



# **Rules of the Australian Stud Book**

Updated 13 July 2016

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## The Australian Stud Book

The term "Australian Stud Book" refers both to the officially published records of Thoroughbred bloodlines in Australia and to the Division of Racing Australia Pty Ltd (RA) which is responsible for the maintenance, accuracy, quality and integrity of those records. From 13 April 2015, the Australian Stud Book is a Division of Racing Australia Pty Ltd.

### Mission Statement

The mission of the Australian Stud Book\*\* is to ensure the integrity of Thoroughbred breeding in Australia.

### Goals

1. Ensure the true parentage of all Thoroughbreds born in, or imported into, Australia
2. Record and publish the breeding lines of the Thoroughbred in Australia to international standards in accordance with its obligations under the International Agreement on Breeding, Racing and Wagering
3. Provide industry population, breeding statistics and trends for national and international use
4. Develop proposals and make recommendations to the Board of Racing Australia on how technology can be applied and managed to best benefit the breed, ensuring proven technological advances can be rapidly utilised
5. Maintain staff development to ensure the highest standards of service to the industry and public
6. In accomplishing its mission the Australian Stud Book must be run on sound business principles, funding its own operational and development costs from income.

#### **\*\*DEFINITIONS**

- The words **Australian Stud Book** mean the Division of Racing Australia Pty Ltd (RA)
- The word **Thoroughbred** includes non-Thoroughbreds eligible to race as Thoroughbreds under the Australian Rules of Racing

## International Status

The Australian Stud Book is approved by the International Stud Book Committee.

The Australian Stud Book is a founding member of the International Stud Book Committee, comprising nine world stud book authorities, which has met annually since 1976.

The purpose of the International Stud Book Committee is to establish standards of Stud Book operation that will ensure the integrity and future development of the Thoroughbred breed and provide the foundation necessary for a healthy international Thoroughbred industry. To retain this status the Australian Stud Book must:-

- Comply with the terms of Article 12 of the International Agreement on Breeding, Racing and Wagering concerning 'the Definition of a Thoroughbred'.
- Provide the public, the breeders and other stud book authorities with up to date, timely and accurate breeding and foaling records by the most appropriate methods available.
- Develop and maintain systems for recording Thoroughbred and non-Thoroughbred breeding.
- Maintain a system to world standards, for verifying the parentage of all foals through an internationally approved laboratory.
- Manage the Stud Book, exercising a reasonable degree of independence from breeder organisations.
- Ensure that all horses entered in the Australian Stud Book can be traced back to horses appearing prior to 1980 in a Stud Book that is approved by the International Stud Book Committee.

The Australian Stud Book, New Zealand Stud Book, South African Stud Book and Hong Kong Jockey Club are associate members of the Asian Stud Book Committee, which comprises fourteen approved stud book authorities of countries from Turkey to Japan. Associate status enables the authority to attend meetings of the Asian Stud Book Committee, provide advice and assistance, without voting rights.

The purpose of the Asian Stud Book Committee is to promote standardisation of racehorse registration, recording of breeding and horse identification in order to contribute toward facilitating the international interchange of horses, and to the development of horse racing.

## Definitions

### General Stud Book Definitions

<b>Australian Non-Thoroughbred Register</b>	That part of the official records containing the breeding lines of horses of predominantly Thoroughbred bloodlines which are not eligible for the Stud Book but which are eligible for Thoroughbred races in Australia. (This register was previously known as the Non-Stud Book Register). See page 15 for further information
<b>Australian Stud Book</b>	The name refers to either <ul style="list-style-type: none"> <li>▪ The officially published records of Thoroughbred bloodlines in Australia; or</li> <li>▪ The Division of Racing Australia Pty Ltd (RA) which is responsible for the maintenance, accuracy, quality and integrity of those records</li> </ul>
<b>Board of Directors</b>	Means the Board of Directors of Racing Australia Pty Ltd
<b>Fee</b>	Means the amounts quoted in the fee schedules produced by the Australian Stud Book. A standard fee refers to fees required for documentation submitted before or on the declared lodgement date. A late fee refers to fees required for documentation submitted after the declared lodgement date
<b>Keeper of the Stud Book</b>	The manager of the Australian Stud Book
<b>Official Records</b>	Includes the Australian Stud Book, the Australian Non-Thoroughbred Register and all the printed and electronic records that support them
<b>Person</b>	Includes any company, or corporation, or unincorporated body or firm, or partnership, or syndicate
<b>Registered</b>	In relation to a horse means that the horse has been named and accepted under that name by the Registrar of Racehorses to compete under the rules of racing. <i>To be registered a horse must, under Australian Rule of Racing 15A, be first accepted into the Australian Stud Book or Australian Non-Thoroughbred Register</i>
<b>Stewards</b>	<i>Means the persons appointed as such in accordance with the Local Rules of a Principal Racing Authority and includes Deputy Stewards duly appointed.</i>

In the interpretation of this document, wherever the context so permits, the singular shall include the plural and the masculine gender shall include the feminine gender.

**Definitions Used for Describing Age**

<b>2 Year Old</b>	A 2 year old is a horse that is in its third official year of life
<b>3 Year Old</b>	A 3 year old is a horse that is in its fourth official year of life
<b>Aged Horse</b>	An aged horse is a horse that is in its eighth official year of life or is older ( i.e. it is 7 years old or older)
<b>Foal</b>	A foal is a horse in its first official year of life
<b>Official Age</b>	<p>The official age of a horse is reckoned from the first day of August next after its birth, when it becomes a yearling (i.e. it is one year old and commences its second official year of life). However there are two exceptions: -</p> <ul style="list-style-type: none"> <li>i. A horse 31 days old or less on 1 August will not be required to become a yearling on that day, <b>provided the Australian Stud Book is satisfied it was born to a mare whose first covering in Australia was restricted to the official covering season, 1 September to 31 May</b>. It will increase its age by one year each 1 August thereafter;</li> <li>ii. A horse born on or after 1 August to a mare whose first covering in Australia was in June, July or August, (i.e. was not restricted to the official covering season), will be deemed to be one year old (i.e. become a yearling) on the day it was born. The horse will become a two year old on 1 August, which follows one month after the end of the foaling season in which it was born. It will increase its age by one year each 1 August thereafter.</li> </ul>
<b>Weanling</b>	A weanling is a term applied to a foal no longer suckling its dam
<b>Yearling</b>	A yearling is a horse in its second official year of life (i.e. it is one year old)

**Limitations due to age**

A horse that is three years old or older when its dam's late mare return is lodged, declaring its birth, may not be accepted into the Australian Stud Book or Non-Thoroughbred Register.

A mare born before 1992 must be re-identified, re-sampled and/or parentage verified by DNA typing, before the Stud Book can accept her first mare return.

**Official Racing and Breeding Seasons in Australia**

in this chart indicates the 1 August horse's official birthday

July	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	July	Aug
		Racing Season (1 August to 31 July)											
		Covering Season (1 September to 31 May)											
		Foaling Season (1 July to 30 June)											

## General Horse Related Definitions

<b>Agent</b>	A person authorised by owners or breeders to lodge Stud Book returns on their behalf. The agent must use the contact breeder's identification number and address details
<b>Australian Identification Number</b>	This number was issued to all horses born prior to 1997 in the Southern Hemisphere and 1998 in the Northern Hemisphere. It is a 7 digit number which appears on the horse's Document of Description (or passport). The Australian identification number was replaced by the Life Number (see below) in 1997 in order to align identification numbers with the rest of the world
<b>Brands Register</b>	The Australian Stud Book database of all registered Thoroughbred brands in Australia
<b>Brand Index Card and Brand Index Number</b>	<p>Once registered with the Stud Book, a Brand Index Card is issued to the brand owner, displaying the brand image, owner's name and Brand Index Number allocated to the brand registered</p> <p>The Brand Index Number allocated to the brand registered must be provided to the identifying veterinarian and entered on relevant forms</p>
<b>Bred</b>	A horse is bred at the place where it was born
<b>Breeder</b>	The person in charge of the mare or stallion and in whose name the return is lodged. A breeder is often the owner but need not be the owner. Up to six breeders can be recorded in the stud book records for each foal born
<b>Breeding Season</b>	<p><b>Covering Season</b> – a nine-month period extending from 1 September until 31 May next. It commences one month after the start of the racing season and ends two months before the end of the racing season. All coverings of a Thoroughbred mare by a stallion must be restricted to the official covering season if the owner wants the foal to be officially one year old on the 1 August that follows one month after the end of the foaling season</p> <p><b>Foaling Season</b> – the twelve-month period extending from 1 July until 30 June next. It commences one month before the start of the racing season and ends one month before the end of the racing season</p> <p>A foal born to a mare whose first covering by a stallion is restricted to the official covering season, will be officially aged one year old (a yearling) on the 1 August which follows one month after the end of the foaling season in which it was born (i.e. it will commence its second official year of life on that day)</p> <p>A foal born to a mare which was first covered by a stallion, at any time outside the official covering season, will be officially aged one year old on the day it was born and will become a two year old on the 1 August which follows one month after the end of the foaling season in which it was born (i.e. it will commence its third official year of life on that day)</p>
<b>Broodmare</b>	A female horse used to produce foals
<b>Co-breeders</b>	Are the breeders entered on the co-breeder section of a mare return. Co-breeders do not need an identification number. A co-breeder for one horse may be the contact breeder for another horse and carry a contact breeder number. That number must only be used when the breeder is acting as the contact breeder for a horse and never used when the breeder is listed as the co-breeder



<b>Colonial Family</b>	A female line in the stud books of Australia or New Zealand which traces back to a Colonial taproot mare. These families are accepted as Thoroughbreds by the International Stud Book Committee
<b>Colonial Taproot Mare</b>	A taproot mare in the stud books of Australia or New Zealand whose descendants have established a recognised female family line in Australia or New Zealand, but whose origins could not be traced and fully documented, in the early Colonial period, to a General Stud Book foaling reference. The General Stud Book is the Thoroughbred stud book of Great Britain and Ireland
<b>Colt</b>	An entire male horse under four years of age
<b>Contact Breeder</b>	The breeder who lodges the official Stud Book returns. The contact breeder's full initials, full address, phone number, fax number and email address must be recorded with the Stud Book. The contact breeder must obtain a contact breeder card, which has a unique identification number (the contact breeder number) and must use that number on all returns, all documents and all correspondence to the Stud Book. The contact breeder cards are issued by the Stud Book
<b>Contact Breeder Number</b>	Number (CBN) – identification number for contact breeders. See "Contact Breeder Card" below for more information
<b>Contact Breeder Card</b>	<p>A card issued to each contact breeder. It contains an identification number, the Contact Breeder Number, unique to that person. The contact breeder number will appear on all documents and pre-printed forms issued by the Stud Book to contact breeders. The contact breeder number must appear on all documentation and correspondence from the breeder to the Stud Book</p> <p>The contact breeder number when used with a password, enables the contact breeder to return mares and stallions to the Stud Book online, via the ASB website</p>
<b>Covering</b>	(The service) the natural act of a stallion mating with a mare
<b>Dam</b>	A female horse that has produced foals
<b>Entire</b>	Any male horse with both testicles in the scrotum
<b>Filly</b>	A female horse under four years of age
<b>Foaling Reference</b>	The volume number and page number of the stud book which records the birth of a horse under its dam's name. Foaling references will appear in abbreviated form 37:482 (volume: page) under the horse's name in official pedigrees
<b>Gelding</b>	A male horse with both testicles removed
<b>Hand covering</b>	Mares are brought to the stallion as they come into oestrus
<b>Horse</b>	<ul style="list-style-type: none"> <li>▪ A term used in a specific Stud Book sense for any entire male four years old or older</li> <li>▪ In its general everyday sense the term applies to any male or female of the equine species</li> </ul>
<b>Identification Numbers</b>	There are three official identification numbers used by the Stud Book, one for the contact breeder (CBN see above) and two for the horse (Life Number and Microchip Number)
<b>Life Number</b>	An 11 digit number which is applied to all horses born during the 1997 foaling season and beyond. Each Thoroughbred, regardless of where

	it is born in the world, carries a life number which is unique. This means that a horse which races overseas or across a national boundary, and changes names, will be more readily traceable by electronic means. Australian Thoroughbreds born before 1997 will carry the Australian identification number, those born after that date will carry the full life number
<b>Maiden</b>	A term that should, in the specific breeding sense, be used only for any filly or mare which has never been covered by a stallion
<b>Mare</b>	A female horse four years old or older
<b>Missed</b>	A term used to describe the status of a broodmare which was covered but which did not conceive
<b>Name</b>	An official name for a horse recognised by the Australian Stud Book
<b>Paddock covering</b>	Mares are run with the stallion
<b>Parentage</b>	The sire and the dam. Parentage is commonly referred to as the breeding
<b>Passport</b>	Provides the official identification and pedigree details of the horse. Is issued at the time the horse is parentage verified for all horses born before 2003
<b>Pedigree</b>	A table or tree diagram setting out the parents, grandparents and further back to a chosen number of generations. In official Australian Stud Book pedigrees, the entries for all horses include the suffix and the year of birth. This is different from the traditionally presented pedigree which includes suffixes only when horses stand at stud or race in a country other than the one where they were born
<b>Pregnancy</b>	A state of a female horse when: <ul style="list-style-type: none"> <li>▪ A mare does not show oestrus for a period of not less than sixty (60) days after being served and</li> <li>▪ Gives a positive reaction to a recognised biological test for conception applied after the 45th day from the last service, or</li> <li>▪ Positive signs of contraception are found by a veterinary surgeon on rectal and vaginal examinations carried out at least forty-five (45) days after the last service or on ultrasound examination carried out at least twenty-five (25) days after the last service</li> </ul>
<b>Racing Season</b>	A twelve-month period extending over two calendar years from 1 August to 31 July. The season commences with the horse's official birthday. This is the day when all racehorses add one year to their official age
<b>Rig</b>	A male horse that is a cryptorchid. A unilateral cryptorchid has one undescended testicle in the abdomen; the other testicle may be in the scrotum or it can be removed. A bilateral cryptorchid has two undescended testicles (Double Rig) <p><b>Note:</b> The term monorchid is sometimes applied to unilateral cryptorchids and sometimes applied to horses, which have one testicle in the scrotum and the second testicle removed. Strictly speaking, the term should be reserved for a horse that was born with only one testicle, which may be in the abdomen or the scrotum</p>
<b>Shuttle Stallion</b>	Any stallion that commutes between hemispheres to cover mares, but may not cover mares in both hemispheres every calendar year

<b>Sire</b>	A male horse that has produced foals
<b>Slipped</b>	The term used to describe the status of a mare when an abortion has been observed, or when the mare has been previously diagnosed as pregnant and is subsequently found to be not in foal
<b>Stallion</b>	A male horse used to produce foals
<b>Stud Book Return</b>	An official declaration from the breeder for a specific season
<b>Stud farm</b>	Any property where Thoroughbreds are bred and raised
<b>Studmaster</b>	The owner or manager of the stud farm
<b>Suffix</b>	The letters between brackets in a Thoroughbred's name which identifies its country of birth. The suffix is an integral part of such a horse's name and must always be included in all official documents and descriptions. Suffixes are assigned in accordance with the international code of suffixes. The suffix is normally not included as part of the name of Australian bred horses in official documentation used within Australia but must be included as part of the name of all imported horses
<b>Taproot Mare</b>	An imported mare which has a foaling reference in a Stud Book recognised by the International Stud Book Committee and whose descendants have established a recognised female family line in Australia or New Zealand

**IMPORTANT NOTE**

The Australian Stud Book records of 'breeders' and 'co-breeders' does not constitute a legal certificate of title or deed of ownership and should never be taken as such.

## Definitions Used to Classify Mares in the Official Records

### Categories Of Mares With Open Records (Returns can be accepted)

<b>Active broodmare</b>	<ol style="list-style-type: none"> <li>1 A mare for which a mare return has never been lodged but which has been listed on a stallion's Declaration of Service in at least one of the past two seasons; or</li> <li>2 A mare for which a mare return has been lodged in at least one of the past two seasons. A mare is automatically assigned to the active broodmare category immediately she is listed for the first time on a stallion's Declaration of Service</li> </ol>
<b>Not Bred</b>	<ol style="list-style-type: none"> <li>3 A mare which has never been listed on a stallion's Declaration of Service and for which a mare return has never been lodged. (The mare is a potential broodmare)</li> </ol>

### Categories Of Mares With Closed Records (Returns cannot be accepted)

<b>Dead</b>	<ol style="list-style-type: none"> <li>1 The owner or breeder has notified the Stud Book of the mare's death</li> </ol>
<b>Dropped Out</b>	<ol style="list-style-type: none"> <li>2 A mare which previously was an active broodmare but for which mare returns have not been lodged for two consecutive seasons. Her records can be re-opened by application to the Stud Book and payment of a special fee. All missing returns must be lodged with full late fees, and the Keeper of the Stud Book may require the mare to be re-DNA typed before opening her records</li> </ol>
<b>Retired</b>	<ol style="list-style-type: none"> <li>3 The owner or breeder has notified the Stud Book of the mare's retirement from breeding</li> </ol>
<b>Exported</b>	<ol style="list-style-type: none"> <li>4 Sent overseas with official Stud Book documentation and can be accepted into a recognised foreign Stud Book. Her records may be re-opened temporarily to enter the details of an Australian conceived, overseas born foal and to enter the name of that foal. If the broodmare returns to Australia her records will be re-opened permanently. The details of the foal must include the suffix of the country where it was born</li> </ol>

#### NOTE

Mares' records are categorised by their fate as advised by the breeder or assigned by the Stud Book (see above for the four fates). An active broodmare which is not returned to the official records for two consecutive foaling seasons is immediately assigned the fate "Dropped Out".

## Definitions Used to Describe Colour

<b>Bay</b>	The colour of the body coat may vary from a dull red brown to a yellow brown, approaching chestnut. The mane and tail are always black, as are the points, that is the lower parts of the legs, the muzzle and the tips of the ears
<b>Black</b>	Black hairs are general throughout the body coat, limbs, mane and tail. Hairs of other colours are not present but white hairs may be present as markings, flecking or ticking
<b>Brown</b>	Black hairs are general throughout the body coat, limbs, mane and tail, but brown hairs are present on the muzzle, the eyelids and often on the flanks. The descriptions "bay or brown" and "brown or black" are acceptable for horses which may be difficult to describe precisely
<b>Chestnut</b>	The colour of the body coat and limbs may vary from a light washy yellow, through golden and reddish shades to a dark liver. The mane and tail may be darker or lighter than the body coat, while the lighter coloured chestnuts can have a flaxen mane and tail
<b>Colour described by body coat</b>	Black, brown, chestnut and white horses are described according to the basic hair colour in their body coat
<b>Colour described by pattern</b>	Bay and grey horses are described according to the patterns formed by two or more of these four basic hair colours in their coat. (White hairs present as solid markings, or ticking or flecking do not affect the description of the colour and must be described separately)
<b>Grey</b>	The body coat consists of an uneven mixture of chestnut or brown or black hairs and white hairs. The horse's coat does not contain grey hair. The foal has coloured hair at birth but with increasing age white hairs replace the coloured hairs to produce an appearance of grey. The white hairs usually appear first on the face and eventually the whole coat can appear white. The transitional stages between the coloured coat and the white coat can be described as grey-chestnut, grey-bay, grey-brown or grey-black. The mane, tail and points of a young grey horse contain a higher proportion of coloured hairs than the body coat
<b>Non-Thoroughbred colours</b>	For Non-Thoroughbred horses in the official records, six additional colours (appaloosa, cream, dun, palomino, pied and roan) are recognised
<b>Roan</b>	Genes for the true roan are not present in the Australian Stud Book Thoroughbred. Imported Thoroughbreds described elsewhere as roans have been either transitional greys or simply had extensive evenly dispersed white hairs or ticking
<b>White</b>	This colour is not well defined in the Thoroughbred and is very rare. The foals are born white, or predominantly white. Coloured hairs may be present on the poll, ears, or the tail. Tufts or patches of coloured hair may be present on the body. Some white horses have blue eyes

## Definitions Used in the Parentage Verification Process

<b>Approved Laboratory</b>	A laboratory approved by the International Stud Book Committee (ISBC) to carry out equine bloodtyping and equine DNA typing in Thoroughbreds. The approved laboratory must participate in the ISBC/International Society for Animal Genetics (ISAG) Thoroughbred Standardisation Test to maintain its approval
<b>Approved Veterinarian</b>	A veterinarian approved by the Australian Stud Book to obtain samples and describe Thoroughbreds to enable breeders to meet Stud Book requirements
<b>Anomaly</b>	Means that the initial laboratory test has detected an irregularity in the parentage of the horse. A second batch of samples is then collected from the horse, its dam and occasionally its sire
<b>Bloodtyped</b>	Means that a horse's blood groups and blood proteins have been analysed in a way to enable them to be checked against another horse's bloodtype
<b>Certification of Paternity</b>	Means that the stallion proprietor or studmaster has certified the stallion which is the sire of the horse to the Stud Book
<b>DNA Tested</b>	Means DNA technology has been applied to demonstrate variations in the DNA structure of genes. The DNA components of the genes are the templates for the development of a new horse and the variations detected by DNA testing are highly heritable
<b>Exclusion</b>	Processing of the second batch of samples has confirmed that the horse can be excluded as being the progeny of its purported dam, its sire or both
<b>Parentage Verified</b>	Means that the horse's bloodtype or DNA type has been tested against its sire's and its dam's types and the horse cannot be excluded as being the progeny of those two animals. All horses born after 1994 are provided with a passport or Foal Identification Card at the time they are parentage verified
<b>Paternity Tested</b>	Means that the horse's type has been tested against its sire's type only and the horse cannot be excluded as being the progeny of that sire. Horses cannot be accepted into the Australian Stud Book or Non-Thoroughbred Register on the basis of a paternity test alone
<b>Sampled</b>	Means only that a blood sample, or a hair sample for DNA, has been collected by an Australian Stud Book approved veterinarian from the horse (usually at time of identification). The horse is not blood or DNA typed until the sample is processed at an approved laboratory

## Eligibility Based on Pedigree and Origins

The Australian Stud Book, together with the Australian Non-Thoroughbred Register, contains the official parentage, pedigree and identification records of all racehorse foals born in Australia. Under Australian Rule of Racing 15A, a horse cannot be registered for racing until it has been accepted in the Australian Stud Book, or the Stud Book of a recognised turf authority, or the Australian Non-Thoroughbred Register, or the Non-Thoroughbred Register of a recognised turf authority.

## Eligibility to the Australian Stud Book

For a horse or mare to be eligible to apply for admission to the Australian Stud Book it must have been recorded previously in:

- the Australian Stud Book (as a foaling record under its dam), or
- a foreign Stud Book recognised by the Australian Stud Book and be the product of a mating between a sire and dam both registered prior to 1st January 1980 in a Stud Book approved by the International Stud Book Committee, or trace in all lines of its pedigree to horses so registered, or
- the Australian Non-Thoroughbred Register from where it can be promoted to Stud Book status by the Australian Stud Book, subject to conditions set out below and in the next section.

A horse must be in the Australian Stud Book to be accepted as a Thoroughbred internationally.

## The Australian Non-Thoroughbred Register

The Australian Non-Thoroughbred Register (until 1997 was known as the Non-Stud Book Register) records the breeding history of racehorses, which are not eligible for the Australian Stud Book. There are two categories of racehorses in the Non-Thoroughbred Register.

1. Some horses go back to Thoroughbreds in all branches of their pedigree but are not in the Australian Stud Book, because of "administrative reasons". Usually one of their forebears was not returned to the Stud Book because the owners would not, or could not, pay the Stud Book fees for the returns. This occurred frequently during one of the major droughts and during the great depression of the 1930's. Such horses could still be registered as racehorses provided they were branded, cleared by the Stud Book and their owner lodged a certificate of service and a certificate of identification. This administrative practice ceased in the late 1970's. (Until 1997 these horses were referred to as non-Stud Book horses).

Horses in this category can be promoted to the Stud Book by the Australian Stud Book.

2. Horses which do not go back to a Thoroughbred in all branches of their pedigree. They have as an ancestor a station mare or stallion, an unidentified mare or stallion or a quarter horse mare or stallion in at least one branch of their pedigree. Included in this category are Thoroughbreds which were relegated from the Stud Book because, in the course of retrospective parentage verification testing they were found to have false parentage.

Under international rules horses in this category can only be promoted to the Stud Book if there are eight consecutive crosses of Thoroughbreds between them and the "flawed ancestor", and they can only be promoted by the unanimous decision of the International Stud Book Committee. (See the next section, page 16).

## Eligibility Based on Performance and Promotion

A horse entered as a foal in the Australian Non-Thoroughbred Register may be eligible for promotion to Australian Stud Book status.

Horses in the register which go back in all branches of their pedigree to a Thoroughbred in an approved stud book may be promoted to the Australian Stud Book, once the horse meets the required standard of performance.

The Australian Stud Book, with the unanimous agreement of the International Stud Book Committee, may promote to the Australian Stud Book a horse, which goes back to a non-Thoroughbred ancestor in one branch only of its pedigree, provided that it has eight verified consecutive recorded Thoroughbred crosses after the flawed ancestor. The horse under consideration must meet the required standard of performance.

The Australian Stud Book, with the unanimous agreement of the International Stud Book Committee, may also classify a live Thoroughbred mare as a "vehicle mare" if it has seven verified consecutive Thoroughbred crosses and a high standard of racing performance. Existing and future produce of the mating of a "vehicle mare" with a stud book stallion are eligible for acceptance into the Australian Stud Book. Produce foaled before the mare was classified as a vehicle mare must have been accepted into the Australian Non-Thoroughbred Register.

### Promotion of Colts and Stallions

If the candidate for promotion is a colt or stallion, its own racing performance must meet these criteria:

- Four wins in open company, including two year old or three year old open company on a metropolitan racetrack in a mainland state capital:
- plus
- (a) One win in a listed or Group race on any racecourse in Australia or,
  - (b) A placing in a Group one or Group two race.

### Promotion of Fillies and Mares

If the candidate for promotion is a filly or mare either she, or one of her immediate non-Thoroughbred relatives, must have a racing performance which meets the criteria above. The only immediate relatives which can be considered are:

- (i) The grand-dam and her progeny,
- (ii) The dam and her progeny and
- (iii) The candidate and its progeny

Although the above pedigree conditions apply, the Australian Stud Book reserve the right to determine which horses, at any time, can be included or excluded or removed from the Australian Stud Book and the Australian Non-Thoroughbred Register.

## Eligibility Based on Identification and Parentage Verification

All horses must be accurately identified before they are accepted into the Stud Book official records. The benchmarks of the identification process are the description of the natural features of the horse, the freeze brand and the bloodtype or DNA type. All horses can be checked against these three benchmarks throughout their life to verify their identity.

Weanlings, yearlings and imported horses must have freeze brands clearly visible as permanent white hair markings at the time they are sampled and have an identification certificate prepared by a Stud Book approved veterinarian.



All horses must be parentage verified before they are eligible for acceptance into the Stud Book official records. From 2013, the Stud Book will not commence parentage verification of a live foal until the Stud Book receives a Certification of Paternity.

## Eligibility Based on Prompt and Accurate Reporting

Breeders are required each year to accurately and promptly lodge official returns which detail the intention to use stallions, their record of coverings and the outcome of the covering of each mare. The fee structure has been established to encourage prompt lodgement of these returns.

For produce to be eligible for the Australian Stud Book or Non-Thoroughbred Register, the official records must contain five official documents recording the activities of their sire and their dam. These documents are:

<b>Stallion Return</b>	Lodged with the Stud Book before the start of the season for each stallion, which will be covering mares
<b>Declaration of Pre Covering Season Activity</b>	Lodged with the Stud Book for each stallion listing details of any coverings, and the names of all mares covered, by the stallion in June, July and August
<b>Declaration of Service</b>	Lodged with the Stud Book for each stallion, listing all mares covered by the stallion
<b>Certification of Paternity</b>	Lodged with the Stud Book by the stallion proprietor or studmaster certifying the stallion which is the sire of the horse
<b>Mare Return</b>	Lodged with the Stud Book for each mare declaring (a) the outcome of the mare's covering by a stallion, or (b) the decision not to have the mare covered

### NOTE

A mare is said to be returned to the Stud Book when her mare return for that season is accepted. The listing of a mare on a previous season's stallion Declaration of Service does not constitute a return for the mare

## Non Eligibility Resulting From Artificial Breeding

A horse will not be eligible for the Stud Book or Non-Thoroughbred Register if it is produced:-

- By any form of artificial breeding,
- or**
- From a natural covering of a mare by a stallion which in that same covering season was being bred to other mares by artificial insemination (i.e. was a semen donor).

A horse may not be eligible for the Stud Book or Non-Thoroughbred Register if it is produced by a mare which was:-

- The subject of any artificial breeding procedure within 385 days before the birth of such produce.

## General Rules, Terms and Conditions

- i. Any person taking part in any matter coming within these Rules, Terms and Conditions and other requirements specified, or returning any information to the Keeper of the Stud Book agrees to be bound by these Rules, Terms and Conditions and requirements herein set out, and such other requirements as may be required from time to time by the Keeper of the Stud Book;
  - acknowledges that the Australian Stud Book has jurisdiction to enforce the Rules, Terms, Conditions and requirements contained herein and to delegate this jurisdiction to the Keeper of the Stud Book;
  - acknowledges that the Keeper of the Stud Book is entitled to not deal with any person who, in his/her opinion, is untrustworthy or whose conduct breaches or prejudices the standards of trust, reliability, accuracy and honesty required by the Keeper;
  - agrees for each horse owned or leased by them or in which they have another beneficial interest agrees to be bound by the Rules of Racing and the Local Rules, Regulations, By-laws and Conditions of the Principal Racing Authority in which State or Territory they reside or in which they carry on the breeding of Thoroughbred horses and that the relevant Principal Racing Authority has the jurisdiction to enforce those rules.
- ii. The Australian Stud Book reserves itself, and the Keeper of the Stud Book, the right to:
  - decide what shall, or shall not, be included in the Australian Stud Book or Australian Non-Thoroughbred Register and to reject any horses;
  - reject any return which has already been accepted for inclusion in the Australian Stud Book or in the Australian Non-Thoroughbred Register;
  - alter, cancel or waive without notice any or all of the procedures outlined herein.
- iii. Any decision of the Keeper of the Stud Book shall be subject to appeal to the Chief Executive Officer of Racing Australia or the Board of Racing Australia, within 14 days of the communication of the decision of the Keeper to the breeder or person concerned.
- iv. Breeders are required to lodge returns in accordance with the directions given herein.
- v. Every breeder making a return thereby undertakes to produce the stallion, the mare and her foals for inspection and examination, if and when required, by either the Australian Stud Book, the Keeper of the Stud Book or their authorised agent or the Stewards.
- vi. The payment of any fee due on a return is the responsibility of the breeder who lodged that return. A return will not be considered unless it is accompanied by the required fee.
- vii. The Australian Stud Book reserves the right from time to time to adjust the fees for returns to the Australian Stud Book without further notice.
- viii. Any return under these rules may not be accepted from a breeder unless that breeder has obtained from the owner of the broodmare written approval to submit such return on behalf of the owner.
- ix. A foal is only eligible for inclusion in the Australian Stud Book or the Australian Non-Thoroughbred Register if it is the product of a natural service, which is the physical

mounting of a mare by a stallion, and unless a natural gestation takes place in and delivery is from the body of the mare in which the foal is conceived.

1. This natural service may include the immediate reinforcement of the stallion's service by using residual semen ejaculated by the stallion while it penetrated that mare during that service of that same mare;
  2. No semen obtained from a stallion by any artificial means may be used to reinforce a service;
  3. The reinforcement of service must be immediately after the natural covering and the semen must not be processed or altered in any way before it is used for reinforcement;
  4. The intention to use immediate reinforcement of a stallion's service should be notified in advance to the Keeper of the Australian Stud Book (see below);
  5. The names of the stallions and mares covered, the Stud Book approved veterinarian supervising the protocols, the persons witnessing or assisting the reinforcement and the date of such reinforcement must be certified to the Keeper within forty-eight hours after that reinforcement occurred.
- x. A foal born in 2003 and onwards is only eligible for inclusion in the Australian Stud Book or Australian Non-Thoroughbred Register if it has been microchipped and parentage verified.
  - xi. A foal born in 2014 and onwards is only eligible for parentage verification if the Australian Stud Book has received a Certification of Paternity from the stallion proprietor or studmaster.
  - xii. The products of artificial breeding are not eligible for inclusion in the Australian Stud Book or the Australian Non-Thoroughbred Register and consequently are not eligible to be registered under the Australian Rules of Racing.
  - xiii. Modification of the heritable genome of a prospective or registered Thoroughbred, during its conception, gestation or at any stage thereafter in its existence, will result in that horse forfeiting its status as a Thoroughbred.
  - xiv. Breeders, stallion proprietors or studmasters are required to provide access to a stud book representative appointed by the Australian Stud Book to enable that representative to check any or all coverings by a stallion at any time during the covering season. The representative will be authorised to:-
    - Examine all breeding and identification records (electronic or hard copy) held by the stud or its central organisation;
    - Be present and witness all coverings by any stallion on the property;
    - Monitor all preparations for covering and all post covering activities related to the semen produced during that covering;
    - Be present and witness the collection of any semen samples for quality testing or disease testing.
  - xv. The Australian Stud Book may not accept a foal born within 385 days from the date its dam was last the subject of any artificial breeding technique.
  - xvi. A stallion or mare will be entered in the Australian Stud Book or in the Australian Non-Thoroughbred Register only if its name has been approved and registered in Australia. However, a Thoroughbred named overseas and imported solely for stud duties will be entered into the Stud Book without being registered as a racehorse.
  - xvii. Once an Australian bred mare or stallion has been returned to the Stud Book or Non-Thoroughbred Register, its name may not be changed. A mare or stallion born and named overseas and imported into Australia must use its overseas name

in all returns to the Stud Book. This applies to those mares and stallions which were renamed in Australia and registered as racehorses in Australia using that rename.

- xviii. The person in charge of a stallion is required to transfer the passport or Thoroughbred Identification Card to the breeder responsible for each mare covered by that stallion, at the time the mare leaves the property.
- xix. Breeders are required to maintain their own permanent stud records and to produce them for inspection by the Board of Directors, or the Keeper of the Stud Book, or their authorised representative on request.
- xx. Racing Australia and its authorised employees, agents and representatives shall not be liable for any loss or damage sustained by any person, firm or company as a result of, or in any way (directly or indirectly) arising out of the exercise of any right, privilege, power, duty or discretion conferred or imposed, or bona fide believed to have been conferred or imposed, by the rules, terms and conditions and the other requirements and procedures specified herein.

## The Return Process

Breeders responsible for a stallion are required to:-

- 1) Ensure every stallion is DNA typed and named;
- 2) Lodge with the Stud Book for each stallion the Stallion Return and the Declaration of Service;
- 3) Check the identity and name of each mare against her Passport or Thoroughbred Identification Card before service to verify that they have examined the mare and are satisfied she is the mare described and to declare that the name of the mare, as spelt in the passport or Thoroughbred Identification Card, has been used on the Declaration of Service for the stallion;
- 4) If the mare has a passport (NOTE: all passports are being phased out) enter the covering details in it and ensure the passport is sent to the breeder when each mare leaves the stud;
- 5) Breeders responsible for a broodmare are required to:-
  - i. Hold a contact breeder card and to check that the correct contact breeder number is used in all correspondence to the Stud Book;
  - ii. Notify the Stud Book of any change of address of the contact breeder;
  - iii. Ensure that each mare has its correct co-breeders attached to it in the Stud Book records;
  - iv. Ensure every mare is DNA typed, named and has a passport or Thoroughbred Identification Card before she is sent to a stallion;
  - v. Lodge a Mare Return for each season the mare is at stud;
  - vi. Notify the Stud Book when a mare retires or dies

Breeders declare they have complied with all the rules of the Australian Stud Book when they lodge official documentation.

### 1. Stallion Return Requirements

- 1.1 Breeders who decide to use an entire as a sire must lodge a Stallion Return with the Stud Book by 30 June before the covering season in which that stallion is to be used.
- 1.2 The Stallion Return for a stallion, which has already covered mares overseas in the same calendar year, must be lodged with the Australian Stud Book no later than 30 July before the Australian covering season.
- 1.3 The person who uses an entire as a sire is responsible for lodging the Stallion Return and agreeing to the Memorandum of Understanding.
- 1.4 A Stallion Return will only be accepted for a stallion that has been accepted into the Australian Stud Book.
- 1.5 Stallion Returns received by 30 June before the covering season will be accepted with a standard fee; those received after 1 July may be accepted with a late fee. Stallion Returns can be accepted only if accompanied by the appropriate fee.
- 1.6 Stallion Returns lodged later than 13 months after the date referred to in 1.1 may not be accepted and any produce of that stallion conceived in that covering season may not be eligible for the Stud Book or Non-Thoroughbred Register.

- 1.7 Breeders who intend to run their stallions with the mares must declare their intention to paddock serve the mares on the Stallion Return.
- 1.8 A breeder who returns a stallion to the Australian Stud Book thereby declares, agrees and undertakes that the semen of any Australian resident stallion returned by him will not be used for any form of artificial breeding.
- 1.9 Breeders who return a stallion to the Australian Stud Book agree to a Memorandum of Understanding stating:-
- 1.9.1 that they understand that any produce of a mare first covered in June, July or August will be deemed to be one year old from the day it was born, regardless of when it was born;
- 1.9.2 they will fully explain the details of this rule (as in 1.9.1 above) to any mare owner who requests a covering in June, July or August (that is, outside the official breeding season).
- Breeders who return a stallion to the Australian Stud Book undertake to:-
- lodge a Declaration of Pre Covering Season Activity before 7 September if the stallion covered any mare from, and including, 1 June to 31 August. The declaration must list every mare covered by the stallion in June, July and August and provide the exact date of every covering of each mare;
  - lodge a Declaration of Service with the Australian Stud Book on the 15<sup>th</sup> day of the following month that the service occurred.
- 1.10 If, in the opinion of the Keeper of the Stud Book, a Declaration of Service falsely states that the first service date of one or more mares was on or after 1 September, when the actual first service was before that date, the Keeper of the Stud Book may do one or more of the following:-
- amend the reported date of first coverage of any one or more of the mares named in the Declaration of Service to a date earlier than 1 September;
  - direct that the stallion is to be physically monitored during the period 1 August to 31 August in each of the next two covering seasons by persons authorised by the Keeper of the Stud Book, at the cost of the stallion proprietor;
  - not accept (or if accepted, subsequently reject) the stallion as a sire for up to two covering seasons;
  - impose a fine upon the person in control of the stallion of up to a maximum of ten times the stallion's total service fees during the season to which the Declaration of Service relates.
- 1.11 A Stallion Return must be lodged for a stallion which has died in the preceding 12 months, notifying the Stud Book of that death. No fee is required for such a return.
- 1.12 A Stallion Return is not required for a stallion which will not be used to service mares in the covering season.
- 1.13 The Australian Stud Book reserves the right to accept or reject a return for any stallion. Where special circumstances warrant special consideration of a stallion return the person responsible for that stallion must produce all evidence requested by the Keeper of the Stud Book.

## **2. Declaration of Pre Covering Season Activity**

- 2.1 A Declaration of Pre Covering Season Activity is only required for those stallions which cover a mare between and including 1 June and 31 August, that is, outside the official covering season.

- 2.2 The Declaration of Pre Covering Season Activity for stallions covering mares outside the official covering season must be lodged with the Stud Book before 7 September. The blank Declaration must be obtained from the Stud Book on request.
- 2.3 The Declaration of Pre Covering Season Activity must be completed with the names of all mares covered by the stallion in the months of June, July and August in Australia, together with the dates of all coverings for each broodmare.
- 2.4 The person responsible for the stallion must ensure that the first date of service for a mare on the Declaration of Pre Covering Season Activity is also entered on the normal Declaration of Service. However the date of last service may or may not be identical to the one on the Declaration of Pre Covering Season Activity, depending on the actual date of last service.
- 2.5 A breeder who runs his stallion with mares in June, July or August must declare so on the Declaration of Pre Covering Season Activity.
- 2.6 The Australian Stud Book can refuse to accept any Declaration of Service from a person responsible for a stallion which has covered mares before 1 September and has failed to lodge a Declaration of Pre Covering Season Activity for that covering season.

### 3 Declaration of Service Requirements

- 3.1 The breeder who returned a stallion to the Australian Stud Book must report details of all coverings by each stallion on a Declaration of Service. This report must be lodged with the Stud Book on a monthly basis as follows:

<b>Covering Date</b>	<b>Lodge with ASB</b>
1-30 September	by 15 October
1-31 October	by 15 November
1-30 November	by 15 December
1-31 December	by 15 January
Later services	by 15 <sup>th</sup> day of the next month

This applies even for a stallion which does not cover a single mare. The Stud Book can only accept such reports for stallions returned to the Stud Book for that covering season.

- 3.2 The person who returned the stallion is responsible for lodging the Declaration of Service. Studs which stand stallions that cover more than 40 mares are required to lodge first and last service dates electronically through a stud management system or via the Online Declaration of Service system.
- 3.3 The Declaration of Service must list every mare covered by the stallion together with the first and last service dates. Where two stallions cover one mare, her covering details must appear on both stallions' Declarations of Service.
- 3.4 Declarations of Service may be accepted by the Stud Book with the correct fees up to 28 February in the calendar year following service. Declarations of Service for stallions which hand cover mares and which are lodged after 28 February may only be accepted with an additional late fee. Late fees will be required for Declarations of Service for stallions leaving the country which are lodged later than five days after the horse leaves the country.
- 3.5 If mares are hand covered between the time the Declaration of Service is lodged and 31 May of that covering season, a separate supplementary Declaration of Service must be submitted for the stallion listing each mare and the first and last

- service dates. These will be accepted with fees as assessed by the Stud Book. If the stallion did not cover mares between 1 September and 15 January of the covering season, the Declaration of Service should be lodged as a "nil" return.
- 3.6 Breeders who run their stallion with mares in the paddock must submit a Declaration of Service as soon as the stallion and the mares are separated and by no later than 31 May. These reports will be accepted with the appropriate fees.
- 3.7 Declarations of Service received after the covering season is completed (31 May) may not be accepted.
- 3.8 The person responsible for the stallion must check that the Declaration of Service contains the names of mares spelt exactly as they are in her passport or Thoroughbred Identification Card. If the mare is not named, the mare owner and the Stud Book must be notified immediately.
- 3.9 A mare listed on a Declaration of Service which is not parentage verified or named, cannot be accepted into the official records.
- 3.10 The person responsible for the serving of a mare by a stallion must certify on the Declaration of Service that he has (i) checked the identity of each mare against her passport or Thoroughbred Identification Card and (ii) that he was satisfied about the mare's identity.
- 3.11 If any person completes a Declaration of Service without having first checked the identity of each mare against her passport or Thoroughbred Identification Card, the Stud Book may ask them to show cause why those coverings should be recognised by the Stud Book.
- 3.12 An incomplete or otherwise incorrect Declaration of Service may not be recognised unless the person responsible for lodging that report lodges an amended report and agrees to:
- Submit to the Keeper for examination, all books, receipts or other documents which may be requested by him;
  - Permit inspection of any animal by any person authorised by the Stud Book, or the Keeper, to act on its behalf for that purpose;
  - Provide whatever samples the Stud Book or Keeper may require, and
  - Pay a fee of such amount as the Stud Book or Keeper may require.
- 3.13 Any person in charge of a stallion must maintain complete, permanent and accurate stud records and produce them for inspection by the Keeper of the Stud Book or an authorised agent. Such records are to include:
- i. Dates on which horses entered the property and left the property;
  - ii. Dates on which horses were placed in, and removed from, each individual paddock within the property, including a record of the exact paddock they were in;
  - iii. Dates of repairs to any fencing or gates in any paddock holding stallions or mares;
  - iv. Details of all services by stallions, including the names of staff who supervised the service, the date, the time, name of mare and stallion and method used to identify the mare;
  - v. Name of the attending veterinarians, date and time they treated all mares which were to be, or had been, covered by a stallion;
  - vi. Name of the owner of the mare, or the person who sent the mare to the stud and accepted responsibility for her;



- vii. Copies of veterinary reports and procedures, such as palpations, scans and pregnancy diagnoses.
- 3.14 The stallion proprietor or studmaster responsible for each stallion must ensure each mare covered by that stallion is entered in the Declaration of Service, irrespective of the result of the service.

## **4 Mare Returns**

- 4.1 The breeder responsible for a broodmare is the contact breeder. The contact breeder must lodge a Mare Return for every foaling season for that mare, regardless of whether she is covered or not, to ensure she remains eligible for the Stud Book or Non-Thoroughbred Register. A separate return is required for each mare for each foaling season. All Mare Returns must be accompanied by the appropriate fee.
- 4.2 A Mare Return cannot be accepted by the Stud Book until the mare is parentage verified, named and has a DNA type.
- 4.3 Contact breeders must ensure they have a contact breeder card issued by the Stud Book and that the Stud Book has the correct name, initials, postal address, phone number, fax number, and email address recorded.
- 4.4 When the contact breeder is one of two or more breeders involved with a broodmare, he must ensure the names and initials of the co-breeders are correctly recorded with the Stud Book.
- 4.5 Mare Returns are submitted by the breeder online at [www.studbook.org.au](http://www.studbook.org.au) for each mare covered by a stallion. This facility is found in the Mare Return section under the 'Online Services' menu.
- 4.6 A mare that has a live foal must have a Mare Return lodged with the Stud Book within 30 days of foaling accompanied by the standard fee, and the parentage verification fee.
- 4.7 Mare Returns for live foals lodged later than 30 days after foaling must be accompanied by the late fee and the parentage verification fee.
- 4.8 A broodmare which dies leaving a live foal must be returned with the standard (or late) fee and the parentage verification fee.
- 4.9 Produce that are three years old or older at the time the late Mare Return recording their birth is lodged may not be accepted into the Stud Book or Non-Thoroughbred Register.
- 4.10 The parentage verification fee for a foal, which must accompany all live foal Mare Returns, will be refunded if the foal dies before samples are taken.
- 4.11 A mare which has a dead foal, or whose foal died soon after birth, or which slips its foal, or which misses to the service, must have a Mare Return lodged with the Stud Book within 12 months of the last date of service to be accepted with the standard fee. Mare Returns lodged later than 12 months after the last date of service must be accompanied by the late fee.
- 4.12 A breeder who decides not to have a broodmare covered must complete the Not Served Mare Return on the Australian Stud Book website, with the appropriate fee before 15 March of that covering season.
- 4.13 If the breeder does not have access to the internet, the mare return should be lodged via the Stud Book telephone lodgement service with the appropriate fee.
- 4.14 A summary confirmation of the lodgement of a mare return will be emailed to the breeder or agent once lodged, or posted if lodged by telephone.

- 4.15 The Stud Book cannot accept a Mare Return for a broodmare which has a missing return for the previous season and which has not been out of Australia during that period.
- 4.16 Any person importing a broodmare, which has been covered by a stallion outside Australia, must apply to have that produce accepted into the Australian Stud Book. The mare must meet the same requirements as Australian bred mares.
- 4.17 The person lodging a Mare Return for a broodmare which was listed on a stallion's Declaration of Service before she was registered is required to pay a special fee which is in addition to the fees normally required for acceptance of that return.
- 4.18 A broodmare which produces a foal before she is registered does not automatically render that foal eligible for the official records by being eventually registered and returned. The Keeper of the Stud Book, reserve the right to accept such a foal into the official records subject to the breeder providing a satisfactory explanation of any special circumstances and paying a special fee which is in addition to any standard or late fees required.
- 4.19 An Australian based broodmare which is shipped overseas then re-imported at a later date and produces a foal before her official records have been re-opened does not automatically render that foal eligible for the official records by having her records re-opened and by being returned. The Australian Stud Book reserves the right to accept such a foal into the official records subject to the breeder providing a satisfactory explanation of any special circumstances and paying a special fee which is in addition to any late fees and parentage verification fees required.
- 4.20 A breeder who purchases a broodmare whose returns are subsequently found to be not up to date is responsible for obtaining, completing and lodging the returns required to bring her up to date. A brochure is available from the Stud Book setting out guidelines for breeders who are purchasing broodmares.
- 4.21 Active broodmares which die, or which are "retired" by their breeders, must be returned to enable their records to be closed. There is no fee for such returns when the mare does not have a live foal in that season.
- 4.22 Active broodmares which are covered by stallions not in the Australian Stud Book official records must be returned with the standard (or late) fee. A parentage verification fee for the foal is not required and the mare's breeding record for that season will simply record "Covered by an Ineligible Stallion". The Mare Return must be lodged at the same time as Not Served Mare Returns.
- 4.23 The details lodged for a Mare Return must be complete and correct. In particular, the breeder must ensure the contact breeder number is correct. The date of foaling, colour and sex of any live produce for that season must be complete as must details of any twinning.
- 4.24 Mare Returns may not be accepted for any mare whose record is closed by a fate (dead, retired, exported, dropped out etc.).
- 4.25 Any broodmare which does not have a return lodged for two consecutive seasons has her records closed, with an entry of "Dropped Out" and ceases to be an active broodmare.
- 4.26 A mare's record which has been closed with any entry other than "Exported" will be re-opened only in special circumstances.

## The Identification and Parentage Verification Process

"Our entire industry is built on one thing, and that is identification. If we can't be sure, beyond all reasonable doubt, that the Thoroughbred we watch on the race track, or take to the breeding shed, or buy at the sales, is the one we think it is ... our whole system collapses".

**Mr Ogden Mills Phipps**  
**Chairman of The Jockey Club**  
**Saratoga Springs N.Y. 11 August 1991**

All horses must be parentage verified and accurately identified before they are accepted into the Stud Book official records.

The four components of the identification process are

- 1) the Certification of Paternity
- 2) the description of the natural features of the horse
- 3) the freeze brand
- 4) DNA type and microchip.

All horses can be checked against these four benchmarks throughout their life to verify their identity.

The identification process should begin the hour a foal is born. An examination by the breeder of a foal, which has just emerged from its waterbag, is the best time to identify hair whorls, which are very prominent at that stage. Like fingerprints, whorls never change but they do become hard to find when a weanling or yearling runs out in winter. Whorls are particularly important in plain or near plain horses.

For foals born before 2002, breeders received a passport when parentage verification was confirmed. This passport must accompany the horse at all times, it is the official document against which a Thoroughbred will be identified during its racing and breeding life.

For those foals born in 2003 and onwards the use of a microchip, implanted at the same time the markings and DNA typing is completed is the means of identification. Breeders receive a Foal Identification Card when parentage verification is confirmed. This Identification Card must be relinquished to the Registrar of Racehorses at the time an application for registration is submitted.

The microchip remains the sole and absolute property of the Australian Stud Book at all times.

### **5 Branding Requirements**

- 5.1 A horse cannot be accepted for inclusion in either the Australian Stud Book or the Australian Non-Thoroughbred Register until it has been freeze branded.
- 5.2 To avoid horses racing with the same brand and drop number (if more than one breeder has the same brand), breeders must register their brands with the Australian Stud Book and those with the same brands will be allocated individual series of drop numbers.
- 5.3 Foals and weanlings should be freeze branded in sufficient time for their brands to be discernible by the 31st March of their first year of life. They must be freeze branded so that at the time of sampling and description by a Stud Book approved veterinarian the brands are present as permanent white hair markings. This can take about six weeks from application of the brand.

5.4 The freeze brand has three parts:

- A stud, station, owner, or agent's distinguishing brand consists of letters or symbols that meet Department of Agriculture, or Department of Primary Industries requirements in each State and Territory;
- A sequence (serial or drop) number which signifies the order in which the foals were branded with the distinguishing brand;
- A year number which signifies the foaling season the foal was born in. A foal born between 1 July of one year to 30 June of the next year (official foaling season), whose dam was first covered in the official covering season (1 September to 31 May) must carry the year brand for the last digit of that calendar year which includes the first six months of the foaling season. However a foal born to a mare which was first covered in June, July or August must carry the year brand for the last digit of that calendar year in which its dam was first covered, this applies, regardless of the month of birth of the foal.

5.5 The brands must be placed on the near or off shoulders in accordance with each of the Departments of Agriculture's, or Departments of Primary Industries' requirements as set out in the table below.

Brand Site	Near Side Shoulder	Off Side Shoulder
All States and ACT	Stud or station brand	Sequence number over year number eg: 27 over 3
NT and QLD optional	<ul style="list-style-type: none"> <li>• Stud or station brand and</li> <li>• Sequence number over year number eg: 27 over 3</li> </ul>	

The example included in the above table is for the twenty seventh foal branded with the same stud or station brand. The year of birth is either 2003, 1993 or 1983.

- 5.6 A horse which has been incorrectly or indistinctly branded must never be rebranded over the site of the existing brand. The breeder should consult the Stud Book before attempting to rebrand the horse.
- 5.7 Any horse whose brand does not correspond in detail with the brand description prepared by an official Australian Stud Book identifier must be retyped and re-identified.
- 5.8 Any horse that carries a drop number that has not been allocated by the Australian Stud Book and has the same brand and drop number as another horse, may be required to be rebranded. To ensure this does not happen, please read the requirements in regards to the Brand Register in point 5.2.
- 5.9 Fire brands, acid brands and alkali brands are not accepted on a Thoroughbred.

## 6 Certification of Paternity

- 6.1 A horse cannot be accepted for inclusion in either the Australian Stud Book or the Australian Non-Thoroughbred Register until a Certification of Paternity has been provided and the horse has been parentage verified.
- 6.2 The stallion owner or studmaster is responsible for certifying details of all foals sired by each stallion in that season on a Certification of Paternity.
- 6.3 This report must be lodged with the Stud Book via the Online Certification of Paternity system within five days of payment of the service fee by the contact breeder.

- 6.4 If the Certification of Paternity has not been lodged:
- i. the Stud Book will not commence the parentage verification process for that foal; and
  - ii. the official records for that foal will be entered as "Produce not yet accepted";
- until after the Certification of Paternity has been received.

## 7 Microchipping, Sampling and Identification Requirements

- 7.1 The flow of samples to the Approved Laboratory must be regulated to ensure the laboratory capacity is neither exceeded nor underutilised. The Stud Book will advise breeders when their weanling or yearling can be parentage verified.
- 7.2 The breeder will be sent:-
- 7.2.1.1 An Identification Kit consisting of a sample card and a label (to attach the samples to the card). The label has the horse's details and the month scheduled for laboratory testing;
  - 7.2.1.2 A microchip in its own applicator, with several barcoded labels attached bearing the microchip number assigned to that horse. The microchip remains the sole and absolute property of the Australian Stud Book at all times.
  - 7.2.1.3 An MBS (microchip, brands and sample) form which the identifier has to complete and lodge with the Stud Book;
- 7.3 Studs may electronically lodge with the Stud Book in January or February a list of horses and request that they be sampled in a selected month. The Stud Book will cooperate with such requests as far as possible. To assist breeders plan and prepare for sampling the Stud Book publishes on its Internet site, under the screen "Mare's Breeding Record" the month each foal or yearling has been scheduled for sampling and identification. The screen also shows the progress of the verification process.
- 7.4 When breeders receive the advice note and Identification Kit from the Australian Stud Book they are required, at their own expense, to arrange for an Australian Stud Book approved veterinarian to collect samples from, implant a pre-assigned microchip and complete the pre-printed MBS form for each horse. The veterinarian is required to meet Stud Book standards for the identification process.
- 7.5 All breeders will receive labels and a microchip in time to have samples from foals and yearlings arrive at the Approved Laboratory before 1 December. Breeders whose horses have to be parentage verified using samples received after 1 December may be required to pay a very substantial special fee.
- 7.6 Breeders are required to:
- have their produce freeze branded so that the **brands are clearly visible as permanent white hair markings at the time samples are taken for DNA typing and a microchip is implanted;**
  - present their produce in a place and under such circumstances that the horse can be handled and examined thoroughly. The area around both shoulder brands must be brushed out and wetted down if necessary;
  - present to the veterinarian the Identification Kit received from the Australian Stud Book:-

- (a) the pre-printed labels;
  - (b) the microchip in its unopened container;
  - (c) the MBS form and the instructions;
  - (d) the index number of the left shoulder brand as displayed on the Brand Index Card, and
  - (e) any wet description prepared for the foal immediately after it was born.
- 7.7 The veterinarian will, that day, dispatch the samples to the Stud Book. All samples must be identified with the Australian Stud Book pre-printed label or they cannot be accepted. The veterinarian must also lodge with the Stud Book within 7 days, the completed MBS (Microchip, Brands and Sample) form.
- 7.8 The veterinarian's field image of both shoulder brands and the implanted microchip number will appear on the ASB website, where they can be checked, once the horse has been parentage verified. These will be accessible under the named horse's name and under the dam's name for unnamed and parentage verified horses, until such time as they are named.
- 7.9 If breeders intend to sell a foal, a weanling, or a yearling, which is not parentage verified then they should contact the Keeper at least three months before the sale to arrange for identification and sampling to be undertaken. Breeders agisting mares and foals should advise the Keeper if they want their clients' horses sampled and identified at the same time as their own.
- 7.10 If a field image of a horse shows the brands as clear and distinct, and a subsequent examination shows the brands are not clear and distinct, it will be taken that the horse has been freeze branded then described and sampled before the freeze brand is clearly visible as permanent white hair markings. That horse must be retyped and re-identified.
- 7.11 The Australian Stud Book reserves the right to have a breeder's foals, weanlings or yearlings inspected by an authorised officer before they issue official labels for samples to enable parentage verification. **This inspection would normally only be implemented in situations where a breeder has, in a previous season, had progeny branded and sampled at the same time.**
- 7.12 An incomplete or incorrect recording of brands will exclude a horse from the official records of the Stud Book. The Australian Stud Book reserves the right to call for stud records, receipts and other documents which may have to be examined and have the horse re-examined by someone they authorise to act on their behalf.

### Summary of the Identification Process

BREEDERS' RESPONSIBILITIES		VETERINARIANS MUST ENSURE THAT:	
1.	<b>All foals and weanlings should be freeze branded in sufficient time for their brands to be discernible by the 31st March of their first year of life.</b> Brands are normally clearly visible as permanent white hair markings six weeks after application.	1.	They are Stud Book approved.
2.	Brands must be clearly visible as permanent white hair markings before horses are microchipped and sampled.	2.	All horses to be microchipped must have brands present as permanent white hair markings.
3.	An Australian Stud Book approved veterinarian is retained to sample and microchip the horse as soon as breeders receive the Identification Kit from the ASB.	3.	The breeder hands over the ASB prepared Identification Kit, with all contents, listed below left, enclosed.
4.	Ensure all contents of the Identification Kit, listed below, are enclosed prior to the veterinarian's arrival.	4.	All pre and post implantation procedures are carried out in accordance with ASB, EVA and the manufacturer's specifications.
5.	The veterinarian's visit is arranged so that samples reach the laboratory in the designated month.	5.	The microchip implant is placed in the assigned horse and is deposited in or against the nuchal ligament on the left side, exactly midway between the ears and the withers, some 2.5 cm to 3.5 cm below the top level of the neck.
6.	Provide adequate assistance and facilities for the veterinarian to restrain the horse for the implant procedure.	6.	The barcoded microchip labels from the microchip container are attached to:- (1) the MBS form; (2) the DNA sample card; (3) the 'Breeder to Keep' DNA card. <b>Only three of these labels, per horse, will be used.</b>
7.	Provide the veterinarian with the <b>Brand Index Number</b> of the near shoulder brand at the time the horse is sampled and microchipped.	7.	The hair sample must be attached to the DNA card, in the appropriate square, with the label preprinted with the horse's parents.
8.	Ensure the veterinarian provides the 'Breeder to Keep' tear-off section of the DNA card to keep for your records.	8.	DNA hair samples are to be sent to the Stud Book in the pre-addressed, reply paid envelope.
9.	Contact the ASB if Foal Identification Card is not received within 14 days of DNA sampling and microchipping.	9.	The sketch of the brands entered onto the MBS form must illustrate exactly what the brand looks like on the horse. This

	<div data-bbox="277 360 815 584" style="border: 1px solid black; padding: 5px;"> <p><b>THE IDENTIFICATION KIT</b></p> <ul style="list-style-type: none"> <li>▪ 2 x Labels (pre-printed with the Dam's name)</li> <li>▪ 1 x MBS Form</li> <li>▪ 1 x Microchip applicator with 8 barcoded labels</li> </ul> </div> <div data-bbox="277 696 815 887" style="border: 1px solid black; padding: 5px; margin-top: 10px;"> <p>Veterinarians will receive a supply of:</p> <ul style="list-style-type: none"> <li>▪ DNA cards</li> <li>▪ Plastic Bags</li> <li>▪ Reply paid envelopes</li> </ul> </div>	<p>must be done regardless of what the brand should look like.</p> <p>10. Indistinct brands must be described in detail in the comments section of the MBS form.</p> <p>11. The breeder provides the <b>Brand Index Number</b> for the near shoulder brand. (This must be entered on the MBS form to ensure the form is accepted).</p> <p>12. Should by accident a microchip be implanted in a horse to which it is not assigned, then all barcoded microchip labels must be attached to forms for the horse actually implanted, and the fact that this is not the assigned microchip for that horse is noted in the comments section of the MBS form.</p> <p>13. The certification section of the MBS form is read carefully, signed and completed with your <b>Vet Identification Number</b>.</p> <p>14. Ensure that the MBS form is completed thoroughly, and returned to the ASB within 7 working days.</p> <p>15. The breeder is issued with the completed 'Breeder to Keep' section of the DNA card.</p> <p>16. The ASB suggests photocopying the MBS Form in the event of misplacement in the post.</p>
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## 8 Parentage Verification Requirements

- 8.1 Mare returns and stallion returns cannot be accepted into the official records of the Australian Stud Book until the mares or stallions are parentage verified and DNA typed.
- 8.2 Mare returns for live foals can only be accepted if they are accompanied by the parentage verification fee which is in addition to any standard or late fee required for the mare return, and a Certification of Paternity has been provided by the stallion proprietor or studmaster.



- 8.3 All imported horses are typed on arrival. The DNA type processed in Australia is compared with the DNA type for the horse obtained from the country of origin as a final check on identification.
- 8.4 A foal which was conceived overseas and imported in the pregnant mare's uterus cannot be eligible for the Australian Stud Book or Non-Thoroughbred Register until the declared sire's DNA type is available to complete the verification of parentage.
- 8.5 The Australian Stud Book will only accept a DNA type, determined in a laboratory which is officially approved by the International Stud Book Committee and which meets the minimum standards established by the International Society For Animal Genetics.
- 8.6 As soon as the laboratory tests have shown that the declared sire and dam cannot be excluded as the parents the Stud Book will notify the breeders that their produce is parentage verified.
- 8.7 The breeder acknowledges that the microchip remains the sole and absolute property of the Australian Stud Book at all times and that the ownership of the DNA hair samples rests with the Australian Stud Book and that the Australian Stud Book may use these DNA samples and profiles for such purposes as it sees fit.
- 8.8 Where a declared sire or a declared dam (or both) are excluded by the analysis of the laboratory test result the breeder will be advised of the anomaly. In such cases the breeder will be asked to check stud records and submit a second batch of samples. At the same time the dam, and sometimes the sire, will be re-sampled. Samples must be at the laboratory within 30 days of the breeder being notified that a retest is required.
- 8.9 If the analysis of the second batch of samples confirms the anomaly the horse is said to be excluded. The horse does not qualify as the offspring of its claimed parents. The Stud Book will immediately contact the breeders advising them of the exclusion.
- 8.10 An unnamed Thoroughbred whose declared sire, or dam (or both) are excluded from being its parents by the analysis of the two sets of samples cannot be accepted into the Stud Book or Non-Thoroughbred Register. The entry "Produce Not Accepted" is shown under its dam's breeding record for that season.
- 8.11 Any registered broodmare born before 1 August 1986 which, on being typed, has her own declared sire or declared dam (or both) excluded from being her parents is immediately relegated to the Non-Thoroughbred Register with all of her descendants and has her records changed to show unknown parentage. Should the mare be a non-Thoroughbred mare her records are altered to show unknown parentage.
- 8.12 A breeder required to have a mare or stallion retyped, when their identity or breeding record is questioned, must comply with the Stud Book's request within 30 days, or the horses involved can be removed from the Stud Book and Non-Thoroughbred Register by the Keeper of the Stud Book.
- 8.13 A horse which, on retyping, is found to have a different type from the type under which it was originally accepted will be removed from the Stud Book and Non-Thoroughbred Register.
- 8.14 When a horse is found by typing not to be of its claimed parentage, or to have been misidentified, a submission to accept an alternative parentage will be considered.

## Tests Approved In Australia For Parentage Verification

The Approved Laboratory meets all the minimal standards as agreed with the International Society for Animal Genetics and participates in the regular international comparison test programs to maximise uniformity world wide and to minimise inter-laboratory variations.

The Approved Laboratory will accept blood types and DNA types from overseas only when they have been prepared in an International Stud Book Committee approved laboratory, which meets the minimum standards.

*The Australian Stud Book reserves the right to make use of new DNA technology as it becomes available and proven in parentage verification and genetic analyses.*

## 9 Colour Description Requirements

- 9.1 The Australian Stud Book accepts six descriptions of "colour" for a Thoroughbred (chestnut, bay, brown, black, grey and white) and six descriptions of combined colours (bay or brown, brown or black, grey-chestnut, grey-bay, grey-brown, grey-black). The Australian Non-Thoroughbred Register accepts horses with six additional coat colours (appaloosa, cream, dun, palomino, pied and roan).
- 9.2 The breeder must enter the colour of the foal on each Mare Return declaring the birth of a live foal.
- 9.3 The Stud Book can accept into its official records only:
  - Chestnut progeny from the mating of a chestnut to a chestnut except where the progeny shows evidence of a white diluting gene.
  - A grey horse only if it has at least one grey parent;
  - Grey progeny sired by a stallion which has been identified, by an analysis of its stud record, as being a homozygous grey;
  - Non chestnut progeny by a stallion which has been identified, by an analysis of its stud record, as being a homozygous for a coat colour dominant to chestnut.
- 9.4 The progeny of any broodmare excluded by the requirements in 9.3 above is entered in the official records as "Produce Not Accepted" and the parentage testing fee is refunded.

## 10 Passport Requirements for Foals Born Prior to 2003

- 10.1 When a foal born prior to 2003 was successfully parentage verified, the Stud Book issued a passport to the breeder. The passport must accompany the horse at all times. It provides the benchmark against which a horse can be checked at any time. Breeders or their agents must check the horse against its passport as soon as they receive it. A breeder must check all plain horses and all grey horses with particular care.
- 10.2 The passport must be transferred to the new owner whenever a horse is sold.
- 10.3 The purchaser of the unnamed horse must ensure they receive the passport at the time of the transaction and they, or their agent, should check the horse against its description, and ensure it matches exactly.

- 10.4 Should breeders mislay a passport for a broodmare, they must apply to the Stud Book to have a replacement issued. The breeder may be required to have a new identification certificate prepared if the horse was born before 1995.
- 10.5 The Stud Book may request the passport to be presented at any time to check that all entries by the person in charge of the stallion and approved veterinarians are present and correct. Should a breeder not produce the passport when requested the Keeper of the Stud Book may decline to accept any produce of the mare into the official records.
- 10.6 The passport should be signed each time a mare is covered, by the person in charge of the stallion to show they have checked the mare's identity against her description in the document and they are satisfied as to her identity.
- 10.7 The passport must be available for approved veterinarians to (a) check the mare's identity before sample collection and (b) to sign, and enter the details, in the appropriate page.
- 10.8 The passport remains the property of the Stud Book at all times. It must be returned to the Keeper of the Stud Book on request and when the mare dies or retires.
- 10.9 The passport must be given to a new owner whenever a horse is sold.
- 10.10 All breeders must ensure they receive the passport at the time of transaction. They should arrange to have any horse they intend to purchase identified against its passport before completing the transaction.
- 10.11 **The passport does not constitute a legal certificate of title or deed of ownership. It is a certificate of pedigree and a certificate of identification only.**
- 10.12 **The passport cannot be retained by an owner, or by a person in charge of a stallion, for the enforcement of any alleged civil right or any other purpose. Australian Stud Book policy is that the passport must not be used to support or enforce any commercial transaction.**
- 10.13 If the passport is lost or mislaid the owner or breeder of the horse can apply to the Stud Book for a replacement document. A fee is required for such a replacement.

## **11 Foal Identification Card (FIC) Requirements for Foals Born in 2003 and onwards**

- 11.1 Upon successful parentage verification, the Australian Stud Book will provide a Foal Identification Card to the contact breeder that has been notified as the contact for the mare on the mare return.
- 11.2 The Foal Identification Card must remain with the horse at all times.
- 11.3 The Foal identification Card must be submitted to the Registrar of Racehorses with the Application to Register a Racehorse form at the time of naming. Once named, an Australian Racing Board issued card called the Thoroughbred Identification Card will replace the FIC.
- 11.4 It is the responsibility of the contact breeder to check the brands, marking and breeding details on the card once received and notify the Australian Stud Book of any errors. If there is a discrepancy as to the details on the card and the markings on the horse, the breeder must notify the Australian Stud Book.
- 11.5 Should breeders mislay a FIC for a foal, they must apply to the Stud Book to have a replacement issued. A fee is required for such a replacement. The breeder may be required to have a new DNA test carried out.

- 11.6 The Stud Book may request the FIC to be presented at any time to check that all entries by the person in charge of the stallion and approved veterinarians are present and correct. Should a breeder not produce the FIC when requested the Keeper of the Stud Book may decline to accept any produce of the mare into the official records.
- 11.7 The FIC must be available for approved veterinarians to check the foal's identity before sample collection.
- 11.8 The FIC remains the property of the Australian Stud Book at all times. It must be returned to the Keeper of the Stud Book on request.
- 11.9 The FIC must be given to a new owner whenever a horse is sold.
- 11.10 The FIC does not constitute a legal certificate of title or deed of ownership. It is a certificate of pedigree and a certificate of identification only.**
- 11.11 The FIC cannot be retained by an owner, or by a person in charge of a stallion, for the enforcement of any alleged civil right or any other purpose. Australian Stud Book policy is that the FIC must not be used to support or enforce any commercial transaction.**
- 11.12 If the FIC is lost or mislaid the owner or breeder of the horse can apply to the Stud Book for a replacement document. A fee is required for such a replacement.
- 11.13 The FIC must be given to a sales agent in the case of the horse being sold at public auction.

## International Movement of Thoroughbreds

By international agreement, a Thoroughbred exported out of Australia can only be recognised and accepted by an overseas stud book authority when that authority receives an Australian Stud Book Certificate of Exportation, which authenticates the horse's pedigree and description.

To recognise and accept into our official records an imported Thoroughbred, the Australian Stud Book must receive directly from the Stud Book authority in the country of origin of the horse:

- A Stud Book Certificate of Exportation which has the official description and pedigree of the horse;
- A DNA type and confirmation that the horse has been parentage verified, and;
- The latest covering details for all broodmares.

### Australia / New Zealand Travel

All horses going to New Zealand that have not been accepted by the New Zealand Stud Book on a previous occasion must comply with all the rules required of a horse going to any other destination. Those horses that have previously been accepted by the New Zealand Stud Book do not require Stud Book Certificates of Export.

Broodmares that travel to New Zealand must have their passports endorsed before they leave Australia and after they arrive in New Zealand.

All horses arriving from New Zealand that have not been accepted by the Australian Stud Book on a previous occasion must comply with all the rules required of a horse arriving from any other country. Those horses that have previously been accepted by the Australian Stud Book do not require Stud Book Certificates of Export.

Broodmares arriving from New Zealand must have their passports lodged with the Stud Book on arrival. Their Australian Stud Book records will be opened, or re-opened and their passport endorsed, provided that it already carries an "exit endorsement" from New Zealand Thoroughbred Racing Inc.

## 12 Thoroughbreds Sent Overseas

- 12.1 An Australian Stud Book Certificate of Export for a Thoroughbred or a non-Thoroughbred racehorse can only be issued when an application is lodged with the Keeper of the Australian Stud Book prior to shipment overseas.
- 12.2 A certificate issued by the Stud Book authority of the country of origin of an overseas bred horse can only be endorsed for re-export when an application is made with the Keeper of the Australian Stud Book prior to re-shipment overseas.
- 12.3 No later than five (5) working days before the horse is to be exported out of the country, the owners or their agents must lodge with the Australian Stud Book: (1) a completed application for a Stud Book Certificate of Export; (2) the passport for any horse born after 31 July 1995 signed by an approved veterinarian on the page headed "Identification Of Horses And Reasons For Identifying". For any horse born after 31 July 2003 the owner or their agent must lodge the horse's Foal Identification Card or Thoroughbred Identification Card and export identification certificate from an ASB approved export veterinarian; (3) the standard fee.

- 12.4 An application including identification documentation as stated in 12.3 above, lodged within five (5) working days of shipment, must be accompanied by the late fee.
- 12.5 Foals at foot cannot travel on a mare's passport. A separate Stud Book Certificate of Export is required.
- 12.6 The application for the issue or endorsement of a Stud Book Certificate of Export for a horse bound for a destination other than New Zealand must be accompanied by an Identification Certificate from a veterinarian approved by the Australian Stud Book only when that horse was born before 1 August 1995.
- 12.7 An application for the issue or endorsement of a Stud Book Certificate of Export for a horse bound for New Zealand must be accompanied by an Identification Certificate only when that horse was born before 1 August 1990.
- 12.8 Applications for Stud Book Certificates of Export for broodmares must provide the most recent service details and the name and address of the current owner.
- 12.9 A Stud Book Certificate of Export will only be issued or endorsed when the identity of the horse is established to the satisfaction of the Keeper of the Australian Stud Book prior to its departure.
- 12.10 The Australian Stud Book reserves the right to issue or endorse a Stud Book Certificate of Export even when there may have been a breach of the above requirements, subject to such terms, conditions and the payment of a penalty as they may impose.

### **13 Thoroughbreds Arriving in Australia from Overseas**

- 13.1 The person responsible for a newly arrived overseas born Thoroughbred must complete the application form to have the imported horse accepted into the Australian Stud Book.
- 13.2 The completed application form, accompanied by the standard integration fee, must be lodged with the Stud Book within 30 days of the horse's arrival.
- 13.3 If lodged beyond 30 days after the horse's arrival the application form must be accompanied by the late fee.
- 13.4 The Stud Book will issue an Import Identification Kit to owners, or their agents, as soon as the application is received.
- 13.5 When the owners, or their agents, receive the Import Identification Kit, they are required, at their own expense, to arrange for an Australian Stud Book approved veterinarian to collect samples from, and prepare appropriate identification forms for each horse. The veterinarian is required to meet Stud Book standards for the identification process.
- 13.6 The veterinarian will immediately dispatch the samples to the Stud Book and must also lodge the appropriate identification forms with the Stud Book within 15 days.
- 13.7 Owners, or their agents, are required to meet all the requirements detailed in section 7.0 (Microchipping, Sampling and Identification Requirements) outlined in these rules.
- 13.8 Imported mares and fillies must be freeze branded before they can be accepted in the official records. (In special circumstances the Australian Stud Book reserves the right to accept unbranded imports into the official records).

- 13.9 The Stud Book will check the description and DNA type of the horse against the details sent with the official documentation from the authorities in the country of origin of the horse. When satisfied as to its identity and credentials, the Australian Stud Book will advise the importer, owner, or breeder that the horse has been accepted into the Australian Stud Book.
- 13.10 A named, imported horse entering Australia for breeding purposes only may continue to use its overseas passport provided it meets Australian standards - should it not do so the Australian Stud Book will issue a passport. An imported horse entering Australia for racing purposes will be issued with an Australian passport or Thoroughbred Identification Card when an application for naming is lodged with the Registrar of Racehorses. The overseas passport must be retained by the owners, or their agents to use when the horse goes to stud, and **MUST** be available if the horse is re-exported.
- 13.11 When a broodmare is imported after being covered the Australian Stud Book will record the covering details on the mares breeding records. Unless the Australian Stud Book receives overseas covering details with the official documentation the overseas conceived progeny cannot be accepted into the Australian Stud Book.
- 13.12 An imported or re-imported broodmare must first be returned to the Australian Stud Book:
- Within 30 days of producing a foal conceived out of the country;
  - or**
  - Within 12 months of the date of the last service, if she has missed or slipped to that service;
  - or**
  - By 15 March if she is not served in her first covering season in Australia.
- 13.13 Once an imported mare is covered in Australia, all subsequent returns to the Stud Book are the same as for locally bred mares.
- 13.14 If an imported mare is covered by a stallion in Australia or produces a foal before she is accepted into the Australian Stud Book, special fees are required in addition to the integration fee, for acceptance of mare returns. Mare returns can only be accepted once the horse is accepted into the Australian Stud Book.
- 13.15 A horse re-imported into Australia and previously registered here will automatically be accepted back into the Australian Stud Book. An application as described above is not required. In the case of a broodmare, her Stud Book record will be re-opened when the documentation and any overseas covering details are received from the overseas authority.

## **14 Broodmares Sent to New Zealand**

- 14.1 No later than five working days before the mare is shipped to New Zealand, the breeder must lodge with the Stud Book (i) the Passport; (ii) a completed application to have the Passport endorsed; (iii) the most recent covering details (if she was covered) (iv) the standard fee.
- 14.2 An owner, or their agent, seeking endorsement of a passport within five days of the broodmare's departure must lodge the documents in 14.1 above with the late fee (which replaces the standard fee).
- 14.3 Foals at foot cannot travel on a mare's passport and the owner, or their agent, must lodge an application with the Stud Book for a separate Stud Book Certificate of Export. The Stud Book will advise the exporter of special procedures for a young, unnamed horse.

- 14.4 A broodmare can travel to New Zealand on either an Australian or New Zealand passport as the two are very similar and are recognised by both countries.

## **15 Thoroughbreds Arriving in Australia from New Zealand**

- 15.1 The person responsible for importing a Thoroughbred from New Zealand, which is not already registered in Australia, has to comply with the requirements 13.1 to 13.14.
- 15.2 In addition, on arrival a broodmare's passport must be presented to the Australian Stud Book. This is endorsed and returned to the owner, or their agent, immediately.
- 15.3 No fee is required for a broodmare if the passport is presented within 30 days of arrival. If presented beyond 30 days after arrival a late fee is required to re-open the mare's records. The late fee will not apply on the first visit to Australia where the mare's records are opened from a Stud Book Certificate of Export.

## **16 Interim Recognition of Imported Thoroughbreds**

- 16.1 As the original Stud Book Certificate can sometimes take a long time to arrive from the country where the imported horse came from, provisional recognition of the horse for stud purposes only, will be given to the imported horse from the date of receipt of all other documentary requisites by the Australian Stud Book, accompanied by an indemnity declaration signed by the breeder.
- 16.2 The provisional recognition will be available for a period of up to one calendar year. Full and complete recognition will be confirmed as soon as the ASB receives the required documentation from the stud book authority in the country exporting the horse. Should the required documentation not be received from the overseas authority the provisional recognition by the ASB will lapse automatically after one calendar year from the signing of the indemnity declaration. All coverings and all produce from the imported horse during the provisional period, together with all details of the imported horse, will be removed from the Stud Book into the non-Thoroughbred records. For a copy of the indemnity, please contact the International Services department at the Australian Stud Book.