

AES Rules and Regulations

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1. INTRODUCTION

The Anglo European Studbook is a U.K. based E.U. recognized studbook fully approved by D.E.F.R.A. (Department for Environment Food & Rural Affairs) as a P.I.O. (Passport Issuing Organization) and a proud member of the W.B.F.S.H. (World Breeding Federation of Sport Horses). The AES is a Limited Company registered at Companies House (number 2895163). Its aim is to promote the breeding of the world class sport horses, using the best performance bloodlines available in the U.K. and Europe today. This is achieved by a system of continuous grading and performance monitoring. The input and collaboration of experts from all Olympic disciplines dictate the direction of the AES, keeping it at the forefront of modern developments in the sport. The results are AES horses competing successfully at Grand Prix level, in WBFSH rankings and championships. Just a few examples of AES registered horses competing at the highest level are Tripple X III, Argento, Molly Malone V, Billy Congo, Blue Angel, Tinka's Serenade, Andrea, and River Rise Escarla who was recently admitted to the world class programme.

This document lays out the structure and methods of the AES. Any matters of doubt should be resolved by following the spirit of the text and in consultation with the senior management of the studbook to obtain the solution fairest to all members.

The AES will act in accordance with the UK, EU and WBFSH directives regarding studbook rules and regulations, insofar as they apply to the AES and are considered to be binding.

In order to comply with Commission Decision 92/353/EEC, the Company (Anglo European Studbook Ltd.) declares that

there will be no discrimination between breeders.

The AES issues passports which meet the full specifications set out in Annex I Part 1 and Part 2 of EU Regulation 2015/262 and unchanged from the format given.

The AES conducts itself at all times in accordance with the Minimum operating standards for UK approved passport issuing organisations, issued by Defra and last updated in March 2016.

The AES is a data controller and endeavors at all times to process personal data in accordance with the Data Protection Act 1998. Any personal details will be kept confidential, secure and will only be used for administration, statistical and analytical purposes, supplying information to the National Equine Database (when reinstalled) and contacting members/subscribers. We will not disclose personal data to third party data controllers other than in connection with the equine database, unless in accordance with law or with your permission. The AES is bound by Commission Decision 92/353/EEC and all relevant Horse Passport Regulations.

2. BREEDING OBJECTIVE

The AES breeding objective is focused on healthy and sound sport horses with a functional conformation and a good character that are able to compete successfully at the highest levels in all three Olympic disciplines.

Utmost attention is paid to correct conformation and soundness to provide horses for the sport that are fit for purpose.

The AES is a performance studbook, with particular encouragement and incentives provided to breed for the sport.

3. OBJECTIVES

- . 3.1 Encourage and facilitate the registration of all sport horses in the U.K. and the rest of Europe.
- . 3.2 Breed the best possible competition horses.
- . 3.3 Support and owners and breeders through guidance, transparency, information and data
- . 3.4 Provide services to riders
- . 3.5 Encourage co-operation and interchange of knowledge between owners, breeders and riders

HOW

- . 3.6 By providing media information through Newsletters, press releases, website, social media and seminars.
- . 3.7 Utilising the knowledge and skills of top riders in Dressage, Show Jumping and Eventing.
- . 3.8 Annual Grading of breeding stock and progeny, incorporating performance.
- . 3.9 Registration of all stock into the National Equine Database, when reinstalled.
- . 3.10 Young stock grading shows.
- . 3.11 Breed competitions.
- . 3.12 Organising stallion grading shows.
- . 3.13 Elite Foal Auction
- . 3.14 Membership of the WBFSh.

GRADING CRITERIA

3.15 Soundness and ability

3.16 Conformation and movement

3.17 Assessment of offspring

3.18 Competition prowess and ability of offspring

3.19 Reproductive ability

3.20 Pedigree and studbook status (Full, Auxiliary or Foundation Studbook)

4. MEMBERSHIP

Membership is open to everyone that registers a horse with AES. There is no annual fee to become a member. Benefits of membership are:

6.1 Registration and passport facilities.

6.2 Information through Newsletter, social media and the website.

6.3 Free admission to the stallion grading shows.

6.4 Free admission to meetings and seminars.

6.5 Access to research and further information.

6.6 Eligibility to participate in grading shows.

5. COMPLAINTS PROCEDURE

5.1 The Anglo European Studbook prides itself on providing an excellent level of customer service – but there may be times when you wish to complain about something that we did not get quite right. When that happens, we would encourage you to tell us about your complaint so we can put things right.

For complaints/appeals please contact:

Anglo European Studbook Ltd. New Barn Farm Capel
Road Rusper, West Sussex

RH12 4PZ Tel: 01293 871701 Fax: 01293 871205 Email:
info@angloeuropeanstudbook.co.uk

Our Complaints Procedure

1. We provide written acknowledgement of the complaint and the name and contact details of the member of staff dealing with the matter.
2. We confirm how the complaint will be dealt with and in what timeframe (immediately if possible, otherwise AES aims for a response within 48 hours or up to one week, depending on the complexity of the complaint).
3. We provide written confirmation of the outcome of the complaint.
4. If the complaint is not solved, a letter should be sent within 8 weeks of the original complaint, clearly explaining why we have been unable to resolve the matter. This letter will also outline the appeal procedure.
5. Records will be maintained by our staff, relating to any

complaints received. These records will be available for inspection if required. These records will include the name of the complainant, the substance of the complaint and all relevant correspondence. It will also include any offer of redress, accepted or refused, by the claimant. These records will be stored in our database.

Our Appeal Procedure

1. If the client is not satisfied with the solution/process, they may appeal to the Studbook management. This appeal should be made in writing, detailing the cause of dissatisfaction and may offer suggested resolution(s).

2. If the client is not satisfied with the outcome of their appeal, they may wish to take their case to the following body:

Department for Environment, Food and Rural Affairs
(DEFRA), Horse Passports Team, Area 5E, 9 Millbank, c/o
Nobel House, 17 Smith Square, London, SW1P 3JR

6. THE STUDBOOK

Registration Types

The Anglo European Studbook registers horses in the following studbooks:

- . 6.1 Main Studbook
- . 6.2 Auxiliary Studbook
- . 6.3 Foundation Studbook
- . 6.1.0 Main Studbook

The Main Studbook is exclusively used for horses that:

- . 6.1.1 Are bred with an AES graded stallion (*Licensed, Approved, or Elite*) and has at least 2 generations of pedigree on the Dam's side.
- . 6.1.2 Are bred with a stallion graded by an alternative studbook that is recognised by the AES and has at least 2 generations of pedigree on the Dam's side.
- . 6.2.0 Auxiliary Studbook

The Auxiliary Studbook is used for horses that:

- . 6.2.1 Are bred with an AES graded stallion (*Registered, Licensed, Approved, or Elite*) and have less than 2 generations of pedigree on the Dam's side.
- . 6.2.2 Are bred with a stallion graded by an alternative studbook that is recognised by the AES and have less than 2 generations of pedigree on the Dam's side.
- . 6.2.3 Are bred with a stallion graded by an alternative studbook that is not recognised by the AES but is E.U.

recognised and have at least 2 generations of pedigree on the Dam's side.

- . 6.2.4 Are bred with a stallion graded by an alternative studbook that is not recognised by the AES and is not E.U. recognized and have at least 2 generations of pedigree on the Dam's side. *
- . 6.2.5 Are bred by an ungraded stallion that has at least 2 generations of pedigree and have at least 2 generations of pedigree on the Dam's side. *

** A blood test is required (DNA) to prove the pedigree*

. 6.3.0 Foundation Studbook

The Foundation Studbook is used for horses that comply with the AES breeding objective and that:

- . 6.3.1 Are bred with a stallion graded by an alternative studbook that is not recognised by the AES but is E.U. recognised and have less than 2 generations of pedigree on the Dam's side.
- . 6.3.2 Are bred with a stallion graded by an alternative studbook that is not recognised by the AES and is not E.U. recognised and have less than 2 generations of pedigree on the Dam's side. *

. 6.3.3 Are bred with an ungraded stallion that is registered with a studbook that is not recognized by the AES. *

. 6.3.4 Are bred with an ungraded stallion that is registered with a studbook that is not recognized by the AES but is E.U. recognized. *

** A blood test is required (DNA) to prove any existing*

pedigree. In case this isn't done the pedigree will not be published in the passport.

6.4 AES Recognized Studbooks

The AES recognizes studbooks that:

- a. Are E.U. recognized
- b. Have a breeding objective that has strong similarity with the AES and have a equal selection method to bring a positive contribution to realize the breeding objectives of AES.
- c. Are a member of the W.B.F.S.H.

AES will publish a list of the recognized studbooks on its website.

6.5. AES will not register 100% Thoroughbred and Hackneys.

7. STALLION GRADING SYSTEM

Stallions

- . 7.1.0 Our graded stallions will be added to our stallion database:
- . 7.1.1 If a stallion is originally registered with AES (*Main or Auxiliary Studbook*), it will keep its original UELN that has been provided by AES. The database will be updated with the status of the stallion (*Registered, Licensed, Approved or Elite*).
- . 7.1.2 If a stallion is originally registered with an alternative studbook, it will keep its original UELN that has been provided by the alternative studbook. The status of the stallion will be added to the database (*Registered, Licensed, Approved or Elite*). No passport will ever be made for the stallion by AES. In case of loss the new passport has to be made by the original PIO.

An AES registered stallion will get a graded status (*Registered, Licensed, Approved, or Elite*) after passing an AES grading. A stallion registered with an alternative studbook will be added to our database after passing an AES grading. After adding the newly graded stallion to our stallion database it will receive the status it got at the grading (*Registered, Licensed, Approved, or Elite*)

Stallion Grades

- . 7.2.1 Failed
- . 7.2.2 Registered
- . 7.2.3 Licensed

. 7.2.4 Approved

. 7.2.5 Elite

. At the stallions first grading show a stallion's initial grade is assessed on his conformation, performance ability, movement and pedigree. Unsound horses are excluded. In case of a dispute concerning soundness, our vet will be the one who decides. A grade can change over time according to his performance and that of his progeny. At two and a half and three and a half years old the stallion can be Failed, Registered or Licensed. At four years or over they can be assessed under saddle, either jumping or dressage, in an attempt to upgrade to Licensed or Approved. When graded at four years old they then have three years in which to prove themselves in competition. Meanwhile the quality and performance of their offspring will be monitored. Based on this data a stallion can then be up or down graded.

7.2.2 Registered Stallions

Advised to be for owner's use only and not stand at public stud. They are limited to ten mares per year. Foals will be registered in the Auxiliary or Foundation Studbook.

Maximum of ten mares per annum.

. 7.2.3 Licensed Stallions For stallions deserving a better chance to prove themselves through their offspring. Can cover up to thirty mares annually. Offspring can be registered in the main studbook or auxiliary studbook.
Maximum of thirty mares per annum.

. 7.2.4 Approved Stallions Can cover unlimited number of mares and are considered to be the same quality

as Approved stallions on the Continent. *Unlimited number of mares.*

- . 7.2.5 Elite Stallions Stallions that have performed at the highest level, and whose offspring are consistently well above average. *Unlimited number of mares.*

NOTE: Non-performance at 7+ will result in down grading or exclusion.

- . 7.3 The grading for the stallions are decided by the Stallion Grading Committee, which comprises of stallion judges.

- . 7.4 Upgrading or downgrading can only be done by the Stallion Grading Committee, either during the Stallion Show, or at a special meeting (Annual Review). Downgrading must take place if any stallion has a poor performance record at seven years old. Upgrading can happen if a stallion performs in such a way that he can be expected to be an asset to the breed population. The minimum level of performance required at seven is:

- 1.30m level Show Jumping
- Advanced Medium Dressage
- Top Half Intermediate Eventing

These are minimum levels and do not guarantee up grading or prevent down grading. Several other factors are to be considered as well. Grading results of offspring, number of offspring and in what sort of competitions (members cups or B&C's) did the stallion win prizes, etc.

The performance figures for the seven year olds are obtained by the AES from the FEI recognized organizations.

If a stallion is either up or downgraded the owner is notified by post. In exceptional cases a year's amnesty may be given. If the owner feels that there are extenuating circumstances for his stallion's poor performance he should notify the AES in writing including any supportive evidence, at least fourteen days before the Annual Stallion Grading Show, or the Annual Review. If the stallion is put on a year's amnesty of downgrading the owner will be informed in writing. Stallion grades, as a result of the annual review are available to all members on the stallion list, which can be obtained from the office or Internet.

7.5 All stallions MUST undergo a full five -stage vetting before the stallion grading show. X-rays must be included at a minimum of 18 photo's:

- Navicular bone (2x2)
- Sesamoid bone (2x2)
- Tarsal Joint/Hock (3x2)
- Stifle (1x2)
- Fetlock hind (1x2)

8. MARES AND YOUNG STOCK GRADING SYSTEM

The grades available for young stock in all studbooks are as follows:

8.1 Third Premium – One star

8.2 Second Premium – Two stars

8.3 First Premium – Three stars

Shows have the following classes:

8.1 Foals born in current year.

8.2 Yearling filly or colt.

8.3 Two year old filly or colt

8.4 Three year old mare or gelding

8.5 4 years old/or older mare or gelding

All horses have to be shown in hand as well as loose. The 2 and 3 year olds will have to be loose schooled over jumps.

Entry fees per horse are detailed in the section on AES charges. AES registration is mandatory for all animals entering grading shows.

9. RULES FOR GRADING

- . 9.1 The AES accepts no financial liability in respect of the grades given at grading shows.
- . 9.2 The judges and officials act in a voluntary capacity and have no financial responsibility for their decisions.
- . 9.3 The judges are bound to explain their decisions and are also required to inform and assist exhibitors either privately or in public at their discretion.
- . 9.4 Judges will be looking for sound, athletic well-built horses with paces and conformation to suit their chosen discipline Dressage, Show Jumping or Eventing.
- . 9.5 A horse must be registered in one of the AES studbooks before it can be entered for a mare or young stock grading.
- . 9.6 In order to enter a grading show the horse must be registered as described above, an entry form must be complete and an entry fee paid.
- . 9.7 Grading of the mares and young stock is assessed on movement and type. Conformation Performance is taken in to account.
- . 9.8 Where performance is taken in to account for grading, the horse's owner must provide current evidence of the claimed performance with the entry form.
- . 9.9 It is not mandatory for the handler to be dressed in white. Also white tape in the plaits of mane is not desired.
- . 9.10 The bridle should consist of a plain snaffle.

- . 9.11 Stallions to be graded must attend a stallion grading.
- . 9.12 Stallion owners can apply for an extraordinary grading at home if they have all the required facilities and are prepared to pay an extra fee.
- . 9.13 Stallions that have proved themselves at International level and have a clean bill of health must at least attend a grading show and parade in front of the judges and public in order to obtain approval.
- . 9.14 Stallions entered for grading must undergo a full five-stage vetting. A vet's certificate stating that the stallion is free from any hereditary unsoundness, together with completed markings form must accompany the entry form for the stallion grading.
- . 9.15 All subsequently graded stallions must be DNA tested.
- . 9.16 The AES will accept stallions for grading from any AES recognised studbook and may choose to accept stallions from other studbooks.
- . 9.17 Stallions must achieve a high level of performance to stay fully Approved.
- . 9.18 A stallion can always attend subsequent grading shows to appeal against a previous grade.
- . 9.19 A stallion can be graded for a discipline of its choice – Dressage, Show Jumping or Eventing. Eventing stallions are best served by competing to advanced level first before entering a grading.
- . 9.20 Before grading all stallions must be X-rayed and findings must be submitted to the AES

- . 9.21 By entering a stallion grading the owner agrees to subject his horse to the opinion of the judges and accepts that their opinion is fair and without prejudice. Their verdict on the day is final.
- . 9.22 Random blood tests will be carried out to prevent malpractice.
- . 9.23 Untrue projections of the status of a stallion to the general public can lead to expulsion from the studbook.
- . 9.24 Non-payment of stallion contributions will result in exclusion from the studbook.
- . 9.25 All covering certificates are numbered. After paying the stallion contribution the owner can order the amount off certificates he needs to register the offspring of a stallion.
- . 9.26 AES covering certificates can only be used for AES graded stallions. Misuse will not be tolerated and subsequent foals will not be registered.
- . 9.27 The green copy of the covering certificates must be returned to the AES office by 1st November of each year.
- . 9.28 Fraud in any form will be met by expulsion from the AES. This includes untrue or misleading advertisement of stallions (e.g. presenting Registered stallions as 'Fully Graded').

10. REGISTRATION PROCEDURES

- . 10.1.0 Registration Rules
- . 10.1.1 No new pedigree paper will be issued. The original papers will be over stamped to safeguard the numbers and authenticity of the originals.
- . 10.1.2 Duplication is to be avoided. In case of fire theft or loss of passports or papers a new markings diagram must be submitted together with a signed declaration
- . 10.1.3 All registrations will be dealt with according the EC directive on horses.
- . 10.1.4 All foals must be registered whilst still with the mare. The markings form must be completed, signed and stamped by a veterinarian or an AES appointed qualified layman.
- . 10.1.5 Late registrations after weaning must be parentage tested by means of blood type or DNA testing. Costs of which are to be carried by the applicant.
- . 10.1.6 Horses from non-EC countries can apply for registration and may be accepted if considered suitable to our breeding objectives.
- . 10.1.7 When a horse dies its papers must be returned to the AES office and must not remain in circulation. The passport will be stamped invalid.

- . 10.2.0 The different registration procedures explained for each studbook
- . 10.2.1 Registration procedure Main Studbook *
- . 10.2.2 Registration procedure Auxiliary Studbook *
- . 10.2.3 Registration procedure Foundation Studbook *

* All horses have to be micro chipped by a veterinarian surgeon before registration.

All required forms and information has to be send to our UK office. Please hold a copy of any original forms for the unlikely event something goes wrong or is lost in the post.

10.2.1 Registration procedure Main Studbook

To produce a passport for a new registration in our Main Studbook we need:

- A completed AES covering certificate. The front upper part has to be completed and signed by the stallion owner. The front lower part has to be completed by the breeder/owner. The back has to be completed, signed and stamped by a veterinary surgeon. A barcode sticker from the microchip has to be added on the back of the covering certificate by the vet as well.
- In case the Sire of the horse is graded with an alternative studbook, please send us the covering certificate from that studbook and download a “AES Sketch form” from the download page on our website, which has to be completed, signed and stamped by a veterinary surgeon. A barcode sticker from the microchip has to be added on the back of the covering certificate by the

vet as well. Please don't forget to add the owners/breeders details on a separate note.

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- A photocopy of the Dam's pedigree that contains the UELN of the Dam. Hand written pedigrees will not be accepted.
 - If the examination by the veterinarian surgeon takes place after weaning of the foal then a blood test (DNA) is required to confirm the breeding. Please contact our office for a DNA-Kit.

- 10.2.2 Registration procedure Auxiliary Studbook

To produce a passport for a new registration in our Auxiliary Studbook we need:

- A completed AES covering certificate. The front upper part has to be completed and signed by the stallion owner. The front lower part has to be completed by the breeder/owner. The back has to be completed, signed and stamped by a veterinary surgeon. A barcode sticker from the microchip has to be added on the back of the covering certificate by the vet as well.
- In case the Sire of the horse is graded with an alternative studbook that is AES recognized, please send us the covering certificate from that studbook and download a "AES Sketch form" from the download page on our website, which has to be completed, signed and stamped by a veterinary surgeon. A barcode sticker from the microchip has to be added on the back of the covering certificate by the vet as well. Please don't forget to add the owners/breeders details on a separate

note.

- A photocopy of the Dam's pedigree that contains the UELN of the Dam. Hand written pedigrees will not be accepted.
- If the examination by the veterinarian surgeon takes place after weaning of the foal then a blood test (DNA) is required to confirm the breeding. Please contact our office for a DNA-Kit

10.2.3 Registration procedure Foundation Studbook

To produce a passport for a new registration in our Auxiliary Studbook we need:

- A completed AES covering certificate. The front upper part has to be completed and signed by the stallion owner. The front lower part has to be completed by the breeder/owner. The back has to be completed, signed and stamped by a veterinary surgeon. A barcode sticker from the microchip has to be added on the back of the covering certificate by the vet as well.
- In case the Sire of the horse is graded with an alternative studbook that is AES or E.U. recognized, please send us the covering certificate from that studbook and download a "AES Sketch form" from the download page on our website, which has to be completed, signed and stamped by a veterinary surgeon. A barcode sticker from the microchip has to be added on the back of the covering certificate by the vet as well. Please don't forget to add the owners/breeders details on a separate note.

- In case the Sire of the horse is graded with an alternative studbook that is not AES or E.U. recognized, a blood test (DNA) is required to confirm the breeding. Please send us the covering certificate from that studbook and download a “AES Sketch form” from the download page on our website, which has to be completed, signed and stamped by a veterinary surgeon. A barcode sticker from the microchip has to be added on the back of the covering certificate by the vet as well. Please don't forget to add the owners/breeders details on a separate note.
- In case the Sire of the horse is an ungraded stallion that is registered with AES then a blood test (DNA) is required to confirm the breeding. Please contact our office for a DNA-Kit. Please download an “AES Sketch form” from the download page on our website, which has to be completed, signed and stamped by a veterinary surgeon. A barcode sticker from the microchip has to be added on the back of the covering certificate by the vet as well. Please don't forget to add the owners/breeders details on a separate note.
- In case the Sire of the horse is an ungraded stallion that is registered with an alternative studbook then please send a photocopy of its pedigree (if available). A blood test (DNA) is required to confirm the breeding. Please contact our office for a DNA-Kit. Please download an “AES Sketch form” from the download page on our website, which has to be completed, signed and stamped by a veterinary surgeon. A barcode sticker from the microchip has to be added on the back of the covering certificate by the vet as well. Please don't forget to add the owners/breeders details on a separate note.

- A photocopy of the Dam's pedigree (if available) that contains the UELN of the Dam. Hand written pedigrees will not be accepted.
- If the examination by the veterinarian surgeon takes place after weaning of the foal then a blood test (DNA) is required to confirm the breeding. Please contact our office for a DNA-Kit.

11. PASSPORTS

Our equine passports are produced by the highest standards and comply with the latest U.K./E.U. legislations for zootechnical standards. We pride ourselves in excellent passport security features.

12. OFFICE REGISTRATION PROCEDURES

. 12.1 The UK Office

. 12.2 Payments and Costs

. 12.3 The process of creating the passports

. 12.1 The UK Office The Anglo European Studbook is a U.K. based E.U. recognized studbook fully approved by D.E.F.R.A. (Department for Environment Food & Rural Affairs) as a P.I.O. (Passport Issuing Organization) and a proud member of the W.B.F.S.H. (World Breeding Federation of Sport Horses). Our equine passports are produced by the highest standards and comply with the latest U.K./E.U. legislations for zootechnical standards. Our office is based in Rusper (West Sussex), this is where our passports are made: The Anglo European Studbook New Barn Farm Capel Road Rusper, West Sussex RH12 4PZ United Kingdom Please send all required information for new registrations to our office in the U.K.

. 12.2 Payments and Cost The fee for a new registration is £45.- or €50.- ex 20% VAT. Late registrations (after 31th of December) will cost £65.- or €75.- ex VAT. Payments can be made by:

- Bank Transfer
- Sending a Cheque to our office in the U.K. An invoice will be sent together with the passport, which has to be paid within 30 days.

12.3 The process of creating the passports

After we have received all the required documents and information your equine passport will be produced within one week. In case the covering certificate or the Sketch form are not filled in completely we will send it back to you together with a note explaining what is wrong or missing. In case we are missing some other information we will contact you by phone or email in order to get everything straight as soon as possible.