

THE AMERICAN STUD BOOK

Principal Rules and Requirements



August 2022

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Owners, breeders and/or their authorized agents are responsible for being familiar with and complying with the *Principal Rules and Requirements of The American Stud Book*.

Amendments and new rules are available on The Jockey Club Registry website at registry.jockeyclub.com.

Section I

TABLE OF CONTENTS

Section II

**LOCATION OF OFFICES AND AVAILABILITY OF
FORMS AND INFORMATION**

Section III

GLOSSARY OF TERMS

Section IV

COLOR GUIDE

Section V

**RULES FOR REGISTRATION, GENETIC TYPING
AND PARENTAGE VERIFICATION**

RULE #

1. Eligibility for Foal Registration
2. Registration, Genetic Typing and Parentage Verification of Foals
3. Racing Permit
4. Fees to Register, Genetic Type and Parentage Verify a Foal
5. Genetic Typing Requirements for Stallions, Mares and Exported Horses
6. Naming
7. Transfer and Report of Ownership; Ownership Disputes
8. Correction of Certificate of Foal Registration
9. Duplicate Certificate of Foal Registration
10. Export Requirements
11. Import Requirements
12. 30-Day Foreign Racing Permit
13. Leases and Foal-Sharing Agreements
14. Stallion Reports (Report of Mares Bred)
15. Live Foal/No Foal Reports (Mare Reports)
16. Death Reports
17. Gelding Reports
18. Transferred as Retired from Racing
19. Deceptive Practices; Cruelty to a Horse; Medication Violations
20. Appeals and Hearings
21. General Rules

Section VI

DEADLINES

Section VII

ALPHABETICAL INDEX

Section II

LOCATION OF OFFICES AND AVAILABILITY OF FORMS AND INFORMATION

Executive Office:

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

Registry Office:

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

Websites:

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

Canada:

The Jockey Club of Canada
P.O. Box 66 Station B
Toronto, Ontario M9W 5K9
Telephone: (416) 675-7756
FAX: (416) 675-6378
(Availability of forms and information only.)

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

Section III

GLOSSARY OF TERMS

The American Stud Book

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

Age of a Horse

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

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

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

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

Yearling: A Colt, Filly, or Gelding in its second calendar year of life (which commences January 1 of the year following its birth).

2-Year-Old: A Colt, Filly, or Gelding in its third calendar year of life (which commences January 1 of the year following its birth).

Breeding Practices Not Approved by The Jockey Club

Artificial Insemination: Any act of depositing semen into the reproductive tract of a Broodmare in order to inseminate a Broodmare without the physical mounting by a Stallion and contemporaneous intromission of the Stallion's penis into the Broodmare with ejaculation of semen into the Broodmare's reproductive tract.

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

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

Breeding Terminology

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

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

Bred (Mated): Any Filly or Mare that has undergone the physical act of Breeding (mating).

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

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

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

Broodmare: A Filly or Mare that has been or is being bred (mated) and is used to produce foals.

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

In Foal (Pregnant) Broodmare: A Filly or Mare that was bred (mated), conceived, and is currently In Foal (pregnant).

Maiden: A Filly or Mare that has never been bred (mated).

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

Stallion: A male horse that is used to produce foals through Breeding (mating).

Gender of a Horse

Colt: An entire male horse 4 years old or younger.

Cryptorchid: A male horse of any age that has no testes

in his scrotum but was never gelded (the testes are undescended).

Filly: A female horse 4 years old or younger.

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

Horse: When reference is made to gender, a “horse” is an entire male 5 years old or older.

Mare: A female horse 5 years old or older.

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

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

Genetic Typing

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

Interactive Registration

An Internet website maintained by The Jockey Club where breeders, owners, and authorized agents can submit registration materials, check registration status, manage Digital Certificates, and browse the Online Names Book.

Certificate Manager: A person or entity who has been authorized to control the disposition of a Digital Certificate.

Digital Certificate: The official identification document for a Thoroughbred registered by The Jockey Club in digital format.

The Jockey Club Certificate of Foal Registration

The official identification document for a Thoroughbred registered by The Jockey Club. It may be a printed document or it may be in a digital format on the Interactive Registration Internet site. The Certificate of Foal Registration carries with it the requirement that the registered Thoroughbred shall be subject to and bound by the *Principal Rules and Requirements of the American Stud Book*.

The Jockey Club Certificate of Foreign Registration

The official identification document for a Thoroughbred imported into the United States, Puerto Rico, or

Canada and registered by The Jockey Club. It may be a printed document or it may be in a digital format on the Interactive Registration Internet site. The Certificate carries with it the requirement that the registered Thoroughbred shall be subject to and bound by the *Principal Rules and Requirements of the American Stud Book*.

Thoroughbred

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

United States

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

Section IV

COLOR GUIDE

The following colors are recognized by The Jockey Club:

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

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

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

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

Gray/Roan: The Jockey Club has combined these colors into one color category. This does not change the individual definitions of the colors for gray and roan.

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

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

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

White: The entire coat, including the mane, tail, and legs, is predominantly white.

Section V

RULES FOR REGISTRATION, GENETIC TYPING AND PARENTAGE VERIFICATION

1. ELIGIBILITY FOR FOAL REGISTRATION

A. These rules apply to horses foaled in the United States, Puerto Rico, or Canada and those registered pursuant to Rule 11 or previously permitted pursuant to Rule 12.

B. Foals must be genetically typed and qualified by parentage verification by a laboratory approved and authorized by The Jockey Club.

C. A foal is eligible for registration provided it is shown to the satisfaction of The Jockey Club that the foal's pedigree verifiably traces in all its lines to horses recorded in *The American Stud Book* or a foreign stud book approved by The Jockey Club and the International Stud Book Committee and if it satisfies all other requirements set forth in these rules. No horse foaled in the United States, Puerto Rico, or Canada may be registered unless both its sire and dam have been previously registered in *The American Stud Book*. The only exception to this rule is a foal imported in utero whose dam is properly registered in *The American Stud Book* and whose sire was not imported but is properly registered in an approved foreign stud book.

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

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

A dead horse is not eligible for registration.

D. To be eligible for registration, a foal must be the result of a Stallion's Breeding (mating) with a Broodmare (which is the physical mounting of a Broodmare by a Stallion with contemporaneous intromission of the penis and ejaculation of semen

into the reproductive tract). As an aid to the Breeding (mating), a portion of the ejaculate produced by the Stallion during any single cover may immediately following such cover be placed in the uterus of the Broodmare being bred. A natural gestation must take place in, and delivery must be from, the body of the same Broodmare in which the foal was conceived. Without limiting the above, any foal resulting from or produced by the processes of Artificial Insemination, Embryo Transfer or Transplant, Cloning, or any other form of genetic manipulation not herein specified shall not be eligible for registration.

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

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

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

2. REGISTRATION, GENETIC TYPING, AND PARENTAGE VERIFICATION OF FOALS

A. Mare owners must report a Live Foal/No Foal Report for each of their Broodmares every year. The Live Foal/No Foal Report serves a dual purpose: it is used to report the birth of a live foal or to report the status of a Broodmare which did not produce a live foal. This report may be submitted through Interactive Registration at *registry.jockeyclub.com*.

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

C. A Genetic Typing kit and a preprinted Registration Application will be sent to the person specified on the Live Foal Report. For foals born in 2017 or thereafter, a microchip will be included. If the Genetic Typing kit and preprinted Registration Application are not received within 180 days (six months) of the foaling date, contact The Jockey Club immediately to request a Genetic Typing kit.

D. Within 45 days of receipt, the Genetic Typing kit should be used and the sample sent to the laboratory. The fully completed and signed Registration Application, including the designation of the initial Digital Certificate Manager for foals born in 2018 or thereafter, along with a set of four color photographs of the foal (front, both sides, and rear views) clearly showing the color and the markings (or lack of markings) on the head, legs, and body, should be submitted to The Jockey Club along with the prescribed fee (see Fee Schedule) and a valid Service Certificate (see Rule 14C). The Registration Application may be submitted through Interactive Registration at registry.jockeyclub.com. If any of these requirements are not met, the foal owner may be required to restart the process by obtaining a new genetic typing kit from The Jockey Club and an additional restart fee may be assessed (see Fee Schedule). For foals born in 2017 or thereafter, a microchip must be implanted in the foal and the microchip number must be reported on the Registration Application.

E. To correctly identify the foal, a Registration Application must be fully completed and signed each time a genetic sample is submitted.

F. In the case of twins, each twin must be registered separately. The fact that the foal is the product of a twin birth must be reported on the Live Foal Report (see Rule 15) whether or not both foals are born alive. If both twins are alive, the birth of each twin must be reported separately on a Live Foal Report. When submitting the Registration Applications for twins, attach a photocopy or digital scan of the Service Certificate to the second Registration Application.

G. Upon the fulfillment of all registration requirements, including compliance with specified deadlines, and if

the foal qualifies as an offspring of its reported sire and dam, a Certificate of Foal Registration will be issued.

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

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

3. RACING PERMIT

A. The Jockey Club, in its discretion and for good cause, may issue a Racing Permit, an identification document issued by The Jockey Club, for any horse that has been genetically typed and parentage analyzed and whose dam qualified, but whose sire did not qualify. The Jockey Club may consider any other relevant factors in its determination and may require the owner and/or Breeder to provide additional information that The Jockey Club deems necessary. A horse issued a Racing Permit cannot be considered a Thoroughbred for Breeding (mating) purposes and cannot be entered into *The American Stud Book*. The term "Racing Permit" should always accompany the name of the horse in any trade journal or racetrack program. Any horse receiving a Racing Permit will never be entitled to receive a Certificate of Foal Registration.

B. To apply for a Racing Permit, the owner must submit a written request to The Jockey Club.

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

A. Foal registration fees are assessed according to the Registry Office Fee Schedule. Copies of this Fee Schedule are available from The Jockey Club Registry Office. The Fee Schedule is also available on The Jockey Club Registry website at registry.jockeyclub.com.

B. The fee to register a foal as stated in the current Fee Schedule also covers:

1. Naming, provided a valid attempt to claim a name is received prior to February 1 of the 2-Year-Old year;
2. The correction of a Certificate of Foal Registration, within six months of the date of issue, if necessary;
3. Subsequent transfers of ownership;
4. Reissuance of a Genetic Typing kit for untestable samples;
5. And such other matters and services as The Jockey Club shall, in its sole discretion, from time to time determine.

C. Fees are not refundable, unless a foal dies and the death is reported prior to the issuance of a Certificate of Foal Registration. In this case, a fee will be charged for the Genetic Typing kit and processing, and upon written request, the remainder of the fee will be refunded (see Fee Schedule).

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

A. In addition to Genetic Typing and parentage verification of all foals as outlined in Rule 2, the following horses must be genetically typed:

1. All Stallions and Broodmares if not previously genetically typed;
2. All Stallions and Broodmares for foal crops of 2001 or thereafter must be DNA typed, either from DNA samples extracted from a blood sample already on file with the genetic laboratories or, if none is available, from DNA samples submitted in accordance with this Rule;
3. Foals of 2001 or thereafter that enter the stud for the first time as Stallions must be re-DNA typed; and
4. All horses applying for an Export Certificate that have not been previously genetically typed (see Rule 10).

B. DNA typing kits can be obtained from The Jockey Club by request and upon submission of the prescribed fee (see Fee Schedule).

C. Within 45 days of receipt, the Genetic Typing kit should be used and the sample sent to the laboratory. The fully completed Identification form, along with a set of four color photographs of the horse (front, both sides, and rear views) clearly showing the color and markings (or lack of markings) on the head, legs, and body, must be submitted to The Jockey Club. If either of these requirements are not timely met, the owner may be required to restart the process by obtaining a new Genetic Typing kit from The Jockey Club, and a restart fee may be assessed (see Fee Schedule).

D. To correctly identify a horse, an Identification form must be fully completed each time a genetic sample is submitted.

E. The Jockey Club shall have the right to require that any horse be genetically typed or re-genetically typed at any time to establish or investigate a horse's identity or pedigree. If at any time The Jockey Club determines that the genetic type of a horse is inconsistent with the genetic type of either or both of its reported parents, The Jockey Club will notify the owner and the Certificate of Foal Registration will be revoked unless the owner provides an explanation satisfactory to the registrar (or any other person designated by the president of The Jockey Club) within 30 days of notice. In the event that an explanation from the owner is timely received and establishes parentage to the satisfaction of The Jockey Club, a Corrected Certificate of Foal Registration may be issued.

F. The Jockey Club will not respond to inquiries, other than pursuant to legal process, court order, approved foreign stud book authorities, recognized state racing commissions, racetrack authorities, or law enforcement agencies with respect to Genetic Typing information as to specific horses, except upon written request from a person whose name appears in The Jockey Club records as having an interest in that horse stating why this information is needed.

6. NAMING

A. A name may be claimed on the Registration Application, on a Name Claiming form, or through Interactive Registration at *registry.jockeyclub.com*. Name selections should be listed in order of preference. Names will be assigned based upon availability and compliance with the naming rules as stated herein. When a foreign language name is submitted, an English translation must be furnished

to The Jockey Club. An explanation must accompany “coined” or “made-up” names that have no apparent meaning. Horses that were born in the United States, Puerto Rico, or Canada and currently reside in another country must be named by The Jockey Club through the stud book authority of their country of residence.

B. If a valid attempt to name a foal is submitted to The Jockey Club by February 1 of the foal’s 2-Year-Old year and such a name is determined not eligible for use, no fee is required for a subsequent claim of name for that foal. If a valid attempt to name a foal is not submitted to The Jockey Club by February 1 of the foal’s 2-Year-Old year, a fee is required to claim a name for such a foal (see Fee Schedule).

C. Names may be reserved for later use for one year from the date of reservation unless renewed (see Fee Schedule). Reserved names cannot be used until notification requesting the assignment of the name to a specific horse is received by the Registry Office. If the reserved name is not used or renewed within one year from its reservation, it may become available for any horse.

D. A horse’s name may be changed at any time prior to starting in its first race if the horse has not been used for Breeding (mating). After a horse has started in its first race or if the horse has been used for Breeding (mating), a name will not be changed except for good cause (including revocation of the original name by the registrar). In the event a name is changed after a horse has started in its first race, both the old and new names should be used until the horse has raced three times following the name change. The prescribed fee (see Fee Schedule) and the Certificate of Foal Registration must accompany any request to the Registry Office for a change of name.

E. Names of horses over 10 years old may be eligible for use if they are not excluded under Rule 6(F) and have not been used during the preceding five years either for breeding or racing.

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

F. The following classes of names are not eligible for use:

1. Names consisting of more than 18 letters (spaces and punctuation marks count as letters);

2. Names consisting entirely of initials, such as C.O.D., F.O.B., etc.;
3. Names ending in “filly,” “colt,” “stud,” “mare,” “stallion,” or any similar horse-related term;
4. Names consisting entirely of numbers. Numbers above 30 (thirty) may be used if they are spelled out;
5. Names ending with a numerical designation such as “2nd” or “3rd,” whether or not such a designation is spelled out;
6. Names of living persons unless written permission to use their name is on file with The Jockey Club;
7. Names of persons no longer living unless approval is granted by The Jockey Club based upon a satisfactory written explanation submitted to the registrar;
8. Names of racetracks or graded stakes races;
9. Names that in the judgment and discretion of the registrar:
 - a. Have clear commercial, artistic or creative significance;
 - b. Contain profanity or suggest a vulgar or obscene meaning;
 - c. Are considered in poor taste;
 - d. Are likely to be offensive or threatening based upon factors including, but not limited to, color, creed, disability, ethnicity, gender, national origin, race, religion, politics, or sexual orientation;
 - e. Appear to be designed to harass, humiliate, or disparage a specific individual, group, or entity.
 - f. Are inflammatory or are likely to invoke controversy;
 - g. Are demeaning to the horse or Thoroughbred breeding or racing.
10. Names that are currently active either in racing or breeding (see Rule6(E));
11. Names of winners in the past 25 years of grade one stakes races;
12. Permanent names. The list of criteria to establish a permanent name is as follows:
 - a. Horses in racing’s Hall of Fame;
 - b. Horses that have been voted Horse of the Year;
 - c. Horses that have won an Eclipse Award;
 - d. Horses that have won a Sovereign Award (Canadian champions);

- e. Annual leading Sire and Broodmare Sire by progeny earnings;
- f. Cumulative money winners of \$2 million or more;
- g. Horses that have won the Kentucky Derby, Preakness, Belmont Stakes, The Jockey Club Gold Cup, the Breeders' Cup Classic, or the Breeders' Cup Turf; and
- h. Horses included in the International List of Protected Names.

- 13. Names similar in spelling or pronunciation to the classes of names listed in Rule 6(F) 6 - 12 above;
- 14. Names of horses previously recorded in The American Stud Book by the same sire or out of the same dam as the foal for which the attempt is made; and
- 15. Names of horses appearing within the first five generations of the pedigree of the foal for which the attempt is made.

G. The registrar of The Jockey Club reserves the right of approval and disapproval on all name requests. The registrar further reserves the right to require a name change and/or to immediately revoke an issued name pursuant to Rule 21C.

7. TRANSFER AND REPORT OF OWNERSHIP; OWNERSHIP DISPUTES

A. The transfer of ownership for all registered Thoroughbreds may be reported to The Jockey Club by completing a Transfer of Ownership Form or through Interactive Registration at registry.jockeyclub.com. Additionally, The Jockey Club will accept ownership information from a racetrack or sales company recognized by The Jockey Club.

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

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

In addition, the failure of an owner to submit a valid Service Certificate pursuant to Rule 2(D) may be considered evidence of an ownership issue to be resolved as set forth above, but in the event action is deferred by The Jockey Club it will process but not issue the Certificate of Foal Registration until a valid Service Certificate is submitted to The Jockey Club and all other requirements of Rule 2 are satisfied.

D. The Jockey Club will respond to inquiries pursuant to legal process, court order, approved foreign stud book authorities, recognized state racing commissions, racetrack authorities, or law enforcement agencies with respect to ownership information as to a specific horse, as well as upon written request, from a person whose name appears in The Jockey Club records as having an ownership interest in that horse. The Jockey Club may also make available to the public Breeder and ownership information in its discretion.

E. It is advisable that no one complete the purchase of a Thoroughbred until the Certificate of Foal Registration has been transferred by the previous owner or is assigned by the previous Certificate Manager. Before completing the sale, the new owner should compare the description on the Certificate of Foal Registration with the horse.

8. CORRECTION OF CERTIFICATE OF FOAL REGISTRATION

A. To obtain a Corrected Certificate of Foal Registration when the requested change is related to the color, gender, microchip number and/or recorded markings of the horse, the following must be submitted to the Registry Office:

1. Payment to The Jockey Club covering the prescribed fee (see Fee Schedule);

2. A set of four color photographs of the horse (front, both sides, and rear views) clearly showing the color and markings (or lack of markings) on the head, legs, and body, and showing any discrepancies, if possible, with the existing Certificate of Foal Registration;
3. A completed and signed Corrected Certificate form containing the written description of the markings as they now appear on the horse, including the exact location of the head and neck cowlicks and microchip number. This report may be submitted via Interactive Registration at *registry.jockeyclub.com*; and
4. The Certificate of Foal Registration.

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

C. To obtain a Corrected Certificate of Foal Registration when the requested change is related to the recording of Breeder, foaling date and/or foaling location, the applicant shall provide the completed and signed Corrected Certificate form and any evidence and assurances as The Jockey Club may require, such as notarized statements and/or farm records. The prescribed fee (see Fee Schedule) and the Certificate of Foal Registration must accompany any such Corrected Certificate request.

9. DUPLICATE CERTIFICATE OF FOAL REGISTRATION

A. If a Certificate of Foal Registration has been lost or destroyed, a Duplicate Certificate of Foal Registration may be issued by the Registry Office upon submission of the following:

1. Payment to The Jockey Club covering the prescribed fee (see Fee Schedule);
2. A set of four color photographs of the horse (front, both sides, and rear views) clearly showing the color and the markings (or lack of markings) on the head, legs, and body;
3. A completed and signed Duplicate Certificate form containing the written description of the markings on the horse, including the exact location of the head and neck cowlicks;

4. A notarized statement from the owner or his authorized agent describing the circumstances under which the Certificate of Foal Registration was lost or destroyed;
5. Proof of ownership of that specific horse (for example, a bill of sale or cancelled check including the name or pedigree of the horse, date of sale, and the name of the new owner); and
6. Any further evidence and assurances as The Jockey Club may require, such as Genetic Typing and/or parentage verification.

B. Except as expressly provided in this Rule 9, a Duplicate Certificate of Foal Registration will not be issued as long as the Certificate of Foal Registration is known to be in existence; provided, however, in the event of a sheriff's (or similar) sale or under a non-appealable court order, a Duplicate Certificate of Foal Registration will be issued if the original Certificate of Foal Registration cannot be obtained from the previous owner only after a good faith effort to recover it is made by the seller and/or the new owner. In either case, the requirements of Rule 9(A) 1, 2, 3, 5, and 6 must be met and an opinion must be submitted to The Jockey Club from an attorney or an official representative of the court, indicating that the sale (if applicable) was conducted in accordance with the laws of the state and providing such other information as The Jockey Club may request regarding the circumstances and validity of the sale or court order.

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

10. EXPORT REQUIREMENTS

A. When a horse is to be exported to a country outside of the United States, Puerto Rico, or Canada, a Certificate of Exportation and passport must be obtained from The Jockey Club within 60 days after exportation. If for any reason the requirements are not completed within 60 days after exportation, the Certificate of Exportation may be obtained only after approval of The Jockey Club and the payment of an additional fee (see Fee Schedule).

B. To obtain a Certificate of Exportation and passport, a horse must be genetically typed or be in the process

of being genetically typed (samples must have arrived at the laboratory in a testable condition) unless the horse was genetically typed previously. If Genetic Typing is required, a Genetic Typing kit must be obtained as set forth in Rule 5(B) and the following must be completed and submitted to The Jockey Club Registry Office by the time of the horse's departure:

1. Payment to The Jockey Club covering the prescribed fee (see Fee Schedule);
2. A set of four color photographs of the horse (front, both sides, and rear views) clearly showing the color and the markings (or lack of markings) on the head, legs, and body;
3. A completed Export Identification form. The form must be signed by the owner or authorized agent and must also indicate the country of destination, name of broker, date of shipment, and ownership of the horse. This form may also be submitted through Interactive Registration at *registry.jockeyclub.com*;
4. The Certificate of Foal Registration, 30-Day Racing Permit or Certificate of Foreign Registration;
5. A valid Service Certificate for all mares In Foal. If a Service Certificate is not available at the time of shipment, it must be submitted to The Jockey Club as soon as it is received by the owner.

C. The Jockey Club will forward directly to the appropriate foreign stud book authority the Certificate of Exportation and any other necessary documents as may be reasonably requested by that stud book authority.

D. If a horse is exported to a country whose stud book is not approved by The Jockey Club and then returns to the United States, Puerto Rico, or Canada, the owner or authorized agent must satisfy all of the requirements of Rule 10(A) and (B), and the horse must be genetically typed and identified within 60 days after its return. No progeny foaled or conceived in a country whose stud book is not approved will be eligible for registration in *The American Stud Book*.

E. Any horse exported without receiving a Certificate of Exportation that returns to the United States, Puerto Rico, or Canada must be re-identified, genetically typed, obtain a Certificate of Exportation, and an additional fee must be paid (see Fee Schedule) before

The Jockey Club will reissue the Certificate of Foal Registration.

F. Any horse imported into the United States, Puerto Rico, or Canada whose sire or dam was not exported properly in accordance with Rule 10 will not receive a Certificate of Foreign Registration until that sire or dam has fulfilled the export requirements.

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

11. IMPORT REQUIREMENTS

A. Horses born outside of the United States, Puerto Rico, or Canada must satisfy the eligibility requirements of Rules 1(C) and 1(D) and must obtain a Certificate of Foreign Registration from The Jockey Club when imported into the United States, Puerto Rico, or Canada. Additionally, to obtain a Certificate of Foreign Registration, the registrar may require a change of name to satisfy the requirements of Rule 6(G).

B. To obtain a Certificate of Foreign Registration, the owner or broker must cause the exporting country's registry to submit the following directly to the Registry Office within 60 days after arrival of the horse in the United States, Puerto Rico, or Canada:

1. The Stud Book Certificate or Export Certificate containing the written description and diagrams of the markings on the horse, including the exact location of the head and neck cowlicks;
2. A certified copy of the horse's complete racing record. Racing records from the World Hub may also be accepted if available; and
3. A valid service certificate if the imported Broodmare is In Foal.

C. In addition, within 60 days after arrival of the horse in the United States, Puerto Rico, or Canada, the owner or broker of the horse must submit the following to The Jockey Club Registry Office:

1. Payment to The Jockey Club covering the prescribed fee (see Fee Schedule);
2. A completed and signed Import Registration form containing the written description and diagrams of the markings on the horse, including the exact location of the head and neck cowlicks. This form may also be submitted through Interactive Registration at *registry.jockeyclub.com*;
3. Four color photographs of the horse (front, both sides, and rear views) taken in this country clearly showing the color and the markings (or lack of markings) on the head, legs, and body; and
4. The passport book, if applicable.

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

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

12. 30-DAY FOREIGN RACING PERMIT

If a Thoroughbred that was issued a 30-Day Foreign Racing Permit prior to September 2020 returns to the United States, Puerto Rico, or Canada, the owner must obtain a Certificate of Foreign Registration from The Jockey Club. See Rule 11.

13. LEASES AND FOAL-SHARING AGREEMENTS

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

14. STALLION REPORTS (REPORT OF MARES BRED)

A. All Stallion owners must report each Thoroughbred Broodmare that was bred (mated) to their Stallion(s) on the Report of Mares Bred form, which should be sent to The Jockey Club no later than August 1 of each breeding year along with the prescribed fee (see Fee Schedule). This form may also be submitted through Interactive Registration at registry.jockeyclub.com. Failure to comply with this deadline will result in delays in the issuance of Service Certificates. Mares bred (mated) on Southern Hemisphere time must be reported as soon as possible.

B. A separate Report of Mares Bred form must be completed yearly for each Stallion and must be signed by the Stallion owner, lessee, or authorized agent. If the Stallion was leased, check the appropriate box provided on the Report of Mares Bred form. If the Stallion has died since the last Stallion Report, a Report of Deaths form must also be submitted.

C. Based on the information on a completed Report of Mares Bred form, The Jockey Club will forward to the Stallion owner, lessee, or authorized agent a preprinted Service Certificate for each Broodmare bred (mated), including the name of the Stallion, the name of the Broodmare, the name of the Dam of the Broodmare, and the date of the last cover.

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

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

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

A. The breeding status of all Thoroughbred Broodmares must be reported yearly to The Jockey Club by submitting a Live Foal/No Foal Report indicating either live foal information or no foal information. This report may also be submitted through Interactive Registration at registry.jockeyclub.com.

B. In the case of a live foal, a fully completed and signed Live Foal Report must be submitted to The Jockey Club within 30 days after the birth of the foal as required in Rule 2.

C. In the case of no foal to be registered, the Breeder should submit to The Jockey Club a fully completed and signed No Foal Report within 30 days of the projected birth of the foal. If the Mare was not bred (mated) submit the No Foal Report in January.

16. DEATH REPORTS

If a Thoroughbred that has not been permanently withdrawn from racing, training for racing or breeding, or that is a foal for which registration is pending, has died, the owner or authorized agent must promptly report that information to The Jockey Club Registry Office. If any other Thoroughbred has died, the owner or authorized agent should promptly report that information to The Jockey Club Registry Office. Such reports must be made by submitting a completed Report of Deaths form, or through Interactive Registration at registry.jockeyclub.com, and returning the Certificate of Foal Registration, if issued. Additionally, The Jockey Club will accept death reports from a racetrack recognized by The Jockey Club.

17. GELDING REPORTS

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

18. TRANSFERRED AS RETIRED FROM RACING

A. If an owner desires a Thoroughbred to be considered retired from racing, the owner/owner's agent must submit the following to The Jockey Club within 60 days after the date of transfer of such Thoroughbred to a transferee:

1. The Certificate of Foal Registration;
2. A completed Transferred as Retired from Racing form bearing signatures of both the transferee/transferee's agent and the transferor/transferor's agent. This form may also be submitted through Interactive Registration at registry.jockeyclub.com;
3. A set of four color photographs of the horse (front, both sides, and rear views) clearly showing the color and the markings (or lack of markings) on the head, legs, and body; and
4. Any further evidence and assurances as The Jockey Club may require.

B. Upon receipt in the Registry Office, the respective Certificate of Foal Registration will be stamped “Retired from Racing” and will be returned to the transferee/transferee’s agent. A copy of the stamped Certificate of Foal Registration will be made available on The Jockey Club Registry website at registry.jockeyclub.com.

C. Notations upon a Certificate of Foal Registration such as “not to be raced” without the requirements set forth in rule 18A will not cause the Registry Office to record the horse as Retired from Racing. Submission to The Jockey Club of any such Certificate of Foal Registration may cause a Corrected Certificate of Foal Registration to be issued.

D. Certificates of Foal Registration for Thoroughbreds that were recorded by the Registry Office as Sold Without Pedigree prior to March 2013 shall remain cancelled.

19. DECEPTIVE PRACTICES; CRUELTY TO A HORSE; MEDICATION VIOLATIONS

A. Any person or entity (collectively “Person”) may be denied any or all of the privileges of *The American Stud Book* in the event:

1. That Person either knowingly misrepresents or aids or abets the misrepresentation of the identity, name, age, appearance, pedigree, genetic type, eligibility for registration, or any other information in, or in connection with, any communication to The Jockey Club;
2. That Person steals, counterfeits, forges, or alters a certificate or document issued by The Jockey Club or knowingly receives a stolen, counterfeited, forged, or altered certificate or document issued by The Jockey Club;
3. That Person knowingly violates any of the *Principal Rules and Requirements of The American Stud Book*; or
4. There is a final determination by a court (whether civil, criminal, or administrative), an official tribunal or an official racing body that such Person: (a) misrepresented or aided or abetted the misrepresentation of a horse’s identity, name, age, appearance, pedigree, genetic type, or any other information in connection with either entry in a race or the racing of any

horse; (b) misrepresented or aided or abetted the misrepresentation of a horse's eligibility for registration or any other matter related to *The American Stud Book*; (c) stole, counterfeited, forged, or altered a certificate or document issued by The Jockey Club or knowingly received a stolen, counterfeited, forged, or altered certificate or document issued by The Jockey Club; (d) killed, abandoned, mistreated, neglected or abused, or otherwise committed an act of cruelty to a horse; or (e) violated applicable racing authority statutes, Rules, or regulations relating to horses (i) on one or more occasions involving prohibited or restricted drugs, medications or substances that have been classified by the Association of Racing Commissioners International, Inc. (RCI) as class 1 or class 2 (whether or not so classified in the jurisdiction(s) that made the final determination) or (ii) on three or more occasions in any 365-day period involving prohibited or restricted drugs, medications, or substances in any RCI class (whether or not so designated or classified in the jurisdiction(s) making the final determination).

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

C. If a hearing is requested, (i) a non-refundable administrative fee of one thousand dollars (\$1,000.00) must be submitted with the Rule 19 Hearing Request, and (ii) all further proceedings shall be conducted in accordance with the procedures set forth in Rule 20(C).

If no hearing is requested, then all information submitted by the registrar and the Person shall be considered by the Rule 19 Committee within 90 days following the date the registrar sends the Rule 19 Notification to the last known address for the Person, at which time the Rule 19 Committee shall make a determination as to whether to deny the Person any or all of the privileges of *The American Stud Book* and the nature and extent of any such denial. The Rule 19 Committee's determination shall be promptly reduced to writing, stating the decision made and briefly stating the reasons for such decision, and delivered to the Person (and his counsel, if any) and to the registrar.

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

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

Any determination of the Rule 19 Committee may be appealed to the board of stewards of The Jockey Club pursuant to Rule 20(B).

20. APPEALS AND HEARINGS

A. Any person or entity (Person) wishing to object to any action or decision of the registrar or officer of The Jockey Club (collectively, Registrar/Officer) (other than Rule 19 Notifications and Rule 19 Committee determinations) in the application of the rules to such Person or to such Person's horse(s), may, within 30 days after being advised of such action or decision (by telephone, email, facsimile, or mail to the last address on file for the Person), submit to the board of stewards of The Jockey Club (Stewards) a written statement (Statement) including:

1. The specific nature and basis for objecting to the action or decision of the Registrar/Officer;
2. A brief statement of the facts and any documents, affidavits or other written material the Person believes will be helpful in considering the matter; and

3. If a hearing is desired, a specific request for a hearing.

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

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

Any Person submitting a Statement under this rule may request an expedited determination by submitting a written request to the Stewards with a detailed explanation as to why an expedited determination is warranted; provided, however, that the Stewards shall have full discretion as to whether an expedited determination is possible or appropriate under the circumstances.

B. Any Person wishing to appeal a determination of the Rule 19 Committee may, within 30 days following the date of issuance of such Rule 19 Committee determination, submit to the Stewards a written statement of the grounds for the appeal (Rule 19 Appeal) based solely upon the information considered by the Rule 19 Committee in making its determination. Upon the filing of a Rule 19 Appeal, the Rule 19 Committee will submit to the Stewards the Rule 19 Committee's determination and a summary of the evidence and information considered by the Rule 19 Committee in making its determination. The Stewards shall, no later than the next meeting of the Stewards after the Rule 19 Appeal is received, make a final determination of the matter. The determination of the Stewards shall then be promptly reduced to writing, stating the decision made and briefly stating the reasons for such decision, and delivered to the Person (and his counsel, if any), the registrar and the Rule 19 Committee.

C. If a hearing is requested under either Rule 20(A) or Rule 19, then, within 15 days after receiving the Statement or the Rule 19 Hearing Request, whichever applies, the designee of the chairman of the Stewards or the Rule 19 Committee, whichever applies, shall provide written notice to the Person of the name, address and telephone number of the independent hearing officer (Hearing Officer) appointed to hear the matter.

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

The parties may appear personally and/or through counsel authorized to act on such party's behalf, and may present witnesses and other evidence; provided, however, that the Hearing Officer shall exclude any evidence that is not directly relevant to the factual circumstances of the rule application at issue and shall exclude any witnesses or testimony that are not directly related to the factual circumstances of the rule application at issue. All testimony at the hearing shall be under oath and stenographically recorded. The Hearing Officer shall not be bound by technical rules of evidence and may receive hearsay evidence to the extent The Hearing Officer considers it to be reliable and relevant, and not unduly repetitious. No third party shall have a right of intervention and no third party may appear at or participate in the hearing unless the Hearing Officer determines that such person will materially assist in the determination of the matter. There shall be no right to conduct discovery by any party and the Hearing Officer shall have no authority to issue subpoenas. The Hearing Officer's determination shall be limited to consideration of the Statement and any relevant, non-privileged, and non-proprietary information and materials provided by the parties, the testimony of witnesses and exhibits entered into evidence at the hearing, and any facts which are not in dispute or are of generally-recognized technical or scientific nature, so long as the Hearing Officer provides notice to all parties before or during the hearing of any facts so noticed. Notwithstanding anything in these Rules to the contrary, the Hearing Officer may make a recommended order at any time prior to the conclusion of the hearing if the Hearing Officer determines there are no genuine issues of material fact in dispute and judgment is appropriate as a matter of law.

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

copy of those findings and recommendations to the Person (and his counsel, if any) and to counsel for the Registrar/Officer. As part of any recommendation, the Hearing Officer may award reasonable attorneys' fees and costs to the prevailing party if the Hearing Officer determines that the non-prevailing party asserted or pursued any appeal, claim, or defense in bad faith and/or for the purpose of harassment, embarrassment, or delay. The Stewards shall, no later than the next meeting of the Stewards after the findings and recommendations are made, make a final determination of the matter. The Stewards may accept or reject the findings and/or recommendations in whole or in part. The determination of the Stewards shall then be promptly reduced to writing, stating the decision made and briefly stating the reasons for such decision, and delivered to the Person (and his counsel, if any) and to counsel for the Registrar/Officer.

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

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

D. The authority of the Stewards and any Hearing Officer appointed to hear any matter initiated under Rule 19 or Rule 20 shall be strictly limited to considering whether the Registrar/Officer or Rule 19 Committee acted in accordance with the *Principal Rules and Requirements of The American Stud Book* and any applicable policies of The Jockey Club, including the extent of a denial of privileges of *The American Stud Book* pursuant to Rule 19. Any determination of the Stewards made pursuant to this Rule 20 shall be final.

21. GENERAL RULES

A. Owners, breeders, and authorized agents are responsible for being familiar with and complying

with the *Principal Rules and Requirements of The American Stud Book*. Amendments and new rules are available on The Jockey Club Registry website at registry.jockeyclub.com. By registering a Thoroughbred with The Jockey Club, registrants and their principals and agents agree to be bound by and subject to the *Principal Rules and Requirements of The American Stud Book* and all subsequent amendments thereto.

B. Notwithstanding any other provisions in these rules, it is the responsibility of each applicant to obtain from The Jockey Club all necessary forms and to submit all completed forms and other requirements by the applicable deadlines.

C. Certificates of Foal Registration, Certificates of Foreign Registration, Certificates of Exportation, Names, Passports, Racing Permits, and Stallion Service Certificates (Official Documents) are issued on the basis of information submitted to The Jockey Club by the applicant and are subject to revocation and cancellation at The Jockey Club's discretion if further information is received by The Jockey Club indicating improper or erroneous issuance.

Modification of the heritable genome of a Thoroughbred at any time of its life may disqualify such a horse from being considered a Thoroughbred by The Jockey Club. In such a case, Official Documents issued for the horse are subject to revocation and cancellation.

In the event of cancellation or revocation, the original Official Document must be promptly returned to The Jockey Club Registry Office.

D. For the purpose of determining whether a deadline has been met, any document or other material submitted to The Jockey Club shall be deemed to have been submitted to and/or received by The Jockey Club only upon (i) actual receipt in the Registry Office of The Jockey Club or (ii) if transmitted by United States Post Office or other recognized mail carrier, the date such carrier received the material from the sender if that date is noted by the carrier on the outside of the container.

E. Any notices or other material sent by The Jockey Club to any person, including any owner or authorized agent, shall be mailed to the last known address on file with The Jockey Club for the horse that is the subject of the notice or other material regardless of whether the same person has other addresses on file with The Jockey Club for other horses. Change of Address

forms are available from The Jockey Club and may be submitted by the horse owner or authorized agent to notify The Jockey Club of a change of address for mailing notices or other material for any specified horse(s). This form may also be submitted through Interactive Registration at registry.jockeyclub.com.

F. The Jockey Club may require any party who requests action (or inaction) from The Jockey Club or who submits information to The Jockey Club in connection with the processes and functions of The Jockey Club to provide such evidence and further assurances as The Jockey Club may reasonably require, and may also require any such party to make the horse(s) involved available for inspection.

G. Notwithstanding any other provisions in these rules, The Jockey Club may require any party(ies) who requests action (or inaction) from The Jockey Club arising out of or relating to a dispute or controversy with a third party(ies) to settle that dispute in a court of competent jurisdiction and The Jockey Club may defer a decision concerning the matter pending resolution of the dispute as aforesaid. The Jockey Club shall have no obligation to any party arising out of any decision to defer action or to take action under any provision of these rules.

H. The Jockey Club may decline to process any material received from an owner, owner's agent, or Breeder not in good standing with The Jockey Club. An owner or Breeder will be considered not in good standing if the owner or Breeder has any outstanding fees owed to The Jockey Club for any horse including, but not limited to, fees related to registration, Report of Mares Bred, Genetic Typing, naming, imports, exports, duplicates, or corrections.

I. Subject to the rules requiring payment of late fees, all fees are due at the time of the submittal of the applicable form or request to The Jockey Club. The Fee Schedule sets forth each submittal to The Jockey Club for which there is a fee and the amount of each fee. In the event any person fails to pay a fee owed to The Jockey Club, then The Jockey Club may apply any payment subsequently received from that person to the outstanding fees owed by that person to The Jockey Club.

J. Registration applications and other materials of any kind provided to The Jockey Club or its designee in connection with the registration of a horse, or otherwise pursuant to the *Principal Rules*

and Requirements of The American Stud Book, shall become the sole and exclusive property of The Jockey Club for any and all purposes. The Jockey Club shall have no obligation to return any such items to the owner of the horse or to any other person or entity.

K. With respect to Digital Certificates of Foal Registration, errors or required updates in the assignment of a Digital Certificate may be corrected based upon evidence and assurances as The Jockey Club may require.

L. Neither the use of the term “owner” in these Rules nor the listing of an owner on the Digital Certificate shall be evidence (a) that the person identified as owner actually holds legal title over the particular horse or (b) that the person identified as owner has the right to manage a particular horse’s Digital Certificate unless such person is the Certificate Manager for such horse.

M. The term “*Principal Rules and Requirements of The American Stud Book*” includes Sections I through VII and the Fee Schedule, which may be amended by The Jockey Club at its discretion from time to time.

Section VI

DEADLINES

Death:

Must be reported within 30 days after the death of any Thoroughbreds that have not been permanently withdrawn from racing, training for racing or breeding, or of any foal for which registration is pending. The death of any other Thoroughbred should be reported promptly.

Export:

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

Foal Registration:

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

Foreign Registration:

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

Geldings:

Must be reported promptly.

Live Foal/No Foal Report (Mare Reports):

1. Reporting live foal information

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

2. Reporting no foal information

This report must be filed no later than 30 days after the projected foaling date or in January if the Mare was not bred (mated).

Naming:

All foals must have had a valid name attempt by February 1 of the 2-Year-Old year to avoid incurring a fee.

Report of Mares Bred (Stallion Reports):

This report should be filed no later than August 1 of the breeding year.

Transferred as Retired from Racing:

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

Section VII

ALPHABETICAL INDEX

To find information on topics, look in section(s) and rule(s) listed to the right of topics.

TOPIC	SECTION	RULE	PAGE
Aborted (defined)	III		6
Age			
Definition	III		5
Determination	V	1 (C)	10
Altered Certificate	V	19	28-30
American Stud Book (defined)	III		5
Appeals and Hearings	V	20	30-33
Artificial Insemination	III		5
	V	1 (D)	10-11
Barren (defined)	III		6
Bred (defined)	III		6
Breeder (defined)	III		6
Breeding (defined)	III		6
Breeding Practices Not Approved	III		5-6
Breeding Status (definitions)	III		6
Mare Reports of Breeding Status	V	15	26
Broodmare (defined)	III		6
(see "Mares")			
Certificates, Cancellation of	V	21 (C)	34
Revocation of	V	5 (E)	15
Certificates, Types of			
Corrected	V	8	19-20
	V	21 (K)	35
Duplicate	V	9	20-21
Export	V	10	21-23
Foal Registration	III		7
	V	2	11-13
Foreign	III		7-8
	V	11	23-24
Cloning	III		5
	V	1 (D)	10-11
Color Guide	IV		9
Corrected Certificate			
of Registration	V	4 (B)	14
	V	8	19-20
	V	21 (K)	35
Counterfeited, Stolen, Forged			
Certificates	V	19	28-30

TOPIC	SECTION	RULE	PAGE
Cruelty	V	19	28-30
Dam (defined)	III		6
Dead Foal (no live foal)	V	15 (C)	26
Deadlines	VI		37
Responsibility	V	21 (B)	34
Meeting of	V	21 (D)	34
Death Reports	V	16	27
Deceptive Practices	V	19	28-30
Destroyed or Lost Certificates	V	9 (A)	20-21
Duplicate Certificate			
of Foal Registration	V	9	20-21
Eligibility for Foal Registration	V	1	10-11
Foreign Registration	V	11	23-24
Stud Books Unapproved	V	10 (D)	22
Embryo Transfer (transplants)	III		6
	V	1 (D)	10-11
Export Requirements	V	10	21-23
Genetic Typing	V	5 (A)	14
		10 (B,D,E)	21-23
Fee to Register a Foal	V	4	13-14
Fee Schedule		4, 11, 12, 13, 14, 15, 16, 19, 20, 21, 22, 24, 25, 35, 36	
Foal Registration Process	V	2	11-13
Foal-Sharing Agreement and Leases	V	13	25
Foreign Registration	V	11	23-24
		12	25
Forged, Stolen, Counterfeited Certificates	V	19	28-30
Forms, Availability of	II		4
Gelding Reports	V	17	27
Gender/Sex (defined)	III		6-7
General Rules	V	21	33-36
Genetic Typing/Parentage			
Verification/Registration	V	1	10-11
		2	11-13
Genetic Typing Requirements	V	5	14-16
		8 (B)	20
		9 (A)	21
		10 (B,D,E)	21-23
		11 (D)	24

TOPIC	SECTION	RULE	PAGE
Glossary of Terms	III		5-8
Good Standing	V	21 (H)	35
Hearings, Appeals and	V	20	30-33
Import Requirements	V	11	23-24
Inspection of horse(s)	V	1 (C)	10
	V	21 (F)	35
Internet (<i>jockeyclub.com, registry.jockeyclub.com</i>)			2, 4, 11, 12, 13, 15, 18, 20, 22, 24, 25, 26, 27, 28, 34, 35
Late Registration			
Foal	V	1 (E)	11
Foreign			
Export	V	10 (A)	21
Import	V	11 (D)	24
Leases and Foal-Sharing			
Agreement	V		13, 25
Breeder	III		6
Stallion Reports	V	14	25-26
Location of Offices	II		4
Lost or Destroyed			
Certificate of Foal Registration	V	9 (A,C)	20-21
Maiden (defined)	III		6
Mailing Address	V	21 (E)	34-35
Mares			
Genetic Typing Requirements	V	5 (A)	14
Mare Reports of Breeding			
Status	V	15 (A,B)	26
Live Foal	V	2 (A,B)	11-12
		15 (A,B)	26
No Foal	V	2 (A)	11
		15 (A,C)	26
Medication Violations	V	19	28-30
Microchip	V	2 (C,D)	12
Misrepresentation of Information	V	19	28-30
Multiple Birth (twins)	V	2 (F)	12
Naming	V	6	15-18
Changing Names	V	6 (D)	16
Criteria for Naming	V	6	15-18
Deadline	V	4 (B)1	14
		6 (B)	16
Foreign Language Names	V	6 (A)	15-16

TOPIC	SECTION	RULE	PAGE
Permanent Names	V	6 (F)12	17-18
Reserving Names	V	6 (C)	16
Ownership Disputes	V	7 (C)	19
		21 (E)	34-35
Ownership Reporting or Changing	V	7	18-19
Parentage Verification	V	1 (B)	10
		2	11-13
		5 (E)	15
		8 (B)	20
		9 (A)6	21
Parentage Verification/Registration/ Genetic Typing	V	2	11-13
		10 (E)	22-23
Passport Book	V	10 (A,B)	21-22
		11 (C)4	24
Pedigree	V	1 (C)	10
Permanent Names	V	6 (F)12	17-18
Racing Permit			
Domestic	V	3	13
Foreign	V	12	25
Racing Record	V	11 (B)	23
Refunds	V	4 (C)	14
Registration, Eligibility for	V	1	10-11
Registration/Genetic Typing/ Parentage Verification	V	2	11-13
Report of Mares Bred	V	14	25-26
Report of Ownership	V	7 (A,B,E)	18-19
Revocation of Certificate	V	5 (E)	15
		21 (C)	34
Rules and Requirements			
Responsibility	V	21 (A,B)	33-34
Term Includes	V	21 (M)	36
Sale and Transfer	V	7	18-19
Service Certificate	V	2 (D,F)	12
		7 (C)	19
		10 (B)	22
		11 (B)	23
		14 (A,C,D)	25-26
Sex/Gender (defined)	III		6-7
Sheriff's Sale	V	9 (B)	21
Sire (defined)	III		6
Stallions			
Genetic Typing	V	5 (A)	14
Stallion Reports	V	14	25-26

TOPIC	SECTION	RULE	PAGE
Stolen, Counterfeited,			
Forged Certificates	V	19	28-30
Stud Book Certificate	V	11 (B)	23
30-Day Foreign Racing Permit	V	12	25
Thoroughbred (defined)	III		8
Transfer and Sale	V	7	18-19
Transferred as Retired from Racing	V	18	27-28
Transplants, Embryo Transfer			
(defined)	III		6
Twin Foals	V	2 (F)	12
United States (defined)	III		8
Violation of Rules	V	19 (A)	28-29
Website			2, 4, 11, 12, 13, 15, 18, 20, 22, 24, 25, 26, 27, 28, 34, 35