

THE GENERAL STUD BOOK OF SOUTHERN AFRICA CONDITIONS OF ENTRY

(Subject to the Rules of The National Horseracing Authority of Southern Africa)

1. Definition

A Thoroughbred is a horse which is recorded in the Thoroughbred Stud Book of the country of its foaling, that Stud Book having been granted Approved status by the International Stud Book Committee at the time of its official recording.

The General Stud Book of Southern Africa records the births of Thoroughbred progeny born in South Africa and Zimbabwe subject to these overall Conditions of Entry. **From herein to be referred to as Stud Book.**

2. Pedigree

The horse must be the product of a mating between a sire and a dam, both of which are recorded in an approved Thoroughbred Stud Book or either or both must have been promoted from a Non-Thoroughbred register under the terms set out in Article 13 paragraph 4.1 of the International Agreement on Breeding, Racing and Wagering (IABRW).

Any horse claiming admission to the Stud Book, must be able either:-

2.1 to be traced down all lines of its pedigree to horses registered in the Stud Book;

OR

2.2 to be traced down all lines of its pedigree to horses registered in an Approved Stud Book of another country;

OR

2.3 to prove satisfactorily eight recorded crosses consecutively with horses qualified as in categories 2.1 and 2.2 above, including the cross of which it is the progeny and to show such performance in races open to Thoroughbreds in all sections of its pedigree as to warrant its assimilation with "Thoroughbreds".

3. Ownership

3.1 The name and address of the owner of every Mare and Stallion must be submitted with The National Horseracing Authority. The ownership recorded in the Stud Book does not amount to legal registration of ownership of the animal and must not be construed as such.

4. Identification of Breeding Stock

- 4.1** The control of a horse's identity is one of the prime considerations in the operation of racing, breeding and health management. Identity control should be made at the following times in a horse's life:
- 4.1.1** Shortly before each race start
 - 4.1.2** When the horse enters a country from abroad
 - 4.1.3** At every stage of its breeding operations (covering, registration of foal, etc.)
 - 4.1.4** Before being sold publicly or privately
 - 4.1.5** Whenever a veterinary certificate is issued for the horse
- 4.2** Before any Stallion or Mare can be admitted to the Stud Book of Southern Africa, The National Horseracing Authority must establish the horse's identity.
- 4.3** The identity of such Mare or Stallion is established by one or more of the following:
- 4.3.1** The completion by the Mare or Stallion's owner of the appropriate registration form.
 - 4.3.2** Tracing the animal through all its ownerships since birth, in particular, by reference to the properly registered change of Ownership forms submitted to The National Horseracing Authority.

In the case of imported horses, an Export Certificate identifying the animal must be received from the Stud book Authority of the Country from which the horse was exported. The Export Certificate must be accompanied by a document showing the horse's genotype issued by a recognised Laboratory.
 - 4.3.3** Confirmation that the genotype of the Stallion or Mare agrees with the genotype held on record by The National Horseracing Authority.
 - 4.3.4** The implantation of a microchip.
- 4.4** No animal may be registered for stud purposes retrospectively, after it has died, except at the discretion of The National Horseracing Authority, and only if the animal's genetic type has been established prior to the animal's death.
- 4.5** The produce of any Mare or Stallion will not be admitted to the Stud Book unless the genetic type of the Mare and Stallion has been established. The produce of any Mare or Stallion will not be admitted to the Stud Book if the markings and/or microchip number do not correspond with the DNA type, markings or microchip number held on record by the Stud Book.

5. Definition of a Breeder

- 5.1** The breeder of a horse is the person who owns the dam of such horse at the time the horse is born, and the names of breeders of any horses entered in the Stud Book shall be registered accordingly. The National Horseracing Authority reserves the right to amend such records in light of subsequent information received.
- 5.2** Breeders are required to maintain their own permanent stud records and to produce them for inspection by the Keeper of the Stud Book, or its authorised representative, on request.

6. Current Returns

- 6.1** In addition to the conditions set out in 9 and 13 below, the produce of any Mare will not be admitted to the Stud Book until the following documents have been received from the Breeder:-
- 6.1.1** An official Certificate of Covering, signed by the Stallion Owner or their authorised representative, confirming the last date of service in the previous year or an electronic equivalent authorised by The National Horseracing Authority.
- 6.1.2** An official Stud Book Return (Stud Book Return – Part One) signed by the Breeder or an electronic equivalent authorised by The National Horseracing Authority giving details of the produce, namely the colour, sex and date of birth. Twins must be indicated. In the event of NO LIVE PRODUCE the official Return must still be completed indicating whether the Mare was Barren, Aborted early, or Slipped, or that produce was born dead or has died since birth. Failure to report this information will result in the term "No Return" appearing on the Mare's produce line. This detracts from the completeness, and thus the value, of the information in Stud Book publications.
- 6.1.3** A Foal Identification Certificate and Naming Form completed and signed by the Breeder or an electronic equivalent authorised by The National Horseracing Authority for each live foal specified on the Part One for that Breeder, stating the parentage, colour, sex and date of birth of the produce and showing a written and graphic description of the markings of the produce.

7. Late Returns

- 7.1** For produce whose registration is not sought or completed until after the last acceptance date of registration, in addition to the above requirements for current returns, the following will apply:-
- 7.1.1** The fee at the then current rate for late registrations must be paid, together with any penalty which may be imposed.

7.1.2 A certificate from a veterinarian certifying the age of the horse for which registration is sought.

7.2 A horse that is 3 years old or older when its dam's late Mare Return is submitted, declaring its birth, may not be accepted into the Stud Book or the Non-Thoroughbred Register.

8. Incomplete Returns

8.1 Returns which are incorrect or incomplete, or which lack any of the required supporting documentation, will not be accepted and will be returned to the Breeder for completion.

8.2 The rate of fee payable for registering produce will be the rate in force on the date when the completed return is received. In the event that the corrected or completed return is sent back to The National Horseracing Authority after the last acceptance date of registration, a penalty may be imposed.

9. Service To Produce An Eligible Foal

9.1 A horse is not eligible to be registered in the Stud Book unless:

9.1.1 It is the produce of a natural service or covering which is the physical mounting of a Mare by a Stallion with intromission of the penis and ejaculation of semen into the reproductive tract of the Mare being bred. This natural service may include the immediate reinforcement of a portion of the ejaculate produced by the Stallion during such mating, in the reproductive tract of the Mare being bred.

AND

9.1.2 Natural gestation took place in, and delivery was from, the body of the Mare in which the Foal was conceived.

9.2 Any horse conceived by artificial insemination/breeding, Embryo Transfer or Transplant, Cloning, or any other form of genetic manipulation shall not be registered in the Stud Book.

9.3 A horse will not be eligible for the Stud Book if it is produced 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).

9.4 No semen obtained from a stallion by any artificial means may be used to reinforce a service.

9.5 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.

10. Passports / Certificate of Registration

- 10.1** The Stud Book is permitted to issue the original passport/certificate of registration or any subsequent duplicates, must produce a passport/certification of registration (or approved electronic equivalent) which certifies:
- 10.1.1** the authenticity of the pedigree, the age, sex and colour,
 - 10.1.2** the markings, photographs (if applicable) or other characteristics used to identify the Thoroughbred which should include all permanent identifying markings such as leg markings, face markings and hair whorls and may include other identifying characteristics such as night eyes/chestnuts, brands, tattoos, scars and microchips or other such approved electronic devices,
 - 10.1.3** the parentage of the Thoroughbred based upon typing of genetic factors present in blood, hair and/or other biological samples
 - 10.1.4** the Breeder and,
 - 10.1.5** the Stud Book volume and page number where the Thoroughbred is recorded, or the Stud Book volume where the horse will be recorded in the future, or, if the Stud Book is recorded electronically, where to access the appropriate Stud Book record.
 - 10.1.6** Additional pages for vaccinations and administrative endorsements.
 - 10.1.7** Where microchips are used, they should be ISO 11784/11785 compliant and inserted in the left-hand side of the nuchal ligament.
- 10.2** The passport shows descriptive particulars registered in respect of the animal, and are issued as an aid to the identification of the animal to which they refer and for its vaccination record to be maintained. They are not a certificate of ownership. While the information contained is believed to be correct, its accuracy cannot be guaranteed, in particular where this is dependent on information supplied to The National Horseracing Authority.
- 10.3** The document must always accompany the horse and should only be altered by, or with the express permission of, the issuing Stud Book Authority.
- 10.4** The loss of the document must be notified to the issuing Authority, who is the only party permitted to issue a duplicate copy.
- 10.5** The document of a dead horse should be returned to the Stud Book.
- 10.6** The Stud Book should notify the issuing Stud Book Authority of the death of a foreign-bred Thoroughbred residing within its jurisdiction.

11. Broodmare and Stallion Passports

- 11.1** Passports that are issued when horses are first registered in the Stud Book must be retained and used for every Mare and Stallion that is registered for breeding purposes. The Passport shows the descriptive particulars registered in respect of the animal, and records its reported ownership. It is not a certificate of ownership.

A Passport is issued as an aid to the identification of the animal to which it refers, though while the information contained is believed to be correct, its accuracy cannot be guaranteed, particularly where this is dependent on information supplied.

- 11.2** It is the responsibility of every Mare Owner to ensure that they are in possession of this Document of Identity so that it can be presented to the Stud Manager prior to the covering or foaling of the Mare.
- 11.3** Broodmare and Stallion Passports are the property of The National Horseracing Authority and must be returned on demand. The passport should accompany the horse at all times unless required for administrative purposes.

12. Covering Records

- 12.1** Stallion Owners are required to submit a list of all Mares covered by each particular stallion by no later than the 15th of the month immediately following the month which the covering took place.

Covering date	Submission date
1-30 September	by 15 October
1-31 October	by 15 November
1-30 November	by 15 December
1-31 December	by 15 January

- 12.2** Books of Covering Certificates are issued for each Stallion when it is registered for breeding each season. Stallion Owners are required:

12.2.1 to enter on the Certificates and counterfoils the details of every mare covered by their Stallion in the season. In particular, if a mare is covered by more than one Stallion, a separate entry must be made for each Stallion.

12.2.2 to issue a Covering Certificate to the Owner of each Mare covered by their Stallion.

12.2.3 to return the completed counterfoils to the Stud Book Department at the end of the covering season. It is a condition of the issue of Covering Certificates that the counterfoils will be returned not later than 31 January in the season of covering. No Covering Certificates can be issued for a Stallion for whom counterfoils are outstanding from the previous year or for a Stallion who has not been registered for the current covering season.

- 12.3** Prompt return of the counterfoils is essential to the Stud Book record system, and for the early and complete analysis of the season's covering activities.

13. Genetic Typing

- 13.1** No horse will be registered in the Stud Book unless its parentage has been confirmed by DNA typing via an approved laboratory.
- 13.2** An approved laboratory is a laboratory approved by the 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 and obtain level 1 status to maintain its approval.
- 13.3** The Stud Book will send persons to each Breeding Establishment which reports a live foal. All newborn foals must be presented so that a microchip can be inserted and blood drawn for DNA typing purposes. Failure to present any foal for microchipping and blood collection may result in the foal not being eligible to be registered.
- 13.4** In the event that the parentage verification tests show that the foal was not from either or both of the parents as reported to the Stud Book, the Stud Book may request further blood samples from the foal, the mare and the stallion.
- 13.4** In the event that the correct parentage cannot be established through DNA testing, the responsibility to seek further information which may assist in determining the parentage of the foal remains with the breeder. At no time will it become the responsibility of The Stud Book, The National Horseracing Authority or the Approved Laboratory to determine the correct parentage of any foal.

14. Payment of the prescribed Registration Fees

- 14.1** The above requirements apply to produce which are registered in the year immediately following their year of foaling.
- 14.2** The amounts quoted in the fee schedules produced by the Stud Book or otherwise charged by the National Horseracing Authority.
- 14.3** The payment of any fee due on a return is the responsibility of the breeder. A return will not be considered unless it is accompanied by the required fee.
- 14.4** The Stud Book reserves the right from time to time to adjust the fees for returns to the Stud Book without further notice.

15. Breeding Stock Names

- 15.1** A stallion or mare will be entered in the Stud Book or in the Non-Thoroughbred Register only if its name has been approved and registered by the National Horseracing Authority / Stud Book.
- 15.2** Once a bred mare or stallion has a return with the recorded with the Stud Book or the Non-Thoroughbred Register, its name may not be changed.

16. Export Certificate

- 16.1** The Export Certificate or Electronic Notification of Export may only be issued by the Approved Stud Book of the country of birth of the horse.
- 16.1.1** The markings certificate and the DNA profile must also be included.
- 16.1.2** It should be sent directly or made available on a website by the exporting authority to the Stud Book Authority of the country to which the horse is exported when the exportation is permanent.
- 16.2** Export Certificates must only be transmitted between Approved Stud Book Authorities/Thoroughbred Importing/Exporting Organisations.
- 16.3** Should the Stud Book Authority of the country of destination not be an Approved Stud Book, a stamped "Certified Copy" of the export certificate should be sent and the original Certificate should be retained until asked for by an Approved Stud Book.
- 16.4** An Electronic Notification of Export must be accepted by the Approved Stud Book Authority importing a horse. If, in exceptional cases an original hard copy document is required, a request must be made by the importing Stud Book Authority.

17. Microchipping

- 17.1** No horse will be registered in the Stud Book unless a microchip has been implanted into it by a veterinarian authorised to do so by The National Horseracing Authority.

18. Amendments to The Stud Book

- 18.1** The National Horseracing Authority may make any alterations or amendments to the records contained in the Stud Book provided that such alterations or amendments will improve the accuracy of the Stud Book.

19. Removal from the General Stud Book

- 19.1** Any horse which received gene therapy or whose natural genome is altered artificially or by any means whatsoever, may be removed from the General Stud Book.

20. General horse related definitions

Term	Description
2 year old	A horse that is in its third official year of life.
3 year old	A horse that is in its fourth official year of life.
Foal	A horse in its first official year of life.
Weanling	A foal no longer suckling its dam.
Yearling	A horse in its second official year of life (i.e. it is 1 year old).
Colt	A male horse under 5 years of age
Filly	A female horse under 5 years of age
Horse	A male horse 5 years or older
Mare	A female horse 5 years or older
Gelding	A castrated male horse of any age
Broodmare	A female horse used to produce foals
Stallion	A male horse used to produce foals
Maiden	Any filly or mare which has never been covered by a stallion
Covering	The natural act of a stallion mating with a mare.
Stallion	A male horse that has produced foals.
Dam	A female horse that has produced foals.

21. Official racing and breeding seasons in Southern Africa

Racing	1 August to 31 July
Covering	1 September to 31 December
Foaling	1 July to 30 November

22. General rules, terms and conditions

- 22.1** Any person taking part in any matter coming within these Rules, or returning any information to the Stud Book agrees to be bound by these Rules and such other requirements as may be required from time to time by The National Horseracing Authority;
- 22.1.1** Acknowledges that the Stud Book has jurisdiction to enforce these Rules, and to delegate this jurisdiction to the Keeper of the Stud Book;
- 22.1.2** 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 of the Stud Book;
- 22.1.3** Agrees for each horse registered under their name / breeding farm to be bound by the Rules of the National Horseracing Authority and that the relevant the Racing Authority has the jurisdiction to enforce those rules.

- 22.2** The Stud Book reserves itself, and the Keeper of the Stud Book, the right to:
- 22.2.1** decide what shall, or shall not, be included in the Stud Book or the Non-Thoroughbred Register and to reject any horses;
 - 22.2.2** reject any return which has already been accepted for inclusion in the Stud Book or the Non-Thoroughbred Register;
 - 22.2.3** alter, cancel or waive without notice any or all of the procedures in these Rules;
 - 22.2.4** determine any matter coming within these Rules;
 - 22.2.5** refuse to deal with any dispute between 2 or more persons in relation to any matter it deems, in its absolute discretion, to be a private, civil matter.
- 22.3** Any decision of the Keeper of the Stud Book shall be subject to appeal to the Chief Executive Officer or the Stud Book Committee, within 7 days of the communication of the decision to the relevant person.
- 22.4** Breeders are required to submit returns in accordance with the directions set out in these Rules.
- 22.5** Every breeder submitting a return undertakes to produce the stallion, the mare and her foals for inspection and examination, if and when required, by either the Stud Book, the Keeper of the Stud Book or their authorised agent or the Stewards.
- 22.6** A foal born in 2003 and onwards is only eligible for inclusion in the Stud Book or the Non-Thoroughbred Register if it has been microchipped and parentage verified.
- 22.7** Breeders, stallion proprietors or stud owner are required to provide access to a representative appointed by the 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:
- 22.7.1 examine all breeding and identification records (electronic or hard copy) held by the stud or its central organisation;
 - 22.7.2 be present and witness all coverings by any stallion on the property;
 - 22.7.3 monitor all preparations for covering and all post covering activities related to the semen produced during that covering; and
 - 22.7.4 be present and witness the collection of any semen samples for quality testing or disease testing.

The National Horseracing Authority 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 these Rules.