

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 full 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, in consultation with the requirements identified by all three Olympic disciplines, keeping the studbook at the forefront of modern developments in the sport. AES horses are competing successfully at Grand Prix level, featuring at the top 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, Lizziemary, JB's Hot Stuff and River Rise Escarla who was 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.

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 a way that is fully compliant with the EU General Data Protection Regulation (GDPR) that comes into force on 25 May 2018. We only keep personal details where necessary. These are kept confidential, secure and will only be used for administration, statistical and analytical purposes, supplying information to equally compliant third party that have a legitimate requirement for those data, such as the Central Equine Database.

We will not disclose personal data to third party data controllers other than in connection with the equine database, unless in accordance with law. The AES is bound by Commission Decision 92/353/EEC and all relevant Horse Passport Regulations.

The AES will share horse pedigree data with appropriate third parties where it facilitates the advancement of public knowledge about breeding and performance.

2. BREEDING OBJECTIVE

The AES breeding objective is to support the breeding of healthy and sound sport horses for Eventing, Show Jumping and Dressage capable of competing successfully at Grand Prix level.

To achieve this, the AES focuses on functionality, ability and temperament.

Utmost attention is paid to correct conformation to provide horses for the sport that are fit for purpose and to encourage the breeding of horses for longevity and durability.

The AES is a performance studbook, with particular encouragement and incentives provided to breed for the highest level in all three Olympic disciplines. Its breeding objective are talented horses with excellent ability to succeed.

The AES recognises the importance of temperament for trainability and rideability and supports the breeding of horses with good character that will become happy athletes and reliable partners in the sport.

3. OBJECTIVES

- 3.1 Facilitate the registration of sport horses in the U.K. and the rest of Europe.
- 3.2 Breed the best possible competition horses.
- 3.3 Support owners and breeders through guidance, transparency, information and data.
- 3.4 Support the British breeding community to contribute to its long term success.
- 3.5 Support the riders through information and by encouraging the breeding of functional talented horses with excellent ability and temperament.
- 3.6 Encourage co-operation and interchange of knowledge between owners, breeders and riders

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- 3.7 By providing media information through newsletters, press releases, website, social media and seminars.
- 3.8 Utilising the knowledge and skills of top riders in Dressage, Show Jumping and Eventing.
- 3.9 Regular grading of breeding stock and progeny, incorporating performance reviews.
- 3.10 Registration of all stock into the Central Equine Database.
- 3.11 Mare gradings and recognition of mare performance records.
- 3.11 Young stock grading shows.
- 3.12 Breed competitions.
- 3.13 Stallion grading shows.
- 3.14 Elite Foal Auction.
- 3.15 Membership of the WBFSH.

GRADING CRITERIA

3.15 Soundness and ability

3.16 Conformation and movement

3.17 Quality 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 news, press releases, 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.

6.7 Invitation to Member meetings.

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 (Registered,* Licensed, Approved, or Elite), or with a stallion graded with another WBFSH member studbook or with another studbook recognised by the AES, and has at least 3 generations of pedigree on the Dam's side. * if used on the stallion owner's own mare

6.1.2 Youngstock fulfilling the above criteria and bred from AES graded mares are eligible for studbook inspection for purple papers, the premium section of the studbook.

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 fewer than 3 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 or with a stallion graded with another WBFSH member studbook, and have fewer than 3 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.

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.

6.2.5 Are bred by an ungraded stallion that has at least 3 generations of pedigree.*

6.2.6 Are bred by an ungraded stallion with fewer than 3 generations of pedigree and a mare with at least three generations of pedigree.

* A blood test is required (DNA) to prove the pedigree of all ungraded stallions

6.3.0 Foundation Studbook

The Foundation Studbook is used for horses that comply with the AES breeding objective of being suitable for one of the three Olympic disciplines and that:

6.3.1 have unproven pedigree

6.3.2 are bred from ungraded stallions that have fewer than 3 generations of pedigree out of a mare with fewer than 3 generations of pedigree

6.3.3 Foundation passports are ID passports only and no pedigree will be recorded in them.

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 an equal selection method to bring a positive contribution to realise 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), he will keep his original UELN that has been provided by the 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, he will keep his original UELN that has been provided by original studbook. The status of the stallion will be added to the database (Registered, Licensed, Approved or Elite). No new passport will be issued by the AES. In case of loss the replacement passport has to be made by the original PIO, unless the stallion is standing in the UK and the original PIO has no UK office, in which case the stallion owner may apply for a duplicate passport issued by the AES but with the original identification and registration details.

An AES registered stallion will obtain 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 he will receive the status awarded at the grading (Registered, Licensed, Approved, or Elite).

Graded stallions receive a linear score, which is added to the AES database.

Stallion Grades

7.2.1 Failed

7.2.2 Registered

7.2.3 Licensed

7.2.4 Approved

7.2.5 Elite

At a stallion's first grading show a stallion's initial grade is assessed on his conformation, performance ability, movement and pedigree, using a linear profile. Linear profiles of graded stallions are added to the database. 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 the stallion's performance and quality of progeny.

Stallions presented at 2 ½ to 3 ½ years old will be inspected in hand and loose in the school and can be graded as either failed , registered or licensed.

At four years of age or over, stallions are assessed under saddle, and are expected to show age appropriate work in dressage or jumping, in order to be eligible for an upgrade to Licensed or Approved status.

Performance assessment:

The AES continually assesses its stallions' performance in competition and in terms of quality of progeny. The decision to up-, as well as downgrade a stallion based on their competition record and/or quality of offspring inspected lies at the discretion of the judges.

7.2.2 Registered Stallions

Stallions achieve registered status in recognition of showing good promise and quality, but are yet to prove themselves further to achieve a higher status. This level of grading is designed for young stallions who are yet to fully mature.

Owners are advised that the registered status enables them to use the stallion on their own mares only, and does not permit them to advertise the stallion for public coverings for full main studbook papers. Registered stallions are limited to 10 mares per annum. Registered stallions must be re-presented for re-assessment within 2 years of the original grading.

7.2.3 Licensed Stallions

Stallions showing exceptional quality and potential at a young age can achieve licensed status at their first inspection. Registered stallions can be upgraded to licensed status based on further inspections and on proving themselves in the quality of their offspring and their sport performance.

A licensed stallion can cover up to thirty mares annually. Offspring can be registered in the main studbook or auxiliary studbook.

7.2.4 Approved Stallions

Approved status is awarded based on performance records and/or quality of offspring and/or further inspection by the studbook evaluators. Approved stallions have proven themselves in breeding and in the sport, giving a reliability and suitability indication similar to performance tested stallions on the continent.

Approved stallions can cover an unlimited number of mares.

7.2.5 Elite Stallions

Stallions who have performed at the highest level internationally, and whose offspring are consistently well above average are awarded Elite Status. This award is made at the discretion of the studbook evaluators and management.

Elite stallions can cover an unlimited number of mares.

7.3 The grading of a stallion is decided by the Stallion Grading Committee, which comprises of the stallion evaluators.

7.4 The upgrading or downgrading of a stallion is decided by the Stallion Grading Committee, either during the Stallion Show, or at a special meeting (Annual Review).

Stallions failing to accumulate a sufficient performance record and/or not producing progeny of sufficient quality will be downgraded or have their license revoked. Upgrades are granted, at the discretion of the Stallion Grading Committee, if a stallion's performance and progeny indicate that he is an asset to the breeding population.

Typically, a seven-year-old stallion is expected to perform well at at least national level competitions in order to be eligible for a performance review in view of upgrading to approved status. Elite stallions typically have a successful international competition record and Grand Prix competition experience.

To monitor stallion performance records, the AES consults FEI and national performance records. 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 or she 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. A stallion's grading status is published on the public database.

7.5 All stallions MUST undergo a full five-stage vetting before the stallion can be listed as graded. X-rays must be included at a minimum of 18 photos:
Navicular bone (2x2) Sesamoid bone (2x2) Tarsal Joint/Hock (3x2) Stifle (1x2)
Fetlock hind (1x2)

7.6 All stallions MUST be tested for Warmblood Fragile Foal Syndrome. Results will be published on the database.

8. MARES AND YOUNG STOCK GRADING SYSTEM

The AES strongly recommends that all broodmares are tested for Warmblood Fragile Foal Syndrome and that all youngstock from untested parents is also tested.

The grades available for youngstock and broodmares in all three studbooks (main, auxiliary, foundation) are as follows:

Third Premium – One star

Second Premium – Two stars

First Premium – Three stars

Adult horses will be awarded further stars based on performance:

National Performance Records: 4 stars

International Performance Records: 5 stars

4 star horses will be awarded silver, 5 star horses gold papers.

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 youngstock entering grading shows. Mares registered with other studbooks are also eligible for grading into the studbook for breeding purposes. Mares with full main studbook papers from another WBFSH member studbook are eligible for grading into the AES main studbook.

For mares without full main studbook papers from another WBFSH member studbook, the same principles apply as they do in youngstock registrations, i.e. those mares are eligible to be entered in either the auxiliary or foundation database.

All horses are assessed using a full linear profile, a record of which is kept and which is also made available to the breeder.

9. RULES FOR GRADING

9.1 The AES accepts no financial liability in respect of the grades given at grading shows.

9.2 The evaluators and officials act in a voluntary capacity and have no financial responsibility for their decisions.

9.3 The evaluators 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 Evaluators 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 or eligible for registration as a breeding animal, 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 conformation. Type and Performance are 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 circumstances prevent them from being able to attend a public grading. They must have all the required facilities and be prepared to pay an extra fee.

9.13 Stallions that have proven 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 is required.

9.15 The DNA of all graded stallions must be recorded and stored.

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 Stallions are invited to attend future stallion shows to be considered eligible for an upgrade in status.

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 recorded as graded, 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 evaluators 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 Stallions are charged an annual stallion contribution of £195 including vat. If stallion owners no longer want their stallion to be listed as an active stallion on the database, they must notify us no later than 31 December of the previous year. Non-payment of stallion contributions will result in exclusion from the studbook. Elite stallions are exempt from the annual stallion contribution.

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 Original papers will be over stamped to safeguard the data 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 to the EU directive on registrations of equines. This includes the recording of all registered animals on the Central Equine Database.

10.1.4 All foals must be registered while 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 accompanied by a written confirmation of pedigree from the breeder's veterinarian, or parentage tested by means of blood type or DNA testing, the costs of which are to be carried by the applicant.

Applications that are made later than 6 months after the foaling date OR later than 31 January of the following year, whichever is the later date, will result in the issue of a duplicate passport that identifies the horse as removed from the food chain, in accordance with food chain safety regulation.

10.1.6 Horses from non-EU 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.
- In the case of the Sire of the horse being 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. The barcode sticker from the microchip has to be added on next to the sketch. 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.

10.2.2 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.
- In the case of the Sire of the horse being 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 Sketch form” from the download page on our website, which has to be completed, signed and stamped by a veterinary surgeon. If a covering certificate is available, a barcode sticker from the microchip has to be added on the back of it by the vet as well. Please don't forget to add the owners/breeders details on a separate note.

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 full 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 £25 including 20% VAT. Late registrations (after 31th of December) will cost £78 including 20% 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.

Newly registered horses are immediately entered in the Central Equine Database.

