

## CHAPTER 10: RULES AND REGULATIONS FOR PUREBRED ARABIAN, HALF-ARABIAN, AND ANGLO-ARABIAN REGISTRATION

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All AHA program and event deadlines must be met as specified, whether submitted by hand delivery, postal service, fax, e-mail, Internet or other electronic means.

### MEMBERSHIP

For membership requirements refer to Chapter 7.

### INTRODUCTION

These Rules and Regulations refer to the Arabian Horse Association, Inc. as the "AHA Registry" unless it is stated otherwise, or unless it can be gathered from the context that something else is meant. The term "Registry" also refers to the Registrar of the AHA Registry and to appointed representatives.

The Registration Commission may prescribe whatever procedures necessary to carry out these Rules and Regulations.

The principal objective of the AHA Registry is to facilitate the preservation and improvement of purebred Arabian, Half-Arabian and Anglo-Arabian horses. In furtherance of that objective, the AHA Registry maintains an official registry of purebred Arabian, Half-Arabian and Anglo-Arabian horses and administers the supplemental identification program as a registration requirement for purebred Arabian race horses. The AHA Registry may refuse to register any horse or to issue a Certificate of Registration for Racing if such registration or issuance is not in conformity with these Rules and Regulations or, in the reasonable judgment of the AHA Registry, will not aid, promote and foster the objectives of the AHA Registry as stated in its Articles of Incorporation.

Any member, and any person signing any portion of a document required for the registration of a horse, the issuance of a Certificate of Registration for Racing, or the transfer of a Certificate of Registration and any person who has a Certificate of Registration transferred into their ownership, agrees to follow these Rules and Regulations, including revisions as made from time to time, and to be bound by them.

It is the responsibility of the person who seeks to register a horse to be aware of the applicable requirements for such transactions at the time the submittal or request is made.

### REGISTRATION

#### REG 101. REQUIREMENTS AND PROCEDURES FOR DOMESTIC PUREBRED ARABIAN HORSES

A horse conceived from the mating of a domestic mare (i.e. a mare residing in the United States or Mexico and registered in the AHA Registry's records) and an eligible stallion, and born in the United States or Mexico may be registered as a purebred Arabian if the following requirements are met:

1. The horse is of pure Arabian blood as verified by its pedigree.
2. The dam of the horse is registered with the AHA Registry and all transfers of ownership have been recorded by the AHA Registry in accordance with REG 124-126.
3. The sire of the horse is registered with the AHA Registry and all transfers of ownership have been recorded by the AHA Registry in accordance with REG 124-126, or, in the event the horse is conceived through the use of imported semen in accordance with REG 112 or is eligible for registration in accordance with REG 150-151, the pedigree of the sire is acceptable and traces in all lines to current \*source registries.

4. AHA has received a Stallion Report for the sire for the year in which the horse was conceived in accordance with REG 109.
5. The requirements of REG 107. (pasture breeding), REG 110-112 (artificial insemination), and/or REG 121. (embryo/oocyte transfer) of this section have been fulfilled.
6. An application for registration, on the appropriate form provided by the AHA Registry, has been completed, signed by the appropriate recorded owner(s) (or by the person whom the recorded owner(s) has authorized in writing to sign the application) and filed with the AHA Registry.
7. The DNA types of the horse, the horse's sire and the horse's dam have been placed on permanent record with the AHA Registry and the horse has been shown to qualify as an offspring of the stated sire and dam through DNA type testing.
8. The registration fee for domestic purebred Arabian Horses has been paid.

\*The term "source registry" refers to a stud book authority (registry) which is approved by the Registration Commission as well as to the jurisdictional area of that stud book authority.

#### **REG 102. REQUIREMENTS AND PROCEDURES FOR DOMESTIC HALF-ARABIAN HORSES**

A horse conceived and born in the United States, or Mexico may be registered as a Half-Arabian if the following requirements are met:

1. One parent of the horse is registered as a purebred Arabian Horse with either the Arabian Horse Association or the Canadian Arabian Horse Registry (for imports refer to REG 106.), and
2. The non-Arabian parent of the horse is not a registered Anglo-Arabian or a registered Thoroughbred or an unregistered purebred Arabian, and
3. The requirements of REG 108. (42-day Rule), REG 110 (artificial insemination) and REG 122 (embryo/oocyte transfer) are met.
4. Alternatively, the horse may be registered in the Half-Arabian Horse Registry if the horse would qualify for registration in the Anglo-Arabian Horse Registry except that it has more than 75% Arabian blood.
5. An application for registration, on the appropriate form provided by the AHA Registry, has been completed, signed by the appropriate recorded owner(s) (or by the person whom the recorded owner(s) has authorized in writing to sign the application) and filed with the AHA Registry.
6. A mule, hinney, or any animal other than a horse is not eligible for registration.
7. If a sire or dam is dual registered with AHA and another breed registry, the Half-Arabian or Anglo-Arabian Horse Registry must use the AHA registration number and recorded ownership information to register a foal. (BOD 1/03)
8. \*Half-Arabians that are two years of age and older at the time of registration request must have DNA type of the horse and the horse's purebred Arabian parent placed on permanent record with the AHA Registry and the horse has been shown to qualify as an offspring of the stated purebred sire or purebred dam through DNA type testing, and

\*Effective January 1, 2014

9. The registration fee for domestic Half-Arabian Horses has been paid.

#### **MISCELLANEOUS**

10. Horses registered as Half-Arabians may not hold Arabian papers simultaneously with another registry.
11. Horses registered as purebred Arabians with foreign registries for which AHA registration has been requested will be reviewed for purebred status.
12. If a horse is deemed to be a purebred Arabian through a foreign registry yet meets the AHA criteria as a Half-Arabian, the owner must relinquish the foreign Arabian papers to AHA as a condition of registration.

#### **REG 103. REQUIREMENTS AND PROCEDURES FOR DOMESTIC ANGLO-ARABIAN HORSES**

A horse conceived and born in the United States, or Mexico may be registered as an Anglo Arabian if the following requirements are met:

1. The horse is a cross between: a purebred Arabian registered with either the Arabian Horse Association or the Canadian Arabian Horse Registry; a purebred Thoroughbred registered with The Jockey Club or approved foreign

source registry recognized by the Jockey Club; or an Anglo-Arabian registered with the Anglo-Arabian Horse Registry or an Anglo-Arabian registered with a verifiable foreign Anglo-Arabian registry where the foreign Anglo meets the requirements of the AHA Anglo-Arabian (103.2 and 103.3).

2. The horse has no less than 25% Arabian blood and no more than 75% Arabian blood. (If the horse has more than 75% Arabian blood, but would otherwise qualify for registration in the Anglo-Arabian Horse Registry, it is eligible for registration in the Half-Arabian Horse Registry.)
3. The horse results from one of the following breeding combinations:
  - a. Thoroughbred stallion to purebred Arabian mare.
  - b. Purebred Arabian stallion to Thoroughbred mare.
  - c. Anglo-Arabian stallion to Anglo-Arabian mare.
  - d. Purebred Arabian stallion to Anglo-Arabian mare.
  - e. Anglo-Arabian stallion to purebred Arabian mare.
  - f. Thoroughbred stallion to Anglo-Arabian mare.
  - g. Anglo-Arabian stallion to Thoroughbred mare.
4. The requirements of REG 108. (42-day Rule), REG 110 (artificial insemination) and REG 122 (embryo/oocyte transfer) are met.
5. An application for registration, on the appropriate form provided by the AHA Registry, has been completed, signed by the appropriate recorded owner(s) (or by the person whom the recorded owner(s) has authorized in writing to sign the application) and filed with the AHA Registry.
6. A mule, hinney, or any animal other than a horse is not eligible for registration.
7. When a sire or dam is dual registered with AHA and another breed registry, the Half-Arabian or Anglo-Arabian Horse Registry must use the AHA registration number and recorded ownership information to register a foal.
8. The registration fee for domestic Anglo-Arabian Horses has been paid.

#### **REG 104. REQUIREMENTS AND PROCEDURES FOR PUREBRED ARABIAN HORSES IMPORTED IN UTERO**

A purebred Arabian horse conceived from the mating of a foreign mare (i.e. a mare which is outside the United States or Mexico and is registered with a foreign registration authority) and an eligible stallion, and imported in utero into and born in the United States or Mexico may be registered if the following requirements are met;

1. The dam of the horse is registered in the AHA Registry's records.
2. The horse is from a current source registry as defined by REG 101.
3. The pedigree of the sire is acceptable and traces in all lines to source registries;
4. An application for registration, on the appropriate form provided by the AHA Registry, has been completed, signed by the appropriate recorded owner(s) (or by the person whom the recorded owner(s) has authorized in writing to sign the application) and filed with the AHA Registry;
5. The DNA types of the horse and the horse's sire and the horse's dam, have been placed on permanent record with the AHA Registry and the horse has been shown to qualify as an offspring of the stated sire and dam through DNA type testing;
6. The sire is duly registered in the stud book or annual supplement to the stud book of the source registry where the mating occurs;
7. A statement of breeding service has been provided to the AHA Registry; and
8. The registration fee for purebred imported in utero horses has been paid.

#### **REG 105. REQUIREMENTS AND PROCEDURES FOR PUREBRED ARABIAN IMPORTED HORSES**

A purebred Arabian horse imported into the United States or Mexico may be registered if the following requirements are met:

1. The imported horse is born and originally registered in a source registry as defined by REG 101 and is of pure Arabian blood, as verified by a properly authenticated pedigree acceptable to and filed with the AHA Registry all lines of which pedigree trace to source registries.
2. An application for registration, on the appropriate form provided by the AHA Registry, has been completed, signed by the importer and filed with the AHA Registry;

3. The original registration certificate issued by the exporting source registry has been submitted to the AHA Registry. The foreign recorded owner at the time of export, the horse's markings, and the horse's pedigree must be shown on the original foreign registration certificate. An Export Certificate issued by the exporting source registry showing this information must also be submitted to the AHA Registry. If the importer and the foreign recorded owner at the time of export are not the same, then a document(s) that evidences an unbroken chain of ownership to the importer must be submitted;
4. The sire and dam are duly registered in the stud book or annual supplement to the stud book of the source registry where the sire and dam were originally registered;
5. The importer has submitted color photographs showing front, rear, and side views of the horse's markings. The horse's markings must be congruent with those shown on the foreign documents. If necessary, the horse may be inspected by an AHA Registry representative to verify its identity;
6. The DNA types of the horse and the horse's sire and the horse's dam, have been placed on permanent record with the AHA Registry and the horse has been shown to qualify as an offspring of the stated sire and dam through DNA type testing; and
7. The registration fee for purebred imported horses has been paid.

#### **REG 106. IMPORTED OR IMPORTED IN UTERO HALF-ARABIANS AND ANGLO-ARABIANS**

A Half-Arabian or Anglo-Arabian Horse imported from a country other than the United States, Canada, or Mexico may be registered if the requirements set forth in REG 102-103. of this rule and the following requirements are met:

1. The purebred Arabian parent is originally registered in a source registry as defined by REG 101. and is of pure Arabian blood, as verified by a properly authenticated pedigree acceptable to and filed with the AHA Registry all lines of which pedigree trace to source registries. Or, a purebred Thoroughbred parent registered with The Jockey Club or an approved foreign source registry recognized by the Jockey Club; or Anglo-Arabian parent registered with Anglo-Arabian Horse Registry or an Anglo-Arabian registered with a verifiable foreign Anglo-Arabian registry where the foreign Anglo meets the requirements of the AHA Anglo-Arabian (103.2 and 103.3).
2. All requested documents concerning the horse's pedigree, any foreign Certificate of Registration, importation documents and import applications and photographs (all four views of the horse) have been provided.
3. An application for registration on the appropriate form has been completed and signed by the recorded owner.
4. The registration fee for Half-Arabian or Anglo-Arabian imported horses has been paid.

#### **PASTURE BREEDING**

#### **REG 107. REQUIREMENTS FOR PASTURE BREEDING**

Only one stallion may run with a mare or a group of mares, and they must be enclosed by permanent fences maintained in such a manner that no other stallion could breed any mare in the pasture.

#### **42-DAY RULE**

#### **REG 108. 42-DAY RULE FOR HALF-ARABIANS AND ANGLO-ARABIANS**

After a mare is exposed or bred to one stallion, including hand breeding, pasture breeding or artificial insemination, at least 42 days must elapse before the mare is exposed to another stallion, other than an ungelded male less than 10 months of age.

#### **REG 109. STALLION REPORTS**

On or before **December 31** of each year, the recorded owner of each purebred Arabian stallion to which purebred Arabian mares have been exposed during the calendar year, must complete, sign and mail to AHA a stallion report for each stallion, on a form supplied by AHA, listing all purebred Arabian mares exposed to the stallion, whether they are in foal or not, and listing all dates of exposure. If the stallion report is not mailed on or before **December 31** of the calendar year which it covers, the

recorded owner must pay a late filing fee, may be charged for any reasonable costs and expenses that AHA incurs in investigating the accuracy of the stallion report, and may also be subjected to the penalties provided under REG 138.

#### **ARTIFICIAL INSEMINATION**

#### **REG 110. REQUIREMENTS FOR ARTIFICIAL INSEMINATION USING SEMEN WHICH IS NOT TRANSPORTED OR STORED**

Semen may be artificially placed within a mare and the resulting foal may be eligible for registration as a purebred Arabian under REG 101., Half-Arabian under REG 102., or Anglo-Arabian under REG 103. if the following requirements are met:

1. Semen must be collected from the stallion and inseminated into the mare on the same premises. For the purposes of this section, "premises" is defined as the farm or facility where the stallion and mare are both present at the time of collection;
2. Semen must be used within 72 hours of collection; and
3. Semen may not be frozen.

Semen, which is frozen, or is not used within 72 hours of collection, or is transported by any means to a location other than the premises where the collection of the stallion occurred, will be subject to REG 111. to register resultant purebred Arabian foals

#### **TRANSPORTED - STORED SEMEN**

#### **REG 111. REQUIREMENTS FOR PUREBRED ARABIANS USING ARTIFICIAL INSEMINATION USING TRANSPORTED OR STORED SEMEN**

Semen collected in the United States or Mexico may be transported or stored prior to being inseminated into a mare, and foals resulting from the use of such semen may be eligible for registration as purebred Arabians under REG 101., if the following requirements are met:

1. A Semen Transportation Permit has been issued for the purebred Arabian stallion. The permit will be effective until the recorded ownership of the stallion changes or the stallion is exported. A permit may be issued for a stallion if the following requirements are met:
  - a. An application for a Semen Transportation Permit, on a form provided by the AHA Registry, has been completed, signed by the appropriate recorded owner (or by the person whom the recorded owner has authorized in writing to sign the application), and filed with the AHA Registry;
  - b. The DNA type of the stallion has been placed on permanent record with the AHA Registry; and
  - c. The required fee has been paid;
2. If a Semen Transportation Permit has not been issued by the AHA Registry prior to the collection and storage, or the collection and transportation, of semen from a stallion, the recorded owner of the stallion at the time the semen was collected must pay a Late Permit Fee, and may be charged for any reasonable costs and expenses that the AHA Registry may incur in investigating the circumstances, and may also be subject to the penalties provided by REG 138.
3. A valid Semen Transportation Permit is required to purchase Transported-Stored Semen Service Certificates. A Transported-Stored Semen Service Certificate is required to register a purebred Arabian foal that is conceived through the use of transported or stored semen. A Transported-Stored Semen Service Certificate may be issued only to the recorded owner of a stallion and will be issued only if the following requirements are met:
  - a. A Semen Transportation Permit has been issued to the recorded owner of the stallion and is effective at the time the Transported-Stored Semen Service Certificate is applied for;
  - b. An application for a Transported-Stored Semen Service Certificate, on the appropriate form provided by the AHA Registry, has been completed, signed by the appropriate recorded owner (or by the person whom the recorded owner has authorized in writing to sign the application), and filed with the AHA Registry; and
  - c. The required fee has been paid;

4. A horse which is conceived through the use of transported or stored semen may be eligible for registration as a purebred Arabian under REG 101., if the following requirements are met:
  - a. A Transported-Stored Semen Registration Application, on a form provided by the AHA Registry, has been completed, signed by the appropriate recorded owner(s) (or by the person whom the recorded owner(s) has authorized in writing to sign the application), and filed with the AHA Registry; and
  - b. A properly issued and valid Transported-Stored Semen Service Certificate accompanies the registration application.

#### **REG 112. REQUIREMENTS FOR PUREBRED ARABIANS USING ARTIFICIAL INSEMINATION USING IMPORTED SEMEN**

Semen may be imported into the United States or Mexico, and foals resulting from the use of such semen may be eligible for registration as purebred Arabians under REG 101, if the following requirements are met:

1. A Transported-Stored Semen Registration Application, on the appropriate form provided by the AHA Registry, has been completed, signed by the appropriate recorded owner(s) (or by the person whom the recorded owner(s) has authorized in writing to sign the application), and filed with the AHA Registry;
2. A properly completed original WAHO Semen Collection and Insemination Report (white copy) has been submitted for the registration of the purebred Arabian foal;
3. The semen is collected within and is imported from a source registry as defined by REG 101;
4. The stallion (sire) is duly registered in the stud book or annual supplement to the stud book of the source registry where the semen was collected; and
5. The stallion owner has complied with the appropriate rules concerning the transport and use of semen prescribed by the source registry where the semen was collected.

#### **REG 113. TRANSPORTED SEMEN FOR HALF-ARABIANS AND ANGLO-ARABIANS**

Semen collected in the United States or Mexico may be transported or stored prior to being inseminated into a mare, and Half-Arabian or Anglo-Arabian foals resulting from the use of such semen may be eligible for Half-Arabian registration under REG 102 or Anglo Arabian registration under REG 103., if the following requirements are met:

1. Fresh, cooled, or frozen semen is allowed.
2. The signature of the recorded owner of the stallion would be required on the Service Certificate portion of the application(s) for registration of a Half-Arabian or Anglo-Arabian foal(s).
3. The signature of the recorded owner of the stallion at the time of the stallion's death would be required on the Service Certificate portion of the application(s) for registration of a Half-Arabian or Anglo-Arabian foal(s) produced from semen used after the death of the stallion.

#### **REG 114. REQUIREMENTS FOR ANGLO-ARABIANS USING ARTIFICIAL INSEMINATION USING IMPORTED SEMEN FROM A PUREBRED ARABIAN STALLION, THOROUGHBRED STALLION; OR ANGLO-ARABIAN STALLION**

Semen may be imported into the United States or Mexico, and foals resulting from the use of such semen may be eligible for registration as Anglo-Arabians under REG 103, if the following requirements are met:

1. An application for registration, on the appropriate form provided by the AHA Registry, has been completed, signed by the appropriate recorded owner(s) (or by the person whom the recorded owner(s) has authorized in writing to sign the application) and filed with the AHA Registry.
2. The semen is collected within and is imported from a source registry as defined by REG 101 or REG 103;
3. The purebred Arabian parent is originally registered in a source registry as defined by REG 101 and is of pure Arabian blood, as verified by a properly authenticated pedigree acceptable to and filed with the AHA Registry all lines

of which pedigree trace to source registries. Or, the purebred Thoroughbred parent is registered with The Jockey Club or an approved foreign source registry recognized by the Jockey Club; or Anglo-Arabian parent registered with the Anglo-Arabian Horse Registry or an Anglo-Arabian registered with a verifiable foreign Anglo-Arabian registry where the foreign Anglo meets the requirements of the AHA Anglo-Arabian (103.2 and 103.3) where the semen was collected;

4. The stallion owner has complied with the appropriate rules concerning the transport and use of the semen prescribed by the source registry where the semen was collected.

#### **REG 115. REQUIREMENTS FOR HALF-ARABIANS USING ARTIFICIAL INSEMINATION USING IMPORTED SEMEN FROM A NON-PUREBRED ARABIAN STALLION**

Semen may be imported into the United States or Mexico for breeding a purebred Arabian mare and foals resulting from the use of such semen may be eligible for registration as Half-Arabians under REG 102.

1. An application for registration, on the appropriate form provided by the AHA Registry, has been completed, signed by the appropriate recorded owner(s) (or by the person whom the recorded owner(s) has authorized in writing to sign the application) and filed with the AHA Registry.
2. The semen is collected within and is imported from a source registry as defined by REG 101 or REG 103;
3. The stallion owner has complied with the appropriate rules concerning the transport and use of the semen prescribed by the source registry where the semen was collected.

#### **DNA TYPING**

#### **REG 116. DNA TYPING**

1. The DNA type of all purebred Arabian stallions and purebred Arabian mares used for breeding resultant purebred Arabian foals must be on permanent record with the AHA Registry. The DNA sample must be obtained and typed in accordance with procedures prescribed by the AHA Registry. The required fee must be paid to the AHA Registry at the time the DNA typing is requested.
2. Any questions of true parentage may be resolved by any means available to the AHA Registry, including DNA type testing or any other genetic testing method of the horses involved. Any recorded owner of a horse agrees to permit such tests, which will be at the expense of the owner and must be paid in advance.
3. When DNA types of sires or dams are required for compliance under REG 152-153., (Certificate of Registration for Racing), the recorded owner of a horse agrees to permit such tests.
4. Random DNA typing programs to verify parentage may be conducted by the AHA Registry at its expense and recorded owners of horses agree to permit such DNA typing.
5. Refusal by an owner to permit DNA typing under paragraphs 2, 3, or 4 of this Article may result in cancellation of registration certificates and in the imposition of penalties under REG 138.

#### **REG 117. NAMES**

No horse will be registered by a name which has exactly the same spelling as a name already registered, which has numerical prefixes or suffixes, or which has the suffix "Sr." or "Jr.". The only valid characters are capital letters A through Z, dash and space. Punctuation, apostrophes, and diacritical markings or symbols may not be used. Names may not contain more than 21 total characters or be composed of more than four parts.

#### **REG 118. REGISTRATION NUMBERS**

The AHA Registry will issue registration numbers in consecutive order, based upon the order in which the applications are processed by the AHA Registry.

#### **REG 119. CERTIFICATE OF REGISTRATION**

1. A Certificate of Registration is a certification of information contained in the records of the AHA Registry.

2. One Certificate of Registration will be issued for a registered horse. This certificate may be a standard Certificate of Registration, or may be a Certificate of Registration for Racing. For purposes of these rules, both the standard Certificate of Registration and the Certificate of Registration for Racing will be referred to as the Certificate of Registration. The AHA Registry will issue a standard Certificate of Registration unless the recorded owner requests a Certificate of Registration for Racing and fulfills all requirements as described in REG 152-153 or REG 128-135.
3. The original Certificate of Registration will be issued in the name of the recorded owner of the dam at the time of foaling, with the exception of embryo/oocyte transfer registrations, and will display the breeder to be the recorded owner at the time the dam was bred. The recorded owner of the dam at the time of foaling may transfer ownership of the foal by completing and filing with the AHA Registry a Transfer for Eligible but Unregistered Foal form. In that event, the Certificate of Registration will be issued in the name(s) of the person(s) designated in accordance with the terms of the Transfer form. The recorded owner of the dam at the time she was bred may designate another person to be the breeder of a specific foal by completing and filing with the AHA Registry an Assignment of Breeder Designation form. In that event, the Certificate of Registration will display the breeder to be the person or persons designated in accordance with the terms of the assignment form.

## **REG 120. AUTHORIZATIONS**

Any recorded owner may authorize another person to sign AHA Registry-related documents on such owner's behalf. Such an authorization will be recognized when the appropriate form has been completed and filed with the AHA Registry.

### **EMBRYO/OOCYTE TRANSFER**

#### **REG 121. REQUIREMENTS FOR EMBRYO/OOCYTE TRANSFER FOR PUREBRED ARABIANS**

Embryos/oocytes collected in the United States or Mexico from a purebred Arabian mare may be transferred to a recipient mare, and foals resulting from embryo/oocyte transfer may be eligible for registration under REG 101., if the following requirements are met:

1. An Embryo/Oocyte Transfer Permit has been issued for the mare to be used as a donor for embryo/oocyte transfer. The permit will be effective until the recorded ownership of the donor mare changes or the donor mare is exported. A permit may be issued for a donor mare if the following requirements are met:
  - a. An application for an Embryo/Oocyte Transfer Permit, on a form provided by the AHA Registry, has been completed, signed by the recorded owner (or by the person whom the recorded owner has authorized in writing to sign the application), and filed with the AHA Registry;
  - b. The DNA type of the donor mare has been placed on permanent record with the AHA Registry; and
  - c. The required fee has been paid.
2. If an Embryo/Oocyte Transfer Permit has not been issued by the AHA Registry prior to the collection and implant of an embryo/oocyte, the recorded owner of the donor mare must pay a Late Permit Fee, and may be charged for any reasonable costs and expenses that the AHA Registry incurs in investigating the accuracy of the embryo/oocyte transfer, and may also be subject to the penalties provided by REG 138.
3. A valid Embryo Transfer Permit is required to purchase Embryo Transfer Certificates. An Embryo Transfer Certificate is required to register a purebred Arabian foal that is the result of embryo transfer. An Embryo Transfer Certificate may be issued only to the recorded owner of a mare at the time she was bred to the reported sire and will be issued only if the following requirements are met:
  - a. An Embryo Transfer Permit has been issued to the recorded owner of the mare and is effective at the time the Embryo Transfer Certificate is applied for;
  - b. An application for an Embryo Transfer Certificate, on the appropriate form provided by the AHA Registry, has been completed, with original

signatures of the recorded owner of the donor mare at the time of breeding and the recorded owner of the sire at the time of breeding (or a properly signed and valid Transported/Stored Semen Service Certificate if applicable), and filed with the AHA Registry; and

- c. The required fee has been paid;
4. A horse that is the result of an embryo/oocyte transfer may be eligible for registration if REG 101., and the following requirements are met:
  - a. An Embryo/Oocyte Transfer Permit for the donor mare has been issued; and
  - b. An Embryo/Oocyte Transfer Registration Application, on a form provided by the AHA Registry, has been completed, signed by the appropriate recorded owner(s) (or by the person whom the recorded owner has authorized in writing to sign the application), and filed with the AHA Registry;
  - c. A properly issued and valid Embryo Transfer Certificate accompanies the registration application.
5. The Certificate of Registration will be issued in the recorded ownership of the person(s) identified as the horse owner(s) on a properly completed Embryo Transfer Registration Application.

#### **REG 122. EMBRYO/OOCYTE TRANSFER FOR HALF-ARABIANS AND ANGLO-ARABIANS**

Embryos/oocytes collected in the United States or Mexico from a mare may be transferred to a recipient mare, and foals resulting from embryo/oocyte transfer may be eligible for Half-Arabian registration under REG 102 or Anglo-Arabian registration under REG 103., if the following requirements are met:

1. Both the mare and stallion must have DNA types on file with AHA prior to the registration of the foal.
2. Upon registration of the foal, a current DNA testing fee must be submitted for a DNA test verification of parentage of the foal. Before a Certificate of Registration can be issued, DNA test results of the foal must be on permanent file with the Half-Arabian or Anglo-Arabian Registries.
3. The registration fee has been paid.

### **REGISTRATION FOR ARABIAN RACING**

#### **REG 123. REQUIREMENTS AND PROCEDURES FOR THE REGISTRATION OF PUREBRED HORSES TO BE ENTERED IN ARABIAN RACING**

A horse will not be considered registered with the AHA Registry for purposes of Arabian racing and eligible to compete in racing of purebred Arabian races only until a Certificate of Registration for Racing has been issued under these Rules. In order for a horse to compete in Arabian racing, the following requirements must be met:

1. The horse must have a current Certificate of Registration for Racing, as specified in REG 152-153., which is complete and in good standing with the AHA Registry;
2. The horse must have reached **January 1** of its three year old year; and
3. A Secondary Race ID must be completed by a licensed veterinarian. This includes a second DNA identity verification and microchip.
4. The horse must be digitally tattooed (beginning 2019) by a Thoroughbred Racing Protective Bureau (TRPB) technician.

For the purposes of any rule or regulation of any state relating to the eligibility of a horse to start in any race, no horse will be considered registered with the AHA Registry unless there has been compliance with all the requirements of this Article.

### **TEMPORARY RACING VISA**

5. Export documents must be requested and received by the Arabian Horse Association (AHA) from the originating country no later than 21 days of the scheduled race in the United States. The registration and export must be from a WAHO recognized registry.

6. Verification of parentage must be reviewed and confirmed by the Registry staff off the Verification of Parentage form provided by the originating country and submitted with the export documents.
7. AHA must receive a copy of the horse's complete racing record prior to granting the Temporary Racing Visa.
8. A completed and signed AHA Import Registration Application must be provided with the export documents or submitted by the owner directly to AHA beforehand.
9. At least 4 color photographs of the horse (front, back, and both sides) taken in the United States clearly showing the color and markings. These photographs must be emailed or delivered directly to the AHA Registry office prior to leaving quarantine.
10. A copy of the first 6 pages of the passport of the subject horse must be submitted to the AHA Registry office while the horse remains in the US. The copied passport pages must be included with the horse's export documents.
11. A version of the Secondary Race ID process must be completed by a vet or track identifier. The vet/track identifier will pull the hair/DNA sample, read the microchip, fill out and sign the Identification Verification for Racing form. The vet/track identifier ships the completed Identification Verification for Racing form and the hair/DNA sample to the AHA Registry office via overnight courier. The verification of identity process must only be performed and shipped by the veterinarian/track identifier signing the form. This ensures proper chain-of-custody on the hair sample. The AHA Registry office will hold hair/DNA sample for 90 days maximum.
12. Appropriate fees have been paid. Cost for a Temporary Race Visa is \$600.00. All courier shipping fees are extra.
13. A completed Temporary Race Visa will be issued by the AHA Registry office to the racetrack for final identification/digital tattooing by a TRPB technician (if required). This will include an accurate markings form, including microchip information and the location of the whorls, and must be accepted by any recognized racetrack in the United States. The Temporary Race Visa is valid for 30 days and the original document must be relinquished upon export.
14. If the horse ends up remaining in the US (for racing, transfer or breeding), re-pulling and testing the hair/DNA sample must be done and the required import process must be completed per Reg 105.

#### TRANSFER OF REGISTRATION

##### **REG 124. CHANGE IN RECORDED OWNERSHIP FOR HORSES WITH A STANDARD CERTIFICATE OF REGISTRATION**

To transfer the recorded ownership of a registered horse which has a standard Certificate of Registration, the recorded owner must complete and sign the transfer portion of the Certificate of Registration. A transfer of recorded ownership may be recorded if the following requirements are met:

1. The completed and signed Certificate of Registration has been sent to the AHA Registry;
2. The horse was resident in the United States or Mexico on the date of sale indicated; and
3. The transfer fee has been paid.

##### **REG 125. CHANGE IN RECORDED OWNERSHIP FOR HORSES WITH A CERTIFICATE OF REGISTRATION FOR RACING**

To transfer the recorded ownership of a registered horse which has a Certificate of Registration for Racing, one of the following requirements must be met:

1. If the horse is residing at a race track at the time of the sale, the transfer may be recorded through the Office of the Racing Secretary. The Racing Secretary, the buyer and the seller must complete a Transfer for Race Horse, on a form provided by the AHA Registry. The completed form must be submitted to the AHA Registry. When all other requirements are met, the AHA Registry will record a change in ownership and issue a notation of the ownership change to the Racing Secretary. The Racing Secretary must apply the notation to the Certificate of Registration for Racing;

2. If the horse is not residing at a race track, the buyer and seller must complete a Transfer for Race Horse, on a form provided by the AHA Registry. The completed form and the Certificate of Registration for Racing must be submitted to the AHA Registry. When all other requirements are met, the AHA Registry will issue a new Certificate of Registration for Racing after recording the change in ownership.

In addition to the applicable section above, the following requirements must also be met:

3. The horse was resident in the United States or Mexico on the date of sale indicated; and
4. The transfer fee has been paid.

##### **REG 126. TRANSFER WITHOUT SIGNATURE OF RECORDED OWNER (RC. 11/25)**

~~Whenever legal title to a registered horse passes to another by reason of death of the recorded owner, by reason of foreclosure of any lien or by any order or decree of court, or otherwise by operation of law, the AHA Registry may transfer the registration of such horse to the new owner.~~

- ~~1. Upon order of a court of competent jurisdiction or other satisfactory proof of authority for the transfer;~~
- ~~2. Upon payment of the transfer fee and any reasonable costs and expenses of investigation; and~~
- ~~3. Upon satisfaction of such other requirements as may be defined by the AHA Registry.~~

##### **1. Unbroken Chain of Ownership –**

Whenever legal title to a registered Purebred, Half- or Anglo-Arabian passes to another by reason of death of the Recorded Owner, by enforcement of any lien, by order or decree of court, by dissolution of a partnership, limited liability company, or other legal entity, or otherwise by operation of law, the Registry shall transfer the registration of the horse to the new owner when presented with the following:

- a. A copy of the legal document affecting the transfer, such as a divorce decree, certificate of qualification of executor/personal representative of a deceased owner, seizure and transfer order, other court order, dissolution documents, or other satisfactory proof of authority for the transfer. Such documentation shall include sufficient description (name, registration number, sex, color, markings, and age) of the horse being transferred to enable the Registry to identify the horse.
- b. Payment of applicable fees and any reasonable costs and expenses of investigation if needed.
- c. The original registration certificate or an affidavit for lost certificate
- d. Four current photographs of the horse (each side, front and back)
- e. Any other requirements which may be defined or required by the Registry in special situations. Upon request, the Registry will provide required language for court orders to order the Registry to transfer the registration of the horse from the Recorded Owner to the new owner.

##### **2. Broken Chain of Ownership**

- a. If there are gaps in the chain of ownership and/or the current Recorded Owner fails to complete and provide the required transfer documentation, ownership of an identified and registered Purebred, Half- or Anglo-Arabian is conveyed in one of these paths:
  - i. Pursuant to the judgement or seizure by a governmental agency pursuant to legal process including a lien foreclosure sale that is not part of a judicial process (e.g., agister's or stableman's lien) (only done as a legal transfer, see paragraph 1)
  - ii. Pursuant to a legal adoption from a nonprofit rescue organization exempt from federal income tax under Section 501(c)(3) or 501(c)(5) of the Internal Revenue Code;
  - iii. Pursuant to a *bona fide* sale that was subject to Uniform Commercial Code Sec. 2-403 (or its equivalent in effect in the jurisdiction in which the sale occurred), including auction sales; or

iv. Pursuant to a direct sale via a \*\*“good faith purchase” by the Seller to the Buyer; and the requirements and process set forth below are met, the Registry may conditionally transfer the registration of the horse to the new owner. (\* A “good faith purchase” may be shown through a bill of sale or upon satisfaction of other documents that may be defined by the AHA Registry that is not contested by the current recorded owner during the duration of the notification process.)

b. The new owner shall submit the following documentation regarding the registered Purebred, Half- or Anglo-Arabian:

- i. An application that includes the name of the transferor and the new owner, the color, sex, and markings of the horse, and registered name and/or number, if known;
- ii. Proof of horse identity (DNA) and confirmation through other documentation if available, that the horse is a registered Purebred, Half- or Anglo-Arabian;
- iii. Four current photographs of the horse (each side, front and back);
- iv. Payment of applicable fees;
- v. Documentary support for the validity of the transfer as a *bona fide* transfer, which may include a court order, bill of sale, and/or legal opinion of an attorney licensed in the state in which the transfer occurred;
- vi. Indemnification agreement in favor of the Association and its employees; and
- vii. Such other documentation or information as the Registry may request in its discretion.

c. Upon receipt of the completed documentation, the Registry will notify the last Recorded Owner of the horse to determine if the last Recorded Owner asserts a contractual or statutory claim to the horse or its registration rights. Once the documentation from the new owner seeking transfer is received, no action by the Recorded Owner to record the horse as “Sold without Papers” will be recognized.

- i. The notification shall be delivered to the last Recorded Owner at such person’s address on file with the Registry by registered mail, return receipt requested. The notification shall notify such person that ownership of the horse has been conveyed, the acquirer has requested that a duplicate registration certificate be issued and/or the transfer of ownership to the acquirer be recorded with the Registry. The notification shall make a request that the last Recorded Owner provide information and documentation of any asserted contractual or statutory claim to the horse or its registration rights. The same notification will be delivered to the Last Recorded Owner simultaneously by electronic mail using the last known email address.
- ii. In the event the last Recorded Owner fails to respond within 21 days of the date of the first notification or if the letter is returned as undeliverable, the Registry shall send a duplicate letter to the last Recorded Owner. The same notification will be delivered to the Last Recorded Owner simultaneously by electronic mail using the last known email address. In the event the last Recorded Owner fails to respond to the second letter within 21 days of the date of the second letter or if the letter is returned as undeliverable, the Registry may, in its sole discretion, record the conditional transfer of such horse to the new owner.
- iii. All decisions will be made in good faith, in accordance with published criteria, and without discrimination or arbitrary treatment. The Registry reserves the right, in all circumstances in its discretion, to refuse to issue any duplicate certificates or record the transfer of any horse under this Section. The Registrar shall decide whether to issue any duplicate certificates and record transfers under this Section.

d. Provided the requirements of this document have been met, including the payment of all fees and expenses, the Registry may issue a conditional transfer to the current owner of a currently registered Purebred, Half- or Anglo-Arabian. Conditional transfers of registered horses are valid for six (6) months; if within that time an apparently correct or justified claim is made to challenge the transfer, the conditional transfer will be suspended pending resolution by the parties involved. If a conditional transfer is suspended,

- i. the current owner may apply to a court of competent jurisdiction to resolve the issue and seek an order transferring the registration of the horse to the current owner, or
- ii. the Last Recorded Owner may apply to a court of competent jurisdiction to resolve the issue and seek an order resisting the transfer of the horse’s registration to the current owner.

In either circumstance, the party seeking and obtaining such judicial relief shall notify the Registry of the ultimate and final disposition of the legal action (i.e. after any and all appeals have been exhausted) and provide the Registry with evidence of the same.

If no apparently correct or justified claim is made by the end of the six (6) month conditional period, the transfer will be made permanent, and a valid certificate of Registration will be issued. During the period of a conditional transfer, the horse may not be shown in an AHA-recognized or USEF-recognized show or participate in an AHA-recognized endurance competition. No further transactions will be recorded concerning this horse, and no breeding of the horse will be recognized. Notice of conditional transfer will be published on the Association’s website.

If submitted documentation leaves questions with AHA staff, determination of the existence of an apparently correct or justified claim to challenge the transfer will be made by the Registrar, subject to the right to appeal to the Registry Hearing Board.

#### **REG 127. SALE WITHOUT CERTIFICATE OF REGISTRATION**

If a registered horse is sold without the Certificate of Registration, the certificate must be surrendered by the recorded owner to the AHA Registry for cancellation. The AHA Registry will record such cancellation on its records.

#### **CERTIFICATE CHANGES, DUPLICATES, REPLACEMENTS**

#### **REG 128. EXCHANGES OF STANDARD CERTIFICATES AND CERTIFICATES OF REGISTRATION FOR RACING**

1. Once a Certificate of Registration for Racing has been issued as described in REG 152-153., the recorded owner may request a standard Certificate of Registration by surrendering the Certificate of Registration for Racing to the AHA Registry and paying the required fee. Likewise, a standard Certificate of Registration may be surrendered for a Certificate of Registration for Racing provided a Certificate of Registration for Racing has previously been issued and the required fee is paid.
2. The owner of a horse for which an Identification Supplement has previously been issued may obtain a Certificate of Registration for Racing by surrendering the standard Certificate of Registration and Identification Supplement to the AHA Registry and by paying the required fee.

#### **REG 129. DUPLICATE CERTIFICATE**

To obtain a duplicate Certificate of Registration, the recorded owner must file with the AHA Registry a completed affidavit, on a form provided by the AHA Registry, satisfactorily explaining the loss of the original Certificate of Registration and pay the duplicate certificate fee. Upon approval by the AHA Registry, a duplicate Certificate of Registration, so marked, will be issued to the recorded owner of the horse.

#### **REG 130. REPLACEMENT CERTIFICATE**

To obtain a replacement for a Certificate of Registration which has been torn, mutilated, soiled or otherwise defaced, but which is identifiable, the recorded owner must file the original Certificate of Registration with the AHA Registry for identification and pay the replacement certificate fee. Upon approval by the AHA Registry, a

replacement Certificate of Registration will be issued to the recorded owner of the horse.

#### **REG 131. NAME CHANGE**

The recorded owner may request a change of the horse's name provided the horse has no registered progeny, is not an imported animal, has never been exported, has no competition/show record, and has not been issued a Certificate of Registration for Racing. The Certificate of Registration must be submitted, along with a written request including the signature of the recorded owner, and the name change fee. Upon approval by the AHA Registry, an amended Certificate of Registration will be issued to the recorded owner of the horse. (RC 5/24)

This name change rule applies only to domestic horses (REG 131.) or horses imported in utero. (REG 104., 106.)

#### **REG 132. MARKINGS OR COLOR CHANGE**

The recorded owner may request a change in the horse's markings or color as shown on the Certificate of Registration by submitting the Certificate of Registration along with an appropriate form provided by the AHA Registry, and such additional information as may be required by the AHA Registry. Upon approval by the AHA Registry, an amended Certificate of Registration will be issued to the recorded owner at no charge.

#### **REG 133. CASTRATION**

After a stallion is castrated, the Certificate of Registration, including the date of castration and the signature of the recorded owner, must be submitted to the AHA Registry. Upon approval by the AHA Registry, an amended Certificate of Registration, showing the horse as a gelding, will be issued to the recorded owner at no charge.

#### **REG 134. PEDIGREE**

The AHA Registry will prepare a pedigree (based upon its records) back through the fifth generation or to foreign records, whichever comes first, upon receipt of a request and payment of the pedigree fee.

#### **REG 135. CANCELLATION UPON DEATH OF A HORSE**

Upon the death of a registered horse, the recorded owner must send a written notice to the AHA Registry. The notice must contain the date of death and must be signed by the recorded owner(s).

#### **REG 136. DENIAL OF APPLICATION FOR REGISTRATION**

##### **REQUEST FOR HEARING**

If the AHA Registry denies registration of a horse, the AHA Registry will notify the applicant in writing. The applicant may then request that the AHA Registry hold a hearing on the denial. The request must:

1. Be in writing;
2. State all grounds and reasons upon which the applicant relies for the assertion that the horse should be registered; and
3. Be received by the AHA Registry within 45 days after the mailing of the notice of denial of registration.

##### **HEARING**

4. If a request for a hearing is received in accordance with this Article, a hearing will be held as provided by REG 139. The applicant seeking registration of a horse will have the burden of demonstrating to the reasonable satisfaction of the Hearing Board that the horse qualifies for registration and that a good faith effort had been made to comply with AHA Registry rules relating to registration.

##### **DECISION**

5. If no request for a hearing is made in accordance with this Article, the denial of registration will be final. If a request for a hearing is made in accordance with this Article, a hearing will be held and the Hearing Board will determine whether the horse will be registered. The decision of the Hearing Board will be final.

#### **REG 137. CANCELLATION OF REGISTRATION**

##### **PROCEDURE TO CANCEL REGISTRATION**

1. The AHA Registry may propose to cancel the registration of a horse if it finds that there are reasonable grounds to believe:
  - a. The horse does not meet the requirements for registration; or
  - b. A horse identified as the subject of a Certificate of Registration is not the subject of that certificate.
2. The AHA Registry will advise the recorded owner in writing of any proposal to cancel the registration of a horse and the reasons supporting this proposal.
3. At the time of issuing a proposal for cancellation or at any time prior thereto when the Registrar finds reasonable grounds for such cancellation, the Registrar may temporarily suspend the Certificate of Registration of such horse, transfers of the Certificate of Registration for such horse and for such horse's progeny, and applications for registration of progeny of such horse, pending a decision made in accordance with this Article.
4. If a temporary suspension is imposed, the recorded owner of the horse will be notified in writing.

##### **REQUEST FOR HEARING**

If the AHA Registry issues a proposal for cancellation of the registration of a horse, a request may be made to the AHA Registry for a hearing on the proposal. The request must:

5. Be in writing;
6. State all grounds and reasons why the registration of the horse should not be cancelled; and
7. Be received by the AHA Registry within 45 days after the mailing of the proposal for cancellation of registration.

##### **HEARING**

8. If a request for a hearing is received in accordance with this Article, a hearing will be held as provided by REG 139. The AHA Registry will have the burden of proving by a preponderance of evidence that the registration of the horse should be cancelled.

##### **DECISION**

9. If no request for a hearing is made in accordance with this Article, the AHA Registry may issue an order of cancellation. If a request for a hearing is made in accordance with this Article, a hearing will be held and the Hearing Board will determine whether the registration of the horse will be cancelled. The decision of the Hearing Board will be final.

##### **PUBLICATION**

10. Notice of any temporary suspension and of any cancellation of a Certificate of Registration will be posted on the AHA Website.

#### **REG 138. DISCIPLINARY PROCEEDINGS**

##### **INVESTIGATION**

1. The AHA Registry may investigate circumstances involving possible violations of these Rules and Regulations. After investigation, the Registrar will decide whether possible violations can be satisfactorily resolved by agreement for corrective action with the person involved or whether a Notice of Charges should be issued.

##### **NOTICE OF CHARGES**

2. After investigation, if the Registrar finds reasonable grounds to believe that any person has violated these Rules and Regulations, or has engaged in any misrepresentation, misconduct, or any other act involving in any adverse manner the purpose or good name of the AHA Registry, the Registrar will mail to such person a Notice of Charges stating the wrongdoings alleged to have been committed by such person. The charged person may submit a written answer to the charges within 45 days after the Notice of Charges is mailed. The Registrar may informally resolve any matters relating to a Notice of

Charges prior to any hearing scheduled under this Article by agreement with the charged person.

#### **TEMPORARY SUSPENSION**

3. After investigation, if the Registrar issues a Notice of Charges to a person, the Registrar may also temporarily suspend that person's use of AHA Registry privileges pending a hearing and decision by a Hearing Board, if the Registrar finds that such suspension is necessary for the protection of third parties or of the AHA Registry's purpose and good name. Notice of such temporary suspension will be mailed to the charged person.

#### **HEARING**

4. After a Notice of Charges is given, the AHA Registry will schedule a hearing as provided by REG 139. The charged person will be notified of the date and place of the hearing by mail. The AHA Registry will have the burden of proving all charges by a preponderance of evidence. The charged person will have the burden of proving any and all excuses for non-compliance and mitigating circumstances by a preponderance of evidence.

#### **DECISION**

5. The Hearing Board will determine whether the charged person is guilty or not guilty of any or all of the charges. If the charged person is found guilty, the Hearing Board may impose penalties provided for in this Article. If the charged person is found not guilty, the charges will be dismissed. The AHA Registry will notify the charged person of the Hearing Board's decision by mailing a copy of the decision to the charged person. Within 20 days after the mailing of the decision of the Hearing Board, the charged person may file a written request with the AHA Registry for changes in the decision. The Hearing Board will rule on the request and will, at its discretion, do so with or without a hearing. The decision of the Hearing Board will be final.

#### **PENALTIES**

6. The Hearing Board may impose such penalties as it deems appropriate, including: denial of all or part of the AHA Registry privileges; expulsion or suspension from the AHA Registry (if such charged person is a member); refusal by the AHA Registry to approve registration applications signed by or submitted by or on behalf of the charged person and all transfers of registration for horses owned on record by the charged person; public censure; or private censure. The Hearing Board may also impose any other penalty or restrictions on exercise of the privileges of the AHA Registry which it deems proper in furtherance of AHA Registry objectives as stated in the Articles of Incorporation.

#### **AGENTS AND EMPLOYEES**

7. If any person, acting as an agent of an owner or having horses owned by another in his care, custody or control, is found to have violated these Rules and Regulations, the Hearing Board may proceed against that person as provided for under these Rules. In addition, the Hearing Board may direct that the AHA Registry refuse to accept any applications for registrations, applications for Certificates of Registration for Racing, or transfers of Certificates of Registration for horses which are in such charged person's care, custody or control.

#### **PUBLICATION**

8. Notice of the imposition of any penalties and of any temporary suspension of privileges of any person, other than private censure, will be posted on the AHA Website.

#### **RESTORATION OF PRIVILEGES**

9. A Hearing Board may restore privileges, including membership, to any person who has been denied privileges pursuant to this Article, upon application and satisfactory showing by such person that restoration of privileges is warranted.

#### **REG 139. HEARINGS**

##### **IMPANELING BOARD**

1. If a hearing is to be held under these Rules, or if a hearing on any matter is determined by the AHA Registry to be desirable, the Chair of the Registration

Commission will appoint a Hearing Board. The Hearing Board will consist of not less than three members of the Registration Commission.

#### **TIME AND PLACE OF HEARING**

2. The AHA Registry will designate the time and place of the hearing, which may from time to time be continued or rescheduled.

#### **HEARING PROCEDURES**

3. Persons who have been given notice of a hearing will be afforded reasonable opportunity to appear in person or by counsel to present evidence in their behalf and to hear and refute evidence offered against them. The common law or statutory rules of evidence will not apply at the hearing, but the Hearing Board will determine the admissibility of evidence which is offered and the weight to be given to the evidence admitted.

#### **DECISION**

4. The Hearing Board will make its decision following the hearing. The decision of the Hearing Board will be final and will be communicated in writing to the parties to the hearing.

#### **REG 140. RECORDS**

Any person subject to these Rules and Regulations may be required to supply such information and documents as the AHA Registry may determine to be necessary with respect to the registration of horses, the issuance of Certificates of Registration for Racing, or the transfer of Certificates of Registration. Complete and accurate records of breeding (hand breeding, artificial insemination and pasture breeding), collection and shipment of semen, insemination using fresh cooled or frozen semen, embryo/oocyte transfer, foaling and ownership must be kept in permanent form by owners of horses and these records must be available at all reasonable times for inspection by representatives of the AHA Registry. If the AHA Registry determines that no systematic and satisfactory plan for keeping records is in use, or if no records are made available upon request, the AHA Registry, after requesting compliance in a written notice mailed to the person, may, for up to 45 days, temporarily refuse applications for registrations, applications for Certificates of Registration for Racing, and transfers of Certificates of Registration from such owner until the records are complete. If, during that 45 day period, the owner fails to demonstrate that he has complied with the AHA Registry's request for keeping and maintaining systematic and satisfactory records, the AHA Registry may proceed against the owner under REG 138.

#### **REG 141. APPLICATION OF COLORADO LAW FOR NON-LIABILITY OF DIRECTORS AND OFFICERS**

The AHA Registry, its Board of Directors, Officers, Members of Commissions and Committees, Members of Hearing Boards, Employees, Representatives and Agents will attempt to obtain true and complete information in connection with registration of horses, issuance of Certificates of Registration for Racing, transfers of Certificates of Registration, hearings, and all other matters relating to AHA Registry activities. Except for proven intentional wrongdoing, neither the AHA Registry nor its Directors, Officers, Commission Members, Committee Members, Hearing Board Members, Employees, Representatives or Agents will be liable in any way, whether in damages or otherwise, for the issuance of any Certificates of Registration, for the transfer of any Certificates of Registration, for the refusal to issue a Certificate of Registration, for the refusal to issue a Certificate of Registration for Racing, for the issuance of any pedigree statements, for the refusal to transfer any Certificate of Registration, for the cancellation of any Certificate of Registration, for any disciplinary proceeding brought against or penalties imposed on any member or other person, or for any other activities engaged in, by, or on behalf of the AHA Registry. In addition, without limiting the application of the foregoing, the internal laws of the State of Colorado shall determine and control the liability of any Director of the AHA Registry or of any other person acting on a voluntary basis without compensation for the benefit of the AHA Registry.

#### **REG 142. PRIVILEGES AND RESPONSIBILITIES OF MEMBERS AND NON-MEMBERS**

1. All members of the AHA Registry and all non-members who utilize the privileges of the AHA Registry (for example, by signing any portion of any document required for the registration of a horse, for the issuance of a

Certificate of Registration for Racing or for the transfer of a Certificate of Registration, or by requesting that a Certificate of Registration be transferred into their ownership) agree to be bound by, obey and follow all provisions of these Rules and Regulations, as amended from time to time, and all decisions and actions of the AHA Registry. The term "AHA Registry" as used in this Article refers to the Arabian Horse Association its Board of Directors, Officers, Commissions, Committees, Hearing Boards, Employees, Representatives and Agents.

2. All members of the AHA and all non-members who in any way utilize the privileges of services of the AHA agree that determination of contested issues by a Hearing Board appointed pursuant to this Chapter 10 shall be the sole, final and exclusive remedy available to them with respect to disputes arising from these Rules or from the actions of the AHA. No action may be commenced in any court with respect to such contested issues and no appeal from determinations of a Hearing Board may be taken in any court. No member of the AHA or any non-member who in any way utilizes the privileges or services of the AHA may join the AHA in any court action concerning disputes concerning horse ownership or claimed rights to transfers of recorded ownership. In the event any such member or non-member joins the AHA in any such actions or appeals and the AHA substantially prevails in that matter, the court shall award to AHA its costs and expenses, including reasonable attorney fees.

Any action to which the AHA is joined by a third party may be brought only in the United States District Court for the District of Colorado or in the District Court for the County of Arapahoe, State of Colorado and no such action may be brought in any other court.

Unless the context otherwise dictates, the term AHA, as used in this Article, means the AHA, its officers, directors, employees, agents, Commissions and Commission Members, Committees and Committee Members, Hearing Boards and Hearing Board Members and any other person authorized to act on behalf of the AHA.

#### **REG 143. NOTICES**

Any and all notices required or permitted under these Rules and Regulations will be deemed given on the date such notice is mailed to a person's last known address according to the AHA Registry's records.

#### **EXPORTATION OF HORSES**

Except for horses sent to Canada as set forth in REG 145., the Certificate of Registration must be returned to the AHA Registry for application of an Exportation Endorsement before a horse is sent, for any reason, out of the United States or Mexico. Passports will be issued with all export requests (see current Fee Schedule).

#### **REG 144. FOR PUREBRED ARABIAN HORSES SENT FROM THE UNITED STATES OR MEXICO TO A COUNTRY OTHER THAN CANADA**

An Exportation Endorsement may be issued if the following requirements are met:

1. The horse is in the United States or Mexico at the time the Exportation Endorsement is requested;
2. The Certificate of Registration has been returned to the AHA Registry. If the horse has been sold and the sale has been completed, the transfer portion of the certificate must be completed, or a Transfer of Race Horse Form must accompany the Certificate of Registration for Racing, and a separate transfer fee will be required. If no transfer is to be recorded (e.g. lease, sale on time payment, exhibition), the transfer portion should be left blank and the Certificate of Registration will remain in the name of the recorded owner;
3. The exporter has provided the destination country and the anticipated date of exportation;
4. The exporter has submitted color photographs showing front, rear, and side views of the horse's markings to verify identity. The horse's markings must be congruent with the AHA Registry's records; and
5. The required fee has been paid.
6. Once an Exportation Endorsement has been issued, or if the AHA Registry becomes aware from other sources that a horse is not in the United States or

Mexico, no transfers of ownership, color or marking changes will be recorded after the date of exportation. No duplicate or replacement Certificates of Registration will be issued until the horse returns to the United States or Mexico and its record is reinstated through the reimportation procedure.

#### **REG 145. FOR PUREBRED ARABIAN HORSES SENT FROM THE UNITED STATES OR MEXICO TO CANADA**

An Exportation Endorsement will not be issued for a horse sent to Canada from the United States or Mexico. Such a horse may be eligible for registration with the Canadian Arabian Horse AHA Registry as a United States Transfer. If the horse is a stallion to be used for breeding in Canada, or is a mare that foals in Canada, the horse must be registered with the Canadian Arabian Horse Registry.

#### **REG 146. EXPORTATION OF SEMEN FOR PUREBRED ARABIANS**

Semen collected within the United States or Mexico may be exported if the following requirements are met:

1. A Semen Transportation Permit has been issued for the stallion. The permit will be effective until the recorded ownership of the stallion changes or the stallion is exported. A permit may be issued for a stallion if the following requirements are met:
  - a. An application for a Semen Transportation Permit, on a form provided by the AHA Registry, has been completed, signed by the appropriate recorded owner (or by the person whom the recorded owner has authorized in writing to sign the application), and filed with the AHA Registry;
  - b. The DNA type of the stallion has been placed on permanent record with the AHA Registry; and
  - c. The required fee has been paid.
2. If a Semen Transportation Permit has not been issued by the AHA Registry prior to the collection and storage, or the collection and exportation, of semen from a stallion, the recorded owner of the stallion at the time the semen was collected must pay a Late Permit Fee, and may be charged for any reasonable costs and expenses that the AHA Registry may incur in investigating the circumstances, and may also be subject to the penalties provided by REG 138.
3. Stallion owners are advised to become familiar with the appropriate rules of the destination country concerning the transport and use of semen imported into the destination country, and the registration of foals in the foal's birth country.

#### **REG 147. REIMPORTATION OF PUREBRED ARABIAN HORSES**

When a horse registered in the AHA Registry's records has been exported, and then is reimported to the United States or Mexico, that horse's record must be reactivated. The AHA Registry will reactivate the horse's record and issue a new Certificate of Registration provided the necessary requirements are met.

The provisions of this Article do not apply to horses sent from Canada to the United States or Mexico. Horses sent to the United States or Mexico from Canada are eligible for registration only under REG 150-151.

#### **REG 148. PUREBRED ARABIAN HORSES EXPORTED WITH AN EXPORT CERTIFICATE OR AN EXPORTATION ENDORSEMENT ISSUED BY THE AHA REGISTRY**

The AHA Registry may reactivate the horse's record and issue a new Certificate of Registration if the following requirements are met:

1. The original registration certificate issued by the exporting source registry must be submitted to the AHA Registry. If the horse was exported but never registered in another stud book, the original Certificate of Registration issued by the Arabian Horse Registry of America, Inc. or the Arabian Horse Association, Inc. and Export Certificate (or the original registration certificate with Exportation Endorsement affixed) must be submitted to the AHA Registry;
2. The foreign recorded owner at the time of export is shown on the original registration certificate issued by the exporting source registry. If the foreign recorded owner at the time of export is not shown on the original foreign registration certificate, a separate document issued by the exporting source registry showing this information must be submitted to the AHA Registry. If the importer and the foreign recorded owner at the time of export are not the same,

then a document(s) that evidences an unbroken chain of ownership must be submitted;

- The importer has submitted color photographs showing front, rear, and side views of the horse's markings. The horse's markings must be congruent with markings shown in the AHA Registry's records. If necessary, the horse may be inspected by an AHA Registry representative to verify its identity;
- The importer has provided the date the horse was reimported to the United States or Mexico;
- The original Certificate of Registration issued by the Arabian Horse Registry of America, Inc. or the Arabian Horse Association, Inc. and the Export Certificate (or the original certificate with the Exportation Endorsement affixed) has been returned to the AHA Registry, if available; and
- The required fee has been paid.

**REG 149. PUREBRED ARABIAN HORSES EXPORTED WITHOUT AN EXPORT CERTIFICATE OR AN EXPORTATION ENDORSEMENT ISSUED BY THE AHA REGISTRY**

The AHA Registry may reactivate the horse's record and issue a new Certificate of Registration if the following requirements are met:

- The original registration certificate issued by the exporting source registry must be submitted to the AHA Registry. If the horse was exported but never registered in another stud book, the original Certificate of Registration issued by the Arabian Horse Registry of America, Inc. or the Arabian Horse Association, Inc. must be submitted to the AHA Registry;
- The foreign recorded owner at the time of export is shown on the original registration certificate issued by the exporting source registry. If the foreign recorded owner at the time of export is not shown on the original registration certificate, a separate document issued by the exporting source registry showing this information must be submitted to the AHA Registry. If the importer and the foreign recorded owner at the time of export are not the same, then a document(s) that evidences an unbroken chain of ownership must be submitted;
- The original Certificate of Registration issued by the Arabian Horse Registry of America, Inc. or the Arabian Horse Association, Inc. has been returned to the AHA Registry if available;
- The importer has submitted color photographs showing front, rear, and side views of the horse's markings. The horse's markings must be congruent with markings shown in the AHA Registry's records. If necessary, the horse may be inspected by an AHA Registry representative to verify its identity;
- The horse is DNA typed and qualifies as an offspring of the stated sire and dam through DNA type testing, and/or the DNA type must be consistent with any previous DNA type on file with the AHA Registry;
- The importer has provided the date the horse was reimported to the United States or Mexico; and
- The required fee has been paid.

**HORSES IN CANADA**

**REG 150. PUREBRED ARABIAN, HALF-ARABIAN, ANGLO-ARABIAN HORSES ENTERING THE UNITED STATES OR MEXICO FROM CANADA**

When a horse is sent to the United States or Mexico from Canada, it is not eligible for registration under REG 105., (Imported Horses), nor eligible for reimportation under REG 147., but may be registered as a Canada Transfer if the following requirements are met:

- The horse is registered with the Canadian Arabian Horse Registry or the Canadian Partbred Arabian Register;
- The original Canadian Arabian Horse Registry or the Canadian Partbred Arabian Register Certificate of Registration has been surrendered to the AHA Registry and is signed by the recorded owner named in (on) the certificate with the transfer portion of the certificate completed showing the name of the person(s) to be indicated as the recorded owner on the new Certificate of Registration to be issued by the AHA Registry;
- Color photographs showing front, rear, and side views of the horse's markings and/or a newly completed markings form have been provided to verify identity. The horse's markings must be congruent with all markings recorded on the

Canadian Arabian Horse Registry or the Canadian Partbred Arabian Register Certificate of Registration;

- The horse's pedigree traces in all lines to source registries as defined in REG 101.
- The horse is DNA typed and qualifies as an offspring of the stated sire and dam through DNA type testing to the extent required by the AHA Registry under REG 101., for domestic horses of a similar age; and
- The required fee has been paid.

**REG 151. PUREBRED ARABIAN IN UTERO HORSES ENTERING THE UNITED STATES OR MEXICO FROM CANADA**

A horse conceived in Canada and entering in utero and born in the United States or Mexico is not eligible for registration under REG 104., (Horses Imported in Utero), but may be registered in accordance with REG 101.,(Domestic Horses.)

**CERTIFICATE OF REGISTRATION FOR RACING PUREBRED ARABIAN HORSES**

The Certificate of Registration for Racing is a Certificate of Registration that contains detailed, descriptive information regarding a horse registered under these Rules and is required for a horse to be eligible to compete in Arabian racing. Rules regarding the cancellation, correction, or reissuance of the Certificate of Registration for Racing are prescribed in REG 128-135. and REG 137.

**REG 152. REQUIREMENTS AND PROCEDURES FOR ISSUING A CERTIFICATE OF REGISTRATION FOR RACING FOR PUREBRED ARABIANS**

A Certificate of Registration for Racing may be issued for a horse if the following requirements are met:

- An application for a Certificate of Registration for Racing, on the appropriate form provided by the AHA Registry, has been completed, signed by the appropriate person(s) and filed with the AHA Registry;
- The horse's standard Certificate of Registration has been submitted with the application for a Certificate of Registration for Racing. The horse, as described on the application for the Certificate of Registration for Racing, must match the description of the horse as presented on its standard Certificate of Registration;
- The DNA types of the horse and the horse's sire and the horse's dam, have been placed on permanent record with the AHA Registry. The horse must qualify as an offspring of the stated sire and dam through DNA type testing;
- The horse has reached January 1 of its two-year-old year; and
- The required fee has been paid.

**REG 153. DENIAL OF APPLICATION FOR CERTIFICATE OF REGISTRATION FOR RACING FOR PUREBRED ARABIAN HORSES**

The AHA Registry may deny an application for a Certificate of Registration for Racing if the requirements for issuance of a Certificate of Registration for Racing have not been satisfied.

- If an application for a Certificate of Registration for Racing is denied, the AHA Registry will notify the applicant in writing. The applicant may request a hearing on the denial. The request must:
  - Be in writing;
  - State all grounds and reasons upon which the applicant relies for the assertion that a Certificate of Registration for Racing should be issued; and
  - Be received by the AHA Registry within 45 days after the mailing of the notice of the denial of the application for the Certificate of Registration for Racing.
- If a request for a hearing is received in accordance with this Article, a hearing will be held as provided by REG 139. The applicant seeking the Certificate of Registration for Racing will have the burden of proving that the horse qualifies for the Certificate of Registration for Racing. The decision of the Hearing Board will be final.

3. If no request for a hearing is made in accordance with this Article, the denial of the application for the Certificate of Registration for Racing will be final.

#### **REG 154. AMENDMENT ORIGINAL DOCUMENTATION**

All original documents submitted to AHA to support the processes of registration, transfer, hearings, import, export, etc., become the property of AHA.

Any rule or regulation promulgated hereunder may be repealed, modified, altered or amended and any new rule or regulation may be adopted at any regular or special meeting of the Registration Commission by a majority vote of the members of the Commission. Notice of any changes will be posted on the AHA Website.

#### **FEES**

All fees are to be paid in U.S. currency only. The postmark date will be used for dating purposes on all registration and transfer fees. (Refer to Fee Chart)