report should be submitted to The Jockey Club within 30 days after the birth of the foal as required in Rule 2.
- C. In the case of no foal to be registered, the breeder should submit to The Jockey Club a fully completed and signed No Foal Report within 30 days of the intended birth of the foal. If the mare was not bred submit the No Foal Report in January.

16. DEATH REPORTS

The death of a registered Thoroughbred, or foal for which registration is pending, should be reported to The Jockey Club Registry Office within 30 days after the death by submitting a completed Report of Deaths form, or through Interactive Registration™ at

registry.jockeyclub.com, and returning the Certificate of Foal Registration, if issued.

17. GELDING REPORTS

If a Colt or Horse has been gelded, the owner or authorized agent should promptly report that information to The Jockey Club Registry Office by submitting a completed Gelding Report or by furnishing the information through Interactive Registration™ at *registry.jockeyclub.com*. Additionally, The Jockey Club will accept gelding reports from a racetrack recognized by The Jockey Club.

18. SOLD WITHOUT PEDIGREE

- A. Any owner who desires a horse no longer to be considered a Thoroughbred for racing or breeding purposes must promptly surrender the Certificate of Foal Registration to The Jockey Club within 60 days after the date of sale with an accompanying notation that the horse was transferred or sold “without pedigree.” The notation must be signed by the owner or authorized agent and indicate the date of disposition. In the event the owner or authorized agent surrenders the Certificate of Foal Registration to The Jockey Club in the above manner more than 60 days after the date of transfer or sale, then the new owner or transferee must also submit a statement that the horse was purchased or received without pedigree.
- B. Upon receipt in The Jockey Club Registry Office, the respective Certificate of Foal Registration will be cancelled. Once the registration is cancelled, the horse cannot be reinstated into the registry, and a Duplicate Certificate of Foal Registration will not be issued.
- C. Notations upon a Certificate of Foal Registration which do not clearly indicate transferred or sold without pedigree, including notations such as “not to be raced,” shall not result in cancellation of the Certificate of Foal Registration. Such notations could be regarded as defacing the Certificate of Foal Registration. Submission to The Jockey Club of any

such defaced Certificate of Foal Registration may cause a Corrected Certificate of Foal Registration to be issued.

19. DECEPTIVE PRACTICES

- A. Any person or entity (collectively "Person") may be denied any or all of the privileges of *The American Stud Book* in the event:
1. That Person either knowingly misrepresents or aids or abets the misrepresentation of the identity, name, age, appearance, pedigree, genetic type, eligibility for registration or any other information in, or in connection with, any communication to The Jockey Club;
 2. That Person steals, counterfeits, forges or alters a certificate or document issued by The Jockey Club or knowingly receives a stolen, counterfeited, forged or altered certificate or document issued by The Jockey Club;
 3. That Person intentionally violates any of the Principal Rules and Requirements of *The American Stud Book*; or
 4. There is a final determination by a court (whether civil, criminal or administrative), an official tribunal or an official racing body that such Person: (a) knowingly misrepresented or aided or abetted the misrepresentation of a horse's identity, name, age, appearance, pedigree, genetic type or any other information in connection with either entry in a race or the racing of any horse; (b) knowingly misrepresented or aided or abetted the misrepresentation of a horse's eligibility for registration or any other matter related to *The American Stud Book*; (c) stole, counterfeited, forged or altered a certificate or document issued by The Jockey Club or knowingly received a stolen, counterfeited, forged or altered certificate or document issued by The Jockey Club; or (d) killed, abandoned, mistreated, neglected or abused, or otherwise committed an act of cruelty to a horse.

B. In the event the Registrar has a reasonable basis upon which to conclude that any of the circumstances identified in subparagraphs (1) through (4) above may apply, the Registrar shall notify such Person in writing (the "Rule 19 Notification"): (i) of the specific subpart(s) of this rule which apply; (ii) of the basis upon which the Registrar believes that the subparts apply; (iii) of the Registrar's proposed action; and (iv) that the Person has the right, within 30 days following the date that Person receives the Rule 19 Notification, either to submit to the Board of Stewards of The Jockey Club ("Stewards") written information to be considered in their determination of the matter or to request a hearing by submitting to the Stewards a written request for a hearing, briefly stating the reasons why that Person asserts that this rule does not apply and/or that the proposed action is not appropriate ("Rule 19 Hearing Request").

C. If a hearing is requested, a non-refundable administrative fee of one thousand dollars (\$1,000.00) must be submitted with the Rule 19 Hearing Request.

If no hearing is requested, then all information submitted by the Registrar and the Person shall be considered by the Stewards at their next meeting, at which time the Stewards shall make a final determination as to whether to deny the Person any or all of the privileges of *The American Stud Book* and the nature and extent of any such denial. The Stewards' determination shall be promptly reduced to writing, stating the decision made and briefly stating the reasons for such decision, and delivered to the Person (and his counsel, if any) and to the Registrar.

If a hearing is requested, then all further proceedings shall be conducted in accordance with the procedures set forth in Rule 20(C).

D. Any Person who receives a Rule 19 Notification may request an expedited determination by submitting a written request to the Stewards with a detailed explanation as to why an expedited determination is warranted.

The authority of the Stewards under this rule and of any Hearing Officer appointed under Rule 20 to hear a matter pursuant to a Rule 19 Hearing Request shall be limited to considering (i) whether a denial of any or all of the privileges of *The American Stud Book* is warranted under the criteria in this rule and (ii) the nature and extent of any denial of those privileges. Any determination of the Stewards made pursuant to this Rule 19 shall be final.

20. APPEALS AND HEARINGS

- A. Any person or entity ("Person") wishing to object to any action or decision of the Registrar or other officer of The Jockey Club (collectively "Registrar/Officer") (other than Rule 19 Notifications and Rule 19 final determinations) in the application of the Rules to such Person or to such Person's horse(s), may, within 30 days after being advised of such action or decision, submit to the Board of Stewards of The Jockey Club ("Stewards") a written statement ("Statement") including:
1. The specific nature and basis for objecting to the action or decision of the Registrar/Officer;
 2. A brief statement of the facts and any documents, affidavits or other written material which that Person believes will be helpful in considering the matter; and
 3. If a hearing is desired, a specific request for a hearing.

If a hearing is requested, a non-refundable administrative fee of one thousand dollars (\$1,000.00) must be submitted with the Statement.

- B. If no hearing is requested, then all information submitted by the Person and the Registrar shall be considered by the Stewards at their next meeting after receipt of the Statement, at which time the Stewards shall make a final determination. That determination shall be promptly reduced to writing, stating the decision made and briefly stating the reasons for such decision, and delivered to the Person (and his counsel, if any) and the Registrar/Officer.

- C. If a hearing is requested under either Rule 20(A) or Rule 19, then, within 10 days after receiving the Statement or the Rule 19 Hearing Request, whichever applies, the designee of the Chairman of the Stewards shall provide written notice to the Person of the name, address and telephone number of the individual Steward or independent hearing officer (collectively "Hearing Officer") appointed to hear the matter.

Within 15 days after the date of the appointment of the Hearing Officer, the Hearing Officer shall conduct a telephonic prehearing conference for the purpose of ruling on preliminary matters, clarifying and narrowing the issues, entering into stipulations, scheduling the hearing and considering other issues as may aid in the disposition of the matter. The final hearing shall be scheduled no less than 15 and no more than 30 days after the date of the prehearing conference unless the parties otherwise agree. All hearings shall take place at the offices of The Jockey Club, 821 Corporate Drive, Lexington, Kentucky 40503.

Any Person requesting a hearing may appear personally, if such Person is an individual, or with counsel authorized to act on such Person's behalf, and may present witnesses and other evidence. The Registrar/Officer of The Jockey Club may appear with counsel and may testify and present witnesses and other evidence. Any other person having an interest in the subject matter may appear at the hearing if the Hearing Officer determines that such person might materially assist in the determination of the matter.

All testimony at the hearing shall be under oath and stenographically recorded. The Hearing Officer shall not be bound by technical rules of evidence and may receive any evidence which he considers to be reliable and relevant, if not unduly repetitious, including testimony which would be hearsay if presented in a court of law.

The Hearing Officer shall, within 45 days after the close of the hearing, submit written factual findings and recommendations to the Stewards and provide a

copy of those findings and recommendations to the Person (and his counsel, if any) and to counsel for the Registrar/Officer. The Stewards shall, no later than the next meeting of the Stewards after the findings and recommendations are made, make a final determination of the matter. The Stewards may accept or reject the findings and/or recommendations in whole or in part. The determination of the Stewards shall then be promptly reduced to writing, stating the decision made and briefly stating the reasons for such decision, and delivered to the Person (and his counsel, if any) and to counsel for the Registrar/Officer.

A Person who has requested a hearing may subsequently waive the right to a hearing by submitting to the Hearing Officer a written statement waiving the right to hearing, in which case, the matter shall proceed under Rule 20(B) or Rule 19, whichever applies, as if no hearing had been requested. Any requests for postponement of a scheduled hearing must be made in writing showing good cause why the postponement should be granted and must actually be received by the Hearing Officer at least 3 business days prior to the scheduled date of the hearing, absent extreme exigent circumstances.

If a Person requests a hearing but fails to appear on the scheduled date, the matter shall proceed under Rule 20(B) or Rule 19, whichever applies, as if no hearing had been requested.

- D. Any person submitting a Statement under this rule may request an expedited determination by submitting a written request to the Stewards with a detailed explanation as to why an expedited determination is warranted.

The authority of the Stewards and any Hearing Officer appointed to hear any matter initiated under Rule 20(A) shall be limited to considering whether the Registrar/Officer acted in accordance with the Principal Rules and Requirements of *The American Stud Book* and any applicable policies of The Jockey Club. Any determination of the Stewards made pursuant to this Rule 20 shall be final.

21. GENERAL RULES

- A. Owners, breeders and authorized agents are responsible for being familiar with the Principal Rules and Requirements of *The American Stud Book*. Amendments and new rules are available on The Jockey Club web site at *jockeyclub.com*.
- B. Notwithstanding any other provisions in these Rules, it is the responsibility of each applicant to obtain from The Jockey Club all necessary forms and to submit all completed forms and other requirements by the applicable deadlines.
- C. Certificates of Foal Registration are issued on the basis of information submitted to The Jockey Club by the applicant and are subject to revocation and cancellation if further information is received by The Jockey Club indicating improper or erroneous issuance. In the event of cancellation or revocation of a Certificate of Foal Registration, that Certificate must be promptly returned to The Jockey Club Registry Office.
- D. For the purpose of determining whether a deadline has been met, any document or other material submitted to The Jockey Club shall be deemed to have been submitted to and/or received by The Jockey Club only upon: (i) actual receipt in the appropriate office of The Jockey Club; or (ii) if transmitted by United States Mail or other recognized mail carrier, the date such carrier received the material from the sender if that date is noted by the carrier on the outside of the container.
- E. Any notices or other material sent by The Jockey Club to any person, including any owner or authorized agent, shall be mailed to the last known address on file with The Jockey Club for the horse which is the subject of the notice or other material regardless of whether the same person has other addresses on file with The Jockey Club for other horses. Change of Address Forms are available from The Jockey Club and may be submitted by the horse owner or authorized agent to notify The Jockey Club of a change of address

for mailing notices or other material for any specified horse(s).

- F. Notwithstanding any other provisions in these rules, The Jockey Club may require any party(ies) who requests action or inaction from The Jockey Club arising out of or relating to a dispute or controversy with a third party(ies) to settle that dispute in a court of competent jurisdiction and The Jockey Club may defer a decision concerning the matter pending resolution of the dispute as aforesaid. The Jockey Club shall have no obligation to any party arising out of any decision to defer action or to take action under any provision of these Rules.
- G. The Jockey Club may decline to process any material received from an owner or breeder not in good standing with The Jockey Club. An owner or breeder will be considered not in good standing if the owner or breeder has any outstanding fees owed to The Jockey Club for any horse including, but not limited to, fees related to registration, genetic typing, naming, imports, exports, duplicates or corrections.
- H. Subject to the rules requiring payment of late fees, all fees are due at the time of the submittal of the applicable form or request to The Jockey Club. The Fee Schedule sets forth each submittal to The Jockey Club for which there is a fee and the amount of each fee. In the event any person fails to pay a fee owed to The Jockey Club, then The Jockey Club shall apply any payment subsequently received from that person to the outstanding fees owed by that person to The Jockey Club.
- I. The Jockey Club may require any party who requests action (or inaction) from The Jockey Club or who submits information to The Jockey Club in connection with the processes and functions of The Jockey Club to provide such evidence and further assurances as The Jockey Club may reasonably require, and may also require any such party to make the horse(s) involved available for inspection.
- J. The term "Principal Rules and Requirements of The American Stud Book" includes Sections I through VII.

Section VI DEADLINES

Report of Mares Bred (Stallion Reports):

This report should be filed by August 1 of the breeding year.

Live Foal/No Foal Report (Mare Reports)

1. Reporting live foal information

This report should be filed no later than 30 days after the foaling date.

2. Reporting no foal information

This report should be filed no later than 30 days after the intended foaling date or in January if the mare was not bred.

Foal Registration:

All requirements must be completed by one year from the foaling date, including genetic typing, to avoid paying an additional fee.

Death:

Should be reported within 30 days after the death.

Export:

All requirements must be met within 60 days after the horse's departure to avoid paying an additional fee.

Foreign Registration:

All requirements must be met within 60 days after the horse's arrival to avoid paying an additional fee.

Geldings:

Should be reported immediately.

Naming:

All foals must be named by February 1 of the two-year-old year to avoid paying a fee.

Sold Without Pedigree:

Should be reported within 60 days after the date of the sale.

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Violation of Rules	V	19 (A)	30
Web Site			2, 4, 12, 14,16,19, 23, 25, 27, 28, 29, 35

