

**RULES AND REGULATIONS****Section 3 - Registration of Horses****1 PRIOR TO BREEDING**

- 1.1 It is the responsibility of the mare owner to check the registration status of the selected sire and whether the stallion is ASH registered, currently owned by a financial member, Sire Registered (including DNA Recorded and Genetic Disorder Tested), or otherwise; prior to their mare being mated. Additionally, the mare owner must also consider the registration status of the stallion (Stud Book, Second Cross, First Cross, Base Registry, unregistered or non-ASH) and the eligibility of the resulting foal. Failure to consider these factors may result in either additional fees being incurred on the registration of the resulting foal, a lower level of registration status being granted for the resulting foal or the resulting foal not being eligible for ASH Registration.
- 1.2 The Society strongly recommends that stallion (or semen) and mare owners enter into a written agreement prior to breeding horses. The parties involved in the Breeding Programme should consider or include the following basic points in a breeding agreement as a minimum.
- 1.2.1 **SERVICE AGREEMENT** - when a mare is transported to another property:
- 1.2.1.1 Fees - service fee, agistment, feeding, veterinary, stallion handling and the like.
  - 1.2.1.2 Breeding - maiden or seasoned broodmare, easy or difficult breeder, live foal guarantee, pregnancy tested in foal (42 days), mare served for a limited number of breeding cycles, mare served until in foal, free return if mare slips the foal or foal born dead and the like.
  - 1.2.1.3 Transport arrangements – private or commercial, delivery and collection dates.
  - 1.2.1.4 Agistment – length of residence (1 day, 7 days, 21 days, 42 days, etc), feeding (in drought and/or abundant conditions), type of agistment (paddock, yard or stable), regular inspections, standard of facilities and the like.
  - 1.2.1.5 Type of Service – natural service (hand or paddock served) or artificially inseminated.
  - 1.2.1.6 Limitations on progeny registrations – any limitation on the number of progeny that may be bred should be identified, including outcomes in the case of multiple foals or twins or in the case of embryo breeding programmes, or use of semen.
  - 1.2.1.7 Embryo transfer programs – agreement needs to be reached as to whether or not a mare may be used in an embryo transfer program.
  - 1.2.1.8 Veterinary Requirements – care and health of mare, including condition, overall health, vaccination, as well as outcomes and responsibilities in the event of injury whilst at stud, pregnancy testing, selected Veterinarian and the like.
  - 1.2.1.9 Service Records – responsibility of obtaining, completing and issuing breeding certificates as required for registration of resulting foal.
  - 1.2.1.10 Payment – deposit, in advance, part payment and full payment deadlines (on booking, delivery, positive pregnancy test or collection of mare), payment structure, refunds, acceptable types of payment (cash, bank or personal cheque, credit card, etc), tax requirements and the like.
- 1.2.2 **ARTIFICIAL INSEMINATION AGREEMENT** - when semen is transported:
- 1.2.2.1 The mare owner should firstly research the availability of a Veterinarian or Qualified Person for this procedure, along with the suitability of facilities, experience and success rate, as well as associated costs.
  - 1.2.2.2 Fees – cost of semen, transport of semen and veterinary expenses, including the number of consultations, mare's time at clinic (agistment), prescribed treatment of hormones and the like. The additional cost of registration of the foal for DNA testing must be considered.
  - 1.2.2.3 Semen (fresh, chilled or frozen) - quality and fertility of semen, number of straws provided, size of semen straws, delivery of semen, age of semen, and the like.
  - 1.2.2.4 Limitations on progeny registrations – any limitation on the number of progeny that may be bred should be identified, including outcomes in the case of multiple foals or twins, or use of semen.
  - 1.2.2.5 Embryo transfer programs – agreement needs to be reached as to whether or not a mare may be used in an embryo transfer program.
  - 1.2.2.6 Transport of semen from semen storage centre to veterinarian or qualified person and type of transport required (refrigerated, express, etc).
  - 1.2.2.7 Mare – semen for a specified mare or any mare, semen for only one mare or unlimited number of mares, and the like.
  - 1.2.2.8 Service Records – responsibility of obtaining, completing and issuing breeding certificates as required for registration of resulting foal.
  - 1.2.2.9 Payment – deposit, in advance, part payment and full payment deadlines (on booking, delivery of semen, positive pregnancy test or live foal), payment structure, refunds, acceptable types of payment (cash, bank or personal cheque, credit card, etc), tax requirements and the like.
- 1.2.3 To formalise a Breeding Agreement, both parties must sign the document. Members may seek the assistance of a legal advisor to compile, endorse or resolve issues in relation to the agreement.



- 1.2.4 Multiple progeny may be registered if specifically the subject of an agreement to that effect. Any such agreement shall be the responsibility of the mare and stallion (or semen) owners. The Society will not be involved in, adjudicate or manage such agreements, or withhold any registration for any eligible horse.
- 1.2.5 The Society's policy in relation to disputes associated with breeding of horses, ownership of horses, agistment, standard of facilities and/or care, payment of fees, foal for foal agreements, live foal guarantees, difficult breeders, missed or slipped services, veterinary and the like are as follows:
  - 1.2.5.1 Any disputes of a contractual or financial nature in relation to the breeding or ownership of a horse are not for the Society's consideration. Members in such situations are advised to seek legal advice if unable to resolve the issues.
  - 1.2.5.2 Subject to 1.2.5.3, acts of wrongdoing in relation to the breeding of a horse are not for the Society's consideration. The Society takes no responsibility for any disagreement and is unable to assist members in resolving personal disputes. Members in such situations are advised to seek legal advice if unable to resolve the issues.
  - 1.2.5.3 Acts of wrongdoing in respect of which disciplinary action is sought may be referred to the Board in accordance with Clause 16 of the Constitution.

## **2 BREEDING METHODS**

### **2.1 Natural Service**

- 2.1.1 Also known as covering or mating, and refers to the natural act of a stallion mating the mare. Hand Service – under the control of handlers, a mare (when in oestrus) is presented to a stallion for service. Paddock Service - mares run with the stallion in the paddock for a period of time for service.
- 2.1.2 DNA testing of resulting progeny is not compulsory for progeny applications lodged with the Society prior to 1<sup>st</sup> January 2023. From 1st January 2023, a DNA sample must be submitted to the Society for the horse to be registered.
- 2.1.3 From 1st January 2023, a DNA profile is compulsory, parentage testing (where possible) and genetic disorder testing (where required) are necessary components for progeny applications, irrespective of the date of service. Under rule 12 - DNA Profiles and Screening Tests, it specifies the requirements and standards for parentage verification testing and rule 13 – Genetic Disorder testing requirements.

### **2.2 Artificial Insemination**

- 2.2.1 Refers to the artificial act of a Veterinarian or Qualified Person inserting semen through the cervix via manipulation into a mare's uterus, when close to ovulation, to fertilise the embryo.
- 2.2.2 Members may breed registered Australian Stock Horse mares and/or registered Australian Stock Horse stallions (Sire Registered, DNA Recorded) by Artificial Insemination – fresh, frozen or chilled semen.
- 2.2.3 The Society recommends that any member considering an artificial insemination programme, should research the availability of a veterinarian or qualified person for this procedure, along with suitability of facilities, experience and success rate, as well as associated costs.
- 2.2.4 From 1<sup>st</sup> January 2023, a DNA sample must be submitted to the Society for the horse to be registered.
- 2.2.5 A DNA profile is compulsory, parentage testing (where possible) and genetic disorder testing (where required) are necessary components for progeny registrations resulting from Artificial Insemination, irrespective of the date of insemination. Under rule 12 - DNA Profiles and Screening Tests, it specifies the requirements and standards for parentage verification testing and rule 13 – Genetic Disorder testing requirements.

### **2.3 Embryo Transfer**

- 2.3.1 Refers to the veterinary procedure where a Veterinarian or Qualified Person flushes fertile embryos from a donor mare and transfers viable fertile embryos into a recipient mare. Donor and recipient mares are usually treated with hormones so they ovulate within a given time schedule for the procedure.
  - 2.3.1.1 Under the Embryo Transfer rules, Oocyte Transfers and Equine Intracytoplasmic Sperm Injection ICSI are acceptable, being procedures where a Veterinarian or Qualified Person flushes an unfertile egg from a donor mare, then transfers the egg or an embryo to a recipient mare. Rules for Embryo Transfer, apply to any Oocyte Transfer or Equine Intracytoplasmic Sperm Injection (ICSI) procedure.
- 2.3.2 Members may breed a horse eligible for ASH registration by natural service or artificial insemination for the purpose of an Embryo Transfer. The recipient mare need not be registered with the Society.
- 2.3.3 The Society recommends that any member considering an embryo transfer programme should research the availability of a veterinarian or qualified person for this procedure, along with suitability of facilities, experience and success rate, as well as associated costs.
- 2.3.4 From 1<sup>st</sup> January 2023, a DNA sample must be submitted to the Society for the horse to be registered.
- 2.3.5 A DNA profile is compulsory, parentage testing (where possible) and genetic disorder testing (where required) are necessary components for progeny registrations resulting from Embryo Transfer, irrespective of the date of insemination. Under rule 12 - DNA Profiles and Screening Tests, it specifies the requirements and standards for parentage verification testing and rule 13 – Genetic Disorder testing requirements.
- 2.3.6 The initial owner of an embryo is the Registered Owner of the donor mare. When an Embryo is sold, an Embryo Transfer Sale Notification form must be completed and attached to the Application for Registration for the resulting foal, to enable the progeny to be registered by the Embryo Purchaser. The prescribed fee for transfer of an embryo will apply.

### **2.4 Other Breeding Techniques:**

- 2.4.1 The Society accepts progeny resulting from Natural Service, Artificial Insemination and Embryo Transfers as defined in the Rules and Regulations. Members considering other breeding techniques need to apply to the Board for acceptance of the

technique or otherwise, together with conditions and requirements for same. For the avoidance of doubt, the technique of cloning is not an accepted technique and will not be approved by the Board.

### 3 **ASH BREEDING CERTIFICATES**

- 3.1 ASH Breeding Certificates contain details of natural service or artificial insemination and the following conditions applies:
  - 3.1.1 ASH Breeding Certificates are obtainable from the Society upon receipt of the prescribed fee. Once a certificate has been purchased, the fee is not refundable or redeemable under any circumstances and/or situation. No replacement ASH Breeding Certificates will be obtainable for any mare that has missed or slipped the service.
  - 3.1.2 A stallion (or semen) owner may avoid completing and signing an ASH Breeding Certificate with the details of mating (or semen) supply until the mare owner has satisfied all obligations to the stallion (or semen) owner, including a cleared payment of fees relating to service. The Society expects all service obligations will be finalised before the foal is born and the Society may accept any registration for any eligible horse.
- 3.2 Under these Regulations, reference to a registered owner of a stallion, includes where the horse is the subject of a lease and a Lease Notification has been accepted by the Society (Lessee) and includes any authorised agent.
- 3.3 For a Breeding Certificate pertaining to a Registered ASH Stallion to be accepted, the signature on the certificate as Registered Owner at time of mating must be consistent with Society records.
- 3.4 Registered stallion owners should be a Financial Member of the Society at time of mating and for completion of ASH Breeding Certificates, otherwise penalties for registration of resulting progeny will apply.
- 3.5 When a mare produces more than one foal in the same breeding season (natural, AI or ET), a new ASH Breeding Certificates as required under rule 3 is essential for each individual progeny, completed and signed by the stallion (or semen) owner. In the case of more than one foal from a mating, the mare owner must contact the stallion (or semen) owner to obtain completed and signed breeding certificates for the additional progeny.
- 3.6 The stallion (or semen) owner when completing an ASH Breeding Certificate must ensure that the certificate has a unique identifying number. Whilst ASH Breeding Certificates purchased from the Society since 1st January 2013 have been pre-numbered, ASH Breeding Certificates before that date do not have any identifying number. It is recommended that ASH Breeding Certificates with no identifying number are manually numbered by the stallion (or semen) owner, ensuring numbers are not duplicated.
- 3.7 Applications for Registration submitted from 1<sup>st</sup> January 2020 MUST be accompanied by a properly completed and signed ASH Breeding Certificate (original, duplicate or copy) for all service types (natural, artificial insemination and embryo transfers) unless:
  - 3.7.1 A horse is registered with another Breed Society and DNA tested (confirmation of the horse's registration and DNA test must be attached to the Application for Registration).
  - 3.7.2 A horse is being registered as Breeding Purposes ONLY (Thoroughbred).
  - 3.7.3 A horse is a previously Foal Recorded ASH.
  - 3.7.4 The Society under the circumstances outlined in rule 3.17 may accept the Application for Registration as follows:
    - 3.7.4.1 Progeny of a Sire Registered ASH stallion - based on a DNA Test and Sire Verification, or
    - 3.7.4.2 Progeny of an unregistered or non-ASH stallion, or ASH stallion not Sire Registered - at the discretion of the Society, based on evidence and documentation provided to the Society.
  - 3.7.5 A horse is being registered with sire unknown under the Base Registry regulations.
  - 3.7.6 Rule 3.17 has not resolved the matter, the Board may exercise its discretion under rule 3.18 and accept the Application for Registration.
- 3.8 From 1<sup>st</sup> September 2021, an ASH Breeding Certificate lodged with an Application for Registration that is incomplete or incorrectly completed may be ACCEPTED, or REJECTED by the Society as follows:
  - 3.8.1 The Stallion Owner is responsible for ensuring the correct information in relation to the mating is completed on the ASH Breeding Certificate. Incomplete ASH Breeding Certificates will be returned to the stallion owner for completion.
  - 3.8.2 Alterations to ASH Breeding Certificates may be accepted providing the change is clearly able to be determined by the Society with only one line through the error, correct information clearly completed. Any acceptable alterations not initialled by the Stallion Owner will be returned to the Stallion Owner.
  - 3.8.3 ASH Breeding Certificates submitted with an Application for Registration and the Society has determined the certificate is incorrect, the certificate will be returned to the Stallion Owner for alteration. Providing the alteration is acceptable by the Society, the altered ASH Breeding Certificate for the purpose of the registration may be accepted.
  - 3.8.4 The use of white out will result in the ASH Breeding Certificate being REJECTED. Inability for the Society to determine the initial information through multiple crossing out of an error will result in the ASH Breeding Certificate being REJECTED. More than one change to the same information will result in the ASH Breeding Certificate being REJECTED.
  - 3.8.5 It is the responsibility of the stallion owner to ensure ALL service agreements require any changes to ASH Breeding Certificates to be initialled by the Stallion Owner.
  - 3.8.6 ASH Breeding Certificates may only be used for one Application for Registration. If an ASH Breeding Certificate is submitted with a second Application for Registration, it will be REJECTED.
- 3.9 It is a matter for the parties involved - stallion (or semen) owner, mare owner or progeny owner; as to who obtains the ASH Breeding Certificate from the Society.
- 3.10 The stallion (or semen) owner and mare owner must negotiate the purchase of and completion date for an ASH Breeding Certificate as part of the service agreement. Any disputes are a matter for the stallion (or semen) owner and mare owner to resolve and not for the Society's involvement. The Society expects that the stallion (or semen) owner would complete and deliver to the mare owner an ASH Breeding Certificate before the foal is born.
- 3.11 When completing an ASH Breeding Certificate, the following MUST BE completed:

- 3.11.1 The name of the mare and stallion and the owner of the mare, date of first and last service, OR authorised insemination season.
- 3.11.2 In the case of a Registered ASH stallion, the signature on the Breeding Certificate must coincide with the signature on Society records as Registered Owner at time of service (or Authorised Agent).
  - 3.11.2.1 If the stallion is owned by multiple members as a result of a syndicate transfer, the ASH Breeding Certificate may be signed by any one member of the syndicate (or authorised agent). The Society will not be involved in any disputes between members of a syndicate; it is for the members of the syndicate to resolve.
- 3.11.3 In the case of an unregistered or non ASH stallion, the Breeding Certificate must be signed by the person who owned the stallion at time of service, or a representative authorised to sign such documentation on behalf of the owner or owner's partnership. Acceptance of the signature is on the understanding that the person submitting the certificate is responsible for such documentation.
- 3.12 ASH Breeding Certificates should be issued as follows:
  - 3.12.1 Original – to be retained by the mare (or resulting progeny) owner.
  - 3.12.2 Duplicate – to be retained by the Stallion (or Semen) Owner.
- 3.13 Once an ASH Breeding Certificate has been issued by the stallion (or semen) owner, the certificate may not be revoked or cancelled.
- 3.14 If a completed ASH Breeding Certificate is lost or misplaced, the owner of the progeny would need to contact the owner of the stallion at time of service for a replacement.
- 3.15 ASH Breeding Certificates must only encompass dates of service within one breeding season (Southern Hemisphere – August to July and Northern Hemisphere – January to December). If a mare is continuously running with or being mated to a stallion for a number of breeding seasons, a certificate must be completed in respect of each breeding season.
- 3.16 An ASH Breeding Certificate will not be accepted with sire or dam indicated as unknown, unless the progeny is being considered under the Base Registry regulations.
- 3.17 From 1st January 2020, ASH Breeding Certificates NOT signed or signed by unauthorised person - the Society reserves the right to accept an Application for Registration that is not accompanied by a properly completed and signed ASH Breeding Certificate.
  - 3.17.1 Should a Sire Registered ASH stallion (or semen) owner at time of service on Society records, not provided a signed ASH Breeding Certificate to the applicant and any of the following circumstances apply:
    - 3.17.1.1 The stallion (or semen) owner has not responded to a Society request to sign a breeding certificate for the said mating within 30 days of the Society issuing the request (letter or email). Correspondence received after 30 days will not be taken into consideration.
    - 3.17.1.2 The stallion (or semen) owner is left address – a Registered Mail or Express Post letter has been returned by Australia Post to the Society.
    - 3.17.1.3 The stallion (or semen) owner is NOT currently a Financial Member of the Society and has been unfinancial for two full consecutive years.
    - 3.17.1.4 The stallion (or semen) owner passed away over twelve months ago. Documentation needs to be provided to the Society to verify passing.
    - 3.17.1.5 The stallion (or semen) owner is a disqualified or suspended member of the Society.
  - 3.17.2 Should an unregistered or non-ASH stallion (or semen) owner, or owner of a Registered ASH stallion (not Sire Registered or DNA profiled), not provide a signed ASH Breeding Certificate, the applicant may request in writing, for Society discretion under this rule. The request should outline the reason for not being able to provide a signed ASH Breeding Certificate and the inability to satisfy all registration requirements. Under such circumstances, the following may apply:
    - 3.17.2.1 If the sire has an Australian DNA profile submitted through the same DNA laboratory and the Society has authorisation to DNA parentage test progeny, the applicant may purchase a DNA kit to enable DNA Testing and Sire Verification of the horse.
      - 3.17.2.1.1 If the sire can be proven by DNA Testing, the Society may accept the Application for Registration, providing all other requirements for registration have been satisfied.
      - 3.17.2.1.2 If a DNA anomaly is reported, the horse would be REJECTED for registration.
    - 3.17.2.2 The Society may consider documented evidence and, if deemed satisfactory, the Society at its discretion may accept the registration. Additional fees for consideration of such cases will apply. Pertinent material for the Society to consider may include the following, the Society may require multiple documents for consideration:
      - 3.17.2.2.1 Registration of the progeny with another breed organisation.
      - 3.17.2.2.2 A service agreement stating the details of the stallion and mare, signed by the stallion (or semen) owner.
      - 3.17.2.2.3 A signed breeding or service record from another Breed Organisation.
      - 3.17.2.2.4 Veterinary Certificate detailing the details of the mare and semen (stallion name) and insemination.
      - 3.17.2.2.5 Copy of an invoice indicating service details, name of stallion and customer with proof of payment.
      - 3.17.2.2.6 Statutory Declaration completed and signed by either the owner of the stallion or mare at time of service (or owner of progeny at time of foaling) with contact details. The declaration must state the name and breeding of the stallion, details of the mare and the period of service (or foaling date).
      - 3.17.2.2.7 If the documentation does not provide sufficient information, the progeny registration may be REJECTED, or depending on eligibility, limited to the Base Registry with sire unknown.

- 3.17.2.2.8 The Society may, should it deem fit, make enquiries of relevant parties and request the provision of any statement in writing, or other pertinent materials to assist with its consideration of the matter.
  - 3.17.2.2.9 Under no circumstances should a breeding agreement or service details be disputed. The applicant submitting the progeny registration may be required to complete a declaration to this effect.
  - 3.17.2.2.10 A DNA sample being submitted to the Society as outlined in rule 3.17.3.
  - 3.17.2.2.11 The acceptance or non-acceptance of an Application for Registration under this regulation shall be a matter for the Society in its absolute discretion, subject to the requirements of this rule.
- 3.17.3 Under the circumstances outlined in rule 3.17, the Society may accept the Application for Registration based on the following:
- 3.17.3.1 At the cost of the applicant seeking registration of the resulting progeny (DNA fee, plus administration fee), the Society will issue a DNA kit to enable DNA Testing and Sire Verification of the progeny, the subject of the application. In the event that parentage can be proven by DNA Testing and Sire Verification in accordance with these Rules, the Society will accept the Application for Registration.
  - 3.17.3.2 Once a DNA kit has been issued, changes to the stallion (or semen) owner's circumstances under this rule will not be taken into consideration.
  - 3.17.3.3 The applicant has 90 days to lodge the DNA sample or the application will be cancelled. Should a second application be submitted, the circumstances of the stallion (or semen) owner identified under this rule must apply at time of progeny application.
  - 3.17.3.4 In situations whereby DNA testing and sire verification is not a viable alternative, the horse subject to the application may be considered as follows:
    - 3.17.3.4.1 Under the Base Registry regulations with sire unknown; or
    - 3.17.3.4.2 Under the First Cross or Base Registry regulations, an unregistered or non-ASH sire, or Registered ASH stallion (not Sire Registered) may be identified on Society records based on documented evidence at the discretion of the Society, where a DNA profile of the sire is not available to the Society.
- 3.17.4 Written statements in relation to 3.17.1.1 by the stallion (or semen) owner must be received within 30 days of the Society issuing a request (ie, letter or email) to provide a signed Breeding Certificate. Statements should outline the circumstances surrounding the reasons for not providing a properly completed and signed ASH Breeding Certificate, together with any other pertinent material that the Board should consider under rule 3.18. The applicant seeking registration of the progeny would then need to apply to the Board under rule 3.18.
- 3.17.5 The provisions of this rule conferring a discretion of the Society to proceed with an Application for Registration without a properly completed and signed ASH Breeding Certificate extend to those circumstances in Rules 14.1 and 14.2 where a properly completed and signed ASH Breeding Certificate is required to be furnished by an applicant for registration or the owner of a registered horse, as the case may be.
- 3.18 From 1st January 2020, ASH Breeding Certificates NOT signed or signed by unauthorised person - the Board reserves the right to accept an Application for Registration that is not accompanied by a properly completed and signed ASH Breeding Certificate.
- 3.18.1 The Society will initially undertake the provision of rule 3.17. If the provisions of rule 3.17 have not resolved the matter, then the Board may review the application under this rule.
  - 3.18.2 The acceptance or non-acceptance of an Application for Registration shall be a matter for the Board in its absolute discretion, subject to the requirements of this rule.
  - 3.18.3 An applicant seeking the Board to exercise its discretion under this rule must make written request to the Board. The applicant shall pay the prescribed appeal fee (non-refundable) in advance. The applicant will also be responsible for payment of any additional expenses incurred by the Society in reviewing the case (including costs for DNA testing, Society seeking legal advice in relation to the matter, additional administration costs and the like).
  - 3.18.4 The applicants request should outline the circumstances surrounding the inability to provide a properly completed and signed ASH Breeding Certificate, together with any other pertinent material that the Board should consider.
  - 3.18.5 The Society will issue to the applicant a DNA kit to enable DNA Testing and Sire Verification of the horse, the subject of the application. The results of the DNA test will be provided to the Board for consideration.
  - 3.18.6 Written statements by the stallion (or semen) owner, submitted to the Society under rule 3.17, will be provided to the Board.
  - 3.18.7 Pertinent material to assist in the Board's consideration may include: copy of signed service agreement, proof of invoice and payment, records of communications or correspondence and the like. Failure to provide information will waive the right for consideration of such facts. Sufficient evidence needs to be provided to determine facts. The most reliable is where disputed facts are proven to be true or false in a court of law.
  - 3.18.8 The applicant must sign a declaration to acknowledge the understanding of regulations, accuracy of information provided, no guarantee of acceptance and the like.
  - 3.18.9 The Board may, should it deem fit, make enquiries of relevant parties and request the provision of any statement in writing or other pertinent material to assist with its consideration of the matter.
  - 3.18.10 After consideration of the circumstances, if the Board is satisfied the applicant through no fault on their own part, or failure to protect their own interests; OR the stallion (or semen) owner is acting in a manifestly unreasonable or capricious way in withholding their signature on a Breeding Certificate, then the Board may:
    - 3.18.10.1 Accept the registration based on the details of the sire and/or dam without a signed ASH Breeding Certificate;
    - 3.18.10.2 Accept the registration with sire unknown under the Base Registry regulations;

3.18.10.3 REJECT the Application for Registration until such times a properly completed and signed ASH Breeding Certificate is provided; or

3.18.10.4 REJECT the Application for Registration as a result of a DNA anomaly.

3.18.11 Should the Board determine that a stallion (or semen) owner has withheld an ASH Breeding Certificate for a manifestly unreasonable or capricious reason, and the requirements of Clause 16 of the Constitution is satisfied, then the Board may refer the matter to the Disciplinary Committee in accordance with that clause.

3.18.12 The provisions of this rule conferring a discretion of the Board to proceed with an Application for Registration without a properly completed and signed ASH Breeding Certificate extend to those circumstances in Section 3, Rules 14.1 and 14.2 where a properly completed and signed ASH Breeding Certificate is required to be furnished by an applicant for registration or the owner of a registered horse, as the case may be.

#### **4 SEMEN OWNERSHIP**

- 4.1 Under these Regulations, reference to a registered owner of a stallion, includes where the horse is the subject of a lease and a Lease Notification has been accepted by the Society (Lessee) and includes any authorised agent.
- 4.2 Any past or present registered owner of a stallion shall be recognised as a possible owner of stored semen and shall be recognised as a Registered Semen Owner without the need for any further action or lodgement of documents with the Society.
- 4.3 When bulk semen is sold by the registered owner of a stallion (past or present), a Semen Ownership Notification must be completed and lodged with the Society to enable another member to be recognised as a Registered Semen Owner for the nominated stallion.
- 4.4 Once recognised as a Registered Semen Owner, the owner may sell semen for the nominated stallion as follows:
  - 4.4.1 The Registered Semen Owner may sell bulk semen and complete and lodge a Semen Ownership Notification to enable another member or members to be recognised as a Registered Semen Owner for the nominated stallion.
  - 4.4.2 When the Registered Semen Owner sells semen for immediate use, the owner must complete and sign an ASH Breeding Certificate for each mare to be inseminated.
- 4.5 The Registered Semen Owner shall be responsible for completion and lodgement with the Society of the Semen Ownership Notification.
- 4.6 For a Semen Ownership Notification to be accepted by the Society, the signature on the notification of a past or present Registered Owner or Registered Semen Owner must be consistent with Society records.
- 4.7 The Semen Purchaser must be a financial member of the Society for the notification to be accepted and duly recorded by the Society.
- 4.8 Once the Society records the Semen Ownership Notification, the Society shall be authorised to accept the signature of Semen Purchaser on any future ASH Breeding Certificates (or Semen) Ownership Notification. The Semen Vendor acknowledges that this authorisation shall be irrevocable. Registered Semen Owners should remain a Financial Member of the Society for completion of ASH Breeding Certificates, otherwise penalties for registration of resulting progeny will apply.
- 4.9 Irrespective of whether a stallion is alive, has passed away, is gelded or is unable to serve mares naturally, stored semen can be used indefinitely, providing the required documents and procedures are completed in accordance with these Regulations.
- 4.10 The Registered Semen Owner can use stored semen for private or commercial use, for either short or long term, providing the required documents and procedures are completed in accordance with these Regulations.
- 4.11 If semen is sold for immediate use, an ASH Breeding Certificate would be completed and signed by the Registered Owner or Registered Semen Owner for each mare being inseminated in the normal manner. It shall be for the parties involved to determine who shall obtain the certificate from the Society.
- 4.12 When a stallion or bulk semen is offered for sale and the vendor retains stored semen for private or commercial use for either short or long term storage, this fact must be disclosed by the vendor at time of sale. It is the responsibility of the purchaser to investigate whether past owners have also retained or sold bulk stored semen. The Society accepts no responsibility in relation to disclosure of stored semen. It is the responsibility of the purchaser to investigate the quantity of semen in storage prior to purchase.
- 4.13 Where a stallion is the subject of a lease, the Society recommends that the owner and lessee specify any terms and conditions in regard to stored semen in the lease agreement. The Society accepts no responsibility in relation to the terms and conditions of a lease agreement.
- 4.14 The Semen Ownership Notification fee should be paid by the Semen Purchaser, or by mutual agreement by the Semen Vendor. If the fee is not attached to the Semen Ownership Notification, it will be assumed that the purchaser will pay. A Semen Ownership Notification will not be recorded until all fees have been paid.
- 4.15 Once the Society has accepted a Semen Ownership Notification, the Society will record the purchaser as a Semen Owner.
- 4.16 The Society has no limitations on the number of mares that may be inseminated, or the number of stored semen owners holding stored semen from a stallion.
- 4.17 It shall be a matter for the Semen Purchaser to satisfy itself as to the quality and identity of the semen. In the case of stored semen sold for export, it shall be the responsibility of the Semen Vendor and the Semen Purchaser to ensure that all necessary quarantine requirements in the exporting and importing countries are complied with.
- 4.18 Agreements in writing are recommended and, without limitation, the following should be considered or addressed:
  - 4.18.1 Agreement in relation to semen collection costs, semen quality, positive pregnancies, live foal guarantees, agreement term, disease, losses, lifespan, quantity, splitting of straws, limitations on mares inseminated, provision of signed documentation, delivery, quarantine and the like are the responsibility of the semen owner and purchaser to negotiate.
  - 4.18.2 Commercial or private usage rights, number of mares/foals to be bred, specified or unlimited breeding seasons and the like. Any disputes of a contractual or financial nature, are not for the Society's consideration.

- 4.18.3 The Society takes no responsibility in respect of any contractual dispute and is unable to assist members in resolving disputes. Members in such situations are advised to seek legal advice if unable to resolve the issues.
- 4.18.4 The Society will not take any action to enforce any semen or insemination agreement, and the parties must protect their own rights in this regard. Members are also advised to protect their interests. Agreements should include all terms and conditions as agreed between the parties.
- 4.18.5 The Society makes no recommendation in relation to semen, including the quantity or quality of semen that survives the freezing process. The Society acknowledges that not all semen is suitable for freezing and this may impair the potential for a mare to produce a positive pregnancy. Members purchasing semen should consult with a veterinarian or qualified person in relation to semen quality.
- 4.18.6 Live foal or positive pregnancy guarantees may be offered by a semen owner. The semen owner may also charge additional fees if an insemination fails and additional semen is provided to attempt another insemination. The semen owner may offer a money back guarantee or charge additional fees on a positive test or live foal. Such conditions should be included in a written agreement.
- 4.19 For Semen Ownership Notifications NOT signed or signed by an unauthorised person - the Board reserves the right to accept and record a Semen Ownership Notification that is not properly completed and signed.
- 4.19.1 The acceptance or non-acceptance of a Semen Ownership Notification shall be a matter for the Board in its absolute discretion, subject to the requirements of this rule.
- 4.19.2 An applicant seeking the exercise by the Board of its discretion under this rule must make written application to the Board outlining the circumstances surrounding the inability to provide a properly completed and signed Semen Ownership Notification and shall pay the prescribed appeal fee (and any additional expenses incurred by the Society in reviewing the matter). The applicant is responsible for providing sufficient written evidence to support the application. .
- 4.19.3 The Board may, should it deem fit, make enquiries of relevant parties and request the provision of any statement in writing or other pertinent material to assist with its consideration of the matter.
- 4.19.4 In the event that the Board is satisfied, after considering such circumstances:
- 4.19.4.1 That the applicant, through no fault on the part of the applicant or failure by the applicant to protect its own interests, has not been able to obtain a Semen Ownership Notification; or
- 4.19.4.2 That a semen owner is acting in a manifestly unreasonable or capricious way in withholding its signature on a Semen Ownership Notification;
- then the Board may in its discretion accept a Semen Ownership Notification.
- 4.20 Should the Board determine that a semen owner has withheld a Semen Ownership Notification for a manifestly unreasonable or capricious reason, and the requirements of Clause 16 of the Constitution are satisfied, then the Board may refer the matter to the Disciplinary Committee in accordance with that clause.
- 4.21 The provisions of this rule, conferring a discretion of the Board to proceed without a properly completed and signed Semen Ownership Notification, extends to the applicant's signature on future ASH Breeding Certificates and Semen Ownership Notifications.
- 4.22 Should a semen vendor have left the last known address and cannot be contacted by the semen purchaser or by the Society, the Society will accept an unsigned Semen Ownership Notification (without the need for the Board to exercise its discretion) if a copy of a signed semen sale agreement previously signed by the semen vendor is provided. In the event a signed semen sale agreement is unable to be provided, the Society will consider any application for registration under the same rules as outlined in 3.17 and 3.18 accordingly.

## 5 **ELIGIBILITY FOR ASH EVENTS, SALES AND AWARDS**

- 5.1 **COMPETITION ELIGIBLE** – Australian Stock Horses will have full competition rights providing the Registered Owner/Lessee is a Financial Member of the Society and the horse has NOT been accepted for registration as Breeding Purposes Only, or is a Foal Recorded horse. Competition Eligibility applies to ASH events and awards, as follows:
- 5.1.1 Events for Australian Stock Horses as conducted by The Australian Stock Horse Society (or any affiliate of the Society).
- 5.1.2 Events for Australian Stock Horses conducted by any organisation or association outside The Australian Stock Horse Society.
- 5.1.3 Sales where eligibility is restricted to Australian Stock Horses.
- 5.1.4 Prizes or awards for Australian Stock Horses offered at any event conducted by:
- 5.1.4.1 The Society (or any affiliate of the Society), or
- 5.1.4.2 Any organisation or association outside The Australian Stock Horse Society.
- 5.2 **NOT COMPETITION ELIGIBLE** – Australian Stock Horses are NOT eligible to compete in any ASH events (including sales where eligibility is restricted to Australian Stock Horses) and is NOT eligible to claim prizes or awards for Australian Stock Horses (at any event) if the following applies:
- 5.2.1 The Registered Owner or Lessee is unfinancial – the horse's registration is SUSPENDED.
- 5.2.1.1 The registration is suspended until such time as the Registered Owner/Lessee is a Financial Member of the Society, or the horse is transferred to a Financial Membership.
- 5.2.2 If Society records indicate the current owner as "unknown", the registration is SUSPENDED until the transfer of ownership is completed to a Financial Member of the Society.
- 5.2.3 Where ownership of a Registered Australian Stock Horse has changed and transfer to the new owner is not finalised within 60 days of the horse changing ownership.
- 5.2.4 Horses Australian Stock Horse Registered as Breeding Purposes Only.
- 5.2.5 Foal Recorded Australian Stock Horses.

### ASHS - RULES AND REGULATIONS

- 5.2.6 The registration has been SUSPENDED or DEREGISTERED by the Board.
- 5.2.7 A horse recorded on Society records as deceased.

## 6 REGISTRATION OF HORSES

### 6.1 Submitting an Application

- 6.1.1 The current owner of the horse must complete an Application for Registration and submit the form to the Society together with the prescribed fee/s. A horse is not considered registered until the fees have been paid, a number allocated and the horse's Certificate issued.
- 6.1.2 Unless an exemption applies (as defined in rule 3), an ASH Breeding Certificate (original, duplicate or copy) must be completed and attached to the Application for Registration, irrespective of whether the sire is a Registered Australian Stock Horse, or not.
- 6.1.3 All horses being registered must result from either a Natural mating, an Artificial Insemination or an Embryo Transfer. Any horse resulting from cloning is not eligible for ASH registration and will be deregistered by the Board and penalties may apply.
- 6.1.4 For registration of any horse born after 1st August 2020, the sire and dam must result from either a Natural mating, an Artificial Insemination or an Embryo Transfer. Any horse born after 1st August 2020, with a sire or dam resulting from cloning, is not eligible for ASH registration and if registered will be deregistered by the Board. The member submitting the application is responsible for observing this rule and penalties may apply.
- 6.1.5 The service dates indicated on the ASH Breeding Certificate (as required) and the foaling date on the Application for Registration must be in accordance with an eleven month gestation period. The service and foaling dates must correspond with foaling dates for other registered progeny out of the same mare (unless an embryo transfer occurred).
  - 6.1.5.1 The average gestation period is considered to be 340 days or 11 months and gestation periods between 320 and 370 days are considered fairly normal.
  - 6.1.5.2 Any foal born less than 300 days from the first service, or greater than 390 days from the last service, will require the resulting progeny to be DNA Tested to verify the accuracy of parentage.
- 6.1.6 To have a horse registered with the Society, the current owner of the horse must be a financial member of the Society at time of application, as well as when the registration is completed.
- 6.1.7 For the prescribed registration fee for foals under 1 year to apply, the Applications for Registration must be received by Head Office, as follows:
  - 6.1.7.1 By 15<sup>th</sup> September for foals born in the Southern Hemisphere, or if born after 1<sup>st</sup> May, an extension until 31<sup>st</sup> December of the same year will apply.
  - 6.1.7.2 By 15<sup>th</sup> February for foals born in the Northern Hemisphere, or if born after 1<sup>st</sup> October, an extension until 31<sup>st</sup> May of the same year will apply.
- 6.1.8 The prescribed fee for registration for progeny 1 year and over is calculated on the horse's birthday, as follows:
  - 6.1.8.1 1<sup>st</sup> August for progeny residing in the Southern Hemisphere.
  - 6.1.8.2 1<sup>st</sup> January for progeny residing in the Northern Hemisphere.
- 6.1.9 The application must be fully completed as indicated and include the following information in relation to the horse: name, sex, colour, foaling date, parentage, markings, brands, microchip (if applicable), owner's details and the like.
- 6.1.10 Owners of eligible newborn foals are advised to submit the Application for Registration after the foal coat has shed (Society recommend a minimum of 4 months of age) to reduce the chance of colour amendments being necessary in the future.
- 6.1.11 The Society will register the horse's name in accordance with the Prefix and Naming of Horses Regulations. If the names submitted are not available, the applicant will be requested to submit a further list of names for consideration.
- 6.1.12 If the dam is ASH registered, the progeny must be registered under the membership that owned or leased the dam at time of foaling. In relation to foals under 365 days old and embryos, the following applies:
  - 6.1.12.1 If a member has purchased a Registered ASH mare with an unregistered foal at foot, the foal can be registered under the new owner's membership. The transfer for the dam must be finalised and indicate the date the dam changed hands as being within 365 days of the foal's birth. No transfer will be required for the foal.
  - 6.1.12.2 If an unregistered foal under 365 days old is sold without the dam, the owner of the dam at time of foaling must complete and sign the Breeder's Declaration (or Transfer Application) on the Application for Registration and registration and transfer fees will apply.
  - 6.1.12.3 In the case of an embryo, the resulting foal must be registered under the membership that owned the donor mare. The only exemption is when the embryo is sold prior to foaling.
  - 6.1.12.4 If the embryo is sold, the purchaser of the embryo may register the resulting foal under their membership providing an Embryo Transfer Sale Notification form has been completed and attached to the Application for Registration for the resulting foal. The prescribed fee for transfer of an embryo will apply.
  - 6.1.12.5 If the Registered Owner of the dam is unfinancial and the unregistered progeny is sold to a Financial member, an Application for Registration will be accepted providing a Transfer Application is completed and signed by the Registered Owner of the dam and submitted with the Application for Registration for the resulting progeny.
  - 6.1.12.6 In regard to any circumstances that lead to an inability to provide signed transfer documentation, members should refer to the Rules & Regulations, Section 6 – Transfer and Leases.
- 6.1.13 If the dam is the ASH parent and is owned by multiple members (at time of foaling) as a result of a syndicate transfer, the progeny may be registered under any one financial member of the syndicate. It is the responsibility of the syndicate to



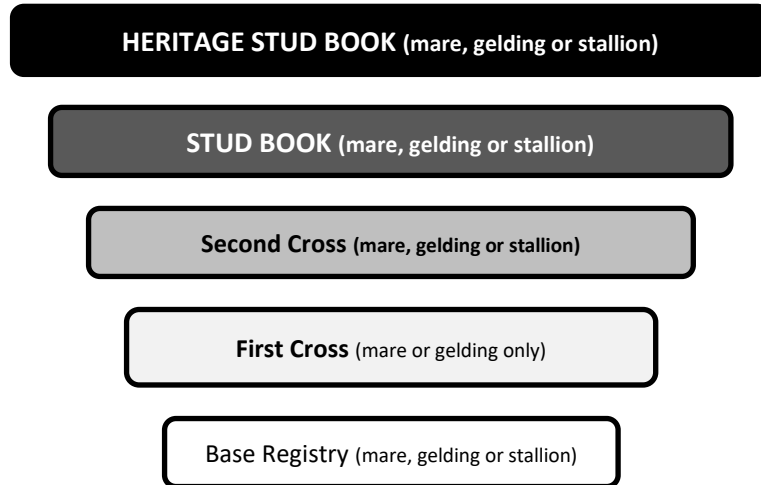
select which member is authorised to register the progeny. The Society will not be involved in any disputes over ownership of progeny; it is for the members of the syndicate to resolve.

- 6.1.14 The member submitting the application must ensure the horse can be positively identified with clear brands as detailed under the Identification of Horses Regulations. Any application which does not indicate the horse is branded in accordance with the regulations, will be considered incorrect.
- 6.1.15 The Society shall have the right to request that a photograph of the horse's brands. It is recommended (not compulsory) that photographs of the horse being registered be attached to the Application for Registration for all types of registrations.
- 6.1.16 The application must accurately disclose all white markings and identifying markings on the horse, in accordance with the Society's Identification of Horses Regulations. The Society shall have the right to request that a photograph of the horse's markings be submitted.
- 6.1.17 Horses pertaining to applications submitted prior 1<sup>st</sup> January 2023, may be required to be DNA parentage or sire verified (sire and/or dam, where available). Any horse reported with a parentage anomaly will be REJECTED. In cases where a sire and/or dam does not have DNA profile available to the Society, parentage may be accepted based on a signed ASH Breeding Certificate or other acceptable proof of service as defined under the rules. A DNA sample and profile may be required for the horse to be registered with the Society, refer to rule 2 – Breeding Methods and rule 12 – DNA Profiles & Screening Tests.
- 6.1.18 All horses pertaining to applications submitted after 1<sup>st</sup> January 2023, must be DNA parentage verified (sire and/or dam, where available). Any horse reported with a parentage anomaly will be REJECTED. In cases where a sire and/or dam does not have DNA profile available to the Society, parentage may be accepted based on a signed ASH Breeding Certificate or other acceptable proof of service as defined under the rules. A DNA sample and profile will be required for the horse to be registered with the Society, refer to rule 12 – DNA Profiles & Screening Tests.
- 6.1.19 All female & entire horses pertaining to Applications for Registration submitted after 1st January 2023, must be Genetic Disorder Tested in accordance with rule 13 – Genetic Disorders prior to registration.
- 6.1.20 Prior to progeny being considered for ASH registration, the sire should be Sire Registered. Otherwise, eligibility of progeny may be effected. If the sire is unregistered or a non-ASH, Sire Registration of the sire is not applicable.
- 6.1.21 Progeny resulting from Artificial Insemination must be DNA Tested and Sire Verified, sire must have a DNA profile. Progeny resulting from an Embryo Transfer must be DNA Tested and Parentage Verified, sire and dam must have a DNA profile. The following exceptions may apply for DNA Sire or Parentage Verification providing sufficient evidence is submitted to the Society to verify breeding:
- 6.1.21.1 The sire and/or dam is not ASH registered and an Australian DNA profile from another breed organisation is not available to the Society for progeny testing.
- 6.1.21.2 The sire and/or dam has no DNA profile and is deceased, unregistered or a non-ASH.
- 6.1.21.3 Penalties may occur if the sire and/or dam has not been DNA profiled, or the DNA profile is not an Australian Stock Horse DNA profile.
- 6.1.22 In the event that a stallion, semen or mare owner is aware that a mare may have been mated with more than one stallion or colt in the same breeding season, the resulting progeny (prior to registration) must be DNA tested and sire verified before the progeny is eligible for registration. It is the responsibility of the stallion (or semen) owner to advise the mare owner of such situations and/or concerns. It is the responsibility of the mare owner to advise the Society when lodging the application for registration of the resulting progeny.
- 6.1.23 Registration applications will be processed by the Society in date received order, unless a priority fee has been paid.
- 6.1.24 The Society retains the right to accept or reject any Application for Registration **and/or breeding certificate** for any eligible horse without assigning a reason.
- 6.1.25 It is the responsibility of the member seeking registration to ensure that all requirements for registration are submitted to the Society. Any Member submitting an application that is incomplete or incorrect, will be contacted by the Society to submit additional information or documentation.
- 6.1.25.1 If the required documentation is provided within 60 days, no additional fees will apply. Otherwise, additional fees will apply.
- 6.1.26 Subject to the following, an Application for Registration will be determined in accordance with the rules and eligibility criteria as at the date the application is submitted to the Society. In the event that the application has not been completed (Certificate of Registration issued) within three months of the date of its submission to the Society (over than by reason of delay on the Society's part), the application will be determined in accordance with the rules and eligibility criteria as at the date of completion.
- 6.1.27 An applicant may withdraw an Application for Registration at any time prior to determination of that application.
- 6.1.27.1 If the application is withdrawn prior to processing of that application, the registration fee, less an administration fee will be refunded.
- 6.1.27.2 If the application is handled by the Society on multiple occasions, the administration fee will increase to cover all administration processes.
- 6.1.27.3 If the application has been completed (Certificate of Registration issued), the registration fee will not be refunded.
- 6.1.28 If a registration fee is not paid in full within three months of the date on which the Application for Registration is submitted to the Society, the applicant will be liable for the fee applicable as at the date of finalisation of that application, calculated having regard to the age of the horse at that time, its registration status and other relevant factors as at that date.

- 6.1.29 When a registration is initially processed, the current owner must advise the Society within 30 days of any errors with the identification of the horse, or anomalies that are inconsistent with the Application for Registration, for amendment at no charge.
- 6.1.30 To obtain registration rights for an unregistered horse, the breeder or current owner must ensure the Application for Registration and/or Transfer is submitted and finalised whilst having ownership of the horse, prior to the horse being offered for sale. Once the unregistered horse has been sold, the vendor surrenders all registration privileges and ASH rights (including registered ownership) to the new owner.

## 6.2 Registration Status, Eligibility and Procedures

- 6.2.1 Levels of registration, listed from highest to lowest, are also known as: Registration status as follows:



### 6.2.2 STUD BOOK

- 6.2.2.1 Progeny resulting from a STUD BOOK Australian Stock Horse mated to a Stud Book or Second Cross Australian Stock Horse may be eligible for Stud Book Registration.
- 6.2.2.2 Progeny resulting from a SECOND CROSS Australian Stock Horse mated to a Stud Book Australian Stock Horse may be eligible for Stud Book Registration.
- 6.2.2.3 For progeny to be eligible for Stud Book registration, the sire must be Sire Registered in accordance with the rules valid at time of service. Sire Registration rules for time of service for Registered ASH sires, is as follows:
- 6.2.2.3.1 From 1<sup>st</sup> August 1988 – Sire Registered
- 6.2.2.3.2 From 1<sup>st</sup> August 2004 – Sire Registered and DNA profiled.
- 6.2.2.3.3 From 1<sup>st</sup> August 2019 – Sire Registered, DNA profiled and 6-panel Genetic Disorder Tested.
- 6.2.2.3.4 If the owner of the sire was unfinancial when the mare was served, a penalty fee will be charged on the registration fee for the resulting foal.
- 6.2.2.4 Horses eligible for registration may be registered at any age.
- 6.2.2.5 Mares, fillies, stallions, colts and geldings are eligible under this rule.
- 6.2.2.6 Subject to the Society's Regulations, the breeding options for Stud Book horses and the registration opportunities for resulting progeny (unless Special Merit applies) are as follows:

<u>Mated to:</u>	<u>Resulting Progeny:</u>
Stud Book	Stud Book
Second Cross	Stud Book
First Cross	Second Cross
Base Registry or Unregistered	First Cross (mare or gelding)
Base Registry or Unregistered	Base Registry (stallion), if criteria applies

### 6.2.3 FOAL RECORDING - discontinued 1<sup>st</sup> August 2015

- 6.2.3.1 The number allocated to Foal Recorded horses is prefixed by "F" or "FX" - depending on the regulations at the time of acceptance. Foal Recorded horses are NOT ELIGIBLE to be shown in Australian Stock Horse events or sold at Approved ASH Sales.
- 6.2.3.2 A Foal Recorded horse may be registered under the current owner's membership on payment of the prescribed fee. The ASH Breeding Certificate (or proof of service) is not required, as it was supplied at time of Foal Recording.

### 6.2.4 BREEDING PURPOSES ONLY - Stud Book (Thoroughbred)

- 6.2.4.1 Eligibility as Breeding Purposes Only is limited to horses registered by a Thoroughbred Stud Book authority, recognised by the International Stud Book Committee (ISBC). Race eligible horses, registered in a Non Thoroughbred Register (or similar), are not eligible under this rule.
- 6.2.4.2 Australian Stud Book -Thoroughbred horses will only be accepted as Breeding Purposes Only – Second Cross, the registration number will be identified as "B2-" and the registration status for breeding purposes is equivalent to Second Cross.
- 6.2.4.3 Horses accepted for Breeding Purposes Only are NOT ELIGIBLE to be shown in any events restricted to Australian Stock Horses.

- 6.2.4.4 Only stallions, colts, mares and fillies are eligible for inspection for registration under this rule
- 6.2.4.5 Horses under this rule must pass inspection by a Society Inspector prior to registration. (Refer Regulations – Inspection of Horses).
- 6.2.4.6 An ASH Breeding Certificate is not required. Thoroughbred registration, breeding and eligibility under this rule can be verified on an official Stud Book Thoroughbred website, or sufficient documentation is provided as proof of Stud Book Thoroughbred registration.
- 6.2.4.7 Horses accepted for Breeding Purposes Only registration (“B2-”) must always be advertised as Breeding Purposes Only and Second Cross status, if at any time sold or used at stud.
- 6.2.4.8 Subject to the Society’s Regulations, the breeding options for Breeding Purposes Only - Second Cross horses (“B2-”) and registration opportunities for resulting progeny (unless Special Merit applies) are as follows:
- | <u>Mated to:</u>              | <u>Resulting Progeny:</u>                     |
|-------------------------------|---|
| Stud Book                     | Stud Book                                     |
| Second Cross                  | Second Cross                                  |
| First Cross                   | First Cross (mare or gelding only)            |
| First Cross                   | Base Registry (stallion), if criteria applies |
| Base Registry or Unregistered | Base Registry, if criteria applies            |
- 6.2.4.9 Subject to the Society’s Regulations, the breeding options for horses previously accepted as Breeding Purposes Only - Stud Book horses (identified as “BP-”, discontinued in 2008) and the registration opportunities for resulting progeny (unless Special Merit applies) are as follows:
- | <u>Mated to:</u>              | <u>Resulting Progeny:</u>                     |
|-------------------------------|---|
| Stud Book                     | Stud Book                                     |
| Second Cross                  | Stud Book                                     |
| First Cross                   | Second Cross                                  |
| Base Registry or Unregistered | First Cross (mare or gelding)                 |
| Base Registry or Unregistered | Base Registry (stallion), if criteria applies |

## 6.2.5 FIRST CROSS

- 6.2.5.1 Progeny resulting from a STUD BOOK Australian Stock Horse mated to a Base Registry Australian Stock Horse, an unregistered horse or a horse registered with another breed may be eligible for First Cross Registration.
- 6.2.5.2 Progeny resulting from a SECOND CROSS Australian Stock Horse mated to a First Cross Australian Stock Horse may be eligible for First Cross Registration.
- 6.2.5.3 Progeny resulting from a FIRST CROSS Australian Stock Horse mated to a First Cross Australian Stock Horse may be eligible for First Cross Registration.
- 6.2.5.4 Progeny resulting from a BASE REGISTRY, Australian Stock Horse mated to a Stud Book Australian Stock Horse may be eligible for First Cross Registration.
- 6.2.5.5 Only mares, fillies and geldings are eligible for inspection and registration as First Cross. Stallions and colts are not eligible under this rule.
- 6.2.5.6 For progeny to be eligible for First Cross registration, in the case of the sire being the ASH registered parent, the sire must be Sire Registered in accordance with the rules valid at time of service. Sire Registration rules for time of service for Registered ASH sires, is as follows:
- 6.2.5.6.1 From 1<sup>st</sup> August 1988 – Sire Registered
- 6.2.5.6.2 From 1<sup>st</sup> August 2004 – Sire Registered and DNA profiled.
- 6.2.5.6.3 From 1<sup>st</sup> August 2019 – Sire Registered, DNA profiled and 6-panel Genetic Disorder Tested.
- 6.2.5.6.4 If the owner of the sire was unfinancial when the mare was served, a penalty fee will be charged on the registration fee for the resulting foal.
- 6.2.5.7 In the case of an unregistered or non-ASH sire, Sire Registration is not applicable and as a result, DNA may not be available to the Society. In which case, sire verification by DNA testing may be waived.
- 6.2.5.8 In the case of the dam being the ASH registered parent, progeny must be initially registered under the membership that owned the dam at time of foaling, then transferred to the current owner. Under such circumstances a signed transfer application is required (Refer Regulations – Transfers).
- 6.2.5.9 Horses eligible for First Cross registration may be registered at any age providing they have passed inspection by a Society Inspector prior to registration, after the horse has been clearly branded.
- 6.2.5.10 All horses accepted for First Cross registration will have full competition rights.
- 6.2.5.11 Horses accepted for First Cross registration (“C1-”) must always be advertised as First Cross, if at any time sold or used at stud.
- 6.2.5.12 Subject to the Society’s Regulations, the breeding options for First Cross horses (identified as “C1-”) and the registration opportunities for resulting progeny (unless Special Merit applies) are as follows:

<u>Mated to:</u>	<u>Resulting Progeny:</u>
Stud Book	Second Cross
First or Second Cross	First Cross (mare or gelding only)
First or Second Cross	Base Registry (Stallion), if criteria applies
Base Registry or Unregistered	Base Registry, if criteria applies

## 6.2.6 BASE REGISTRY (Sub-category of First Cross)

- 6.2.6.1 Horses eligible for the Base Registry must have one parent, one grandparent or two great grandparents as Registered Australian Stock Horses with HERITAGE STOCK HORSE status.
- 6.2.6.2 The registration number for horses accepted under the Base Registry, will be identified as “R-”.
- 6.2.6.3 Mares, fillies, stallions, colts and geldings are eligible under this rule and must pass inspection by a Society Inspector prior to registration, after the horse has been clearly branded. (Refer Regulations – Inspection).
- 6.2.6.4 Stallions registered under the Base Registry must be Sire Registered for progeny to be eligible for registration at a higher level.
- 6.2.6.5 All horses accepted for registration under the Base Registry, will have full competition and sale rights.
- 6.2.6.6 A DNA sample must be submitted to the Society for the horse to be registered. A DNA profile is compulsory, parentage testing (where possible) and genetic disorder testing (where required) are necessary components for progeny applications. Any horse reported with a parentage anomaly will be REJECTED. In cases where a sire and/or dam does not have DNA available, sufficient documentation and evidence must be provided to verify parentage. Refer to rule 3.17.2
- 6.2.6.7 All Base Registry horses will be Genetic Disorder tested. In regards to Genetic Disorder Testing, the following applies:
  - 6.2.6.7.1 Horses testing negative to the required disorder will be accepted.
  - 6.2.6.7.2 Mares and fillies must be Genetic Disorder Tested for Herda. Horses with a single copy of the disorder (carrier) will be accepted and the result noted on the registration. Horses with a double copy of the disorder (affected) will be REJECTED.
  - 6.2.6.7.3 Stallions & colts must be 6 panel Genetic Disorder Tested for OLWS, HERDA, GBED, PSSM1, HYPP and MH. Horses with a double copy of Herda (affected) will be REJECTED. Results for other disorders (positive or negative) will be noted on the registration.
  - 6.2.6.7.4 Geldings do not require Genetic Disorder Testing, unless the gelding has sired progeny. If the gelding has sired progeny, the rules for stallions and colts (including Sire Registration) will apply to enable progeny to be considered for registration.
- 6.2.6.8 Horses with one unknown or unidentified parent (including progeny resulting from a DNA anomaly) may be registered in the Base Registry providing sufficient documentation and/or evidence is provided to verify the other parent. The other parent must have the required breeding for the horse to be eligible in the Base Registry.
- 6.2.6.9 In the event a breeding certificate signed by the stallion owner is unable to be provided, the progeny may be considered under the Base Registry with sire unknown, providing sufficient documentation and/or evidence is provided to verify the dam. The dam must have the required breeding for the horse to be eligible in the Base Registry.
- 6.2.6.10 In the case of a suspended or non-Sire Registered sire (or gelding), progeny may be eligible in the Base Registry providing the progeny has the required breeding for the horse to be eligible in the Base Registry.
- 6.2.6.11 In the event the dam is ASH registered and the required documentation from the Registered Owner of the dam on Society records is unable to be provided, the progeny may be considered for registration and simultaneous transfer under the Base Registry. The dam may be identified on Society records, providing sufficient documentation and/or evidence is provided to the Society’s satisfaction, to identify the sire and dam of the progeny. The sire or dam must have the required breeding for the horse to be eligible in the Base Registry. The progeny registration and transfer may be accepted at the discretion of the Society, providing the following procedures and circumstances apply. An additional administration fee under such circumstances will be payable by the applicant:
  - 6.2.6.11.1 LEFT ADDRESS – a Registered Mail letter has been returned to the Society and new contact details has not been obtainable.
  - 6.2.6.11.2 NOT A FINANCIAL MEMBER for the past two full consecutive years and NOT RESPONDED to the Society’s request for a signed Transfer Application within 30 days.
  - 6.2.6.11.3 PASSED AWAY OVER 24 MONTHS AGO and membership has not been continued by the Estate and has NOT RESPONDED or NOT signed Transfer Application within 30 days. Evidence needs to be provided to verify passing. If no evidence is available or is insufficient, applicant must apply to the Board.
  - 6.2.6.11.4 COURT ORDER clearly identifying the horse and current owner is provided and the owner identified in the court order is seeking registration and transfer of ownership based on the Court Order.
  - 6.2.6.11.5 If a written response is received in relation to any of the above, whereby the dam owner is declining to sign a Transfer Application, the applicant seeking registration of the progeny must apply to the Board. Other circumstances, requiring the applicant to apply to the Board, in relation to the Registered Owner of the dam not signing a transfer may include:
    - 6.2.6.11.5.1 A FINANCIAL member for the past two years and has NOT RESPONDED to the Society’s request for a signed Transfer Application within 30 days.
    - 6.2.6.11.5.2 PASSED AWAY WITHIN 24 MONTHS, and Estate has NOT RESPONDED or NOT signed a Transfer Application within 30 days. Evidence needs to be provided to verify passing. If no evidence is available or is insufficient, the Estate has not responded or address unknown, the applicant must apply to the Board.
    - 6.2.6.11.5.3 Any other scenarios or situations not resolved under these rules.



- 6.2.6.12 In the event the dam is ASH registered and the required documentation from the Registered Owner of the dam (a financial member during the past two years) on Society records is unable to be provided as dam owner objected to signing a transfer, the progeny may be considered under the Base Registry with dam unknown, providing sufficient documentation and/or evidence is provided to verify the sire and an additional administration fee will apply. The sire must have the required breeding for the horse to be eligible in the Base Registry.
- 6.2.6.13 In the event the dam's ASH registration is suspended due to Society records indicating the dam owner as unknown, prior to progeny being born until time of application of progeny, the progeny may be considered under the Base Registry with the dam duly identified, providing sufficient documentation and/or evidence is provided to verify the sire and dam and an additional administration fee will apply. The sire or dam must have the required breeding for the horse to be eligible in the Base Registry.
- 6.2.6.14 The Society will not accept any application for registration where insufficient documentation and/or evidence to the Society's satisfaction is provided by the owner of the stallion at time of service, or owner of mare at time of foaling.
- 6.2.6.15 Horses registered under the Base Registry must always be advertised as Base Registry, if at any time sold or used at stud.
- 6.2.6.16 Subject to the Society's Regulations, the breeding options for Base Registry horses ("R-") and registration opportunities for resulting progeny (unless Special Merit applies) are as follows:

<u>Mated to:</u>	<u>Resulting Progeny:</u>
Stud Book	First Cross (mare or gelding)
Stud Book	Base Registry (Stallion), if criteria applies
Second Cross	Base Registry, if criteria applies
First Cross	Base Registry, if criteria applies

## 6.2.7 SECOND CROSS

- 6.2.7.1 Progeny resulting from a STUD BOOK Australian Stock Horse mated to a First Cross Australian Stock Horse may be eligible for Second Cross Registration.
- 6.2.7.2 Progeny resulting from a SECOND CROSS Australian Stock Horse mated to a Second Cross Australian Stock Horse may be eligible for Second Cross Registration.
- 6.2.7.3 Progeny resulting from a FIRST CROSS Australian Stock Horse mated to a Stud Book Australian Stock Horse may be eligible for Second Cross Registration.
- 6.2.7.4 For progeny to be eligible for Second Cross registration, in the case of the sire being the ASH registered parent, the sire must be Sire Registered in accordance with the rules valid at time of service. Sire Registration rules for time of service for Registered ASH sires, is as follows:
- 6.2.7.4.1 From 1<sup>st</sup> August 1988 – Sire Registered
- 6.2.7.4.2 From 1<sup>st</sup> August 2004 – Sire Registered and DNA profiled.
- 6.2.7.4.3 From 1<sup>st</sup> August 2019 – Sire Registered, DNA profiled and 6-panel Genetic Disorder Tested.
- 6.2.7.4.4 If the owner of the sire was unfinancial when the mare was served, a penalty fee will be charged on the registration fee for the resulting foal.
- 6.2.7.5 Horses eligible for registration may be registered at any age.
- 6.2.7.6 Mares, fillies, stallions, colts and geldings are eligible under this rule.
- 6.2.7.7 All horses accepted for Second Cross registration will have full competition rights.
- 6.2.7.8 Horses accepted for Second Cross registration ("C2-") must always be advertised as Second Cross, if at any time sold or used at stud.
- 6.2.7.9 Subject to the Society's Regulations (including Sire Registration), the breeding options for Second Cross horses and the registration opportunities for resulting progeny (unless Special Merit applies) are as follows:

<u>Mated to:</u>	<u>Resulting Progeny:</u>
Stud Book	Stud Book
Second Cross	Second Cross
First Cross	First Cross (mare or gelding)
First Cross	Base Registry (stallion), if criteria applies
Base Registry or Unregistered	Base Registry, if criteria applies

## 6.2.8 SPECIAL MERIT (Sub-category of Second Cross) – being phased out, must be born before 1<sup>st</sup> August 2021

- 6.2.8.1 Horses eligible for Special Merit registration must have Registered Australian Stock Horses with Stud Book status on both sides of the horse's pedigree within two generations of the horse that is being registered. The Australian Stock Horse breeding must appear at least twice on one side of the pedigree and once on the other side of the pedigree.
- 6.2.8.2 Eligible horses born before 1<sup>st</sup> August 2021 are eligible for registration under this rule. After that date, eligible horses can only be registered before attaining the age of 2 years. Special Merit Registration will be discontinued for all horses on 1 August 2022.
- 6.2.8.3 Horses accepted under the Special Merit regulations will be accepted equivalent to Second Cross and the registration number will be identified as "C2-".
- 6.2.8.4 For progeny to be eligible under the Special Merit rules, in the case of the sire being an ASH registered parent, it is not compulsory for the sire to be Sire Registered.

## ASHS - RULES AND REGULATIONS

- 6.2.8.5 All horses accepted for registration under the Special Merit category, will have full competition rights.
- 6.2.8.6 Mares, fillies, stallions, colts and geldings are eligible under this rule.
- 6.2.8.7 Horses eligible for Special Merit registration may be registered at any age and must pass inspection by a Society Inspector prior to registration, after the horse has been clearly branded. (Refer Regulations - Inspection).
- 6.2.8.8 Horses under the Special Merit regulations as Second Cross ("C2-") must always be advertised as Second Cross, if at any time sold or used at stud.
- 6.2.8.9 Subject to the Society's Regulations, the breeding options for Second Cross horses ("C2-") and registration opportunities for resulting progeny (unless Special Merit applies) are as follows:

<u>Mated to:</u>	<u>Resulting Progeny:</u>
Stud Book	Stud Book
Second Cross	Second Cross
First Cross	First Cross (mare or gelding)
First Cross	Base Registry (stallion), if criteria applies
Base Registry or Unregistered	Base Registry, if criteria applies

- 6.2.8.10 Subject to the Society's Regulations, the breeding options for horses previously accepted as Special Merit - Stud Book horses (identified as "SM-", discontinued in 2008) and the registration opportunities for resulting progeny (unless Special Merit applies) are as follows:

<u>Mated to:</u>	<u>Resulting Progeny:</u>
Stud Book	Stud Book
Second Cross	Stud Book
First Cross	Second Cross
Base Registry or Unregistered	First Cross (mare or gelding)
Base Registry or Unregistered	Base Registry (stallion), if criteria applies

## 6.2.9 REGISTRATION FOR ELIGIBLE HORSES – APPROVED BY BOARD

- 6.2.9.1 The Board reserves the right to accept any Application for Registration, that does not satisfy all requirements as specified in the regulations, subject to the requirements of this rule. The acceptance or non-acceptance of an Application for Registration shall be a matter for the Board in its absolute discretion.
- 6.2.9.2 The pedigree of the horse must qualify the horse as eligible for Base Registry, First Cross, Second Cross, Breeding Purposes or Stud Book registration. Under no circumstances, should the identity or pedigree of the horse be disputed.
- 6.2.9.3 Any member may apply for consideration of extra-ordinary circumstances whereby procedural requirements for registration are unable to be satisfied. These circumstances must be fully disclosed for the Board's consideration and the Society reserves the right to investigate such claims.
- 6.2.9.4 A member seeking the exercise by the Board of its discretion under this rule must make written application to the Board outlining the circumstances surrounding the inability to satisfy all requirements and shall pay the prescribed appeal fee (non-refundable) in advance. The applicant will also be responsible for payment of any additional expenses incurred by the Society in reviewing the case.
- 6.2.9.5 The member making application under this rule is responsible for providing sufficient evidence to support their application. Failure to present documentation for the Society's consideration will waive the right for consideration of such facts.
- 6.2.9.6 The Board and/or Society may, should it deem fit, make enquiries of relevant parties and request the provision of any statement in writing or other pertinent material to assist with its consideration of the matter.
- 6.2.9.7 In the event that the Board is satisfied, after considering such circumstances:
  - 6.2.9.7.1 That the applicant, through no fault on the part of the applicant or failure by the applicant to protect its own interests, has not been able to satisfy the requirements; or
  - 6.2.9.7.2 That other parties are acting in a manifestly unreasonable or capricious way in withholding completion of necessary documents;
  - 6.2.9.7.3 then the Board may in its discretion accept an Application for Registration, without lodgement of specified documents.
- 6.2.9.8 The Board will determine the applicable registration status before accepting a horse for registration as Base Registry, First Cross, Second Cross, Breeding Purposes or Stud Book.
- 6.2.9.9 Should the Board determine that a member has withheld documents required for registration of eligible progeny for a manifestly unreasonable or capricious reason; then member may be bought before the Disciplinary Committee and/or fined by the Board.
- 6.2.9.10 The Society reserves the right to deregister a horse accepted under this rule if the application is found to be false in any way. Any member found to be making a false claim or a claim that could be considered to be malicious could be referred to the Disciplinary Committee.

## 7 PEDIGREE AMENDMENTS AND REGISTRATION UPGRADES

- 7.1 Any requests for amendments or additions to breeding records must be submitted to the Board of Directors for consideration, with sufficient evidence, for approval or otherwise. The applicant will also be responsible for payment of the prescribed appeal fee (non-refundable) in advance, along with any additional expenses incurred by the Society in reviewing the case.
- 7.2 Registered Owners of Base Registry, First and Second Cross horses may apply for a horse to be upgraded under the following circumstances:

- 7.2.1 Since registration, an unregistered ancestor has been ASH registered (same name & pedigree) and as a result, progeny are eligible under a higher level (ie, First Cross, Second Cross or Stud Book).
- 7.2.2 Provided the required documentation is provided and the prescribed fee has been paid, the horse may be upgraded as follows:
  - 7.2.2.1 A letter requesting a Breeding Upgrade must be submitted to the Society together with the horse's Original Certificate of Registration.
  - 7.2.2.2 The name and pedigree of the unregistered ancestor recorded on the registration must be consistent with the registered horse of the same name and pedigree. If the name or pedigree is not consistent, the request must be considered by the Board.
  - 7.2.2.3 Under no circumstances, should the identity of ancestors, or pedigree of the horse, be disputed or unclear. Such cases need to be reviewed by the Board.
- 7.2.3 The registration status for Breeding Purposes Only horses (including competition status) cannot be changed.

## **8 PREFIX REGISTRATION**

- 8.1 It is recommended that members breeding a number of horses on a yearly basis register a Prefix for the following reasons:
  - 8.1.1 Creates an individual identity for the member and their horses as an Australian Stock Horse stud.
  - 8.1.2 It is a perfect way of recognising the stud and horses bred for years to come.
  - 8.1.3 It provides a convenient and simple way to name horses.
  - 8.1.4 The performance of horses bred by the stud and overall success of the stud are easily recognised.
  - 8.1.5 At sales, horses bred or appearing in pedigrees are easily identified as being from the stud.
  - 8.1.6 It is a way of promoting the stud and all it has to offer, under one identity.
- 8.2 A Prefix is the initial part of a horse's name. From 1<sup>st</sup> April 2006, members may register a Prefix for standard naming of horses, or use a different name (including Prefix) for each horse registered.
- 8.3 The Board may REJECT a prefix without providing a reason or explanation. Any prefix approved in error, inconsistent with the regulations at time of registration must be amended. No fees will apply.
- 8.4 Prefixes of an offensive nature will not be considered.
- 8.5 The member must complete a Prefix Application and submit the application to the Society together with the prescribed fee.
- 8.6 From 1<sup>st</sup> April 2002, a Prefix must be of one word only.
- 8.7 Initials are not acceptable as a prefix, unless stated otherwise below:
  - 8.7.1 Initials are allowed for members with initials registered as a trademark, government departments and/or agricultural colleges.
- 8.8 Prefixes that sound phonetically similar will not be permitted.
- 8.9 Once a prefix is registered, a singular or plural form of the prefix becomes unavailable.
- 8.10 For a prefix to be eligible for registration and an individual identity to be created, the requested prefix must not have been used more than ten times.
- 8.11 The registered owner of the prefix may notify the Society, in writing, that the prefix may be allocated to a particular horse where a registered owner of the prefix has been involved with the breeding or ownership of the horse in question.
- 8.12 The registered owner of the prefix may notify the Society, in writing, that a family member, business partner or devoted friend is permitted to dual register the prefix for the purpose of registering horses under their membership. To dual register a prefix, the following is required:
  - 8.12.1 The nominee of the membership must provide written authorisation for another member to dual register a prefix for his/her use.
  - 8.12.2 If giving another member the authority to dual register the prefix, the original member also gives the right for members with dual registration status to authorise other members to use the prefix in accordance with the regulations as an owner of the prefix.
  - 8.12.3 The fee for dual registration of a prefix to another membership is as follows:
    - 8.12.3.1 Immediate family members – no fee is applicable. The written authorisation for dual registration of the prefix must include that the members concerned are immediate family members.
    - 8.12.3.2 Outside the immediate family – the prescribed fee for prefix registration must be paid. It is an agreement between the parties concerned as to who pays the fee.
- 8.13 A prefix is suspended when the registered owner is unfinancial. A suspended prefix is unable to be used when naming any horse.
- 8.14 A prefix will be deregistered if the owner of the prefix has been unfinancial for fifteen consecutive years. Once deregistered, the prefix (or use of the prefix) may become available to another member.
- 8.15 A prefix, which has been used in the naming of 40 horses or comes before an Impact or Foundation Stallion or Mare, will be deemed a significant prefix. A significant prefix cannot be deregistered or reallocated to any other member, except under prefix regulations **8.11 and 8.12**.
- 8.16 In the event that one or more registered prefixes are deemed to be conflicting, the Board will review the applications and may deregister a prefix if deemed conflicting. In such circumstances, priority will be given to the earlier-registered prefix.

## **9 NAMING OF HORSES**

- 9.1 The Board may REJECT the name of a horse without providing a reason or explanation. Names of an offensive nature will not be considered.

- 9.2 A Prefix is the initial part of a horse's name. From 1<sup>st</sup> April 2006, members may register a Prefix for standard naming of horses, or use a different name (including Prefix) for each horse registered.
- 9.3 A horse's name, including the Prefix, will be no longer than thirty spaces, allowing a space for every letter and a space between words.
- 9.4 A horse will not be accepted for registration unless it has been allocated a name.
- 9.5 A horse's name will not be accepted if it has already been registered with the Society.
- 9.6 A horse's name will not be accepted if it contains any punctuation marks or any other symbol.
- 9.7 Names that sound phonetically similar will not be permitted.
- 9.8 A horse's name will not be accepted if the prefix is an initial; eg. B J Lady. However, the names Bee Jay Lady or Lady BJ are acceptable.
- 9.9 A horse's name will not be accepted if the name contains numerals. However, Roman numerals, as a suffix, are acceptable; eg Bee Jay Lady II.
- 9.10 A horse's name will not be accepted if another member of the Society has already registered the prefix – singular or plural.
- 9.11 From 1<sup>st</sup> April 2006, when using a registered prefix to name a horse, the prefix must be used "as registered" and not changed in any way.
- 9.12 From 1<sup>st</sup> April 2006, a member is unable to use a standard word when naming horses unless registered as a prefix.
- 9.13 A horse's name, once registered, cannot be changed or altered in any way whatsoever, unless the following exceptions apply:
  - 9.13.1 In exceptional circumstances, where the Owner and Board of Directors agree that a horse's name is offensive in nature within the country the horse resides, the horse's name may be approved for change. For the name change to be accepted the member who registered the horse (if financial) must agree to the change (in writing) and the owner must declare that the horse has not been used for breeding purposes. The member seeking the exercise by the Board of its discretion under this rule must make written application to the Board outlining the offensive nature and shall pay the prescribed appeal fee (non-refundable) in advance. The applicant will also be responsible for payment of any additional expenses incurred by the Society in reviewing the case.
  - 9.13.2 Applicants be allowed an opportunity to change their minds and amend a horse's name within 30 days of registration, providing the horse has not been shown or sold as a Registered Australian Stock Horse. An amendment fee will apply.
  - 9.13.3 Any horse name approved in error, inconsistent with the regulations at time of registration must be amended. No fees will apply.
- 9.14 To obtain Australian Stock Horse registration naming rights for an unregistered horse, the breeder or current owner must ensure that the Application for Registration is submitted and finalised whilst having ownership of the horse and prior to the horse being offered for sale. Once the unregistered horse has been sold, the vendor surrenders the naming rights of the horse to the new owner.

## 10 **SIRE REGISTRATION**

- 10.1 All Registered ASH stallions being used for breeding from 1st August 2019 must be Sire Registered, DNA Recorded and 6 panel Genetic Disorder Tested (OLWS, HERDA, HYPP, PSSM1, MH, GBED). All fees must have been paid and completion of the DNA Profile and Genetic Disorder results recorded with the Society.
  - 10.1.1 From 1st August 2019, Sire Registration of an ASH stallion, not DNA Recorded and Genetic Disorder Tested, is SUSPENDED until the stallion has been DNA Recorded and Genetic Disorder Tested.
- 10.2 All Registered ASH stallions being used for breeding from 1st August 2004 to 31st July 2019 must be Sire Registered and DNA Recorded. All fees must have been paid and completion of the DNA Profile recorded with the Society.
  - 10.2.1 From 1st August 2004, Sire Registration of an ASH stallion, not DNA Recorded, is SUSPENDED until the stallion has been DNA Recorded.
- 10.3 For progeny to be eligible for Stud Book and Second Cross registration, the Registered ASH sire must be Sire Registered in accordance with the rules valid at time of service.
- 10.4 For progeny to be eligible for First Cross registration, in the case of the sire being an ASH registered parent, the sire must be Sire Registered in accordance with the rules valid at time of service.
- 10.5 For progeny to be eligible under the Special Merit or Base Registry rules, in the case of the sire being an ASH registered parent, it is not compulsory for the sire to be Sire Registered. In the case of an unregistered or non-ASH sire, Sire Registration is not applicable.
- 10.6 Sire Registration rules for Registered ASH sires for time of service for resulting progeny, is as follows:
  - 10.6.1 From 1st August 2019 – Sire Registered, DNA profiled and 6-panel Genetic Disorder Tested.
  - 10.6.2 From 1st August 2004 – Sire Registered and DNA profiled.
  - 10.6.3 From 1st August 1988 – Sire Registered
- 10.7 If the owner of the sire was unfinancial when the mare was served, a penalty fee will be charged on the registration fee for the resulting foal.

## 11 **DNA SAMPLE COLLECTION**

- 11.1 The DNA testing fee must be paid to the Society, before a DNA kit will be issued by the Society and prior to the DNA sample being collected.
- 11.2 DNA Testing by the Society is available as follows:
  - 11.2.1 Registered Australian Stock Horses, or
  - 11.2.2 Horses eligible for ASH registration and an Application for Registration has been submitted to the Society, or



- 11.2.3 Collecting and processing a DNA sample for an unregistered horse will be limited to cases where DNA of the unregistered horse is pertinent to an Application for Registration for an eligible horse. An Application for Registration for the eligible horse must be submitted, with payment for all applicable fees, in addition to DNA and an administration fee for any unregistered horse. The Society reserves the right to accept or reject such applications.
- 11.3 The Registered Owner (or authorised agent) with a witness may collect the sample. The witness must be an adult person, 18 years or over. A Veterinarian is not required to collect the DNA sample.
- 11.4 STEP 1 – The owner and witness to check that the horse’s Certificate of Registration (or copy of Application for Registration) matches exactly the horse presented for DNA collection.
- 11.5 STEP 2 – Collection of a hair samples as follows:
- 11.5.1 Approximately 50 hairs are to be pulled from the horse’s mane or tail by wrapping the hair around a finger or a clean mane comb.
- 11.5.2 The hair should be grasped close to the horse’s body to ensure that at least 5 cm of hair with roots is obtained. If the hair is pulled evenly and directly away from the horse’s body, it should come out by the roots rather than breaking off.
- 11.5.3 THE HAIR ROOTS ARE NOT TO BE TOUCHED. The ends should be examined closely to ensure the hair roots are present. A magnifying glass should be used if necessary. Approximately 50 hairs are required and at least half of the sample should have roots.
- 11.5.4 Place the hairs on the DNA – Hair Sample Card as indicated. Place the horse identification label vertically over the shafts of hair to hold them in place - do not cover the hair follicles and avoid damaging the root hair follicles.
- 11.5.5 It is imperative that the DNA – Hair Sample Card with hair sample attached is sealed immediately into the resealable bag, without coming into contact with any other surface. Use only one card/sample per resealable bag.
- 11.5.6 Place the plastic bag containing the sample into the envelope addressed to: Australian Equine Genetics Research Centre and seal the envelope. DO NOT leave the envelope in direct sunlight, or subject to heat.
- 11.6 STEP 3 – The DNA – Identification Card must be completed, illustrating the brands and white markings of the horse which the sample was taken (shaded in clearly and accurately). Any indentations, scars or hair whorls should be completed accordingly. This description must match exactly the horse’s Certificate of Registration.
- 11.6.1 The Registered Owner of the horse and the witness must both sign the declaration contained on the DNA - Identification Card.
- 11.6.2 The DNA - Identification card and the horse’s Certificate of Registration (or copy of Application for Registration) must be placed in the envelope addressed to The Australian Stock Horse Society Limited and seal the envelope.
- 11.7 STEP 4 – Ensure that both envelopes are posted immediately. A DNA sample will be considered null and void if the DNA – Identification Card has not been correctly completed and another DNA sample will be required, in addition to payment of a second DNA kit.
- 11.8 Only under exceptional circumstances, semen may be submitted in lieu of submitting a hair sample. Circumstances relating to this request must be initially authorised by the Society, so approval can be endorsed and instructions can be provided.

## 12 **DNA PROFILES AND SCREENING TESTS**

- 12.1 DNA testing for parentage verification (where required) will be limited to a parent(s) DNA profile, where the parent’s DNA sample was submitted with ASHS. The only exemption being as follows:
- 12.1.1 A DNA sample has been submitted in Australia, through another Breed organisation using the same DNA laboratory the Society uses; and the Society has been authorised to parent verify progeny for the purpose of ASH registration.
- 12.1.2 In the case of a new application for registration, irrespective of the breeding method used, parentage may be accepted based on a signed ASH Breeding Certificate, or circumstances outlined in rule 3.7 and would be considered at time of registration as follows:
- 12.1.2.1 If the sire is a Sire Registered ASH, the sire must be DNA profiled and progeny Sire Verified. In the event a DNA sample or profile for the sire is not available to the Society, the owner of the progeny must apply under rule 6.2.8 REGISTRATION FOR ELIGIBLE HORSES – APPROVED BY BOARD, as the application does not satisfy all requirements for registration.
- 12.1.2.2 If the sire is not Sire Registered, the progeny may be DNA profiled only and the progeny may only be eligible for Base Registry registration, providing the progeny is eligible under this category.
- 12.1.2.3 If the sire is a non-ASH or an unregistered stallion, the progeny may be DNA profiled only and the progeny may be eligible for First Cross or Base Registry registration, depending on eligibility under these categories.
- 12.1.2.4 If the dam is ASH registered and Dam Verification is compulsory, the dam must be DNA profiled and progeny Dam Verified. In the event a DNA sample or profile for the dam is not available to the Society, the owner of the progeny must apply under rule 6.2.8 REGISTRATION FOR ELIGIBLE HORSES – APPROVED BY BOARD, as the application does not satisfy all requirements for registration.
- 12.1.2.5 If the dam is a non-ASH or an unregistered mare, the progeny may be DNA profiled only and the progeny may only be eligible for First Cross or Base Registry registration, providing the progeny is eligible under these categories.
- 12.1.3 For previously Registered Australian Stock Horses and a DNA profile for the sire is not authorised or not existing, the progeny would be DNA profiled or dam verified (if available) and unless an anomaly is detected, the pedigree would remain as registered.
- 12.1.4 For previously Registered Australian Stock Horses and a DNA profile for the dam is not authorised or not existing, the progeny would be DNA profiled or sire verified (if available) and unless an anomaly is detected, the pedigree would remain as registered.

- 12.2 DNA profiles accepted by the Society prior to 1st January 2023 from other Breed Organisations, will be recorded on the Australian Stock Horse registration. It is recommended, owners requiring parentage verification should ensure both parents have a DNA profile submitted through The Australian Stock Horse Society Limited.
- 12.3 From 1st January 2023, horses being DNA profiled, parentage or genetic tested, must lodge a DNA sample through the Society.
- 12.4 DNA tests will be accepted if the DNA sample has been correctly submitted as required under these regulations. Any horse identified as a DNA parentage anomaly will be rejected for ASH registration.
- 12.5 DNA Tests are "exclusion" tests that with nearly absolute certainty prove that an individual is not the offspring of a specified sire or dam by excluding a falsely attributed foal as being the offspring of its putative parents after typing it and its putative parents.
- 12.6 Definitions in relation to DNA Recording and processing of DNA samples for horses are as follows:
- 12.6.1 DNA Testing – A process to identify one horse's individual DNA and compares the DNA data with parents to enable the horse in question to be Parentage Verified, Sire Verified or Dam Verified.
- 12.6.1.1 From 1<sup>st</sup> August 2013, all DNA samples submitted for horses (any age) will be DNA Tested (sire and/or dam) if the Society has access to a DNA profile for the sire and/or dam of the horse at the time of testing.
- 12.6.2 DNA Profile – A process to identify one horse's individual DNA, so that future progeny can be DNA Tested. Parentage details in these circumstances are not compared through DNA testing and will be based on the information provided on or with the Application for Registration. The horse's registration will be updated to indicate "Not Parentage Verified".
- 12.6.3 Parentage Verification – Is a process that tests whether a given foal cannot be excluded (and therefore qualifies) as the offspring of its sire and dam by applying laws of inheritance to the genetic constitution of the animals concerned – foal, sire and dam. The horse's registration will be updated to indicate "Parentage Verified".
- 12.6.4 Sire Verification – Also known as Paternal Verification, is a process that tests whether a given foal cannot be excluded (and therefore qualifies) as the offspring of its sire by applying laws of inheritance to the genetic constitution of the animals concerned – foal and sire. The horse's registration will be updated to indicate "Sire Verified Only".
- 12.6.5 Dam Verification – Also known as Maternal Verification, is a process that tests whether a given foal cannot be excluded (and therefore qualifies) as the offspring of its dam by applying laws of inheritance to the genetic constitution of the animals concerned – foal and dam. The horse's registration will be updated to indicate "Dam Verified Only".
- 12.7 The Society will publish DNA parentage results (sire and/or dam) on the horse's Certificate of Registration and the Online Stud Book. The Society will not release genetic marker information.

## 13 GENETIC DISORDERS

### 13.1 Screen Tests & Results

- 13.1.1 The Society in its sole discretion may test any horse at any time for Genetic Disorders and/or Parent Verification. Any sample being tested for Genetic Disorders must be DNA profiled. The sample will be parentage tested, when a DNA profile for the sire and/or dam is available.
- 13.1.2 The Society will publish Genetic Disorder results on the horse's Certificate of Registration and the Online Stud Book. The Society will not release genetic marker information.
- 13.1.3 The standard test for stallions is a 6 panel Genetic Screening test (mares and geldings optional) for the following disorders:
- 13.1.3.1 **OLWS** - Overo Lethal White Syndrome is an inherited syndrome of foals born to parents of the overo coat-pattern lineage. Test results as follows:
- 13.1.3.1.1 Homozygous O/O - Affected horses are totally or almost totally white and die within days.
- 13.1.3.1.2 Heterozygous n/O – Carrier horses remain healthy and unaffected but are carriers and display patches of white coat colour known as "frame overo".
- 13.1.3.1.3 Negative n/n – Normal horses.
- 13.1.3.2 **HERDA** - Hereditary Equine Regional Dermal Asthenia is a severe skin blistering and lesions leading to secondary infections and early death. Test results as follows:
- 13.1.3.2.1 Homozygous Hr/Hr – Affected horses.
- 13.1.3.2.2 Heterozygous n/Hr - Carrier horses.
- 13.1.3.2.3 Negative n/n – Normal horses.
- 13.1.3.3 **HYPPE** - Hyperkalemic Periodic Paralysis Disease is a muscular disease caused by an inherited genetic mutation. HYPPE is a dominant disorder. Symptoms include muscle twitching, unpredictable paralysis attacks which can lead to sudden death and respiratory noises. Test results as follows:
- 13.1.3.3.1 Homozygous H/H – Affected horses are genetically bound to pass the dominant gene to 100% of their progeny when bred and all foals will be HYPPE horses.
- 13.1.3.3.2 Heterozygous n/H – Affected horses are affected with the HYPPE genetic disorder and there is a 50% chance this horse will pass a HYPPE allele to its offspring.
- 13.1.3.3.3 Negative n/n – Normal horses.
- 13.1.3.4 **PSSM1** - Polysaccharide Storage Myopathy. Chronic exercise induced muscle breakdown (exertional rhabdomyolysis). Severity modified by other genes and environmental factors. PSSM1 is associated with a mutation in the GYS1 gene. Test results as follows:
- 13.1.3.4.1 Homozygous P1/P1- Affected horses.
- 13.1.3.4.2 Heterozygous n/P1 - Affected horses.
- 13.1.3.4.3 Negative n/n - Normal horses.



- 13.1.3.5 **MH** - Malignant Hyperthermia. Disorder of skeletal muscle leading to tying up, elevated body temperature and adverse reactions to anaesthetic. MH has been associated with a mutation in the RyR1 gene. This mutation has also been found to increase the severity of PSSM when both the MH and PSSM1 mutations are present in the same horse. Test results as follows:
- 13.1.3.5.1 Homozygous Mh/Mh- Affected horses.
- 13.1.3.5.2 Heterozygous n/Mh - Affected horses.
- 13.1.3.5.3 Negative n/n - Normal horses.
- 13.1.3.6 **GBED** - Glycogen Branching Enzyme Deficiency is a metabolic genetic disease that is fatal in foetal and neonatal stages. GBED has been associated with a mutation in the GBE1 gene. Test results as follows:
- 13.1.3.6.1 Homozygous Gb/Gb- Affected horses.
- 13.1.3.6.2 Heterozygous n/Gb - Carrier horses.
- 13.1.3.6.3 Negative n/n - Normal horses.
- 13.1.4 Normal horses are not affected and will not pass it on to offspring, unless mated to a carrier or affected horse.
- 13.1.5 Carrier horses mated to normal horses have a 50% chance of spreading disease as a carrier to its offspring. When two carrier horses are mated, the chance of spreading the disease increases to 50% carrier and 25% affected. If a carrier is mated to an affected horse, the chance of spreading the disease increases to 50% carrier and 50% affected.
- 13.1.6 Affected horses will pass the disease onto 100% of its offspring.
- 13.1.7 For welfare reasons, the Society strongly recommends carriers of Genetic Disorders are not mated to another carrier or affected horse.
- 13.1.8 The Society may accept or act on Genetic Disorder results from other Associations, or organisations with similar objectives to the Society.
- 13.1.9 Horses recording a positive result for Genetic Disorders as a carrier or affected, with the Society or other association, must be disclosed at sales (private or auction) and all breeding opportunities.
- 13.1.9.1 The Society recommends any disclosure be in writing and signed by both parties involved.
- 13.1.9.2 Failure to disclose may result in the owner being liable for civil action.
- 13.1.9.3 In the case of a personal transaction where failure to disclose is proven in court, OR through an Approved ASH Sale where failure to disclose has been identified and verified; the following apply:
- 13.1.9.3.1 Owner's 1<sup>st</sup> Offence, the ASHS membership of the registered owner of the horse must pay to the ASHS a fine of \$1,000.
- 13.1.9.3.2 Owner's 2<sup>nd</sup> Offence, the ASHS membership of the registered owner of the horse will be suspended for a period of 13 months and the owner must pay to the ASHS a fine of \$1,000.
- 13.1.9.3.3 Owner's 3<sup>rd</sup> Offence, the ASHS membership of the registered owner shall be liable for expulsion under the provisions of Clause 16 of the Constitution of the ASHS.
- 13.1.10 In implementing the provisions of the rules relating to Genetic Disorders, the Society relies on the results provided by independent genetic testing laboratories. The Society accepts no liability for the accuracy of the results provided to it by any testing laboratory, or for any error or omission therein. The Society expressly disclaims any liability in respect of any loss or damage sustained by any person that may arise directly or indirectly as a result of any such inaccuracy, error or omission. If a member wishes a test to be reviewed or repeated the member must request, within twenty-eight (28) days of notification of any such test result, the Society to arrange for the review or repeat of the test.

## 13.2 Sire Registered Stallions

- 13.2.1 Sire Registered stallions (alive (or semen) in storage) must be 6-panel Genetic Disorder Tested (OLWS, HERDA, HYPP, PSSM1, MH, GBED) by 1<sup>st</sup> August 2019. The Sire Registration of any stallion not tested by the required date will be **SUSPENDED**. The Sire Registration will be reinstated, after the genetic testing is completed, providing the owner is a financial member.
- 13.2.2 Results will be recorded on the horse's registration on the Online Stud Book. In regards to the horse's ORIGINAL Certificate of Registration, the following applies:
- 13.2.2.1 For any horse testing **NEGATIVE** to all genetic disorders (n/n), the Certificate is not required to be returned to the Society.
- 13.2.2.2 For any horse returning a **POSITIVE** result, the Certificate must be returned to the Society. The Certificate will be updated to indicate the full results.
- 13.2.3 With stallions Sire Registered prior to 1<sup>st</sup> January 2020, results will be recorded on the horse's registration.
- 13.2.4 From 1<sup>st</sup> January 2020, new Sire Registrations will be **ACCEPTED** and results will be recorded on the horse's registration. The only exemption being the following:
- 13.2.4.1 Stallions carrying a double copy of HERDA (Hr/Hr - affected) will be **REJECTED** and the horse deregistered by the Society.
- 13.2.4.2 Stallions carrying a single or double copy of HYPP (n/H or H/H) will be **REJECTED** and the horse deregistered by the Society.

## 13.3 Broodmares and Other Horses

- 13.3.1 Genetic Testing of broodmares is optional. Members may request a Genetic Disorder Test any Registered Australian Stock Horse for Herda, or a 6-panel Genetic Disorder Test (OLWS, HERDA, HYPP, PSSM1, MH, GBED) if desired.

- 13.3.2 Horses carrying a double copy of HERDA (Hr/Hr - affected) will be REJECTED for registration and the horse deregistered by the Society.
- 13.3.3 Horses Genetic Disorder Tested for HERDA, a single copy of the disorder (n/Hr - carrier) will be ACCEPTED and the result noted on the registration
- 13.3.4 Results will be recorded on the horse's registration on the Online Stud Book. In regards to the horse's ORIGINAL Certificate of Registration, the following applies:
  - 13.3.4.1 For any horse testing NEGATIVE to all genetic disorders, the Certificate is not required to be returned to the Society.
  - 13.3.4.2 For any horse returning a POSITIVE result, the Certificate must be returned to the Society. The Certificate will be updated to indicate the full results.
- 13.3.5 From 1<sup>st</sup> January 2020, it is not compulsory to Genetic Disorder Test progeny of carriers registered prior to 1<sup>st</sup> January 2023.

#### **13.4 ALL Registrations submitted after 1<sup>st</sup> January 2023**

- 13.4.1 All horses (mares, fillies, stallions, colts & geldings) pertaining to Applications for Registration submitted after 1<sup>st</sup> January 2023 (or not completed by 1<sup>st</sup> June 2024), must be DNA parentage verified (sire and/or dam, where available) and Genetic Disorder tested in accordance with these rules.
- 13.4.2 All mares and fillies pertaining to Applications for Registration submitted after 1<sup>st</sup> January 2023, must be Genetic Disorder Tested for HERDA (unless an exemption applies) prior to registration being accepted by the Society. In regards to result, the following applies:
  - 13.4.2.1 Mares and fillies tested negative (n/n) to HERDA will be accepted.
  - 13.4.2.2 Mares and fillies with a single copy of HERDA (n/hr - carrier) will be accepted.
  - 13.4.2.3 Mares and fillies with a double copy of HERDA (Hr/Hr - affected) will be REJECTED.
  - 13.4.2.4 If both sire and dam have been HERDA Tested and parents are negative, progeny will NOT be required to be tested for HERDA (N/R).
  - 13.4.2.5 The Genetic Disorder results will be noted on the horse's registration
- 13.4.3 All mares and fillies pertaining to Applications for Registration submitted after 1<sup>st</sup> January 2023, with a parent identified as positive for OLWS, HERDA, HYPP, PSSM1, MH or GBED, must be Genetic Disorder Tested for the disorder (in addition to HERDA, unless an exemption applies) prior to registration being accepted by the Society. In regards to the result, the following applies:
  - 13.4.3.1 Genetic Disorder results will be noted on the horse's registration, if accepted.
  - 13.4.3.2 Mares and fillies tested negative (n/n) will be accepted.
  - 13.4.3.3 Horses with a single copy of OLWS (n/O), HERDA (n/Hr), PSSM1 (n/P1), MH (n/Mh) or GBED (n/Gb) will be accepted.
  - 13.4.3.4 Horses with a double copy of PSSM1 (P1/P1) or MH (Mh/Mh) will be accepted.
  - 13.4.3.5 Horses with a double copy of OLWS (O/O), HERDA (Hr/Hr), HYPP (H/H) or GBED (Gb/Gb) or single copy of HYPP (n/H) will be REJECTED.
- 13.4.4 All stallions and colts pertaining to Applications for Registration submitted after 1<sup>st</sup> January 2023, must be 6-panel Genetic Disorder Tested (OLWS, HERDA, HYPP, PSSM1, MH, GBED), unless an exemption applies, prior to registration being accepted by the Society. In regards to the result, the following applies:
  - 13.4.4.1 Genetic Disorder results will be noted on the horse's registration, if accepted.
  - 13.4.4.2 Horses tested negative (n/n) to all disorders will be accepted.
  - 13.4.4.3 Horses with a single copy of OLWS (n/O), HERDA (n/Hr), PSSM1 (n/P1), MH (n/Mh) or GBED (n/Gb) will be accepted.
  - 13.4.4.4 Horses with a double copy of PSSM1 (P1/P1) or MH (Mh/Mh) will be accepted.
  - 13.4.4.5 Horses with a double copy of OLWS (O/O), HERDA (Hr/Hr), HYPP (H/H) or GBED (Gb/Gb) or single copy of HYPP (n/H) will be REJECTED.
- 13.4.5 Geldings do not require Genetic Disorder Testing, unless the gelding has sired progeny. If the gelding has sired progeny, the rules for stallions and colts (including Sire Registration) will apply to enable progeny to be considered for Stud Book, First or Second Cross registration. Otherwise, progeny may be considered under the Base Registry rules, if eligible under the criteria.

## **14 DNA ANOMALY PROCEDURES**

### **14.1 Arising during the course of an Application - Registration Pending**

- 14.1.1 In relation to a horse being DNA Tested during the course of an Application for Registration of that horse as an Australian Stock Horse, should an anomaly become obvious during the DNA testing process, the Society will request that a new DNA sample be submitted. The Society will not release genetic marker information.
  - 14.1.1.1 A new sample for the horse MUST be submitted within 60 days of a request by the Society. It is the responsibility of the applicant to ensure that DNA samples are provided.
  - 14.1.1.2 If the result of the second test confirms the anomaly, the Application for Registration will not be further processed until further information on the correct pedigree is provided and can be verified by DNA testing.
  - 14.1.1.3 If there is another possible sire and/or dam, the applicant also needs to advise the Society within 60 days (in writing) of the horse's details. It is the responsibility of the applicant to obtain such information from previous owners and/or the breeder.

- 14.1.1.4 In relation to the request for a second sample, the following will apply:
  - 14.1.1.4.1 If a second sample is lodged within 60 days, no additional fees will apply.
  - 14.1.1.4.2 If a second sample is not lodged within 60 days, the application will be REJECTED and any fees paid in respect of the application will not be refunded.
  - 14.1.1.4.3 If an alternate sire and/or dam can be verified by DNA testing, a properly signed and completed ASH Breeding Certificate must be submitted to the Society prior to the registration being accepted. If a properly signed and completed ASH Breeding Certificate is not submitted, the registration may be REJECTED (subject however to Section 3, rule 3.17 & 3.18 relating to the inability of a person to procure a properly completed and signed ASH Breeding Certificate and the discretion vested in the Board in those circumstances).
  - 14.1.1.4.4 If the DNA testing results remain anomalous (can be excluded) after 90 days, or an alternate sire and/or dam is unable to be verified by DNA testing (parent unknown, deceased, no DNA profile, whereabouts unknown and the like), the application will be REJECTED and any fees paid in respect of the application will not be refunded.

#### **14.2 Arising in respect of a Registered Australian Stock Horse**

- 14.2.1 In relation to a registered horse being DNA Tested, should an anomaly become obvious during any DNA testing process, the Society will request that new DNA samples be submitted by the owner. The Society will not release genetic marker information.
- 14.2.2 New samples for the horse must be submitted within 60 days of a request by the Society. It is the responsibility of the owner to ensure that DNA samples are provided.
- 14.2.3 If the result of the second test confirms the anomaly, the horse's pedigree will be amended to show the anomalous parent as "Unknown" and the registration of the horse will be SUSPENDED until further information on the correct pedigree is provided and can be verified by DNA testing.
- 14.2.4 If there is another possible sire and/or dam, the owner must advise the Society within 60 days (in writing) of the horse's details. It is the responsibility of the owner to obtain such information from previous owners and/or the breeder.
- 14.2.5 In relation to the request for a second sample, the following will apply:
  - 14.2.5.1 If a second sample is lodged within 60 days, no additional fees will apply.
  - 14.2.5.2 If a second sample is not lodged within 60 days, the registration will remain SUSPENDED pending the review of the registration by the Board in accordance with these Rules.
  - 14.2.5.3 If an alternate sire and/or dam can be verified by DNA testing, a properly completed and signed ASH Breeding Certificate must be submitted to the Society prior to the registration being amended to reflect the correct pedigree and reinstated. If a properly completed and signed ASH Breeding Certificate is not submitted, the registration will remain SUSPENDED unless and until the Board, in the exercise of the discretion conferred upon it by Section 3, rule 3.18, determines otherwise.
  - 14.2.5.4 If the DNA testing results remain anomalous (can be excluded) after 90 days, or an alternate sire and/or dam is unable to be verified by DNA testing (parent unknown, deceased, no DNA profile, whereabouts unknown and the like), the registration will remain SUSPENDED whilst a review by the Board, in accordance with the following Rule, is undertaken.
- 14.2.6 The Board will review the registration of any horse that has been SUSPENDED due to a DNA anomaly. As part of such review the Board:
  - 14.2.6.1 must hear submissions from the owner in respect of the circumstances surrounding the breeding of the horse;
  - 14.2.6.2 may, should it deem fit, make enquiries of any other relevant party or parties and request the provision of any statement in writing or other pertinent material to assist with its consideration of the matter.
- 14.2.7 The Board, in its absolute discretion, may consider the following outcomes, or similar action, as appropriate:
  - 14.2.7.1 The Board may require the other parent to be DNA profiled, if not already profiled.
  - 14.2.7.2 The horse may be deregistered.
  - 14.2.7.3 The horse's suspension may be lifted and the registration status of the horse be downgraded.
  - 14.2.7.4 The horse's suspension may be lifted and the relevant part of its pedigree be annotated as "Unknown" or in any other manner deemed appropriate by the Board.
  - 14.2.7.5 The Board may SUSPEND any member responsible for submitting false documentation.
- 14.2.8 The registration status of any progeny of the subject horse that are already registered or recorded at the time of any such determination by the Board under the preceding Rule shall not be affected in any way. The Board may however, in its discretion, determine to amend the pedigree of any such progeny by annotation to reflect the anomaly.
- 14.2.9 Applications for registrations of progeny of the subject horse (not already registered) shall be considered under the then current Rules with the anomalous ancestor being identified as unknown.

#### **15 DISPUTED PARENTAGE**

- 15.1 Should the sire and/or dam of any registered horse be disputed by another member, providing the disputed parent has been DNA recorded and the disputed horse is alive and owned by a financial member, the following will apply:
  - 15.1.1 The claims relating to the dispute must be submitted in writing to the Society with payment of the prescribed appeal fee (non-refundable) in advance. The claimant will also be responsible for payment of any additional expenses incurred by the Society in reviewing the case.

- 15.1.2 A DNA kit will be issued to the owner of the horse the subject of the disputed parentage. The owner must ensure that a DNA sample (collected in accordance with Section 3, rule 10, relating to the collection of DNA samples) is lodged to the testing laboratory within 60 days.
- 15.1.3 If the sample is not submitted to the testing laboratory within 60 days, the horse's registration will be SUSPENDED.
- 15.1.4 The Society will rely on the DNA analysis to resolve the accuracy of the parentage.
- 15.1.5 If the DNA report indicates that the parentage qualifies, continuation of registration will be approved and case closed.
- 15.1.6 If the DNA report indicates an anomaly, the procedure outlined in Section 3, rule 12.2, shall apply.
- 15.2 Should the sire and/or dam of any registered horse be disputed by another member and the disputed parent is alive, owned by a financial member and has NOT been DNA recorded and the disputed horse is alive and owned by a financial member, the following will apply:
- 15.2.1 The claims relating to the dispute must be submitted in writing to the Society with payment of a non-refundable DNA Verification fee for the disputed horse and a DNA Recording fee/s for the disputed parent/s.
- 15.2.2 A DNA kit will be issued to the owners of the dispute horse and parent/s the subject of the dispute. The owners must ensure that a DNA samples (collected in accordance with Section 3, rule 11) are lodged to the testing laboratory within 60 days.
- 15.2.3 If the samples are not submitted to the testing laboratory within 60 days, the horse's registration will be SUSPENDED.
- 15.2.4 The Society will rely on the DNA analysis to resolve the accuracy of the parentage.
- 15.2.5 If the DNA report indicates that the parentage qualifies, continuation of registration will be approved and case closed.
- 15.2.6 If the DNA report indicates an anomaly, the procedure outlined in Section 3, rule 14.2, shall apply.
- 15.3 Should the sire and/or dam of any registered horse be disputed by another member and the disputed horse and/or disputed parent are deceased, owned by a non-member or unfinancial member or whereabouts unknown and they are NOT DNA recorded, the following will apply:
- 15.3.1 The Society reserves the right to review any such case and special cases will be treated on their merits where written evidence to the Board's satisfaction by persons who witnessed the mating can be produced. In reviewing such cases, the Board may require that any person with an interest in the case or said to have witnessed the mating must complete a Statutory Declaration setting out the relevant circumstances. The Board is empowered to question other parties involved in the case if deemed necessary.
- 15.3.2 In such cases, the Board will consider the conduct of the members concerned, including whether they have acted in accordance with the regulations.
- 15.3.3 If the Board rejects the claim as to disputed parentage the registration of the subject horse will remain as is and case closed.
- 15.3.4 If the Board accepts the veracity of a disputed parentage claim (in full or in part), the Board may alter, suspend or deregister the registration of the disputed horse.
- 15.3.5 The Board's determination under this rule shall be a matter for the Board in its absolute discretion.
- 15.4 The Society will not release genetic marker information.
- 15.5 Any member found to be making a false claim or a claim that could be consider to be malicious could be referred to the Disciplinary Committee.

## 16 **CASTRATION**

- 16.1 If a horse is gelded, the owner must notify the Society, within 60 days (telephone, email, fax or post), advising gelded date.
- 16.2 The Registered Owner after notifying the Society, could write GELDED beside "Sex: STALLION" on the Certificate of Registration, without returning the Certificate of Registration to the Society.
- 16.2.1 Alternatively, the horse's Certificate may be returned to the Society for alteration. Provided the horse's Certificate has not been defaced, no fee will be charged for the alteration.
- 16.3 Confirmation of the sex as stallion or gelding on Society records may be verified on the Society's Online Stud Book.
- 16.4 When a member notifies the Society that a horse is, or has been, gelded but the horse has, in fact, not been gelded, the owner must complete a statutory declaration stating the details of the horse and declare that the horse has not yet been gelded. An administration fee will be apply.

## 17 **DEATH**

- 17.1 If a horse dies, the owner must notify the Society in writing, by electronic notification or on a current owner's horse list. The owner may retain the horse's Certificate of Registration.

## 18 **REISSUE OF HORSE'S CERTIFICATE**

- 18.1 When the horse's Certificate of Registration is not available to the Registered Owner, it has been lost, destroyed or stolen; the Registered Owner may request a replacement Certificate of Registration by telephone, email, fax or post. The Registered Owner must be a Financial Member and the prescribed reissue fee paid.
- 18.1.1 In the case of a horse being transferred, providing the signed Transfer Application has been correctly completed and lodged with the Society, the new owner may request a replacement Certificate of Registration. The new owner must be a Financial Member and the prescribed reissue fee paid.

## 19 **PRIORITY APPLICATIONS**

- 19.1 Applications for Registration are processed in date order received. Any member requiring an application to be attended to urgently and require an express service, a priority fee will apply. The express service relates to Society administration in processing the

registration or advising owner of any anomalies. Delays will be incurred until registration anomalies are resolved, DNA and/or Genetic Disorder testing is complete.

- 19.2 A Priority Fee will apply to any member who requires a registration or transfer application to be reviewed by the Society within two working days. Forms may be express posted or submitted by email (a scanned image, saved as PDF or JPG file and attached to an email) or faxed. Documents must be clear and legible to be accepted, with payment of all fees (including Priority Fee). Any applications paid by personal cheque will be held for five working days.
- 19.3 For any registration application submitted for a horse requiring inspection, a video inspection must be included. In such cases, the registration application may be held up to five working days for inspection purposes.
- 19.4 Once the registration or transfer application has completed, the processed documentation will be emailed or faxed to the Registered Owner.

## 20 **HERITAGE STOCK HORSE**

- 20.1 Heritage Stock Horse is a Registered Australian Stock Horse that has descended from the same breeds as horses ridden by the Australian Light Horse in WWI that resided in Australia prior to 1945.
- 20.2 **APPLICATION** – as follows:
  - 20.2.1 Application for Heritage Stock Horse assessment is only available for Registered Australian Stock Horses, including Stud Book, First and Second Cross and Base Registry horses.
  - 20.2.2 Any member may apply to have a horse assessed as a Heritage Stock Horse by submitting an Application for Heritage Stock Horse Assessment to the Society together with the prescribed fee. No refund if not eligible.
  - 20.2.3 All assessments will include Heritage Stock Horse classification of three generations of Registered Australian Stock Horse ancestors appearing in the pedigree.
- 20.3 ALL Registered Australian Stock Horses, including Stud Book, First & Second Cross and Base Registry horses may be eligible for Heritage Stock Horse. Heritage Stock Horse is determined through breed ancestry for unlimited generations. Eligible horses must satisfy **ALL** Breed Ancestry requirements.
  - 20.3.1 To be eligible for Heritage Stock Horse, Breed Ancestry must **NOT** exceed the following:
    - 20.3.1.1 Until 1<sup>st</sup> August 2022, equivalent to 100% Thoroughbred.
    - 20.3.1.2 From 1<sup>st</sup> August 2022, not equivalent to or exceed 50% Thoroughbred lineage.
    - 20.3.1.3 Exceeds 25% Approved Breeds
    - 20.3.1.4 Exceeds 12.5% Modern Breeds
    - 20.3.1.5 Exceeds 12.5% Unknown Breeding
    - 20.3.1.6 Exceeds 12.5% Combined Modern & Unknown Breeding
  - 20.3.2 Descendants of ancestors deemed to be 100% Australian-born Station Horses under these rules, may be eligible as a Heritage Stock Horse, providing the descendant satisfies all other Breed Ancestry requirements.
    - 20.3.2.1 ASHS Foundation Sires and Mares (with unknown parentage) recognised by the Society as Australian-bred will be deemed to be 100% Australian-born Station Horse.
  - 20.3.3 Horses approved as eligible for Heritage Stock Horse will be identified through the horse's name with the suffix - HSH. The horse's registration details will be updated on the Online Stud Book.
  - 20.3.4 Registered Australian Stock Horses with both sire and dam recognised as Heritage Stock Horses, or a full sibling Approved HSH (provide sibling's Registered ASH name), are eligible for Heritage Stock Horse status without assessment of further generations.
- 20.4 **Definitions for BREED ANCESTRY and clarification for acceptable breed limitations, we provide the following:**
  - 20.4.1 Until 1<sup>st</sup> August 2022, the horse being assessed is not a **Stud Book (Thoroughbred)**; or **100% Thoroughbred (TB)** lineage, being all grandparents (2<sup>nd</sup> generation) being Thoroughbred registered on any international Thoroughbred Online Stud Book.
  - 20.4.2 From 1<sup>st</sup> August 2022, the horse being assessed is not a **Stud Book (Thoroughbred)**; and must not be **equivalent to or exceed 50% Thoroughbred (TB) lineage**, being one parent (1<sup>st</sup> generation), two grandparents (2<sup>nd</sup> generation) or four great grandparents (3<sup>rd</sup> generation) being Thoroughbred registered on any international Thoroughbred Online Stud Book. Further generations are not assessed for Thoroughbred registration.
  - 20.4.3 The bloodlines are restricted to a maximum of **1/4 (25%) of Approved Breeds (AB)** being a breed that existed in Australia before 1945 and is limited to breeds that can be identified through registration. Examples of Approved Breeds, include: Arabian, Barb, Welsh Mountain Pony, Timor Pony, Cleveland Bay, Spanish Horse and the like.
    - 20.4.3.1 In the case of an Unregistered Ancestor where an Approved Breed is the suggested lineage (ie, Pony sire, Arab mare and the like) and not confirmed through registration, the following applies:
      - 20.4.3.1.1 Ancestor is estimated to be born after 1970, the ancestor will be deemed to be **100% Approved Breed**.
      - 20.4.3.1.2 Ancestor is estimated to be born between 1960 and 1970, the ancestor will be deemed to be **50% Australian-born Station Horse and 50% Approved Breed**.
      - 20.4.3.1.3 Ancestor is estimated to be born prior to 1960, the ancestor will be deemed to be **100% Australian-born Station Horse**.
      - 20.4.3.1.4 For a descendant to be eligible, the descendant is restricted to a maximum of 1/4 25% Approved Breeds.
      - 20.4.3.1.5 Where foaling dates are unknown, a generation interval will be deemed to be 10 years.



- 20.4.3.2 In regards to an Approved Breed ancestor, the maximum is one grandparent (2<sup>nd</sup> generation), two great grandparents (3<sup>rd</sup> generation) and the like.
- 20.4.4 The horse's pedigree must not exceed a maximum of **1/8 (12.5%) Combined Ancestor Bloodlines** as defined below and not exceeding the following:
- 20.4.4.1 1/8 (12.5%) **Modern Breeds (MB)** – see rule 20.4.5
- 20.4.4.2 1/8 (12.5%) **Unknown Breed (UB)** – see rule 20.4.6
- 20.4.4.3 The maximum Combined Ancestor Bloodlines are one great grandparent (3<sup>rd</sup> generation), two great-great grandparents (4<sup>th</sup> generation) and the like.
- 20.4.4.4 For a descendant to be eligible, the descendant is restricted to a maximum of 1/8 12.5% Combined Modern and Unknown Breeds.
- 20.4.5 **Modern Breeds (MB)** includes breeds of horses introduced to Australia after 1945. Breeds may include: Warmblood, Quarter Horse, Paint, Appaloosa, Andalusian, Lipizzaner, Morgan, Friesian, Connemara and the like.
- 20.4.6 **Unknown Breed (UB)** is an ancestor with no recorded breeding (or unknown breed) and the following applies:
- 20.4.6.1 Ancestor is estimated to be born after 1970, the ancestor will be deemed to be **100% Unknown Breed**.
- 20.4.6.2 Ancestor is estimated to be born between 1960 and 1970, the ancestor will be deemed to be **50% Australian-born Station Horse and 50% Unknown Breed**.
- 20.4.6.3 Ancestor is estimated to be born prior to 1960, the ancestor will be deemed to be **100% Australian-born Station Horse**.
- 20.4.6.4 Where foaling dates are unknown, a generation interval will be deemed to be 10 years.
- 20.4.6.5 If additional information beyond ASHS records is identified and such information satisfies the requirements for Heritage Stock Horse, the horse may be accepted (ie, other Breed's Online Stud Book, stud records and the like).
- 20.4.7 Any horse with less than 1% in any category will be considered 0% for that category. Any horse with more than 99% will be considered 100% for that category.
- 20.5 Registered Australian Stock Horses NOT eligible for Heritage Stock Horse will be identified through the horse's name with a suffix as follows:
- 20.5.1 100% Thoroughbred - TB.
- 20.5.2 100% Approved Breeds existing in Australia before 1945 - ABP
- 20.5.3 50-99% Approved Breeds existing in Australia before 1945 - AB
- 20.5.4 100% Modern Breeds introduced to Australia after 1945 - MBP
- 20.5.5 50-99% Modern Breeds introduced to Australia after 1945 - MB
- 20.5.6 100% Unknown breeding foaled after 1960 - UBP
- 20.5.7 50-99% Unknown breeding foaled after 1960 - UB
- 20.5.8 Limited Heritage - LH (not eligible under any other code), includes horses of the following bloodlines:
- 20.5.8.1 From 1<sup>st</sup> August 2022- Equivalent to or exceeds 1/2 (50%) registered Thoroughbred bloodlines within three generations.
- 20.5.8.2 Exceeds the maximum of 1/4 (25%) Approved Breed bloodlines.
- 20.5.8.3 Exceeds the maximum of 1/8 (12.5%) Combined Modern and Unknown Breed bloodlines.
- 20.5.8.4 Exceeds the maximum of 1/8 (12.5%) Modern Breed bloodlines.
- 20.5.8.5 Exceeds the maximum of 1/8 (12.5%) Unknown Breed bloodlines.
- 20.6 In cases where a horse assessment identifies more than one classification, the horse can carry more than one suffix (ie MB UB).
- 20.7 Any member not satisfied with a Heritage Stock Horse classification may request a review. In reviewing the horse, the classification will be reassessed and a written explanation provided on eligibility. The review fee must be paid, in advance, by the member requesting the review. After obtaining a written review, should a member be able to provide adequate information on ancestors, the classification may be changed. If additional information beyond ASHS records is identified and such information satisfies the requirements for Heritage Stock Horse, the horse may be accepted.
- 20.7.1 The Chairman of the Board and Chairman of the Stud Book Committee will assess any horses for Heritage Stock Horse status where eligibility is unclear.

## 21 **ASHS WALER HORSE**

### 21.1 **ASHS Waler Horses are identified as follows:**

- 21.1.1 An unregistered stallion that was born in Australia (with known breeding) during the Waler era (1945 or earlier) and appearing in pedigrees of Australian Stock Horse Foundation Sires and Mares within three generations. ASHS Waler Horses will be identified through the horse's name with the suffix – WH.
- 21.1.2 Any unregistered stallion or mare born (or estimated to be born) in Australia in 1950 or earlier, is accepted as having Waler Horse bloodlines. Such horses are only identified as ASHS Waler Horse if satisfying the criteria of the above rule.
- 21.1.3 The Society has no category of registration or recognition for current horses to be indicated as a Waler Horse.

## 22 **HALL OF FAME RECOGNITION**

- 22.1 **Foundation Sire** – Registered ASH Stallions, registered in the first ten years (registration numbers 1 - 65,000), with over 1,000 Registered ASH Descendants within five generations.
- 22.1.1 The horse's name is identified with a suffix – FS.



- 22.2 **Foundation Mare** – Registered ASH Mares, registered in the first ten years (registration numbers 1 - 65,000), with over 500 Registered ASH Descendants within five generations.
- 22.2.1 The horse's name is identified with a suffix – **FM**.
- 22.3 **Impact Sire** – as follows:
- 22.3.1 Registered ASH Stallions that are progeny of Foundation or Impact Stallions and registered in the first ten years (registration numbers 1 – 65,000) with over 1,000 Registered ASH Descendants within five generations.
- 22.3.2 ASH Stallions registered after first 10 years (registration numbers over 65,001) with over 1,000 Registered ASH Descendants within five generations.
- 22.3.3 The horse's name is identified with a suffix – **IS**.
- 22.4 **Impact Mare** – as follows:
- 22.4.1 Registered ASH Mares that are progeny of Foundation or Impact Mares and registered in the first ten years (registration numbers 1 – 65,000) with over 500 Registered ASH Descendants within five generations.
- 22.4.2 ASH Mares registered after first 10 years (registration numbers over 65,001) with over 500 Registered ASH Descendants within five generations.
- 22.4.3 The horse's name is identified with a suffix – **IM**.
- 22.5 **Performance Horse** – as follows:
- 22.5.1 The horse must be a Registered Australian Stock Horse and owned by a Financial Member of the Society at time the performances were gained.
- 22.5.2 Within the chosen equine discipline or disciplines, the horse should be regarded a special achiever and a great horse, consistently winning at the highest level at many major events during a period of time exceeding 3 years.
- 22.5.3 Successes at a standard level, random wins or numerous places at a high level and performances not exceeding 3 years are not considered under this criteria.
- 22.5.4 Members, Branches, Management Councils and Directors may nominate horses for consideration to the Board. The acceptance or non-acceptance of a horse as a Hall of Fame - Performance Horse shall be a matter for the Board in its absolute discretion.

## **23 POWERS OF THE BOARD AND/OR SOCIETY**

- 23.1 The Board may accept or refuse any ASH Breeding Certificate, Application for Registration, Upgrade Registration, Prefix Application, Name of Horse or Sire Registration (and the like) for any horse without assigning a reason.
- 23.2 Any regulation or situation not covered by these regulations will be determined by the Board, in its absolute discretion.
- 23.3 Any ASH Breeding Certificate or Application for Registration will be accepted by the Society on the understanding that the person submitting the certificate or application agrees to abide by the requirements of the Board regarding such documents. The Board shall have the right to call upon any person submitting such documents to produce any horse and/or progeny for inspection and examination if, and when, required.
- 23.3.1 Any member found to be submitting false documentation may be referred to the Society's Disciplinary Committee at the discretion of the Board or the Stud Book Committee.
- 23.4 For the Society to compile and maintain accurate records, the receipt of correct horse information is imperative. The Society has the right to REJECT incomplete, inaccurate or late certificates. The Board may impose penalties for incomplete, incorrect or late lodgement of applications.
- 23.5 The Board is empowered to request a DNA sample or fertility test for any horse used in a breeding programme, or Application for Registration that has been submitted or obtained. The Board may suspend any member responsible for submitting incorrect or inaccurate breeding records or applications and may deregister or suspend the horse/s in question.
- 23.6 If it is proven that a breach of the rules and regulations has occurred regarding the registration of a horse, the horse may be deregistered, or its eligibility to compete in ASH events be suspended, at the discretion of the Board.
- 23.7 The registration of a horse shall not be affected if the sire or dam has been deregistered, providing however, that the progeny was registered whilst the horse was registered.
- 23.8 Horses or their progeny, which in the opinion of the Board, are objectionable horses and have already been accepted for registration, may be deregistered by the Board.
- 23.9 At the discretion of the Board, horses proven to be carrying any unacceptable genetic disorders may be deregistered.
- 23.10 Any member seeking the exercise by the Board of its discretion under these rule must make written application to the Board outlining the circumstances surrounding the case and shall pay the prescribed appeal fee (non-refundable) in advance. The applicant will also be responsible for payment of any additional expenses incurred by the Society in reviewing the case.
- 23.11 The ASH Breeding Certificate or Certificate of Registration does not constitute proof of legal or beneficial ownership of any horse or proof of breeding. It contains information provided by members to the Society for the purpose of the Society's records. The ASH Breeding Certificate or Certificate of Registration at all times remains the property of The Australian Stock Horse Society Limited.
- 23.12 NOTE: Any disputes of a contractual or financial nature in relation to the breeding or ownership of a horse are not for the Society's consideration. Members in such situations are advised to seek legal advice if unable to resolve the issues.