II. Thoroughbred Stud Book Regulation

1. General

A. Fundamental Principles

24. The Direktorium passes the Stud Book Regulation, keeps the General German Stud Book for thoroughbreds (ADGB) as well as the German Non-Thoroughbred Register (GNTR) and determines the terms and conditions of respective entry. In doing so the principles of the General Stud Book, which is kept by Weatherbys and which is the Stud Book of the origin of the breed (below named Thoroughbred), are strictly adhered in accordance with the requirements of the zootechnical legislation issued by the EU and the Federal Republic of Germany.

The ADGB is the Stud Book in terms of the zootechnical legislation and is kept by the Direktorium. It serves as a documentation tool for identification of the recorded and registered horses and proof of their pedigree and performances. To meet the requirements of the Stud Book of the origin of the breed and the International Stud Book Committee, only horses which are Thoroughbreds in terms of Article 12 of the International Agreement on Breeding, Racing and Wagering (see No. 39) established by the International Federation of Horse-racing Authorities (IFHA) are recorded and registered in the ADGB.

In the GNTR the offspring of such horses is recorded, which did not comply with the definition of a Thoroughbred being in effect at the time of their birth. They therefore could not be recorded in the ADGB at that time and were registered by the Direktorium for the participation in races. The promotion to thoroughbred status is decided upon by the International Stud Book Committee in accordance with Article 13 of the International Agreement on Breeding, Racing and Wagering established by the IFHA.

Horses from the Non-Thoroughbred Register of another country cannot, if imported into Germany, be registered in the GNTR.

25. The Stud Book Regulation rules the proper running of thoroughbred breeding.

26. The Stud Book Regulation is based on:
   a) The zootechnical legislations of the EU, the Federal Republic of Germany and all the federal states of Germany;
   b) the provisions of the Viehverkehrsverordnung;
   c) the Rules of Racing;
   d) the Statutes of the Direktorium für Vollblutzucht und Rennen e.V. as well as its decisions, which are mostly based on recommendations made by the Breeding Commission.

27. Changes in the Stud Book Regulation are made and passed by the Direktorium’s General Meeting acting on recommendation of the Breeding Commission and require prior to enforcement the approval of the Director of the Landwirtschaftskammer Nordrhein-Westfalen.

28. The Direktorium’s Breeding Commission shall at least consist of one representative of the veterinary medicine, one delegate of the Direktorium, three active breeders, two stud managers, one representative of the German state studs and one representative of the German riding horse associations as well as one scientist bearing professional relation to thoroughbred breeding and racing. The members are elected by the Direktorium’s General Meeting. The Breeding Commission has the right to make a first proposal.
B. Breeding Programme

29. Breeder
A breeder is determined as someone who meets the requirements of being undisputable in the breeding business (q.v. § 6 of the Federal Animal Breeding Law) as well as being the owner of the mare at the time of foaling. If the partners of a so-called “foal sharing” wish to be registered as joint breeders, the Direktorium has to be informed accordingly within the first month following the foaling by the owner of the mare, who is registered with the Direktorium as such and who has to notify the Direktorium in writing by naming every participating partner.

30. Area of breeding
The Direktorium’s area of breeding comprises all states within the Federal Republic of Germany.

31. Breeding aim
The breeding aim is a sound thoroughbred horse bred for speed, stamina, endurance, commitment and toughness in the highest performance, displaying nobility and enough substance in bone and body which, moreover, due to its character, harmony in conformation and its naturally elegant, fluent and supple movement can be employed for breeding programmes in warmblood populations as well as be used as a riding horse.

32. Breeding methods
The breeding aim is pursued through pure breeding. The results of the performance tests (races) are the basis for breeding value estimation and selection. Apart from the own performances, a horse's progeny performances and other factors, which determine the economical value of this progeny, must be taken into consideration. The performance tests for all horses of both sexes help to determine the performance ability, commitment, endurance, soundness, character and temperament.

33. Means of selection
The results of the performance tests (races) are continually published in form of race reports. Further, the number of runs, wins, placings, earnings and the German General Handicap Weights (GAG) are published annually at the end of the year in the Annual Racing Calendar. The annual General German Handicap Weight is the classification based on race performances and is published at the end of the season. Any broodmare's respective highest achieved annual end of the season General Handicap Weight is published in the “Allgemeines Deutsches Gestütbuch für Vollblut“, thus serving to evaluate the broodmare stock.

34. The ratings of the annual end of the season German General Handicap Weight respectively of the World Thoroughbred Racehorse Rankings are the only accepted ratings for the admittance of stallions to the official recognition procedure pursuant to No. 51 and 52. Foals, which descend from not recognized stallions, are registered in the ADGB according to the requirements of the Stud Book of the origin of the breed. They are allowed to participate in races and receive, if born in Germany, a passport including a certificate of origin issued by the Direktorium.

35. Breeding value
The breeding value estimation of the performance tested horses is carried out after the analysis of the race performances by the assessment of the ratings of the annual end of the season German General Handicap Weights, which are published annually in the Weekly Racing Calendar-WRK. (see Appendix 6: Explanations to the General Handicap as breeding value estimation tool).
36. Size of thoroughbred breeding population
At the time of the Stud Book Regulation coming to effect, there were 2,650 broodmares and 130 recognized stallions registered in Germany.

37. A horse is considered to be a foal through to the end of its year of foaling. It is considered to be a yearling from 1st January of the year following its foaling year, a two-year-old from 1st January the following year, a three-year-old from 1st January again the next year, etc.

38. A gelding in the sense of the Rules of Racing is a male horse which has undergone a medical or surgical procedure under the direction of a veterinarian who certifies, in writing, that this has been carried out and has permanently removed the horse’s ability to procreate. The Direktorium must be notified by submission of the certificate and the respective horse’s passport within six weeks of the intervention.

C. The Thoroughbred Breed

39. A Thoroughbred is a horse which is recorded in the Thoroughbred Stud Book of the country of its foaling, that Stud Book having been granted Approved status by the International Stud Book Committee at the time of its official recording. For a horse to be eligible to be recorded in an approved Thoroughbred Stud Book all of the following requirements must be satisfied:
The horse must be the product of a mating between a sire and a dam, both of which are recorded in an approved Thoroughbred Stud Book. Or either or both must have been promoted from a Non-Thoroughbred Register to an approved Thoroughbred Stud Book under the terms set out by the International Agreement on Breeding, Racing and Wagering (Article 13).
The Thoroughbred must be the result of a stallion’s mating with a mare which is the physical mounting of a mare by a stallion with intromission of the penis and ejaculation of semen into the reproductive tract.
A natural gestation must take place in, and delivery must be from, the body of the same mare in which the foal was conceived. Any foal resulting from or produced by the processes of Artificial Insemination, Embryo Transfer or Transplant, Cloning or any other form of genetic manipulation not herein specified, shall not be eligible for recording in a Thoroughbred Stud Book approved by the International Stud Book Committee.
Modification of the heritable genome of a prospective or registered Thoroughbred, during its conception, gestation or at any stage thereafter in its existence, will result in that horse permanently forfeiting its status as a Thoroughbred and being removed from the Stud Book.
2. Recordings in the ADGB

A. General

40. The ADGB consists of
   a) the original data collection (collection of mare return forms),
   b) the computer database,
   c) the mare returns published by the Direktorium,
   d) the Annual Racing Calendars (collection of the results of all performance tests - races) and
   e) the stallion register.

Each amendment must be signed and dated by the person responsible of the Direktorium. The records in the ADGB must correspond with the basic data kept in the private stud book at the stud operation.

Generally each breeder who meets the requirements of orderly breeding work may have the horses bred by him recorded in the ADGB, have them participate in performance tests (races) as well as receive the certificates of origin (§ 6, Section 3 of the Federal Animal Breeding Law).

B. Private Stud Book

41. Each breeder or his representative is obliged to keep annual records, which depict the markings, the pedigrees and performances as well as the coverings and breeding results (mare returns) of his brood mares. They provide the basis for recording in the ADGB. He is obliged to present representatives of the Direktorium and the competent supervising authority these records on demand for inspection purposes (§ 22, Section 5, No. 2 of the Federal Animal Breeding Law). Documents retrieved from automated systems or databases qualify for the above mentioned requirements.

The records in the private stud book must correspond with the statements made in the covering lists, the mare returns, the passports and the ADGB respectively the Stud Book of former East Germany. The private stud book is to be kept current and up-to-date.

C. Recording of Mare Returns

42. Every mare return is generally recorded in the ADGB in the current breeding year. The breeding year for a live foal begins on 1st January of its foaling year.

43. The recording into the ADGB is carried out upon the covering certificate, the foal markings, the parentage verification and the mare return form, which must be signed by the breeder or his representative and returned or sent via an electronic system to the Direktorium by 31st July latest of the respective breeding year. From the 2004 crop year onwards, the electronic marking with a microchip issued by the Direktorium is compulsory for the recording and registration into the ADGB.

44. In the case of a mare having been covered by a stallion located abroad, the resulting produce can only be recorded if the stallion and the mare in question fulfil the conditions of No. 39 and the covering certificate or its confirmation is issued by the competent foreign authority.

Where the dam has been imported into Germany where her foal is born, either permanently or for a temporary period not exceeding nine months, an export certificate or BCN (as appropriate) must have been lodged with the Direktorium, before the foal may be recorded in the ADGB.
45. In the case of a German mare visiting a stallion abroad also foaling abroad, this imported foal can only be registered as home-bred, if the Direktorium is provided with a mare return form, an export certificate issued by the respective foreign Stud Book Authority, the passport and a covering certificate for the new covering of the mare.

46. In the case of a foal not being owned by the breeder any more at the time of submission of the mare return form to the Direktorium, each owner since the breeder must be proved without fail and complete by change of ownership notifications in accordance with the Rules of Racing No. 181.

47. It is noted accordingly in the ADGB, if a thoroughbred broodmare registered for breeding is being temporarily used in warmblood breeding. When the mare is reused in thoroughbred breeding, the owner of the mare must have cancelled the mare’s registration with the warmblood association and report this to the Direktorium.

48. Foals, which do not meet the requirements of Article 12 of the International Agreement on Breeding, Racing and Wagering and their respective progeny must and may not be recorded in any Thoroughbred Stud Book approved by the International Stud Book Committee and are therefore not allowed to participate in races.

D. Publication of Mare Returns

49. The mare returns are published by the Direktorium in book-form or in electronic data format according to the ADGB records. This is carried out every four years containing also:
   a) All foreign mares being temporarily imported to Germany for covering or foaling purposes,
   b) a register of all imported and exported horses,
   c) a register of broodmares arranged and listed under their sires and
   d) a register of broodmares arranged under the stallions with their produce records.

The book respectively the electronic data format is entitled “Allgemeines Deutsches Gestütbuch für Vollblut” with the number of the Volume of the respective edition as codicil.

In between those four years of the publication of the “Allgemeines Deutsches Gestütbuch für Vollblut“ the Return of Mares is published every year.

E. Recognition of Stallions covering in Germany

50. Stallions which are used for covering in Germany and are thoroughbreds in the sense of No. 39 are entered in the stallion register once they have been presented for inspection and granted recognized status. Stallions having already covered before are inspected at the respective studs.

51. Recognition

The Breeding Commission recognizes stallions for breeding purposes, which seem suitable to improve the thoroughbred breed regarding soundness, performance and conformation.

a) This is considered to be the case if the stallions are free of phenotypic visible, use restricted deficits, which are of genetic cause or disposition, have achieved a rating of at least 95 kg in the annual end of the season German General Handicap Weight for flat races or a respective rating of 110 in the World Thoroughbred Racehorse Rankings and have won or been placed at least third in a Group Race, or have achieved at least 94 kg in the annual end of the season German General Handicap.
Weight and won at least a Group Race in Europe. These rules apply to all stallions being presented for recognition on the basis of the annual end to the season German General Handicap Weights from 1997 onwards.

If the stallions in question have raced in other countries, a special expert commission consisting of a handicapper, the chairman of the Breeding Commission and a member of the Breeding Commission, who is nominated by the stallion owner/applicant, decides whether the necessary rating has been achieved.

Stallions can only be recognized provided that they have never raced under medication in the sense of Article 6 of the International Agreement on Breeding, Racing and Wagering. This regulation applies to all stallions presented for recognition from 30th September 1997 onwards.

b) For evaluation of a stallion’s conformation, the Recognition Commission has to score the below listed features of the outer appearance by taking into account the breeding aim and by applying a one to ten point scoring system. To pass the confirmation test a stallion must have achieved all in all a minimum of 30 points in the following traits:
1. Breed type and gender type,
2. conformation,
3. correctness of gaits,
4. swing and elasticity of gaits,
5. general impression, temperament and development.

c) Scoring system
The above mentioned traits under b) are to be scored according to the grading scale listed below:

- 10 = excellent
- 9 = very good
- 8 = good
- 7 = quite good
- 6 = pleasing
- 5 = sufficient
- 4 = poor, insufficient
- 3 = quite bad
- 2 = bad
- 1 = very bad

d) Performance traits
Further, the physical ability and commitment to perform, toughness, rideability and character, which should have been demonstrated in more than one racing season, are to be taken into consideration for the recognition of a stallion. The respective performances are published in the Annual Racing Calendars.

e) The Breeding Commission does also recognize a stallion in the case of his progeny having achieved an average German General Handicap Weight which is the equivalent of the average annual end of the season German General Handicap Weight of the entire respective crop. In order to calculate this average weight, a stallion needs to be represented by at least 10 three-year-old descendants, seven must have raced and those not handicapped are classified at 44 kg.

f) Publishing of the stallion register
A list of all recognized stallions standing and covering in Germany, including the places where they are standing, is published annually in a special section of the Weekly Racing Calendar.
F. Recognition of Stallions standing abroad

52. Those stallions standing and covering abroad, which are not listed in the German Stallion Register, are considered ‘recognized’ if:
   a) they have achieved a minimum rating of 110 in the World Thoroughbred Racehorse Rankings or in any other comparable rating scheme and if they have won or been placed at least third in a Group Race,
   b) they were retired to stud before 1993,
   c) they retired to stud in 1993 onwards with their first ten members from their crop of three-year-olds having achieved an average rating in the annual end of the season German General Handicap Weight, or in any other comparable rating scheme, which is the equivalent of the average annual end of the season German General Handicap Weight achieved by the respective domestic crop of three-year-olds.

G. Registration of imported horses

53. A foreign bred and imported thoroughbred horse is registered in the ADGB upon the information given on an export certificate issued by the Stud Book Authority in the country of the horse’s foaling and subject to the conditions under No. 39. The export certificate has to be lodged with the Direktorium within 90 days of the horse’s arrival in Germany. The importer must contact the originating Stud Book in order to arrange for the horse’s export certificate to be sent to the Direktorium. In case of not complying with this term, the horse is registered with the Direktorium upon payment of an increased registration fee, which is subject to the scale of charges and fees of the Direktorium and which is charged at the expense of the importer. The conditions for being registered in the ADGB are the same as for horses born and bred in Germany.

54. The information provided in the export certificate is checked regarding coat colour, gender, age, markings and microchip number. For this purpose, a veterinarian or a person nominated by the Direktorium is sent out to take the markings, to scan the horse for the microchip number and to document this number. Imported horses born in 2004 or later, which have not been microchipped in their country of birth must be chipped by a veterinarian with a microchip provided by the Direktorium. The passport issued in the horse’s country of birth is supplemented with the German markings and the microchip number, in case the horse has been microchipped in Germany. The passport serves as the official certificate of origin.

3. Requirements for the horses Evidence of Identity and the Parentage Validation

A. Evidence of Identity

55. The horses recorded in the ADGB and their respective progeny are to be described and depicted in a fashion which safely and permanently ensures the determination of their respective identity. Beyond that, foals born in 2004 and later must be microchipped for identification purposes.
56. The evidence of identity for horses is ensued at the Direktorium in the following way:
- Specification of colour and gender,
- exact description of markings and features,
- graphic depiction of markings and features,
- registration of a microchip number,
- DNA-typing or alternatively blood typing,
- allocation of a life number,
- allocation of a name.
From the foaling year 2003 onwards, the domestic life number complies with the Universal Equine Life Number (UELN), which is allocated in accordance with the standards agreed upon internationally.
For instance:
In Germany, 276GER is the UELN-Code for the database of the Direktorium. In this database a running nine-digit numeric identification number (e.g. 123456789) is allocated to all foals, which are born in Germany and recorded with the Direktorium. The UELN-Number for this model case then reads 276GER123456789.

57. At the instigation of the breeder or his representative, the taking of a blood sample for the parentage verification and the implanting of a microchip are to be completed in one flow of work by a veterinarian before the foal leaves the premises or before weaning at the latest, but in any case until the 31st August of the year of birth. At the same time there is also to be taken a graphic and written description (markings) of the foal in question, which is to be confirmed by the veterinarian with his signature.
Horses, which are in situ identified and marked as aforesaid after 31st August of the year of birth, are recorded in the ADGB after parentage verification by applying an increased registration fee, which is subject to the scale of charges and fees of the Direktorium and which is charged at the expense of the breeder. This applies similarly to horses born after 31st August, if they are not identified within six month following the date of birth.
The following applies to all horses, which are born in Germany in 2016 and thereafter and which are not in situ identified within the period prescribed above:
They are prevented from racing in Germany for up to 14 month. In principle, they are not allowed to race before they are three years of age and the 31st August of that respective year has elapsed.
In derogation of this, a horse not identified in a timely manner may be allowed to race in Germany before the retention period of 14 month has expired and before the 31st August of its third year of birth has elapsed. This requires a hair sample of the respective horse be taken and analysed at the expense of the current owner and under the provisions of the Direktorium. If the laboratory reports no evidence of the presence of prohibited substances, derogation might be granted.

58. Along with the recording of the horse through the mare return a life number valid for life is allocated to each live born foal. Imported horses are assigned with a life number based upon the published import number, under which the horse in question has been registered, along with the code number and the year of foaling.
From the foaling year 1998 onwards, imported horses are registered under their life number issued by the authorities in their respective country of birth.
B. Parentage Validation

59. The covering certificate and the evidence of identity mark the basis for the proof of pedigree.

60. For parentage validation purposes, all foals are being DNA parentage tested from the year 2001 onwards. Foals with unknown or not confirmed parentage cannot be recorded in the ADGB. Such a produce is published in the ADGB with the annotation not recorded. Accordingly, the results of all parentage verifications are recorded in the ADGB. The ADGB recordings result from the parentage verifications. Along with taking a blood sample for the parentage verification the microchip should be implanted and the markings of the foal in question should be taken. The markings are to be confirmed by the veterinarian with his signature.

61. All stallions destined to take up covering duties in this country must be DNA-typed prior to being initially registered for breeding.

4. Regulations for the Keeping of the ADGB

A. General

62. The ADGB is kept by the person responsible for breeding matters at the Direktorium. For this matter the person in charge can make use of:

a) The collaboration of the management of the Direktorium,
b) a data processing,
c) the collaboration of breeders and their representatives,
d) the collaboration of stallion owners.

The stud book management uses the documents pursuant to No. 63-67 and registers the data according to No. 69.

B. Covering Certificate

63. At the beginning of each covering season, the Direktorium issues a covering list for each stallion, which is sent out to the respective stallion owner. This covering list is to be filled out in accordance with the regulations by each stallion owner or his representative and returned to the Direktorium or sent by electronic system at the latest by 1st September of the respective covering year. The delayed submission of a covering list is to be recorded accordingly in the ADGB and to be charged at the expense of the stallion owner, subject to the scale of charges and fees of the Direktorium.

On the basis of the submitted covering lists the Direktorium issues a covering certificate form for each covered mare, which is sent to the respective stallion owner. The original covering certificate (top part of the form) is to be signed by the concerned stallion owner or his representative and returned to the Direktorium. It constitutes the basis for any entry in the ADGB. The lower part of the form serves as receipt for the mare owner.

64. The covering certificate contains the following information:

- Name and life number of the covering stallion,
- name and life number of the covered mare,
- breeding status of the mare at the time of covering (e.g. barren, maiden),
- information regarding the date of first covering and all following coverings,
- confirmation of the mare’s check of identity,
- confirmation of the fact that the mare was covered naturally by the stallion,
- signature of the stallion owner or his representative.
C. Application to register a Name

65. The application to register a name for a live born foal is to be made to the Direktorium in writing in accordance with numbers 142-146 of the Rules of Racing.

D. Mare Return Form

66. The mare return form is prepared by the Direktorium in accordance with the currently kept data and sent out to the mare owner. It contains the name, coat colour, pedigree and life number of the mare, the name of the owner registered with the Direktorium, name and pedigree of the covering stallion in the case the mare has been covered and the last service date.

67. The mare owner or his representative must complete the mare return form as follows:
   a) In the case of a live foal, day and place of foaling, coat colour, gender and markings are to be stated.
   b) In the case of the produce being not a live foal, the following information is to be provided:
      - Foal died; in this case coat colour and gender as well as the dates regarding the foaling and the demise plus, if possible the reason for demise, are to be provided.
      - In the case of a still-birth the date is to be provided, coat colour and gender are to be omitted, which also applies to still-born twins, however the fact of a twin-birth must be stated.
      - In the case of the mare having slipped or aborted, the relevant dates are to be provided and twins or triplets are to be stated.
      - Barren including resorption.
      - Not covered the previous year.

Mares sold or no longer used for breeding are to be marked accordingly. In addition, information has to be provided regarding a new covering of the mare.

The mare return form is to be returned or sent by electronic system to the Direktorium by the mare owner or his representative at the latest by 31st July of the breeding year. A delayed submitted mare return form is to be recorded accordingly in the ADGB and an increased recording fee is to be charged at the expense of the mare owner, subject to the scale of charges and fees of the Direktorium.

68. Based on the documents in regard to No. 63-67, the original file is created and the data entered in the data base. The mare returns are published annually, categorized under breeders, the name of mares and the name of stallions. Those breeding results in the Return of Mares which do not fulfil the conditions given under No. 59 and 60 are published with the remark “incomplete documents“ (“Unvollständige Unterlagen”).

E. Passport

69. Each horse recorded in the ADGB receives a passport including a certificate of origin. The exact issue date of the passport is to be recorded in the ADGB. The certificate of origin is an official document certifying the pedigree as per registered in the ADGB and may only be issued, supplemented or amended by the Direktorium for horses registered in the ADGB.
70. As agreed upon internationally, the cover of a passport is made up of a different
colour, depending on the respective year of foaling of the horse.
On receipt of the passport the owner respectively keeper must immediately check the
identity of the horse from the markings contained therein and any other relevant informa-
tion. The passport must be signed on the appropriate page to endorse that the records are
in order. Discrepancies must be reported immediately to the Direktorium.

71. In accordance with the zootechnical legislation as well as the international
requirements, the passport contains at least the information as listed below:
   a) Name and address of the Direktorium,
   b) name of the horse,
   c) life number,
   d) date of birth,
   e) country of birth,
   f) name of the breeder and his address,
   g) recording in the ADGB under specification of the number of volume in which the
      horse in question is published,
   h) gender (if applicable gelding),
   i) coat colour,
   j) three generation pedigree,
   k) markings,
   l) microchip number,
   m) date of identification and signature,
   n) signature of the person responsible for breeding matters at the Direktorium,
   o) name of the owner as registered with the Direktorium,
   p) record number of the parentage verification allocated by the lab,
   q) annex (medicinal treatment).
The Direktorium and authorized veterinarians may make additional remarks in the passport
during identity checks. Corrections may only be made by the Direktorium itself, though.
Changes noted in coat colour and markings are recorded in the ADGB and passport.

72. Both, the process of gelding and the change of ownership, are documented in the
ADGB and the passport and are regularly published in the Weekly Racing Calendar. The
recognition of a stallion for breeding purposes is documented in both, the passport and the
ADGB. In stallions, the highest published annual end of the season German General
Handicap Weight is recorded in the passport, when submitted to the Direktorium.

73. The loss of a passport must be reported immediately to the Direktorium. Upon an
according application and the presentation of an affidavit a duplicate can be issued. A
duplicate may also be issued, if a change of ownership is demonstrated by documents
subject to civil law. The duplicate is to be marked as such and must only be issued accor-
ding to the statutory provisions of Regulation (EC) No 504/2008. An identification check and
verification is to be carried out. The applicant is to be charged with the ensuing costs. Every
handing over of a horse (change of ownership or trainer) must include an immediate identity
check against the information given in the passport. The handing over of the horse and
verification of identity must be confirmed on the respective page in the passport.

74. For a horse participating for the first time in a race, the passport must be
presented to the respective racetrack authority.
The passport must accompany a horse whenever it is moved from its premises. Prior to
covering, a mare’s identity is to be checked against the information given in the passport.
When a horse dies or is humanely destroyed, its passport must be returned to the Direk-
torium. The date of and reason for demise are to be noted.
F. Exports

75. In case of a planned temporary or permanent export of a horse, the owner or his representative must notify in advance the Direktorium in writing, using the form designed for it by the Direktorium or via the website of the Direktorium (DVR-Online Breeders’ Service). The Direktorium has to be informed immediately in case the already notified exportation (temporary or permanent) is not being carried out.

a) In the event of a permanent export of a horse which is born in Germany, the issue of an export certificate must be applied for at the Direktorium. The Direktorium directly sends the document or transmits it electronically to the Approved Stud Book Authority of the country to which the horse has moved. For horses born abroad and currently being registered in Germany, the export certificate, which has been issued in the country of birth and is now with the Direktorium, is transmitted instead.

Where the period of exportation is greater than the given limit for a Racing or Breeding Clearance Notification (RCN or BCN) stipulated by the International Agreement on Breeding, Racing and Wagering and/or the itinerary has been modified without consultation of relevant authorities and/or if there is no intention to return the horse to its departure country, or when the relevant Stud Book Authority regard all movements regardless of purpose or time frame as permanent, an export certificate must be issued at the expense of the owner registered with the Direktorium.

b) In the event of a temporary export of a mare or a stallion for breeding purposes the issue of a Breeding Clearance Notification (BCN) must be applied for at the Direktorium. The Direktorium transmits the document to the Approved Stud Book Authority of the country of final destination. Before returning to Germany, the owner of the horse or his representative should apply to the Stud Book Authority of the country of temporary residence for a further clearance (BCN) to be supplied to the Direktorium. The Breeding Clearance Notification (BCN) is valid for one breeding season (9 month maximum) and one country of destination.

c) When a horse of whatever age, with the exception of foals under their dam, leaves Germany for a period of less than nine months and will return home inside that nine month period, the reason for travel being neither to race nor to breed, a General Notification of Movement (GNM) must be applied for at the Direktorium prior to departure for each movement. The Direktorium transmits the document to the competent Authority of the country of final destination. Before returning to Germany, the owner of the horse or his representative should apply to the competent Authority of the country of temporary residence from which the horse is returning for a further notification (GNM) to be supplied to the Direktorium.

G. Competences and Responsibilities

76. The head of the breeding department of the Direktorium is responsible for the keeping of the General German Stud Book (ADGB). This person is nominated by the board of the Direktorium in accordance with § 1 of the Regulation for Breeding Organisations. The head of the breeding department is in charge of and responsible for the accuracy of

a) recordings made in the ADGB,

b) certificates of origin, passports and export certificates,
c) registration of imported horses,

d) central keeping of the stud book as well as
e) the supervision of the reporting of coverings and mare returns. In this respect, the head of the breeding department is not subject to directives of the Direktorium.

Beyond that, the Direktorium is in charge of and responsible for the correct and orderly running of the performance tests (races) as well as the supervision of change of ownerships of all recorded and registered thoroughbred horses.

77. It is the duty of all breeders to abide by the rules of this Stud Book Regulation. They are responsible for and have to make sure that:

- they report the mare returns in due time and that the foals are identified within the period prescribed,
- the information they provide is correct and complete,
- they carefully examine the documents received from the Direktorium to be correct and complete and
- they report any mistakes found.

H. Fees

78. For any recording in the ADGB as well as for the issuing of a passport, an export certificate, a Breeding Clearance Notification (BCN) and a General Notification of Movement (GNM) fees are charged according to Annex 2.

I. Means of Legal Redress

79. The Breeding Commission of the Direktorium decides in any cases of doubt. The person affected may lodge an appeal against the Breeding Commission's ruling in writing to the Direktorium. The High Appeal Committee then decides on the contradiction between both parties.

J. Taking Effect of the Stud Book Regulation

80. This Stud Book Regulation came into effect on 1st January 1991.

5. Regulations for Keeping the German Non-Thoroughbred Register

81. Horses which do not meet the requirements of No.39 are recorded in the German Non-Thoroughbred Register (GNTR) according to No. 24 in order to be able to participate in races. The promotion to an approved Thoroughbred Stud Book is decided upon by the International Stud Book Committee in accordance with Article 13 of the International Agreement on Breeding, Racing and Wagering.

82. The required conditions for recording in the GNTR correspond to No. 40-77. Modification of the heritable genome of a prospective or already recorded horse in the GNTR during its conception, gestation or at any stage thereafter in its existence, will result in that horse permanently forfeiting its right to be recorded in the GNTR.

83. Each horse recorded in the GNTR receives a passport including a certificate of origin. The certificate of origin is an official document certifying the pedigree as per registered in the GNTR and may only be issued, supplemented or amended by the Direktorium.