



## INTERNATIONAL AGREEMENT ON BREEDING, RACING AND WAGERING

*The principal aim of the International Federation of Horseracing Authorities (IFHA) is to identify and promote best practice in the administration of horseracing worldwide. Although all major international racing jurisdictions are members and are working towards global harmonization of rules of racing following principles published in the IABRW, the IFHA has no regulatory powers of enforcement.*

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## Changes made since the previous edition

- **Article 3B (BREEDING)– CLEARANCE FOR HORSES BREEDING PURPOSES**
- **Article 3D (RACING/BREEDING)– PERMANENT EXPORTATION**
- **Article 6 A (RACING)- PROHIBITED SUBSTANCES– Clause 16**
- **Article 6 E (RACING) – OUT OF COMPETITION TESTING**
- **Article 10A – RIDERS RIDING ABROAD - DELETED**
- **Article 10B – OWNERS, TRAINERS AND RIDERS BANNED ABROAD - DELETED**
- **Article 10C – RECIPROCATION OF PENALTIES - DELETED**
- **Article 10D – SUSPENSION OF HORSES – DELETED**
- **Article 10 (RACING) DISQUALIFICATIONS AND SUSPENSIONS AND THEIR INTERNATIONAL APPLICATION (new)**
  - **Appendix 6A – DELETED updated and re-numbered as Appendix 12 / Article 29**
  - **Appendix 6B: Model form for request for Reciprocation of Penalties for riders**
  - **Appendix 6C: Model Rule on Reciprocation of Suspensions or Disqualifications (new)**
- **Article 12 (BREEDING) – DEFINITION OF A THOROUGHBRED**
- **Article 13 (BREEDING) – REGISTER OF NON- THOROUGHBRED HORSES**
- **Article 19 – DISQUALIFIED PEOPLE AND HORSES - DELETED**
- **Article 29 (RACING) – LICENSING CRITERIA FOR TRAINERS AND RIDERS**
  - **Appendix 12(ex- Appendix 6A - updated): Foreign-based Rider’s Clearance Form approved by Jockey’s Insurance Working Party**

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- **COUNTRY: fully signatory**
- **COUNTRY: signatory working toward implementation, not currently in compliance**
- **COUNTRY: partial signatory**
- **COUNTRY: not a signatory**

● **New signatories of IABRW Articles from now on:**

|                          |   |
|--------------------------|---|
| <i>Algeria:</i>          | <i>List of known emerging stud books (08 12 2016)</i>   |
| <i>Antigua:</i>          | <i>List of known emerging stud books (08 12 2016)</i>   |
| <i>Argentina :</i>       | <i>Articles 3B, 3D, 12 (22 05 2016)</i>   |
| <i>Australia :</i>       | <i>Article 4 (except for racing purposes) (28 06 2016)</i>  |
| <i>Azerbaijan :</i>      | <i>Articles 3, 3A, 3B, 3D, 5, 6A, 6B, 6C, 7, 8, 12, 13, 15, 17, 30. (12 02 2016)</i>  |
| <i>Brazil :</i>          | <i>Articles 3D and 12 (29 06 2016)</i>  |
| <i>Bulgaria:</i>         | <i>Articles 3, 3B, 3C,3D, 4, 12,13,14,15 (08 12 2016)</i>   |
| <i>Chile :</i>           | <i>Articles 3B &amp; 3C (03 06 2016)</i>  |
| <i>Costa Rica:</i>       | <i>App.8/Art.12 – List of stud books not currently operating or approved (08 12 2016)</i>   |
| <i>Ecuador :</i>         | <i>Articles 3, 12,13 and 15 (28 06 2016)</i><br><i>Moved to the List of approved stud books under assessment(21 11 2016)</i>  |
| <i>Estonia:</i>          | <i>List of known emerging stud books (08 12 2016)</i>   |
| <i>Georgia:</i>          | <i>List of known emerging stud books (08 12 2016)</i>   |
| <i>Guatemala:</i>        | <i>App.8/Art.12 – List of stud books not currently operating or approved (08 12 2016)</i>   |
| <i>Indonesia:</i>        | <i>List of known emerging stud books (08 12 2016)</i>   |
| <i>Iran:</i>             | <i>List of known emerging stud books (08 12 2016)</i>   |
| <i>Israel:</i>           | <i>App.8/Art.12 – List of stud books not currently operating or approved (08 12 2016)</i><br><i>List of known emerging stud books (08 12 2016)</i>                                  |
| <i>Jamaica:</i>          | <i>Articles 3D, 12 and 15 (09 01 2017) Appendix 8 of Article 12 (14 03 2017)</i>  |
| <i>Japan :</i>           | <i>Full signatory of Article 27. (18 03 16)</i>   |
| <i>Kazakhstan :</i>      | <i>Articles 3 (B, C and D), 4, 12, 13 and 15 (27 07 2016)</i>   |
| <i>Kenya :</i>           | <i>Articles 3,3B,3C,3D, 12 and 15 (27 06 2016)</i>  |
| <i>Kyrgyzstan:</i>       | <i>List of known emerging stud books (08 12 2016)</i>   |
| <i>Korea :</i>           | <i>Articles 3, 3A, 3C, 5, 6C, 6E, 6D, 7, 8, 10B, 10C, 10D, 11A, 17, 18, 27 (except §4) (11 03 2016)</i>   |
| <i>Kuwait:</i>           | <i>List of known emerging stud books (08 12 2016)</i>   |
| <i>Libya :</i>           | <i>Articles 1, 3B, 3D, 10A, 12, 13, 19, 26, 29 (except 28A &amp; 28B as no deal with Wagering Activities) (28 08 2016)</i><br><i>List of known emerging stud books (08 12 2016)</i> |
| <i>Malaysia :</i>        | <i>Article 10 A § 1. (04 04 16)</i>   |
| <i>Malta:</i>            | <i>List of known emerging stud books (08 12 2016)</i>   |
| <i>Mongolia:</i>         | <i>List of known emerging stud books (08 12 2016)</i>   |
| <i>Morocco :</i>         | <i>Article 19 (partly : except IV 1 to 5 included) and except Article 13 (19 07 2016)</i>   |
| <i>Mexico :</i>          | <i>Articles 3D and 12 (19 07 2016)</i>  |
| <i>Oman :</i>            | <i>Article 13 (28 07 2016)</i>  |
| <i>Pakistan:</i>         | <i>List of known emerging stud books (08 12 2016)</i>   |
| <i>Panama :</i>          | <i>Articles 3D, 12 and 15 (19 07 2016)</i>  |
| <i>Paraguay :</i>        | <i>Articles 3, 3D, 12, 15 (06 07 2016)</i>  |
| <i>Peru :</i>            | <i>Articles 1, 3D, 10A, 12, 13, 19, 31, 32 (13 05 2016) and Articles 3, 3B, 3C and 15 (30 06 2016)</i>  |
| <i>Portugal</i>          | <i>List of approved stud books (now 64) (21 11 2016)</i>  |
| <i>Southern Africa :</i> | <i>Articles 3B, 3C, 3D, 12 and 15 (14 06 2016)</i><br><i>and Articles 1, 10A, 13, 19, 26, 29, 31 32 (15 06 2016)</i>  |
| <i>Sri Lanka:</i>        | <i>List of known emerging stud books (08 12 2016)</i>   |
| <i>Spain</i>             | <i>Articles 12 (21 11 2016)</i><br><i>Articles 3B, 3C and 3D (28 11 2016)</i>   |
| <i>Syria :</i>           | <i>Articles 3, 3B,3C, 3D, 12 and 15 (30 06 2016)</i>  |
| <i>Thailand:</i>         | <i>App.8/Art.12 – List of stud books not currently operating or approved (08 12 2016)</i>   |
| <i>Venezuela :</i>       | <i>Articles 3D and 12 (30 06 2016)</i>  |
| <i>Vietnam:</i>          | <i>List of known emerging stud books (08 12 2016)</i>   |

## CHRONOLOGICAL INDEX

|   | Pages :        |
|---|----------------|
| Objectives.....   | 8              |
| Race Horse Welfare.....   | 9              |
| Article 1 : Recognition And Categorization Of Quality Races (Group/Graded and Listed Races) ..... | 10             |
| <i>Appendix 1 : International Treatment of Group And Listed Races</i> .....                       | 12             |
| Article 2 : Equivalents in distance and weights.....  | 13             |
| Article 3 : Traceability of international movements of horses .....                               | 14             |
| Article 3 A : Clearances in relation to Horses racing abroad .....                                | 15             |
| <i>Appendix 1-A : Racing Clearance Notification (RCN)</i> .....                                   | 17             |
| <i>Appendix 1-B :</i> .....   | <i>DELETED</i> |
| Article 3 B : Clearances for horses breeding purposes .....                                       | 18             |
| <i>Appendix 1-C :</i> .....   | <i>DELETED</i> |
| <i>Appendix 1-D : Model Breeding Clearance Notification (BCN)</i> .....                           | 19             |
| Article 3 C : General Notification of Movement (GNM) .....  | 20             |
| <i>Appendix 1-E : Model General Notification of Movement (GNM)</i> .....                          | 20             |
| Article 3 D : Permanent Exportation .....   | 21             |
| <i>Appendix 1-F : Model Permanent Export Update Entry</i> .....                                   | 21             |
| Article 4 : Use of a Suffix Showing the Country of Foaling .....                                  | 22             |
| <i>Appendix 2 : List of International Country Code Suffixes</i> .....                             | 23             |
| Article 5 : Horse Performance Records .....   | 24             |
| <i>Appendix 3 : International form of record of performances</i> .....                            | 25             |
| Article 6 : Biological Integrity of the Horse .....   | 26             |
| Article 6 A : Prohibited Substances .....   | 26             |
| Article 6 B : Genetic and Cellular Manipulations .....  | 29             |
| Article 6 C : Prohibited Practices.....   | 30             |
| Article 6 D : Medication in Training.....   | 31             |
| Article 6 E : Out of competition testing .....  | 32             |
| Article 7 : Shoeing of Racehorses.....  | 34             |
| Article 8 : Weighing of Riders.....   | 35             |
| Article 9 A : Owners Colours.....   | 36             |
| <i>Appendix 5 : Racing colours schemes and chart</i> .....  | 38-39          |
| Article 9 B : Advertising and Sponsorship .....   | 37             |
| Article 10: Disqualifications and Suspensions and their International Application .....           | 40             |
| <i>Article 10 A :</i> .....   | <i>DELETED</i> |
| <i>Appendix 6A (see Appendix 12 / Article 29)</i> .....   | <i>DELETED</i> |
| <i>Article 10 B :</i> .....   | <i>DELETED</i> |
| <i>Article 10 C :</i> .....   | <i>DELETED</i> |
| <i>Appendix 6B: Model form for request for Reciprocation of Penalties for riders</i> .....        | 44             |
| <i>Appendix 6C: Model rule on Reciprocation of Suspensions or Disqualifications (new)</i> .....   | 45             |
| <i>Article 10 D :</i> .....   | <i>DELETED</i> |
| Article 11 A : Treatment for Racing Purposes of Horses' Ages .....                                | 46             |
| <i>Appendix 7 : Weight allowances</i> .....   | 47             |
| Article 11 B : Minimum Standard Guidelines on Use of the Whip .....                               | 48             |
| Article 12 : Definition of a Thoroughbred .....   | 49             |
| <i>Appendix 8 : List of approved Stud Books</i> .....   | 51             |
| Article 13 : Register of Non-thoroughbred Horses .....  | 52             |
| Article 14 : Registration of Name .....   | 54             |
| <i>Appendix 9 : Rules for establishing the list of protected names</i> .....                      | 56             |
| Article 15 : Identification of horses.....  | 57             |
| Article 16 : Guaranteed Money for Entries.....  | 59             |
| Article 17 : Financial Arrangements.....  | 59             |
| Article 18 : Exchange Rate.....   | 59             |

|                |  |                         |
|----------------|--|-------------------------|
| Article 19 :   | .....  | DELETED                 |
| Article 20 :   | .....  | DELETED                 |
| Article 21 :   | Transfer Accounts .....  | 60                      |
| Article 22 :   | International Health Agreement.....  | 61                      |
| Article 23 :   | Vaccinations.....  | 64                      |
| Article 24 :   | Health Information .....   | 65                      |
| Article 25 :   | .....  | DELETED                 |
| Article 26 :   | Transmission of Information between Horseracing Authorities .....  | 66                      |
| Article 27 :   | Guidelines for Health Protection for Riders .....  | 67                      |
|                | <i>Appendix 10 A : Guideline set of standards for health protection of riders.....</i>   | <i>68-72</i>            |
|                | <i>Appendix 10 B : Guideline Standards of Riding Equipment<br/>required by Horseracing Authorities to protect riders<br/>from avoidable injury .....</i> | <i>73</i>               |
|                | <i>Appendix 10 C : Prohibited Substances Guideline .....</i>   | <i>73</i>               |
| Article 28 A : | Wagering.....  | 74                      |
| Article 28 B : | Standard for Electronic Transmission of Pre-Race Information Related To Wagering .....   | 75                      |
|                | <i>Appendix 11 : International Pre-race Data in Support of Race Cards .....</i>  | <i>to be found on :</i> |
|                | <i>[<a href="http://www.ifhaonline.org/resources/2008_Appendix11.PDF">http://www.ifhaonline.org/resources/2008_Appendix11.PDF</a>]</i>                   |                         |
| Article 29 :   | Licensing Criteria for Trainers and Riders .....   | 76                      |
|                | <i>Appendix 12 (ex App. 6A – Art.10A - updated): Foreign-based Rider’s Clearance Form ...</i>  | <i>79</i>               |
| Article 30 :   | Headgear.....  | 80                      |
| Article 31 :   | Elective permanent retirement of racehorses .....  | 81                      |
| Article 32 :   | Running on the race.....   | 82                      |
| Article 33 :   | Categories of horse entitled to race .....   | 83                      |

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## INDEX BY SUBJECT

|                         |              |
|-------------------------|--------------|
| Objectives.....         | Pages :<br>8 |
| Race Horse Welfare..... | 9            |

### BREEDING

|   |    |
|---|----|
| Article 3 : Traceability of international movements of horses ..... | 14 |
| Article 3 B : Clearances for horses breeding purposes .....         | 18 |
| Appendix 1-D: Model Breeding Clearance Notification (BCN) .....     | 19 |
| Article 3 C : General Notification of Movement (GNM) .....          | 20 |
| Appendix 1-E: Model General Notification of Movement (GNM).....     | 20 |
| Article 3 D : Permanent Exportation .....                           | 21 |
| Appendix 1-F: Model Permanent Export Update Entry .....             | 21 |
| Article 4 : Use of a Suffix Showing the Country of Foaling .....    | 22 |
| Appendix 2: List of International Country Code Suffixes.....        | 23 |
| Article 12 : Definition of a Thoroughbred .....                     | 49 |
| Appendix 8: List of approved Stud Books .....                       | 51 |
| Article 13 : Register of Non-thoroughbred Horses .....              | 52 |
| Article 14 : Registration of Name .....                             | 54 |
| Appendix 9: Rules for establishing the list of protected names..... | 56 |
| Article 15 : Identification of horses.....                          | 57 |
| Article 22 : International Health Agreement.....                    | 61 |
| Article 23 : Vaccinations.....                                      | 64 |
| Article 24 : Health Information .....                               | 65 |

### RACING

|   |       |
|---|-------|
| Article 1 : Recognition And Categorization Of Quality Races (Group/Graded and Listed Races) ..... | 10    |
| Appendix 1 : International Treatment of Group And Listed Races .....                              | 12    |
| Article 2 : Equivalentents in distance and weights.....   | 13    |
| Article 3 : Traceability of international movements of horses .....                               | 14    |
| Article 3 A : Clearances in relation to Horses racing abroad .....                                | 15    |
| Appendix 1-A: Racing Clearance Notification (RCN) .....   | 17    |
| Article 3 C : General Notification of Movement (GNM) .....  | 20    |
| Appendix 1-E: Model General Notification of Movement (GNM).....                                   | 20    |
| Article 3 D : Permanent Exportation .....   | 21    |
| Appendix 1-F: Model Permanent Export Update Entry .....   | 22    |
| Article 4 : Use of a Suffix Showing the Country of Foaling .....                                  | 22    |
| Appendix 2: List of International Country Code Suffixes.....                                      | 23    |
| Article 5 : Horse Performance Records .....   | 24    |
| Appendix 3: International form of record of performances.....                                     | 25    |
| Article 6 : Biological Integrity of the Horse .....   | 26    |
| Article 6 A : Prohibited Substances .....   | 26    |
| Article 6 B : Genetic and Cellular Manipulations .....  | 29    |
| Article 6 C : Prohibited Practices.....   | 30    |
| Article 6 D : Medication in Training.....   | 31    |
| Article 6 E : Out of competition testing .....  | 32    |
| Article 7 : Shoeing of Racehorses.....  | 34    |
| Article 8 : Weighing of Riders.....   | 35    |
| Article 9 A : Owners Colours.....   | 36    |
| Appendix 5: Racing colours schemes and chart.....   | 38-39 |
| Article 9 B : Advertising and Sponsorship .....   | 37    |

|                     |  |         |
|---------------------|--|---------|
| <b>Article 10:</b>  | Disqualifications and Suspensions and their International Application .....  | 40      |
| Article 10 A :      | .....  | DELETED |
|                     | Appendix 6 A (see Appendix 12 / Article 29).....   | DELETED |
| Article 10 B :      | .....  | DELETED |
| Article 10 C :      | .....  | DELETED |
|                     | Appendix 6 B: Model form for request for Reciprocation of Penalties for riders.....  | 44      |
|                     | Appendix 6 C: Model rule on Reciprocation of Suspensions or Disqualifications (new) ....   | 45      |
| Article 10 D :      | .....  | DELETED |
| Article 11 A :      | Treatment for Racing Purposes of Horses' Ages .....  | 46      |
|                     | Appendix 7 : Weight allowances.....  | 47      |
| Article 11 B :      | Minimum Standard Guidelines on Use of the Whip .....   | 48      |
| Article 14 :        | Registration of Name .....   | 54      |
|                     | Appendix 9 : Rules for establishing the list of protected names.....   | 56      |
| Article 15 :        | Identification of horses.....  | 57      |
| Article 16 :        | Guaranteed Money for Entries.....  | 59      |
| Article 17 :        | Financial Arrangements.....  | 59      |
| Article 18 :        | Exchange Rate.....   | 59      |
| Article 19 :        | .....  | DELETED |
| Article 21 :        | Transfer Accounts.....   | 60      |
| Article 22 :        | International Health Agreement.....  | 61      |
| Article 23 :        | Vaccinations.....  | 64      |
| Article 24 :        | Health Information .....   | 65      |
| Article 26 :        | Transmission of Information between Horseracing Authorities .....  | 66      |
| Article 27 :        | Guidelines for Health Protection for Riders .....  | 67      |
|                     | Appendix 10 A: Guideline set of standards for health protection of riders.....   | 68-72   |
|                     | Appendix 10 B: Guideline Standards of Riding Equipment<br>required by Horseracing Authorities to protect riders<br>from avoidable injury ..... | 73      |
|                     | Appendix 10 C: Prohibited Substances Guideline .....   | 73      |
| <b>Article 29 :</b> | Licensing Criteria for Trainers and Riders .....   | 76      |
|                     | - Appendix 12 (ex-App.6A/Article 10A updated): Foreign-based Rider's Clearance Form...   | 79      |
| Article 30 :        | Headgear.....  | 80      |
| Article 31 :        | Elective permanent retirement of racehorses .....  | 81      |
| Article 32 :        | Running on the race .....  | 82      |
| Article 33 :        | Categories of horse entitled to race .....   | 83      |

## WAGERING

|                |  |    |
|----------------|--|----|
| Article 28 A : | Wagering.....  | 74 |
| Article 28 B : | Standard for Electronic Transmission<br>of Pre-Race Information Related To Wagering.....   | 75 |
|                | Appendix 11 : International Pre-race Data in Support of Race Cards ..... to be found on :<br>[ <a href="http://www.ifhaonline.org/resources/2008_Appendix11.PDF">http://www.ifhaonline.org/resources/2008_Appendix11.PDF</a> ] |    |

## OBJECTIVES

The International Agreement on Breeding, Racing and Wagering is published by the International Federation of Horseracing Authorities and brings together a series of Articles, appendices and guidelines setting out recommended best practice in significant areas of racing, stud book administration and wagering common to all jurisdictions. The Agreement is designed to assist horseracing authorities by promoting the following objectives:

- to enhance public confidence in the integrity of the sport of racing and of its breeding industry.
- to protect the safety and welfare of horses and riders.
- to coordinate and harmonise approaches across the world of racing and breeding to promote international competition.
- to maximise opportunities for the promotion of racing and for its financial welfare by protecting racing's intellectual property rights from piracy by non-authorised wagering operators.

All members of the Federation commit themselves to furthering those objectives and undertake to use their best endeavours wherever this is reasonably possible. Under each Article is a list of those countries which have adopted the Article, indicating in some cases those parts which they have excluded. Members who have adopted an Article in full or in part shall make provision within their domestic rules implementing its intentions.

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## RACE HORSE WELFARE

The IFHA, in its role to promote good regulation and best practices internationally across horseracing, recognises the central role played by the horse itself and so the importance of its welfare. The Federation, recognising the diversity of cultural, political and legislative and other perspectives that underpin approaches to animal welfare around the world, has therefore adopted a number of broad principles of racehorse welfare that would be implemented by the Federation's members into detailed local outputs to assure racehorse welfare :

### Principles :

1. Cruelty to racehorses is not tolerated by Horseracing Authorities.
2. Horseracing Authorities by implementing, publishing, monitoring and enforcing appropriate policies, Rules and by other activities, in so far as this is in their direct or indirect control, should assure that the participants in horseracing themselves meet their responsibilities to provide suitable care for the racehorse before, during and also after racing.
3. Reasonable steps should be taken to prevent unnecessary pain and distress of racehorses by ensuring adequate care, a suitable diet, the ability to exhibit normal behaviour, appropriate housing, controlling practices and therapies used in racing and training, and by protection from injury and disease.
4. In the context of these responsibilities of participants in horseracing for racehorse care it is recognised that properly conducted euthanasia can be a humane option for racehorses ; for example for individual horses with severe acute or severe chronic injuries, or where care would be inadequate, and where therefore pain and distress is likely to be the result.
5. Whilst horseracing carries risks, reasonable steps should be taken to prevent avoidable risks and research ways of reducing the risks that are currently unavoidable, and to share this information between Horseracing Authorities and participants in horseracing.

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## **Article 1 (RACING) – RECOGNITION AND CATEGORIZATION OF QUALITY RACES** **(Group/Graded and Listed Races)**

### **1. Introduction**

A convention has been established whereby Racing Authorities, in categorising the races of the highest quality run in their respective countries, apply common descriptions. These descriptions, and abbreviations thereof, are shown below, in descending quality order:

- Group 1/Grade 1 (Gr 1)
- Group 2/Grade 2 (Gr 2)
- Group 3/Grade 3 (Gr 3)
- Listed or Listed Restricted (L or LR)

Such races are set out in the International Cataloguing Standards (ICS) Book published by the Jockey Club Information Systems, Inc., in association with the International Federation of Horseracing Authorities (IFHA).

The ICS Book separates countries and/or races into three sections, Part I, Part II and Part III. Group/Graded races in Part I are recognized as such internationally. For countries in Part II and Part III, the country code is included as a prefix to the Group/Grade to denote domestic recognition. Further recognition of Group/Graded and Listed status is included in section 3 of this Article.

Group/Graded races contained in Part I are also listed on the IFHA web site ([www.IFHAonline.org](http://www.IFHAonline.org)).

### **2. Procedure for the Selection/De-selection of such races.**

- 2.1 Granting Group/Graded Race status or upgrading a race to a higher Group/Grade, must be justified by the quality of the runners.
- 2.2 Granting Listed Race status must be justified by the quality of the runners or by published National standards that ensure quality runners.
- 2.3 Conversely, except in exceptional circumstances, Group/Graded Races must be downgraded or lose their status if the quality of the runners does not justify it and Listed Races must be downgraded if the quality of runners does not justify it or if they do not adhere to published National standards that ensure quality runners.

Note: 'Quality' can be assessed by different systems in different regions: ratings, last performances, points.

### **3. Implications of Such Categorisation**

Such categorisation is relevant in recognizing the highest class races conducted for domestic and international purposes. Additionally, such categorisation is relevant:

- (a) In the treatment within sales catalogues of horses which have performed in such races
- (b) In determining whether a horse is qualified for a race and/or the weight it is assigned - race conditions may make reference to the categorisation of the races in which the horse has previously competed. In such cases, whether a race in another country is or is not treated as such by the Staging Authority will depend on the country in which the prior race was run.

For both the above purposes, positioning within the various parts of the ICS Book - determines policy, as shown below.

#### ***3.1 Sales Cataloguing***

- (a) Races listed in Part I:  
The appropriate abbreviation for Group/Graded races (eg Gr1, Gr2, Gr3,) will follow the name of the race in question. Horses winning or being placed in the first three in Group/Graded and Listed races will be assigned 'Black Type' (ie the horse's name will appear in a bolder typeface).
- (b) Races listed in Part II:  
Horses winning or being placed in the first three will be assigned 'Black Type' and the races are treated the same as Listed races for Part I countries.

- (c) Races listed in Part III are published for information purposes only and do not confer Black Type.

Note: The above applies for sales catalogues that comply with standards recognized by the Society of International Thoroughbred Auctioneers (SITA).

### **3.2 Interpretation of Races Run Abroad, For the Purpose of Qualification for Races and/or the Assignment of Weights**

3.2.1 For purposes of (a) determining whether horses trained or having run abroad are qualified for a race or (b) determining the weights that such horses may be required to carry, Racing Authorities may regard the status of races won abroad to be different from that as described in the country in question. Racing Authorities should publish, and make available to other Racing Authorities on request, details of any such different treatment which would apply to races run in other countries.

3.2.2 For the purpose of qualification to run in and/or the assignment of weights to horses entered in races run from January 1st, 2016, the following treatment will apply. The classification of races published in a given Part will be downgraded or upgraded, as appropriate, when applied to races run in countries whose races are published exclusively in another Part. Re-grading will be on the basis of one Group being equivalent to one Part. Thus, by way of example, a race described as Group 2 in Part II will be considered to be of Group 3 status in countries appearing in Part I, and of Group 1 status in countries appearing in Part III. When applied to a race run in countries whose races are published in more than one Part, treatment will be dependent upon the Part (if any) in which that race is published. The full treatment is set out in Appendix 1.

#### **Last update : JANUARY 2016**

|             |                |                   |                         |                                       |
|-------------|----------------|-------------------|-------------------------|---------------------------------------|
| Agreed by : | AUSTRALIA      | GERMANY           | MALAYSIA (except § 3.2) | SINGAPORE (except § 3.2)              |
|             | AUSTRIA        | GREAT BRITAIN     | MAURITIUS               | SLOVAKIA (except § 3.1 (c) & 3.2 (c)) |
|             | AZERBAIJAN     | GREECE            | MOROCCO                 | SLOVENIA                              |
|             | BAHRAIN        | HONG KONG         | NETHERLANDS             | SOUTH AFRICA                          |
|             | BELGIUM        | HUNGARY           | NEW ZEALAND             | SWEDEN                                |
|             | CANADA         | INDIA             | NORWAY                  | SWITZERLAND                           |
|             | CHILE          | IRELAND           | OMAN                    | TUNISIA                               |
|             | CROATIA        | <b>ISRAEL</b>     | <b>PANAMA</b>           | TURKEY                                |
|             | CYPRUS         | ITALY             | PERU                    | UNITED ARAB EMIRATES                  |
|             | CZECH REPUBLIC | JAPAN             | QATAR                   | UNITED STATES OF AMERICA              |
|             | DENMARK        | KOREA (except §2) | ROMANIA                 | (except § 3.2)                        |
|             | FRANCE         | LIBYA             | SAUDI ARABIA            | URUGUAY                               |
|             |                | MACAU             |                         |                                       |

**APPENDIX 1**

**INTERNATIONAL TREATMENT OF GROUP and LISTED RACES**

When a horse which runs in a race (Race A) that is described, in the country in which the race takes place (Country A) as 'Group 1', 'Group 2', 'Group 3' or 'Listed', is then entered for a race (Race B) in another country (Country B), the table below shows the way in which Race A is treated for the purposes of qualification for Race B and of weight allocation in Race B

| Part of ICS* Book in which Race A appears | Way in which Race A is described in the country in which it is run (Country A). | Where Country B only has races appearing in one Part of the ICS Book |                      |  | Where Country B has races appearing in more than one Part of the ICS Book |                   |                    | Race B not in Blue Book   |
|---|---|--|----------------------|--|---|-------------------|--------------------|---|
|   |   | Country B in Part I  | Country B in Part II | Country B in Part III/Not in Blue Book | Race B in Part 1  | Race B in Part II | Race B in Part III |   |
| Part I                                    | Gr 1  | Gr 1   | Gr 1                 | Gr 1                                   | Gr 1  | Gr 1              | Gr 1               |   |
|   | Gr 2  | Gr 2   | Gr 1                 | Gr 1                                   | Gr 2  | Gr 1              | Gr 1               | As per treatment for races in the Part of the ICS Book in which Country B has most races appearing.         |
|   | Gr 3  | Gr 3   | Gr 2                 | Gr 1                                   | Gr 3  | Gr 2              | Gr 1               | E.g., if Country B has some races in Part I, but more in Part II, treatment will be as for races in Part II |
|   | L   | L  | Gr 3                 | Gr 2                                   | L   | Gr 3              | Gr 2               |   |
| Part II                                   | Gr 1  | Gr 2   | Gr 1                 | Gr 1                                   | Gr 2  | Gr 1              | Gr 1               |   |
|   | Gr 2  | Gr 3   | Gr 2                 | Gr 1                                   | Gr 3  | Gr 2              | Gr 1               | As per treatment for races in the Part of the ICS Book in which Country B has most races appearing.         |
|   | Gr 3  | L  | Gr 3                 | Gr 2                                   | L   | Gr 3              | Gr 2               | E.g., if Country B has some races in Part I, but more in Part II, treatment will be as for races in Part II |
|   | L   | Neither Gr nor L   | L                    | Gr 3                                   | Neither Gr nor L  | L                 | Gr 3               |   |
| Part III**                                | Gr 1  | Gr 3   | Gr 2                 | Gr 1                                   | Gr 3  | Gr 2              | Gr 1               |   |
|   | Gr 2  | L  | Gr 3                 | Gr 2                                   | L   | Gr 3              | Gr 2               | As per treatment for races in the Part of the ICS Book in which Country B has most races appearing.         |
|   | Gr 3  | Neither Gr nor L   | L                    | Gr 3                                   | Neither Gr nor L  | L                 | Gr 3               | E.g., if Country B has some races in Part I, but more in Part II, treatment will be as for races in Part II |
|   | L   | Neither Gr nor L   | Neither Gr nor L     | L                                      | Neither Gr nor L  | Neither Gr nor L  | L                  |   |

\* International Cataloguing Standards

\*\* Or not published at all.

## Article 2 (RACING) - EQUIVALENTS IN DISTANCE AND WEIGHTS.

In reckoning qualifications, penalties and allowances, distances shown in English measures as well as weights, should be changed into metric distances by reference to the following way :

| Comparative tables between meters and furlongs |          |                    |
|--|----------|--------------------|
| 200  | meters = | 1 furlong          |
| 1000   | meters = | 5 furlongs         |
| 1200   | meters = | 6 furlongs         |
| 1400   | meters = | 7 furlongs         |
| 1600   | meters = | 1 mile             |
| 1700   | meters = | 1 mile, ½ furlong  |
| 1800   | meters = | 1 mile, 1 furlong  |
| 2000   | meters = | 1 ¼ miles          |
| 2200   | meters = | 1 mile, 3 furlongs |
| 2400   | meters = | 1 ½ miles          |
| 2600   | meters = | 1 mile, 5 furlongs |
| 3000   | meters = | 1 mile, 7 furlongs |
| 3200   | meters = | 2 miles            |
| 3600   | meters = | 2 ¼ miles          |
| 4000   | meters = | 2 ½ miles          |
| 4800   | meters = | 3 miles.           |

| Equivalence of weights for penalties and allowances |     |     |      |
|---|-----|-----|------|
| kg.   | lb. | kg. | lb.  |
| 1   | 2 ¼ | 5 ½ | 12   |
| 1 ½   | 3 ¼ | 6   | 13 ¼ |
| 2   | 4 ½ | 6 ½ | 14 ¼ |
| 2 ½   | 5 ½ | 7   | 15 ¼ |
| 3   | 6 ½ | 7 ½ | 16 ½ |
| 3 ½   | 7 ¾ | 8   | 17 ½ |
| 4   | 9   | 8 ½ | 18 ¾ |
| 4 ½   | 10  | 9   | 20   |
| 5   | 11  | 9 ½ | 21   |

| Comparative tables between kilos and pounds<br>(Pounds are shown to the nearest ½ lb) |     |     |      |     |      |
|---|-----|-----|------|-----|------|
| kg.   | st. | lb. | kg.  | st. | lb.  |
| 41  | 6   | 6   | 52 ½ | 8   | 4    |
| 41 ½  | 6   | 7 ½ | 53   | 8   | 5    |
| 42  | 6   | 9   | 53 ½ | 8   | 6    |
| 42 ½  | 6   | 10  | 54   | 8   | 7    |
| 43  | 6   | 11  | 54 ½ | 8   | 8    |
| 43 ½  | 6   | 12  | 55   | 8   | 9    |
| 44  | 6   | 13  | 55 ½ | 8   | 10   |
| 44 ½  | 7   | 0   | 56   | 8   | 11 ½ |
| 45  | 7   | 1   | 56 ½ | 8   | 13   |
| 45 ½  | 7   | 2   | 57   | 9   | 0    |
| 46  | 7   | 3   | 57 ½ | 9   | 1    |
| 46 ½  | 7   | 4 ½ | 58   | 9   | 2    |
| 47  | 7   | 6   | 58 ½ | 9   | 3    |
| 47 ½  | 7   | 7   | 59   | 9   | 4    |
| 48  | 7   | 8   | 59 ½ | 9   | 5    |
| 48 ½  | 7   | 9   | 60   | 9   | 6    |
| 49  | 7   | 10  | 60 ½ | 9   | 7    |
| 49 ½  | 7   | 11  | 61   | 9   | 8 ½  |
| 50  | 7   | 12  | 61 ½ | 9   | 10   |
| 50 ½  | 7   | 13  | 62   | 9   | 11   |
| 51  | 8   | 0 ½ | 62 ½ | 9   | 12   |
| 51 ½  | 8   | 1 ½ | 63   | 9   | 13   |
| 52  | 8   | 3   | 63 ½ | 10  | 0    |

| Comparative weights for use from 1986<br>with the scale for International<br>Classifications<br>1 lb = 0,453 kg. |        |             |
|--|--------|-------------|
| Rating   | kgs    | nearest Kgs |
| 141  | 63.873 | 64          |
| 140  | 63.420 | 63,5        |
| 139  | 62.967 | 63          |
| 138  | 62.514 | 62,5        |
| 137  | 62.061 | 62          |
| 136  | 61.608 | 61,5        |
| 135  | 61.155 | 61          |
| 134  | 60.702 | 60,5        |
| 133  | 60.249 | 60          |
| 132  | 59.796 | 60          |
| 131  | 59.343 | 59,5        |
| 130  | 58.890 | 59          |
| 129  | 58.437 | 58,5        |
| 128  | 57.984 | 58          |
| 127  | 57.531 | 57,5        |
| 126  | 57.078 | 57          |
| 125  | 56.625 | 56,5        |
| 124  | 56.172 | 56          |
| 123  | 55.719 | 55,5        |
| 122  | 55.266 | 55,5        |
| 121  | 54.813 | 55          |
| 120  | 54.360 | 54,5        |
| 119  | 53.907 | 54          |
| 118  | 53.454 | 53,5        |
| 117  | 53.001 | 53          |
| 116  | 52.548 | 52,5        |
| 115  | 52.095 | 52          |
| 114  | 51.642 | 51,5        |
| 113  | 51.189 | 51          |
| 112  | 50.736 | 50,5        |
| 111  | 50.283 | 50,5        |
| 110  | 49.830 | 50          |

Agreed by :

|                |               |             |                          |
|----------------|---------------|-------------|--------------------------|
| ARGENTINA      | FRANCE        | LEBANON     | SINGAPORE                |
| AUSTRALIA      | GERMANY       | MACAU       | SLOVAKIA                 |
| AUSTRIA        | GREAT BRITAIN | MALAYSIA    | SLOVENIA                 |
| AZERBAIJAN     | GREECE        | MAURITIUS   | SOUTH AFRICA             |
| BAHRAIN        | HONG KONG     | MEXICO      | SPAIN                    |
| BELGIUM        | HUNGARY       | MOROCCO     | SWEDEN                   |
| BRAZIL         | INDIA         | NETHERLANDS | SWITZERLAND              |
| CANADA         | IRELAND       | NEW-ZEALAND | TRINIDAD AND TOBAGO      |
| CHILE          | ISRAEL        | NORWAY      | TURKEY                   |
| CROATIA        | ITALY         | PANAMA      | UNITED ARAB EMIRATES     |
| CYPRUS         | JAPAN         | PERU        | UNITED STATES OF AMERICA |
| CZECH REPUBLIC | KOREA         | POLAND      | URUGUAY                  |
| DENMARK        |               | QATAR       | VENEZUELA                |

**PLEASE NOTE: WITH EFFECT FROM 1<sup>ST</sup> JANUARY 2015, PASSPORT ENDORSEMENT IS NO LONGER AN OPTION FOR THE RECORDING OF TEMPORARY MOVEMENTS**

To facilitate international movements of registered horses, it is essential to record and monitor, on a permanent basis their movements worldwide. This requirement for traceability covers the whole of the journey (including any-stop over for quarantine purposes). Clearance notification and/or export certificates must be documented accordingly.

There are two regimes covering the management of such horse movements:

1. Temporary exportation (see 3A, 3B and 3C)

This is when the horse travels and returns to its country of departure within the given limits of time and itinerary indicated on the clearance notification.

With the prior agreement of the receiving authority, extension may be granted at the discretion of the issuing authority, to cope with exceptional circumstances.

2. Permanent exportation (See 3D)

If the horse is being permanently imported for racing purposes and the importing Authority wishes to receive "Clearance" or related racing information on the horse, it should contact the Racing Authority of the country from which the horse was exported.

*Last update : JANUARY 2016*

|             |                |               |               |                          |
|-------------|----------------|---------------|---------------|--------------------------|
| Agreed by : | ARGENTINA      | ECUADOR       | LEBANON       | QATAR                    |
|             | AUSTRALIA      | FRANCE        | MACAU         | SAUDI ARABIA             |
|             | AUSTRIA        | GERMANY       | MALAYSIA      | SERBIA                   |
|             | AZERBAIJAN     | GREAT BRITAIN | MAURITIUS     | SINGAPORE                |
|             | BAHRAIN        | GREECE        | MEXICO        | SLOVAKIA                 |
|             | BELGIUM        | HONG KONG     | MOROCCO       | SLOVENIA                 |
|             | BRAZIL         | HUNGARY       | NETHERLANDS   | SYRIA                    |
|             | BULGARIA       | INDIA         | NEW ZEALAND   | SWEDEN                   |
|             | CANADA         | IRELAND       | NORWAY        | SWITZERLAND              |
|             | CHILE          | <b>ISRAEL</b> | OMAN          | TURKEY                   |
|             | CHINA          | ITALY         | <b>PANAMA</b> | UKRAINE                  |
|             | CROATIA        | JAPAN         | PARAGUAY      | UNITED ARAB EMIRATES     |
|             | CYPRUS         | KAZAKHSTAN    | PERU          | UNITED STATES OF AMERICA |
|             | CZECH REPUBLIC | KENYA         | PHILIPPINES   | VENEZUELA                |
|             | DENMARK        | KOREA         | POLAND        |                          |

**Article 3 A (RACING) – CLEARANCES IN RELATION TO HORSES RACING ABROAD.**

**ALL TEMPORARY RACING MOVEMENTS MUST BE COVERED BY A RCN.**

I – GENERAL

Any trainer running a horse in a race abroad must ensure that the Racing Authority of the Country staging the race is in receipt of an internationally agreed clearance notification which will attest, to the best of the knowledge of its Home Authority as defined hereunder, that :

- a) the horse is free of restrictions
- b) the trainer is duly licensed
- c) the owner is duly registered.

It is recognised that (a) different interpretations apply internationally to where a racehorse is 'based' and (b) the Rules of some Racing Authorities allow for a trainer to be licensed simultaneously in more than one jurisdiction. For the purpose of this Article, therefore, the 'Home Authority' is defined in relation to the horse. The horse's Home Authority is the Racing Authority of the country in which (a) the horse was recorded as being in training immediately prior to its departure to race in another racing jurisdiction and (b) where it was foaled or, if exported, where its Export Certificate should be lodged.

Should the horse, trainer or owner be the subject of a restriction, the Home Authority will notify the Staging Authority and the trainer of the horse of the details.

Each country must submit for publication on the IFHA website [[www.ifhaonline.org](http://www.ifhaonline.org)], the following information:

- a) The particular 'restrictions' of which they take account
- b) Contact details for lodging an RCN
- c) Details of the final declaration stage in that country
- d) Opening days and times of the Racing Authority's office (GMT+/-)

***RCN Requirements for certain countries may be found at***  
[www.ifhaonline.org/racingDisplay.asp?section=10#a3a](http://www.ifhaonline.org/racingDisplay.asp?section=10#a3a)

Should a Staging Authority wish for information additional to that covered by the Home Authority's RCN, they should make enquiry of the Home Authority.

II – PRACTICAL

1. When the horse is to run abroad on just one occasion before returning to its Home Authority:
  - 1.1 The trainer must request, on every such occasion, the horse's Home Authority to send a RCN to the Staging Authority.
2. When the horse is to run more than once abroad in a single specified country before returning directly to its Home Authority:
  - 2.1 The trainer must request, prior to the horse's first such race, the horse's Home Authority to send a RCN to the Staging Authority.
3. When the horse is to race in more than one country abroad before returning to its Home Authority:
  - 3.1 In the case of the first such race, the procedure outlined under (1) above should be followed. Thereafter, whenever the horse races in a different country from that of its most recent race, the trainer must request the Staging Authority of the country in which it has most recently competed to send an RCN to the Staging Authority of the country in which it is to race next.

- 3.2 An RCN issued by a Staging Authority will not attest to the good standing of the owner or trainer, but will either attest to the fact that the horse remains free of restrictions, subsequent to its most recent race, or specify any such restriction. Should the horse be the subject of a restriction, the Staging Authority imposing that restriction will notify the Staging Authority to which the horse is due to travel of the details and will also notify the horse's Home Authority and the trainer of the horse of such details.
4. 4.1 The maximum period of validity for a racing clearance is 90 days. Should a horse remain outside the country of its Home Authority for a period of more than 90 days, its trainer must seek permission of its Home Authority for the continuation of this arrangement and check the local rules of racing. Should permission be granted, the Home Authority will issue a fresh clearance.
- 4.2 Where a horse has travelled to another country under a General Notification of Movement (see Article 3C) and the trainer has established temporary authorisation to train in that country, the Home Authority may issue RCN's *in absentia* within 90 days of the issuance of the GNM and provided the Export Certificate remains in the home country.
- 4.3 A clearance will become invalid should the trainer or owner of the horse change after issue, in which case a fresh clearance must be requested. The clearance will also become invalid as soon as the horse leaves the country of the Staging Authority.
- 4.4 Should a Staging Authority fail to receive a clearance in respect of a declared horse it may impose a fine and/or refuse to allow the horse to run in the race. If the horse is allowed to race without a clearance and irregularities subsequently emerge related to clearance then the horse may be liable to disqualification.

### III – SPECIFIC

#### A) Racing Clearance Notification – (The model is shown as Appendix 1-A).

- 1.1 The portion of the RCN to be completed will depend on the circumstances of the horse's travel. In the event of any change in those circumstances, the trainer must contact the horse's Home Authority for a fresh RCN.
- 1.2 An RCN must be received in writing by email or fax by the Staging Authority no later than the day prior to the deadline for declaration (i.e. the last positive action required by a trainer or his representative to run in the race).
- 1.3 Authorities should process applications to issue an RCN as close to the day prior to declaration as practicable, thereby minimising the gap between issuance and racing. Authorities may reject applications which they consider to have been submitted too far in advance of declaration.
- 1.4 RCNs can only be accepted at times when the receiving Racing Authority is open for business.

\*

**Last update : JANUARY 2016**

|                    |                   |               |               |                      |
|--------------------|-------------------|---------------|---------------|----------------------|
| <i>Agreed by :</i> | <b>AUSTRALIA</b>  | FRANCE        | LEBANON       | QATAR                |
|                    | <b>AUSTRIA</b>    | GERMANY       | MACAU         | SAUDI ARABIA         |
|                    | <b>AZERBAIJAN</b> | GREAT BRITAIN | MALAYSIA      | SERBIA               |
|                    | BAHRAIN           | GREECE        | MAURITIUS     | SINGAPORE            |
|                    | BELGIUM           | HONG KONG     | MEXICO        | SLOVAKIA             |
|                    | BRAZIL            | HUNGARY       | MOROCCO       | SLOVENIA             |
|                    | CANADA            | INDIA         | NETHERLANDS   | SWEDEN               |
|                    | CHINA             | IRELAND       | NEW ZEALAND   | SWITZERLAND          |
|                    | CROATIA           | <b>ISRAEL</b> | NORWAY        | TURKEY               |
|                    | CYPRUS            | ITALY         | OMAN          | UKRAINE              |
|                    | CZECH REPUBLIC    | JAPAN         | <b>PANAMA</b> | UNITED ARAB EMIRATES |
|                    | DENMARK           | <b>KOREA</b>  | POLAND        | VENEZUELA            |

**APPENDIX 1-A**

**RACING CLEARANCE NOTIFICATION (RCN)**

Horse.....Breed.....Sex.....Date of Foaling .....

Trainer .....

Owner.....

Name of race in which horse is due to compete .....

Run on (Date)..... at (Racecourse).....

Country.....

Expected date of travel.....

Expected date of return.....

Contact Details of Person/Organisation in whose care the horse will be at its Country of Destination.....

I,..... (Name of Position of Official)

Complete this RCN on behalf of ..... (Racing Authority)

in the capacity of : please tick Box A or B, as appropriate :

|        |  |          |
|--------|--|----------|
| Either | Home Authority (i.e. the Racing Authority of the country in which the above horse is recorded as being in training immediately prior to its departure in another racing jurisdiction and where, in principle, its Export Certificate should be lodged) | <b>A</b> |
| Or     | Staging Authority (i.e. the Racing Authority of the country in which the above horse, which is involved in international travel for racing purposes, last ran).  | <b>B</b> |

Declaration A (To be completed only if Box A is ticked)

I declare that, **with the exception of any restrictions listed in the 'Restrictions' Box below**, the above horse is free from any restrictions preventing it from racing, that the above trainer is duly licensed by this Racing Authority, that the above Owner is duly registered by this Racing Authority and that neither the trainer nor the owner appears on do not appear on any Forfeit or Disqualified List maintained by this Authority.

|   |  |
|---|--|
| <p>Either</p> <p><b>We have been notified that the horse will return directly to the country of its Home Authority following the race and this R.C.N. applies solely for the purpose of the above race.</b></p> | <p>Or</p> <p><b>We have been notified that the horse will remain in the above country for the purpose of competing in further races before returning directly to the country of its Home Authority. This R.C.N. is valid, therefore, for any races run in the above country within a period of up to 90 days unless, within this period, (i) its owner or trainer should change or (ii) it moves to any other country.</b></p> |
|---|--|

Declaration B (to be completed only if Box B is ticked)

I declare that, **with the exception of any restrictions listed in the 'Restrictions' Box below**, the above horse is free from any restrictions preventing it from racing.

**The Restrictions and Signature boxes below apply to all RCNs whether made under Declaration A or B**

**RESTRICTION(S) APPLYING TO RCNS MADE UNDER DECLARATION A OR B ABOVE**

The following restriction(s) apply to the above horse, its owner or its trainer :

I declare that, **with the exception of any restrictions listed below**, the above horse is free from any restrictions preventing it from racing.

.....

.....

.....

Signed ..... Date : .....

**Article 3 B (BREEDING) – CLEARANCE FOR HORSES BREEDING PURPOSES**

Any owner sending a stallion or a mare abroad for breeding purposes must inform in advance the Approved Stud Book Authority of the country where the animal is standing at time of exportation, supplying the relevant details and requesting that this Stud Book Authority sends directly a Breeding Clearance Notification\* (BCN) by email or fax to the Stud Book Authority of the country of final destination, transmitting the DNA certificate for the horse and, for pregnant mares, the DNA certificate(s) of the covering stallion(s) **where requested by the country of final destination**. A certified copy of the Clearance should be delivered to the applicant for insertion into the relevant passport.

(\* ) the model of the BCN is shown as Appendix 1-D.

Before returning, the owner of the horse should apply to the Approved Stud Book Authority of the country of temporary residence for a further Clearance to be supplied to the Stud Book Authority of the country of permanent residence providing the details as stated above;

The clearance is valid for :

- 1) one breeding season (9 months maximum)
- 2) one country of destination

Any subsequent international movement beyond that covered by the BCN requires an Export Certificate to be issued, by the Authority which issued the BCN, to the initial country of destination, for onward transmission to the country to which the horse has moved.

Any failure in the above detailed process could be detrimental to the breeding and or racing status of the breeding stock, including the relevant foals, and will therefore necessitate the transfer of the Export Certificate to guarantee the traceability of movements.

*Last update : JANUARY 2016*

|                    |                |               |             |                      |
|--------------------|----------------|---------------|-------------|----------------------|
| <i>Agreed by :</i> | ARGENTINA      | GERMANY       | MALAYSIA    | SAUDI ARABIA         |
|                    | AUSTRALIA      | GREAT BRITAIN | MOROCCO     | SERBIA               |
|                    | AUSTRIA        | GREECE        | NETHERLANDS | SINGAPORE            |
|                    | AZERBAIJAN     | HUNGARY       | NEW ZEALAND | SLOVAKIA             |
|                    | BAHRAIN        | INDIA         | NORWAY      | SLOVENIA             |
|                    | BELGIUM        | IRELAND       | OMAN        | SOUTHERN AFRICA      |
|                    | BULGARIA       | ISRAEL        | PANAMA      | SPAIN                |
|                    | CANADA         | ITALY         | PERU        | SYRIA                |
|                    | CHILE          | JAPAN         | PHILIPPINES | SWEDEN               |
|                    | CYPRUS         | KAZAKHSTAN    | QATAR       | SWITZERLAND          |
|                    | CZECH REPUBLIC | KENYA         | ROMANIA     | TUNISIA              |
|                    | DENMARK        | KOREA         |             | TURKEY               |
|                    | FRANCE         | LIBYA         |             | UKRAINE              |
|                    |                |               |             | UNITED ARAB EMIRATES |
|                    |                |               |             | URUGUAY              |

**APPENDIX 1-D**

**Model Breeding Clearance Notification (BCN)**

Horse Name (including suffix) .....

Year of Birth .....

Sire ..... Dam .....

UELN .....

Breed .....

Applicant .....

Final destination .....

Via (transit and quarantine) .....

To be covered by(1) .....

Present status(1) / Barren – Maiden .....

In foal to .....

With Colt/Filly(1) at foot by .....

Date of Departure. ....

**We confirm the passport has not been endorsed**

Issued by (SBA/Name). .....

On the (Date of Signature). .....

The validity is 9 month maximum from the date of departure with no change of itinerary.

(1) Delete as appropriate

## Article 3 C – GENERAL NOTIFICATION OF MOVEMENT (GNM).

This is applicable only when a horse of whatever age, with the exception of foals under their dam, leaves its home country for a period of less than nine months and will return home inside that nine month period, the reason for travel being neither to race, nor to breed.

In this case, for each movement, the relevant Authority will, prior to departure, provide by electronic means a copy to its counterpart Authority in the country of final destination and issue to the applicant a GNM (*see Appendix 1-E*). On the horse's return, the relevant Authority from which the horse is returning will, on application, issue to the Applicant a GNM and provide by electronic means a copy to its counterpart in the horse's home country.

The notification is valid for one country of destination only. Any subsequent international movement beyond that covered by the GNM requires an Export Certificate to be issued, by the Authority which issued the GNM, to the initial country of destination, for onward transmission to the country to which the horse has moved.

### Last update : JANUARY 2016

|             |  |               |             |                      |
|-------------|--|---------------|-------------|----------------------|
| Agreed by : | ARGENTINA                              | GERMANY       | MACAU       | SAUDI ARABIA         |
|             | AUSTRALIA                              | GREAT BRITAIN | MALAYSIA    | SERBIA               |
|             | AUSTRIA                                | GREECE        | MAURITIUS   | SINGAPORE            |
|             | BAHRAIN ( <i>except Appendix 1-E</i> ) | HONG KONG     | MEXICO      | SLOVAKIA             |
|             | BELGIUM                                | HUNGARY       | MOROCCO     | SLOVENIA             |
|             | BRAZIL                                 | INDIA         | NETHERLANDS | SOUTHERN AFRICA      |
|             | BULGARIA                               | IRELAND       | NEW ZEALAND | SPAIN                |
|             | CHILE                                  | ISRAEL        | NORWAY      | SYRIA                |
|             | CHINA                                  | ITALY         | OMAN        | SPAIN                |
|             | CROATIA                                | JAPAN         | PANAMA      | (reply SWEDEN        |
|             | CYPRUS                                 | KAZAKHSTAN    | expected)   | SWITZERLAND          |
|             | CZECH REPUBLIC                         | KENYA         | PERU        | TURKEY               |
|             | DENMARK                                | KOREA         | PHILIPPINES | UNITED ARAB EMIRATES |
|             | FRANCE                                 | LEBANON       | POLAND      | VENEZUELA            |
|             |  |               | QATAR       |                      |

## APPENDIX 1-E

### MODEL GENERAL NOTIFICATION OF MOVEMENT

#### of a horse travelling temporarily outside its Home Country for purposes other than for Racing or Breeding

This notification is valid for a maximum period of nine months from the date of declared departure, provided there is no subsequent change in itinerary (Should the horse remain abroad for a period in excess of nine months, or in the event of any change in itinerary, an application must be made to its home Stud Book Authority for an Export Certificate).

Prior to return, an application must be made to the Stud Book or Racing Authority (as relevant) of the country to which it has travelled, for a General Notification of Movement covering the horse's return journey.

Horse Name (if named), including Country Code .....

Horse's Date and Year of Foaling .....

Name of Horse's Dam, including Country Code .....

Name of Horse's Sire, including Country Code .....

Date of issue of Passport .....

Intended Country of Final Destination .....

Any intended country(ies) of transit, en route to final country of destination .....

Purpose of Travel  Training (for Racing)\*  Pre-training  Leisure  Equestrian Sports  
 Other (please specify) .....

Intended Outward Travel Date.....

Intended Return Travel Date (where provided) .....

Contact Details of Person/Organisation in whose care the horse will be at its Country of Destination .....

Name of Applicant.....

Relationship of Applicant to Horse (eg Owner, Shipper).....

Date of Issue.....

\* If travelling for the purpose of training (for racing), the applicant must be the currently licensed trainer of the horse in question and will, by submitting this form, agree to be bound by the Rules of Racing of the country to which the horse is travelling.

Permanent Exportation

**Article 3 D (RACING / BREEDING) – PERMANENT EXPORTATION.**

Where the period of exportation is greater than the given limit shown on the Clearance Notification and/or the itinerary has been modified without consultation of relevant authorities and/or if there is no intention to return the horse to its departure country, or when the relevant Stud Book Authority regard all movements regardless of purpose or time frame as permanent, the Export Certificate or an electronic copy must be sent to the Approved Stud Book Authority of the country to which the horse has moved, **together with the DNA certificate for the horse and, for pregnant mares, the DNA certificate(s) of the covering stallion(s) where requested by the country of final destination.**

In addition, for the purposes of traceability, the Approved Stud Book should update the passport with details of any permanent movements, prior to export. Where this has not been done and the passport is in the importing country, the exporting Stud Book Authority may request the importing Stud Book Authority to make the necessary entry in the passport.

Importing Approved Stud Books cannot accept an Export Certificate issued by a Stud Book Authority that does not hold Approved status from the ISBC.

Should the Stud Book Authority of the country of destination not be approved, a Certified Copy should be sent and the original Certificate retained until requested for by an Approved Stud Book. The DNA certificate (or an integrated DNA profile) from the sample taken at registration must be appended to the Export Certificate.

**Whenever possible, those operations must be fulfilled prior to the horse travelling.**

*Last update : JANUARY 2016*

Agreed by :

|                |               |             |                 |                          |
|----------------|---------------|-------------|-----------------|--------------------------|
| ARGENTINA      | DENMARK       | KAZAKHSTAN  | <b>PANAMA</b>   | SYRIA                    |
| AUSTRALIA      | FRANCE        | KENYA       | PARAGUAY        | SWEDEN                   |
| AUSTRIA        | GERMANY       | KOREA       | PERU            | SWITZERLAND              |
| AZERBAIJAN     | GREAT BRITAIN | LIBYA       | PHILIPPINES     | TUNISIA                  |
| BAHRAIN        | GREECE        | MACAU       | QATAR           | TURKEY                   |
| BELGIUM        | HONG KONG     | MALAYSIA    | ROMANIA         | UKRAINE                  |
| BRAZIL         | HUNGARY       | MAURITIUS   | SAUDI ARABIA    | UNITED ARAB EMIRATES     |
| BULGARIA       | INDIA         | MOROCCO     | SERBIA          | UNITED STATES OF AMERICA |
| CANADA         | IRELAND       | MEXICO      | SINGAPORE       | URUGUAY                  |
| CHILE          | <b>ISRAEL</b> | NETHERLANDS | SLOVAKIA        | VENEZUELA                |
| CROATIA        | ITALY         | NEW ZEALAND | SLOVENIA        |                          |
| CYPRUS         | JAMAICA       | NORWAY      | SOUTHERN AFRICA |                          |
| CZECH REPUBLIC | JAPAN         | OMAN        | SPAIN           |                          |

**APPENDIX 1-F**

**MODEL PERMANENT EXPORT UPDATE ENTRY**

The model Permanent Export entry lists the following items:

Issuing Authority.....  
Horse name .....  
Breed .....  
Sent to.....  
Via (transit and quarantine) .....  
With colt/filly\* at foot by .....  
Date of departure .....  
Date of this entry.....  
*\*Delete as appropriate*

## Article 4 (RACING / BREEDING) - USE OF A SUFFIX SHOWING THE COUNTRY OF FOALING.

Racing Authorities will apply Rules aimed at preventing the re-issuance of horse names (See Article 14 III), thereby minimising the risk of confusion in racing administration and wagering.

However, in applying such Rules, the population of registered horse names against which newly applied-for horse names are checked is likely to be restricted to those issued by the Authority in question. (Exclusion of duplicates on a global level is likely to be considered impractical and unnecessarily restrictive).

This creates the possibility that a horse imported, either temporarily or permanently, will share its name with a horse already in the country to which it has travelled.

To prevent such duplication, the registered name of such an imported horse must have a suffix added to it, showing the country of foaling.

The suffix between brackets is taken from the International Code of Suffixes (Appendix 2) and constitutes part of the animal's registered name.

### *Updated in April 2014*

Agreed by :

|   |                   |                              |                          |
|---|-------------------|------------------------------|--------------------------|
| ARGENTINA                                     | FINLAND           | MAURITIUS                    | SINGAPORE                |
| <b>AUSTRALIA (except for racing purposes)</b> | FRANCE            | MEXICO                       | SLOVAKIA                 |
| AUSTRIA                                       | GERMANY           | MONGOLIA                     | SLOVENIA                 |
| AZERBAIJAN                                    | GREAT BRITAIN     | MOROCCO                      | SOUTH AFRICA & Zimbabwe  |
| BAHRAIN                                       | GREECE            | NETHERLANDS                  | SPAIN                    |
| BARBADOS                                      | HONG KONG         | NEW ZEALAND                  | SWEDEN                   |
| BELGIUM & Luxemburg                           | HUNGARY           | NORWAY                       | SWITZERLAND              |
| BRAZIL  | INDIA             | OMAN                         | SYRIA                    |
| <b>BULGARIA</b>                               | IRELAND           | <b>PANAMA</b>                | THAILAND                 |
| CANADA  | <b>ISRAEL</b>     | PARAGUAY                     | TRINIDAD AND TOBAGO      |
| CHILE   | ITALY             | PERU                         | TUNISIA                  |
| CHINA   | JAMAICA           | PHILIPPINES                  | TURKEY                   |
| COLOMBIA                                      | JAPAN             | POLAND                       | UKRAINE                  |
| CROATIA                                       | <b>KAZAKHSTAN</b> | PORTUGAL                     | UNITED ARAB EMIRATES     |
| CYPRUS  | KENYA             | PUERTO RICO                  | UNITED STATES OF AMERICA |
| CZECH REPUBLIC                                | KOREA             | QATAR                        | URUGUAY                  |
| DENMARK                                       | LEBANON           | ROMANIA                      | UZBEKISTAN               |
| DOMINICAN REPUBLIC                            | LITHUANIA         | SAUDI ARABIA                 | VENEZUELA                |
| ECUADOR                                       | MACAU             | SERBIA, Bosnia & Herzegovina |                          |
|   | MALAYSIA          |                              |                          |

\*

**APPENDIX 2**

**List of International Country Code Suffixes**

| <b>Suffixes</b> | <b>Countries/Pays</b>                            | <b>Suffixes</b> | <b>Countries/Pays</b>                                   |
|-----------------|--|-----------------|---|
| <b>ARG</b>      | Argentina – <i>Argentine</i>                     | <b>LTU</b>      | Lithuania - <i>Lituanie</i>                             |
| <b>AUS</b>      | Australia – <i>Australie</i>                     | <b>LUX</b>      | Luxemburg – <i>Luxembourg</i>                           |
| <b>AUT</b>      | Austria – <i>Autriche</i>                        | <b>MAL</b>      | Malaysia – <i>Malaisie</i>                              |
| <b>AZE</b>      | Azerbaijan - <i>Azerbaïdjan</i>                  | <b>MDA</b>      | Moldavia - <i>Moldavie</i>                              |
| <b>BAR</b>      | Barbados – <i>La Barbade</i>                     | <b>MEX</b>      | Mexico - <i>Mexique</i>                                 |
| <b>BEL</b>      | Belgium – <i>Belgique</i>                        | <b>MOR</b>      | Morocco - <i>Maroc</i>                                  |
| <b>BHR</b>      | Bahrain – <i>Bahrein</i>                         | <b>NOR</b>      | Norway - <i>Norvège</i>                                 |
| <b>BIH</b>      | Bosnia & Herzegovina – <i>Bosnie-Herzégovine</i> | <b>NZ</b>       | New Zealand - <i>Nouvelle Zélande</i>                   |
| <b>BRZ</b>      | Brazil – <i>Brésil</i>                           | <b>OM</b>       | Sultanate of Oman – <i>Sultanat d’Oman</i>              |
| <b>BUL</b>      | Bulgaria – <i>Bulgarie</i>                       | <b>PAN</b>      | Panama  |
| <b>CAN</b>      | Canada   | <b>PER</b>      | Peru – <i>Pérou</i>                                     |
| <b>CHI</b>      | Chile – <i>Chili</i>                             | <b>PHI</b>      | Philippines   |
| <b>CHN</b>      | China – <i>Chine</i>                             | <b>POL</b>      | Poland – <i>Pologne</i>                                 |
| <b>COL</b>      | Colombia - <i>Colombie</i>                       | <b>POR</b>      | Portugal  |
| <b>CRI</b>      | Costa Rica                                       | <b>PR</b>       | Puerto Rico – <i>Porto Rico</i>                         |
| <b>CRO</b>      | Croatia – <i>Croatie</i>                         | <b>PRY</b>      | Paraguay  |
| <b>CYP</b>      | Cyprus – <i>Chypre</i>                           | <b>QA</b>       | Qatar   |
| <b>CZE</b>      | Czech Republic – <i>République Tchèque</i>       | <b>RHO</b>      | Rhodesia  |
| <b>DEN</b>      | Denmark – <i>Danemark</i>                        | <b>RUM</b>      | Romania – <i>Roumanie</i>                               |
| <b>DOM</b>      | Dominican Republic – <i>Rép. Dominicaine</i>     | <b>RU</b>       | Russia – <i>Russie (up to and including 1921)</i>       |
| <b>DZ</b>       | Algeria – <i>Algérie</i>                         | <b>RUS</b>      | Russia – <i>Russie (from 1992)</i>                      |
| <b>ECU</b>      | Ecuador – <i>Equateur</i>                        | <b>SAF</b>      | South Africa – <i>Afrique du Sud</i>                    |
| <b>FIN</b>      | Finland – <i>Finlande</i>                        | <b>SLO</b>      | Slovak Republic ( <i>to 2006</i> )                      |
| <b>FR</b>       | France   | <b>SPA</b>      | Spain – <i>Espagne</i>                                  |
| <b>GB</b>       | Great Britain - <i>Grande Bretagne</i>           | <b>SRB</b>      | Serbia – <i>Serbie</i>                                  |
| <b>GDR</b>      | East Germany – <i>RDA</i>                        | <b>SRH</b>      | Rhodesia – <i>Rhodesie</i>                              |
| <b>GEO</b>      | Georgia- <i>Géorgie</i>                          | <b>SVK</b>      | Slovakia – <i>Slovaquie</i>                             |
| <b>GER</b>      | Germany – <i>Allemagne</i>                       | <b>SVN</b>      | Slovenia – <i>Slovenie</i>                              |
| <b>GR</b>       | Greece – <i>Grèce</i>                            | <b>SU</b>       | Soviet Union ( <i>1922 to 1991</i> )                    |
| <b>GTM</b>      | Guatemala  | <b>SWE</b>      | Sweden – <i>Suede</i>                                   |
| <b>HOL</b>      | The Netherlands - <i>Pays Bas</i>                | <b>SWI</b>      | Switzerland – <i>Suisse</i>                             |
| <b>HUN</b>      | Hungary – <i>Hongrie</i>                         | <b>SY</b>       | Syria - <i>Syrie</i>                                    |
| <b>IND</b>      | India – <i>Inde</i>                              | <b>THA</b>      | Thailand – <i>Thaïlande</i>                             |
| <b>IRE</b>      | Ireland – <i>Irlande</i>                         | <b>TRI</b>      | Trinidad & Tobago                                       |
| <b>ISR</b>      | Israel   | <b>TUN</b>      | Tunisia – <i>Tunisie</i>                                |
| <b>ITY</b>      | Italy – <i>Italie</i>                            | <b>TUR</b>      | Turkey – <i>Turquie</i>                                 |
| <b>JAM</b>      | Jamaica – <i>Jamaïque</i>                        | <b>UAE</b>      | United Arab Emirates - <i>Emirats Arabes Unis</i>       |
| <b>JPN</b>      | Japan – <i>Japon</i>                             | <b>UKR</b>      | Ukraine   |
| <b>KAZ</b>      | Kazakhstan                                       | <b>URU</b>      | Uruguay   |
| <b>KEN</b>      | Kenya  | <b>USA</b>      | United States of America - <i>Etats Unis d’Amérique</i> |
| <b>KOR</b>      | Korea – <i>Corée</i>                             | <b>UZB</b>      | Uzbekistan - <i>Ouzbékistan</i>                         |
| <b>KSA</b>      | Saudi Arabia - <i>Arabie Saoudite</i>            | <b>VEN</b>      | Venezuela   |
| <b>LEB</b>      | Lebanon – <i>Liban</i>                           | <b>YUG</b>      | Yugoslavia – <i>Yougoslavie</i>                         |
|                 |  | <b>ZIM</b>      | Zimbabwe  |

## Article 5 (RACING) - HORSE PERFORMANCE RECORDS

Each Racing Authority must apply rules and procedures which seek to ensure that comprehensive and up-to-date records of the performances of horses in training in its country are maintained. These will include any performances for such horses prior to importation into the country, and where such horses travel abroad to race before returning home. The record of performances must include all the information laid down in **Appendix 3**. Where the name of a horse has been the subject of a change or changes, the records must indicate under which name the horse raced in each of its races.

More specifically, Racing Authorities should make provision within their Rules to seek to ensure that they are in possession of the following information:

- for any horse which is (i) entered for a race in the country concerned, but which is trained in another country or (ii) imported into the country for the purpose of racing: full performance records (histories).
- for any horse which is trained in the country concerned, but which leaves the country to race abroad before returning home: a record of the performance(s) when abroad.

Racing Authorities may, within their Rules, place responsibility on their owners, trainers or other relevant parties for the submission of the above information and for its accuracy. They may also attach requirements as to the necessary timing of receipt of such information.

Racing Authorities will make such information as is held by them available to each other, either by granting on-line access to the information or by providing such information on request.

As part of good racing management, a Staging Authority must also immediately inform the Home Authority, and make public any subsequent (i.e. post-raceday) demotion or promotion of a horse trained abroad (for example, as a result of a finding of a prohibited substance).

**Last update : NOVEMBER 2015**

|             |                   |  |               |                          |
|-------------|-------------------|--|---------------|--------------------------|
| Agreed by : | AUSTRALIA         | GERMANY  | MACAU         | SAUDI ARABIA             |
|             | AUSTRIA           | GREAT BRITAIN  | MALAYSIA      | SERBIA                   |
|             | <b>AZERBAIJAN</b> | GREECE   | MAURITIUS     | SINGAPORE                |
|             | BAHRAIN           | HONG KONG  | MEXICO        | SLOVAKIA                 |
|             | BELGIUM           | HUNGARY ( <i>provide data manually on the spot</i> ) | MOROCCO       | SLOVENIA                 |
|             | BRAZIL            | INDIA  | NETHERLANDS   | SWEDEN                   |
|             | CANADA            | IRELAND  | NEW ZELAND    | SWITZERLAND              |
|             | CHILE             | <b>ISRAEL</b>  | NORWAY        | TURKEY                   |
|             | CROATIA           | ITALY  | OMAN          | UKRAINE                  |
|             | CYPRUS            | JAPAN  | <b>PANAMA</b> | UNITED ARAB EMIRATES     |
|             | CZECH REPUBLIC    | <b>KOREA</b>   | POLAND        | UNITED STATES OF AMERICA |
|             | DENMARK           | LEBANON  | QATAR         | VENEZUELA                |
|             | FRANCE            |  |               |                          |

\*

**APPENDIX 3**

Issued by (Home Authority) : .....

*RACING PERFORMANCES OF* : .....

*Year of foaling* : ..... *Sex* : ..... *Coat* : ..... *Country of birth* : .....

*By (Sire name)* : ..... *Out of (Mare name)* : .....

| Date | Race-course | Race name | Distance | * Race value | Group/Grade 1, 2 or 3 or Listed | F = flat<br>H =hurdle<br>S=St.Chase | H=Handicap<br>W = Weight for age | Result<br>1 <sup>st</sup> , 4 <sup>th</sup> ,<br>17 <sup>th</sup> , Fell,<br>etc. | * Money won by above horse |        | Weight carried | Any other info |
|------|-------------|-----------|----------|--------------|---------------------------------|-------------------------------------|----------------------------------|---|----------------------------|--------|----------------|----------------|
|      |             |           |          |              |                                 |                                     |                                  |   | Winner                     | Placed |                |                |
|      |             |           |          |              |                                 |                                     |                                  |   |                            |        |                |                |

Issued in : ..... on .....

*\* This does not include any Owners' Premiums or Breeders' Prizes*

## Article 6 (RACING) - BIOLOGICAL INTEGRITY OF THE HORSE

### ETHICAL CONSIDERATIONS

Race horses are prohibited from racing with any prohibited substance in their bodies.

Modification of the heritable genome of a Thoroughbred at any time of its life will disqualify such a horse being considered any longer as a Thoroughbred in racing or competition activities.

No race horse used for racing may be subjected to the prohibited practices specified in this article. Sick or injured race horses must be treated and/or rested as appropriate for their condition before returning to full training.

### GENERAL PROVISIONS

All therapies for a horse involved in racing or race training (including rest periods) should be based upon a specific diagnosis, administered in the context of a valid and transparent owner-trainer-veterinarian relationship, and given in the interests of the horse's health and welfare. Following any therapy given to a race horse, a sufficient period should elapse prior to racing such that the therapy (i) is not capable of giving the horse an advantage or causing it to be disadvantaged contrary to the horse's inherent merits or (ii) is detrimental to its welfare.

No therapies should be administered on the day of the race to a horse without the authorization of the Horseracing Authority.

## Article 6A - PROHIBITED SUBSTANCES

### OBJECTIVE

1. The objective is to protect the integrity of horseracing and the welfare of the horse through controlling the use of substances capable of giving a horse an advantage or causing it to be disadvantaged in a race, contrary to the horse's inherent merits.

### SAMPLING

2. To establish whether a prohibited substance is present, samples shall be taken from horses declared to race. Horseracing Authorities may also take samples at any time, according to their own rules. Sample means a sample from any part or in contact with any part of the horse.
3. A sample collected under a secure chain of custody shall be split, where practicable, into an A sample and a B sample. If the A sample is reported to contain prohibited substances, the B sample may be analysed for those substances, either automatically or optionally at the trainer's, owner's, or Horseracing Authority's request.
4. If a prohibited substance is identified in an official sample taken from a horse which is entered or has run in a race within one jurisdiction but which is trained in another, the Horseracing Authority where the horse is trained is to be informed and shall provide assistance when requested.

### SANCTIONS

5.
  - (a) A horse shall be disqualified whenever the analysis of an official sample taken on race day demonstrates a positive finding for a prohibited substance as defined by the relevant Rules of Racing. The trainer of the horse shall be penalized except when he has discharged his responsibilities as described hereunder beyond reproach.
  - (b) In case of the demonstration of the presence of a substance as defined in Article 6 E – Point 4, a horse shall as well be ineligible to race until a minimum of six months has elapsed after the positive finding and can only then be entered in race after an official negative doping test.
6. Where a sample taken from a horse at any other time contains a prohibited substance, Horseracing Authorities may, according to their own rules, impose sanctions on the horse, trainer, owner, or other licensed persons.

## THE TRAINER'S RESPONSIBILITIES

7. The trainer shall always be responsible for:
- feeding, management, protection and security of the horses in his care
  - taking all reasonable precautions with the horses in his care to avoid their exposure to prohibited substances contrary to the relevant rules of the Horseracing Authority
  - keeping informed of the possible consequences of treatment given to his horses
  - keeping appropriate records of all veterinary procedures and medication treatments.

## RACEDAY REGULATIONS

8. With the exception of veterinarians authorized by the Stewards or Horseracing Authority, nobody shall bring into the stables of a racecourse on a raceday either a prohibited substance or any means of administering such a substance.
9. After a horse has raced and before it is discharged from any requirements for post-race sampling, no treatment with prohibited substances shall be allowed without official permission.

## PROHIBITED SUBSTANCES

10. The following are prohibited substances:
- Substances capable at any time of causing an action or effect, or both an action and effect, within one or more of the following mammalian body systems:
    - the nervous system
    - the cardiovascular system
    - the respiratory system
    - the digestive system
    - the urinary system
    - the reproductive system
    - the musculoskeletal system
    - the blood system
    - the immune system except for licensed vaccines against infectious agents
    - the endocrine system.
  - Endocrine secretions and their synthetic counterparts
  - Masking agents
  - Oxygen carriers
  - Agents that directly or indirectly affect or manipulate gene expression
11. A finding of a prohibited substance means a finding of the substance itself, a metabolite of the substance, an isomer of the substance, an isomer of a metabolite, or a pro-drug of the substance. The finding of any scientific indicator of administration or other exposure to a prohibited substance is also equivalent to the finding of the substance.
12. With the objective of helping trainers and their veterinary advisers, Horseracing Authorities may include in their own rules examples of prohibited and non-prohibited substances.
13. With the objective of providing guidance to horseracing tribunals, Horseracing Authorities may produce a classification of prohibited substances.

## THRESHOLDS

14. International thresholds can only be adopted for:
- substances endogenous to the horse
  - substances arising from plants traditionally grazed or harvested as equine feed
15. Thresholds shall be recommended by the Federation's Advisory Council on Equine Prohibited Substances and Practices, after consultation with the Association of Official Racing Chemists and the International Group of Specialist Racing Veterinarians, and approved by the Executive Council of IFHA.
16. Prohibited substances below the following thresholds are not actionable:

| Threshold name                                 | Threshold   |
|--|---|
| Arsenic  | <ul style="list-style-type: none"> <li>0.3 microgram total arsenic per millilitre in urine</li> </ul>   |
| Boldenone                                      | <ul style="list-style-type: none"> <li>0.015 microgram free and conjugated boldenone per millilitre in urine from male horses (other than geldings)</li> </ul>  |
| Carbon dioxide                                 | <ul style="list-style-type: none"> <li>36 millimoles available carbon dioxide per litre in plasma</li> </ul>  |
| Cobalt*  | <ul style="list-style-type: none"> <li>0.1 microgram total cobalt per millilitre in urine</li> <li>0.025 microgram total cobalt (free and protein bound) per millilitre in plasma</li> </ul> <p>*Racing Authorities should provide an advisory regarding the use of cobalt containing supplements</p>   |
| Dimethyl sulphoxide                            | <ul style="list-style-type: none"> <li>15 micrograms dimethyl sulphoxide per millilitre in urine, or</li> <li>1 microgram dimethyl sulphoxide per millilitre in plasma</li> </ul>   |
| Estradiol in male horses (other than geldings) | <ul style="list-style-type: none"> <li>0.045 microgram free and glucuroconjugated 5<math>\alpha</math>-estrane-3<math>\beta</math>, 17<math>\alpha</math>-diol per millilitre in urine when, at the screening stage, the free and glucuroconjugated 5<math>\alpha</math>-estrane-3<math>\beta</math>, 17<math>\alpha</math>-diol exceeds the free and glucuroconjugated 5,10 estrane-3<math>\beta</math>,17<math>\alpha</math>-diol in the urine</li> </ul> |
| Hydrocortisone                                 | <ul style="list-style-type: none"> <li>1 microgram hydrocortisone per millilitre in urine</li> </ul>  |
| Methoxytyramine                                | <ul style="list-style-type: none"> <li>4 micrograms free and conjugated 3-methoxytyramine per millilitre in urine</li> </ul>  |
| Salicylic acid                                 | <ul style="list-style-type: none"> <li>750 micrograms salicylic acid per millilitre in urine, or</li> <li>6.5 micrograms salicylic acid per millilitre in plasma</li> </ul>   |
| Testosterone                                   | <ul style="list-style-type: none"> <li>0.02 microgram free and conjugated testosterone per millilitre in urine from geldings, or</li> <li>100 picograms free testosterone per millilitre in plasma from geldings, or</li> <li>0.055 microgram free and conjugated testosterone per millilitre in urine from fillies and mares (unless in foal)</li> </ul>   |

*N.B.: The conjugated substance is the substance that can be liberated from conjugates.*

*Each threshold, including those for the same substance in urine and plasma, can be applied independently.*

17. For any finding of a prohibited substance, the Horseracing Authority may decide either itself or at the owner's or trainer's request to examine the horse further.

#### LABORATORY SERVICE

18. The aim of signatory countries is that their laboratories should:

- be accredited according to ISO/IEC 17025, *General requirements for the competence of testing and calibration laboratories*, and to the supplementary document ILAC-G7, *Accreditation requirements and operating criteria for horseracing laboratories*;
- conform with the Guide for establishing the presence of prohibited substances (Part B of ILAC-G7);
- meet the *Performance specification of the International Federation of Horseracing Authorities* (<http://www.ifhaonline.org/Default.asp?section=IABRW&area=7>);
- take part in interlaboratory comparisons (clause 5.9(b) of ISO/IEC 17025 : 2005);
- control the detection of legitimate therapeutic substances through the application of internationally harmonised screening limits which have been recommended by the IFHA's Advisory Council on Equine Prohibited Substances and Practices and selectively adopted by the relevant signatory countries (<http://www.ifhaonline.org/default.asp?section=IABRW&area=1>);
- control the detection of certain environmental substances through the application of internationally harmonised residue limits which have been recommended by the IFHA's Advisory Council on Equine Prohibited Substances and Practices and selectively adopted by the relevant signatory countries ([http://www.ifhaonline.org/resources/Feed\\_Contaminants\\_Environmental\\_Substances\\_Guidelines.pdf](http://www.ifhaonline.org/resources/Feed_Contaminants_Environmental_Substances_Guidelines.pdf)).

9. With the objective of preventing infringements due to therapeutic substances, Horseracing Authorities may at their discretion:

- make available detection times
- give forewarning of new or modified tests

- provide an analytical service to establish whether a sample from a horse entered to race contains specified substances.

**APPENDIX 4 – withdrawn from IABRW – Available on IFHA Website (link in Art. 6 A § 18 5<sup>th</sup> bullet point)**

|             |  |                          |                            |                          |
|-------------|--|--------------------------|----------------------------|--------------------------|
| Agreed by : | ARGENTINA (except § 10)  | FRANCE                   | MACAU                      | SINGAPORE                |
|             | AUSTRALIA  | GERMANY                  | MALAYSIA                   | SLOVAKIA                 |
|             | AUSTRIA  | GREAT BRITAIN            | MAURITIUS                  | SLOVENIA                 |
|             | <b>AZERBAIJAN</b>  | GREECE                   | MONGOLIA                   | SOUTH AFRICA             |
|             | BELGIUM  | HONG KONG                | MOROCCO                    | SPAIN                    |
|             | BRAZIL   | HUNGARY                  | NETHERLANDS                | SWEDEN                   |
|             | CANADA (except § 5, 10, 16, 18 5 <sup>th</sup> & 6 <sup>th</sup> alinea) | INDIA                    | NEW ZEALAND                | SWITZERLAND              |
|             | CHILE (except § 10)  | IRELAND                  | NORWAY                     | TUNISIA                  |
|             | CHINA  | <b>ISRAEL</b>            | <b>PANAMA</b>              | TURKEY                   |
|             | CROATIA  | ITALY                    | POLAND                     | UNITED ARAB EMIRATES     |
|             | CYPRUS   | JAPAN (except § 16)      | QATAR                      | UNITED STATES OF AMERICA |
|             | CZECH REPUBLIC   | KOREA (except § 14 & 18) | SAUDI ARABIA (except § 10) | (except § 5, 10, 16, 18) |
|             | DENMARK  | LEBANON                  | SERBIA                     | URUGUAY                  |
|             |  | LITHUANIA                |                            |                          |

\*

**Article 6B – GENETIC AND CELLULAR MANIPULATIONS**

CONTROL AND RECORDING OF GENETIC THERAPIES

Modification of the heritable genome of a Thoroughbred at any time of its life will disqualify such a horse from being considered any longer as a Thoroughbred in racing, or competition activities.

Any gene therapy or cellular manipulation in a horse intended to race must not be capable of:

- giving the horse an advantage or disadvantage in a race contrary to the horse's inherent merits
- being detrimental to the horse's welfare.

The Horseracing Authority may, at its discretion, allow or disallow racing by horses or their offspring after such therapy. Any gene therapy for a horse intended to race must be fully documented in the horse's passport or in such manner as required by the Horseracing Authority and shall be reported immediately to the Horseracing Authority.

|             |                   |               |               |                          |
|-------------|-------------------|---------------|---------------|--------------------------|
| Agreed by : | ARGENTINA         | DENMARK       | LITHUANIA     | SERBIA                   |
|             | AUSTRALIA         | FRANCE        | MACAU         | SINGAPORE                |
|             | AUSTRIA           | GERMANY       | MALAYSIA      | SLOVAKIA                 |
|             | <b>AZERBAIJAN</b> | GREAT BRITAIN | MAURITIUS     | SLOVENIA                 |
|             | BELGIUM           | GREECE        | MONGOLIA      | SOUTH AFRICA             |
|             | BRAZIL            | HONG KONG     | MOROCCO       | SPAIN                    |
|             | CANADA            | HUNGARY       | NETHERLANDS   | SWEDEN                   |
|             | CHILE             | INDIA         | NEW ZEALAND   | SWITZERLAND              |
|             | CHINA             | IRELAND       | NORWAY        | TUNISIA                  |
|             | CROATIA           | <b>ISRAEL</b> | <b>PANAMA</b> | TURKEY                   |
|             | CYPRUS            | ITALY         | POLAND        | UNITED ARAB EMIRATES     |
|             | CZECH REPUBLIC    | JAPAN         | QATAR         | UNITED STATES OF AMERICA |
|             |                   | KOREA         | SAUDI ARABIA  | URUGUAY                  |
|             |                   | LEBANON       |               |                          |

\*

## Article 6C - PROHIBITED PRACTICES

Practices that jeopardize the health and welfare of the horse, the welfare of the rider, and other participants as well as the integrity of horseracing are inappropriate and prohibited. The responsibility for enforcing the regulation of any such practice lies with the Horseracing Authority.

### 1) PRACTICES THAT HAVE NO PLACE IN THE TREATMENT OR MANAGEMENT OF A HORSE INTENDED TO RACE

- The use of any unapproved object, device, behavioural activity, or chemical to achieve an inappropriate response, at any time during training or racing.
- Subjecting horses to medical or surgical procedures outside of a valid and transparent owner-trainer-veterinarian relationship and those inconsistent with providing medical and/or welfare benefits to the horse.
- Use of physical or veterinary procedures or medication treatments to mask the effects or signs of injury so as to allow training or racing to the detriment of the horse's health and welfare.
- Practices that are fraudulent, potentially fraudulent or may have adverse consequences for the integrity of the industry.

### 2) SPECIFIED PROHIBITED PRACTICES

Prohibited practices include but are not limited to:

- Racing a pregnant mare beyond the time set by the Horseracing Authority.
- Withholding of water pre-race to the detriment of the health, welfare or safety of the horse.
- The use of extracorporeal shock wave therapy in a manner that may desensitize any limb structures during racing or training.
- Withdrawal, manipulation and re-infusion of homologous, heterologous, or autologous, blood products or blood cells into the circulatory system with the exception of those performed for life-saving purposes or the use of veterinary regenerative therapies for the treatment of musculoskeletal injury or disease.

### 3) THE TRAINER'S RESPONSIBILITIES REGARDING PROHIBITED PRACTICES

The trainer shall always be responsible for:

- the management, protection and security of the horses in his care
- the avoidance of prohibited practices
- keeping informed of the possible consequences of therapies given to his horses
- keeping appropriate records of all veterinary procedures and medication treatments.

### 4) THE OWNER'S AND TRAINER'S RESPONSIBILITIES REGARDING PROHIBITED PRACTICES

At any time the owner, and if in training also the trainer, is responsible for compliance with the provisions of this Article and in particular requirements for record keeping and notification to the Horseracing Authority.

#### **Last update of Article 6C : JANUARY 2016**

|             |                |               |             |                          |
|-------------|----------------|---------------|-------------|--------------------------|
| Agreed by : | AUSTRALIA      | DENMARK       | KOREA       | QATAR                    |
|             | AUSTRIA        | FRANCE        | LEBANON     | SAUDI ARABIA             |
|             | AZERBAIJAN     | GERMANY       | MACAU       | SERBIA                   |
|             | BAHRAIN        | GREAT BRITAIN | MALAYSIA    | SINGAPORE                |
|             | BELGIUM        | GREECE        | MAURITIUS   | SLOVAKIA                 |
|             | BRAZIL         | HONG KONG     | MEXICO      | SLOVENIA                 |
|             | CANADA         | HUNGARY       | MOROCCO     | SWEDEN                   |
|             | CHILE          | INDIA         | NETHERLANDS | SWITZERLAND              |
|             | CHINA          | IRELAND       | NEW ZEALAND | TURKEY                   |
|             | CROATIA        | ISRAEL        | NORWAY      | UNITED ARAB EMIRATES     |
|             | CYPRUS         | ITALY         | OMAN        | UNITED STATES OF AMERICA |
|             | CZECH REPUBLIC | JAPAN         | PANAMA      | VENEZUELA                |
|             |                |               | POLAND      |                          |

\*

**CODE OF MEDICATION PRACTICE FOR HORSES IN TRAINING**

**Definition of Treatment**

For the purpose of this Article, the term treatment includes:

- (a) The administration of any substance (including any medication) to a horse and;
- (b) The administration or application of any physical procedure or therapy to a horse intended to have an effect.

**Guiding Principles**

The following guiding principles apply to the treatment of horses in training:

- (a) All treatments are the responsibility of the trainer and must be administered under veterinary supervision.
- (b) Every treatment must be administered in the best health and welfare interests of the horse.

**Accordingly:**

- (a) The trainer must obtain veterinary advice from the attending veterinarian on the management, treatment and appropriate level of training for a sick or injured horse.
- (b) Treatment of a horse by the administration of a substance or a medication containing a prohibited substance may only be performed on the advice of a veterinarian with appropriate knowledge of the condition, health status and management of the individual horse. In the case of substances controlled by government regulation, these may only be administered by, or on the prescription of, a veterinarian.
- (c) The trainer is responsible for creating and maintaining full and accurate records of all treatments given to a horse, including all veterinary procedures performed and all medications administered. These records must be kept for a minimum of 12 months and be readily available for inspection by regulatory officials when requested.
- (d) With the exception of normal feed and water by mouth, no substance shall be administered to any horse on race day before the race in which it is entered, unless such treatment is authorized by the Horseracing Authority. This includes any substance administered by injection, into the mouth, by inhalation, topically or by any other method of administration.
- (e) The trainer must comply with mandatory horse rest periods for specific drugs or treatments, as enforced by the Horseracing Authority.
- (f) Horses that are unable to be trained due to injury or illness must be taken out of training and given appropriate veterinary treatment and/or rest. All treatments must be administered in the best interests of the horse and not to facilitate the continuation of training.

**Last update of Article 6D : NOVEMBER 2015**

|             |                |                           |             |                          |
|-------------|----------------|---------------------------|-------------|--------------------------|
| Agreed by : | AUSTRALIA      | GREAT BRITAIN (except ... | MACAU       | QATAR                    |
|             | AUSTRIA        | Accordingly : §(c))       | MALAYSIA    | SAUDI ARABIA             |
|             | BAHRAIN        | GREECE                    | MAURITIUS   | SERBIA                   |
|             | BELGIUM        | HONG KONG                 | MEXICO      | SINGAPORE                |
|             | CHILE          | HUNGARY                   | MOROCCO     | SLOVAKIA                 |
|             | CROATIA        | INDIA                     | NETHERLANDS | SLOVENIA                 |
|             | CYPRUS         | IRELAND                   | NEW ZEALAND | SWEDEN                   |
|             | CZECH REPUBLIC | ISRAEL                    | NORWAY      | SWITZERLAND              |
|             | DENMARK        | JAPAN                     | OMAN        | TURKEY                   |
|             | FRANCE         | KOREA                     | PANAMA      | UNITED ARAB EMIRATES     |
|             | GERMANY        | LEBANON                   | POLAND      | UNITED STATES OF AMERICA |
|             |                |                           |             | VENEZUELA                |

\*

## Article 6E – OUT-OF-COMPETITION TESTING

To ensure fair competition, transparency, welfare and sound breeding, Racing Authorities will at their discretion carry out testing for prohibited substances at any time in the career of any horse, from the commencement of training, according to local racing rules, to final retirement from training.

To this effect:

1. Trainers must notify their domestic racing jurisdiction of the identification of horses in training with them and specify where relevant the exact location of such horses.
2. When a racehorse is out of training at any time in its career from the commencement of training to final retirement from racing, the owner(s) must readily be able to inform the domestic Racing Authority of the exact location of the horse.
3. If full traceability of any racehorse, whether in training or out of training, cannot be established at any time in its racing career, such horse will only be permitted to be entered in a race after a period of six (6) months in training with a duly licensed trainer.
4. The following prohibited substances, including other substances with a similar chemical structure or similar biological effect(s), are not to be administered to racehorses at any time in their career:-

### *4.1 Non-approved substances*

Any substance not addressed by any of the subsequent classes of substances, and which has no current approval by any government regulatory authority for veterinary use, or any substance not universally recognised by veterinary regulatory authorities as valid veterinary therapeutic treatment.

### *4.2 Anabolic agents*

- (a) anabolic androgenic steroids,
- (b) other anabolic agents, including but not limited to selective androgen receptor modulators (SARMs),
- (c) beta-2 agonists, unless the substance is prescribed by a veterinarian as a bronchodilator at the appropriate dose,

### *4.3 Peptide hormones, growth factors and related substances*

- (a) erythropoiesis-stimulating agents, including but not limited to erythropoietin (EPO), epoetin alfa, epoetin beta, darbepoetin alfa, and methoxy polyethylene glycol-epoetin beta, peginesatide, hypoxia inducible factor (HIF) stabilisers and HIF activators.
- (b) growth hormones and growth hormone releasing factors, insulin-like growth factor-1 (IGF-1), and other growth factors,
- (c) synthetic proteins and peptides and synthetic analogues of endogenous proteins and peptides not registered for medical or veterinary use,

### *4.4 Hormones and metabolic modulators*

- (a) aromatase inhibitors,
- (b) selective estrogen receptor modulators (SERMS) and other anti-estrogenic substances,
- (c) agents modifying myostatin function, including but not limited to myostatin inhibitors,
- (d) insulins
- (e) peroxisome proliferator activated receptor  $\delta$  (PPAR $\delta$ ) agonists, including but not limited to GW 1516,
- (f) AMPK activators, including but not limited to AICAR (5-aminoimidazole-4-carboxamide-1- $\beta$ -D-ribofuranoside).

5. Therapeutic use of substances specified in point 4 above may only be exceptionally applied in the following circumstances:
- a) When the Racing Authority has decided to offer the facility for such exceptional use for therapeutic purposes and where no other reasonable therapeutic alternative exists.
  - b) The specified prohibited substance being exceptionally used therapeutically must be prescribed by a veterinarian for the sole purpose of treating an existing illness or injury, and the details of the diagnosis, substance and administration protocol must be recorded and supplied by the trainer to the Racing Authority. If the horse is not under the direct control of a trainer at any time in its career from the commencement of training to final retirement from racing, the owner is responsible for this notification to the Racing Authority. This system must be supervised by the Racing Authority's veterinarian(s).
  - c) A horse shall be ineligible to race until a minimum of six (6) months has elapsed after the administration of any of the substances specified in point four (4) above, and the Racing Authority must test to ensure that a horse treated therapeutically with any of these substances is free from the presence of such substances before racing.
  - d) A Racing Authority must record, within the details it holds of the horse in question, information which it has received on the administration to that horse of such substances under exceptional use for therapeutic purposes. This information must be included when providing details on the horse to a Horseracing Authority or Stud Book Authority in any country to which the horse travels (including within Racing Clearance Notifications), including in the case of permanent export of the horse.
  - e) The number of exceptional uses for therapeutic purposes and the details of the substances involved shall be notified to and reviewed by the International Federation annually.

**Last update of Article 6E : NOVEMBER 2015**

|   |  |   |   |
|---|--|---|---|
| <p>Agreed by :</p> <p>AUSTRALIA<br/>AUSTRIA<br/>BAHRAIN<br/>BELGIUM<br/>CANADA (<i>partially agreed</i>)<br/>CHILE<br/>CROATIA<br/>CYPRUS<br/>CZECH REPUBLIC<br/>DENMARK<br/>FRANCE</p> | <p>GERMANY<br/>GREAT BRITAIN<br/>GREECE<br/>HONG KONG<br/>HUNGARY<br/>INDIA<br/>IRELAND<br/><b>ISRAEL</b><br/>JAPAN<br/><b>KOREA</b><br/>LEBANON<br/>MACAU</p> | <p>MALAYSIA<br/>MAURITIUS<br/>MEXICO<br/>MOROCCO<br/>NETHERLANDS<br/>NEW ZEALAND<br/>NORWAY<br/>OMAN<br/>PANAMA (reply<br/>expected)<br/>QATAR<br/>SAUDI ARABIA</p> | <p>SERBIA<br/>SINGAPORE<br/>SLOVAKIA<br/>SLOVENIA<br/>SWEDEN<br/>SWITZERLAND<br/>TURKEY<br/>UNITED ARAB EMIRATES<br/>UNITED STATES OF AMERICA<br/>(<i>except § 2.3</i>)<br/>VENEZUELA</p> |
|---|--|---|---|

\* \* \*

## Article 7 (RACING) – SHOETING OF RACEHORSES.

1. Racing Authorities should ensure that, within their Rules, it is made explicit that they have the power to prevent the use in races of shoes which may be considered dangerous and liable to cause injury.
2. Racing Authorities are encouraged to publish clear illustrations in support of such Rules, in order that practitioners, both domestic and foreign, fully understand the terms used and the features of the shoes which are either allowed or disallowed. An example of such illustrations can be found at: <http://www.racingvictoria.net.au/asset/cms/Stewards%20Notifications%20PDF/135971%20RVL%20Gear%20Register%20Book%2010.pdf>
3. Racing Authorities may wish to establish rules to prevent the elective running of horses unshod or partially shod. Where horses are allowed to race other than fully shod, it is recommended that a requirement be introduced for this to be subject to declaration and inclusion within pre-race information.
4. Racing Authorities should establish procedures whereby shoes are regularly checked, prior to racing.

### Last update : NOVEMBER 2015

|             |                |  |             |                          |
|-------------|----------------|--|-------------|--------------------------|
| Agreed by : | AUSTRALIA      | FRANCE   | KOREA       | QATAR                    |
|             | AUSTRIA        | GERMANY  | LEBANON     | SERBIA                   |
|             | AZERBAIJAN     | GREAT BRITAIN ( <i>except § 3</i> )                    | MACAU       | SINGAPORE                |
|             | BAHRAIN        | GREECE   | MALAYSIA    | SLOVAKIA                 |
|             | BELGIUM        | HONG KONG  | MAURITIUS   | SLOVENIA                 |
|             | BRAZIL         | HUNGARY  | MEXICO      | SWEDEN                   |
|             | CANADA         | INDIA  | NETHERLANDS | SWITZERLAND              |
|             | CHILE          | IRELAND ( <i>except § 3, 2<sup>nd</sup> sentence</i> ) | NEW ZEALAND | TURKEY                   |
|             | CROATIA        | ISRAEL   | NORWAY      | UNITED ARAB EMIRATES     |
|             | CYPRUS         | ITALY  | OMAN        | UNITED STATES OF AMERICA |
|             | CZECH REPUBLIC | JAPAN  | PANAMA      | VENEZUELA                |
|             | DENMARK        |  | POLAND      |                          |

## Article 8 (RACING) – WEIGHING OF RIDERS.

Riders should be weighed before and after a race in order to control that the horse carries the correct weight in accordance with the conditions of the race.

When weighing out or weighing in, the following pieces of equipment should be excluded from the weight :

- body protector
- skull cap
- cloth cap
- whip
- number cloth
- anything worn on horse's legs
- breastplate – breastgirth
- bridle
- horse's headgear
- martingale
- muzzle
- rings.

**Last update : NOVEMBER 2015**

Agreed by :

|  |               |  |   |
|--|---------------|--|---|
| AUSTRALIA                                | FRANCE        | LEBANON  | QATAR   |
| AUSTRIA                                  | GERMANY       | MACAU  | SERBIA  |
| AZERBAIJAN                               | GREAT BRITAIN | MALAYSIA ( <i>weighing out with breastplates</i> ) | SINGAPORE ( <i>weighing out with breastplates</i> ) |
| BAHRAIN                                  | GREECE        | MAURITIUS  | SLOVAKIA  |
| BELGIUM                                  | HONG KONG     | MEXICO   | SLOVENIA  |
| BRAZIL                                   | HUNGARY       | MOROCCO  | SWEDEN  |
| CANADA                                   | INDIA         | NETHERLANDS  | SWITZERLAND   |
| CHILE                                    | IRELAND       | NEW ZEALAND  | TURKEY  |
| CROATIA ( <i>except body protector</i> ) | <b>ISRAEL</b> | NORWAY   | UNITED ARAB EMIRATES                                |
| CYPRUS                                   | ITALY         | OMAN ( <i>except body protector</i> )              | UNITED STATES OF AMERICA                            |
| CZECH REPUBLIC                           | JAPAN         | <b>PANAMA</b>                                      | VENEZUELA   |
| DENMARK                                  | KOREA         | POLAND   |   |

## Article 9 A (RACING) - OWNERS COLOURS.

Racing Authorities may include within their Rules restrictions on the designs (patterns) which may be used on owners' colours. They may also include restrictions on the actual shades which may be used, and may define those shades, for example by reference to a proprietary colour matching system such as Pantone. An example of such restrictions is shown as **Appendix 5** (pages 38-39).

Every horse coming from abroad runs in the registered colours of its owner subject to the Rules of Racing of the Racing Authority of the country staging the race. Thus, owners and trainers racing abroad should be prepared for the possibility that they may be required to race in alternative colours if, for example, two or more sets of colours declared for the same race are considered unacceptably similar to each other or if there are particular cultural or commercial sensitivities in the staging country.

On request by another Racing Authority, Racing Authorities must in a timely way provide details of the colours registered to any owner who has a horse declared in that other country. These details should, if requested, include both a textual description of the colours and a graphical representation in electronic format. Racing Authorities may further assist in the process, either by proactively making this information available, (for example at the time of the horse's entry), or allowing inter-Authority on-line access to the information.

Agreed by :

|                |               |             |                          |
|----------------|---------------|-------------|--------------------------|
| ARGENTINA      | FRANCE        | MACAU       | SLOVENIA                 |
| AUSTRALIA      | GERMANY       | MAURITIUS   | SOUTH AFRICA             |
| AUSTRIA        | GREAT BRITAIN | MONGOLIA    | SPAIN                    |
| BAHRAIN        | GREECE        | MOROCCO     | SWEDEN                   |
| BELGIUM        | HONG KONG     | NETHERLANDS | SWITZERLAND              |
| BRAZIL         | HUNGARY       | NEW ZEALAND | TUNISIA                  |
| CANADA         | INDIA         | NORWAY      | TURKEY                   |
| CHILE          | IRELAND       | OMAN        | UKRAINE                  |
| CROATIA        | ISRAEL        | PANAMA      | UNITED ARAB EMIRATES     |
| CYPRUS         | ITALY         | PERU        | UNITED STATES OF AMERICA |
| CZECH REPUBLIC | KAZAKHSTAN    | POLAND      | URUGUAY                  |
| DENMARK        | LEBANON       | QATAR       | UZBEKISTAN               |
|                |               | SLOVAKIA    |                          |

## Article 9 B (RACING) - ADVERTISING AND SPONSORSHIP.

Any form of advertising/sponsorship carried by a rider, a horse or a horse's attendant during a race meeting should at all times comply with any restrictions imposed on advertising/sponsorship by the Horseracing Authority of the country where such race meeting is taking place.

*Agreed by :*

ARGENTINA  
AUSTRALIA  
AUSTRIA  
AZERBAIJAN  
BAHRAIN  
BELGIUM  
BRAZIL  
CANADA  
CHILE  
CROATIA  
CYPRUS  
CZECH REPUBLIC  
DENMARK  
FRANCE  
GERMANY  
GREAT-BRITAIN  
GREECE  
HONG KONG

HUNGARY  
INDIA  
IRELAND  
**ISRAEL**  
ITALY  
JAPAN  
KOREA  
LEBANON  
MACAU  
MALAYSIA  
MAURITIUS  
MONGOLIA  
MOROCCO  
NETHERLANDS  
NEW ZEALAND  
NORWAY  
OMAN  
**PANAMA**

POLAND  
QATAR  
SAUDI ARABIA  
SERBIA  
SINGAPORE  
SLOVAKIA  
SLOVENIA  
SOUTH AFRICA  
SPAIN  
SWEDEN  
SWITZERLAND  
TUNISIA  
TURKEY  
UKRAINE  
UNITED ARAB EMIRATES  
UNITED STATES OF AMERICA  
URUGUAY

APPENDIX 5

**JACKET**

|   |  |  |   |   |  |  |
|---|--|--|---|---|--|--|
| 1 Plain                                   | 2 Seams  | 3 Epaulets   | 4 Stripe<br><br>4" centre strip                                   | 5 Braces<br><br>2" vertical strip                           | 6 Stripes<br><br>Alternate 2" vertical stripes | 7 Hoop<br><br>4" hoop                    |
| 8 Hoops<br><br>Alternated 2 1/2"-3" hoops | 9 Halved<br><br>DELETED                        | 10 Quartered   | 11 Sash<br><br>DELETED  | 12 Cross Belts<br><br>4" diagonal stripe from each shoulder | 13 Chevron<br><br>One large "V"                | 14 Chevrons<br><br>Alternate 2" chevrons |
| 15 Checks<br><br>1 1/2" - 4" squares      | 16 Diamonds<br><br>4" - 5" vertical diamonds   | 17 Spots<br><br>Spots 2 1/2" in diameter   | 18 Stars<br><br>Stars 3" - 5" in diameter                         | 19 Cross of Lorraine<br><br>10" - 12" solid cross           | 20 Diamond<br><br>10" - 12" vertical diamond   | 21 Star<br><br>10" - 12" solid star      |
| 22 Disc<br><br>10" - 12" solid disc       | 23 Inverted Triangle<br><br>10" - 12" triangle | 24 Diabolo<br><br>Triangles of same size<br><small>First named colour to appear on chest (coloured black on diagram)</small> | 25 Large Spots<br><br>4"-5" spots from right shoulder to left hip | 26 Triple Diamond<br><br>6" vertical diamond                | 27 Hollow Box<br><br>10" box                   |  |

**SLEEVES**

|                                |                              |                             |                             |  |                                    |                            |
|--------------------------------|------------------------------|-----------------------------|-----------------------------|--|------------------------------------|----------------------------|
| 1 Plain                        | 2 Armlet<br><br>3"-4" armlet | 3 Hooped<br><br>3"-4" hoops | 4 Striped<br><br>2" stripes | 5 Chevrons<br><br>2" chevrons              | 6 Seams                            | 7 Stars<br><br>3"-5" stars |
| 8 Spots<br><br>2 1/2"-4" spots | 9 Reversed<br><br>DELETED    | 10 Halved                   | 11 Diabolo                  | 12 Diamonds<br><br>4"-6" vertical diamonds | 13 Checks<br><br>1 1/2"-4" squares |                            |

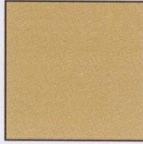
**BASIC COLOURS**

- 1 Beige
- 2 Black
- 3 Brown
- 4 Dark Blue
- 5 Dark Green
- 6 Emerald Green
- 7 Grey
- 8 Light Blue
- 9 Light Green
- 10 Maroon
- 11 Mauve
- 12 Orange
- 13 Pink
- 14 Purple
- 15 Red
- 16 Royal Blue
- 17 White
- 18 Yellow

**CAPS**

|         |          |           |          |         |             |        |           |         |             |
|---------|----------|-----------|----------|---------|-------------|--------|-----------|---------|-------------|
| 1 Plain | 2 Hooped | 3 Striped | 4 Checks | 5 Spots | 6 Quartered | 7 Star | 8 Diamond | 9 Stars | 10 Diamonds |
|         |          |           |          |         |             |        |           |         |             |

# COLOURS CHART



1. BEIGE  
Pantone No: 4525



2. BLACK  
Pantone No: 433



3. BROWN  
Pantone No: 469



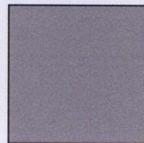
4. DARK BLUE  
Pantone No: 2767



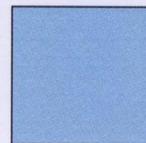
5. DARK GREEN  
Pantone No: 342



6. EMERALD GREEN  
Pantone No: 354



7. GREY  
Pantone No: 430



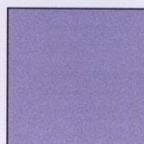
8. LIGHT BLUE  
Pantone No: 283



9. LIGHT GREEN  
Pantone No: 369



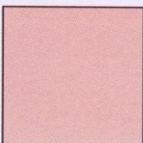
10. MAROON  
Pantone No: 201



11. MAUVE  
Pantone No: 2567



12. ORANGE  
Pantone No: 21



13. PINK  
Pantone No: 182



14. PURPLE  
Pantone No: 2607



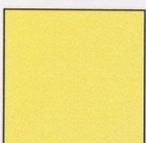
15. RED  
Pantone No: 485



16. ROYAL BLUE  
Pantone No: 293



17. WHITE



18. YELLOW  
Pantone No: 101

NOTE: Pantone numbers refer to the shade match of the colours. The colours of silks and wools selected should correspond to the relevant pantone number. This should be quoted when ordering racing colours from the manufacturer. Where colours produced on the racecourse do not comply with this range, fines may be imposed or owners may be asked to have the colours remade.

**ARTICLE 10 A (RACING) and Appendix 6 A - DELETED**

**ARTICLE 10 B (RACING) DELETED**

**ARTICLE 10 C (RACING) DELETED**

**ARTICLE 10 D (RACING) DELETED**

## **Article 10 (RACING) - DISQUALIFICATIONS AND SUSPENSIONS AND THEIR INTERNATIONAL APPLICATION**

### **1. General**

- 1.1 Racing Authorities may deny or limit future participation, of people and/or horses, in racing in their country. This may take the form of a disqualification or a suspension. In this context, suspension of a horse, (which may also be referred to by some Racing Authorities as 'disqualification' of the horse), refers to its prospective prevention from running in future races, as distinct from its retrospective disqualification from a specific past race or races.
- 1.2 When a horse is entered in a race abroad, its owner, trainer and rider will be deemed to have knowledge of the Rules of Racing applicable in that country and to have agreed to be bound by those Rules. Each Racing Authority should enshrine this principle within its Rules.
- 1.3 A Racing Authority may wish other Racing Authorities to uphold a disqualification or suspension which it has imposed upon a person or a horse. If so, an official request to this effect should be made. Upon receipt of such a request, a Racing Authority will apply the disqualification or suspension automatically, subject to Clause 5 below and to its domestic rules of racing and principles of procedural fairness.
- 1.4 Racing Authorities should include within their Rules a close approximation to the Model Rule in Appendix 6C.

### **2. Disqualification**

- 2.1 Disqualification of a person shall mean that, during the period of the disqualification, the person must not:
- (i) Act as a Steward or official at any recognised meeting.
  - (ii) Act as an Authorised Agent.
  - (iii) Enter, run, train or ride a horse in any race at any recognised meeting or any official trial, jump-out or test.
  - (iv) Enter any racecourse or training track owned, operated or controlled by a race club or any land used in connection therewith.
  - (v) Race or have trained any horse whether as full or part owner or lessee or otherwise.
  - (vi) Share in the winnings of any horse.

Racing Authorities may provide that disqualified persons may apply for permission to engage in conduct prohibited in any of the sub clauses above.

- 2.2 In addition, Racing Authorities may wish to specify other restrictions, for example, but not limited to, the following:
- (i) Be employed or engaged in any capacity in any racing stable.
  - (ii) Enter any stables or training establishment of any race club or licensed person.
  - (iii) Participate in any way in the preparation for racing or training of any racehorse.
  - (iv) Deal in any capacity with a racehorse, whether by selling or placing shares in the horse or otherwise.
  - (v) Associate in connection with horseracing with any licensed person.

- 2.3 Some disqualifications may apply indefinitely or for a defined period of time; others may potentially be lifted at any time - for example, upon payment of an outstanding debt.
- 2.4 Racing Authorities, when considering the possible future participation in racing in their country of a person or horse, may wish to be aware of any disqualifications in other countries to which that person/horse may be subject. Each Racing Authority will make available, to others, information on which people or horses are disqualified and, where applicable, the expiry date of such disqualification. This may be effected either through offering other Racing Authorities on-line access to such information or by responding to specific enquiries.
- 2.5 Where a Racing Authority reciprocates a disqualification, the restrictions applied to the disqualified person shall be consistent with the restrictions applied to other disqualified persons under its jurisdiction, not those applied to disqualified persons in the Staging Authority's jurisdiction (should that be different).

### **3. Suspension**

Suspensions limit the future participation of a person from specific activities (for example, riding in races) and for a defined period.

- 3.1 Unless the Racing Authority permits it, at the election of the suspended person, suspensions should not commence before the time allowed for the lodgement of an appeal and/or an appeal to be heard.
- 3.2 In the case of riders' suspensions, in determining the commencement date of a suspension, the Racing Authority may have regard to the interests of racehorse connections who have engaged the rider for future racing engagements.

#### **3.3 Suspensions of those Based Abroad**

3.3.1 Racing Authorities (the 'Staging Authority') must ensure that, when the suspension of a rider, owner or trainer, licensed or registered by another Racing Authority (the 'Home Authority') is under consideration, the relevant rider, owner or trainer (as applicable) enjoys the following minimum rights:

##### **At the Raceday Hearing:**

- (i) to be informed, in a language which he understands, of the nature and cause of what may be alleged against him; and
- (ii) to defend himself in person or, by leave of the Staging Authority, be represented by a person nominated by him (but that person shall not be a representative who has a current approval to practice law in that country).

##### **At a Subsequent Hearing or Appeal:**

In addition to items (i) and (ii) above,

- (iii) to have adequate time for the preparation of his defence;
- (iv) to examine witnesses against him and to obtain the attendance and examination of witnesses on his behalf under the same conditions as the witnesses against him;
- (v) to have the free assistance of an interpreter if he cannot understand or speak the language used in the hearing; and
- (vi) to be allowed representation by a person nominated by him who has a current approval to practice law in that country.

### **4. Seeking Reciprocation**

4.1 When the Staging Authority applies a suspension or disqualification on a rider, owner or trainer licensed or registered by, or a suspension on a horse recorded as being in training with, another Racing Authority, it:

- (i) must advise the relevant Home Authority without delay. The Staging Authority should publish their disciplinary decisions;
- (ii) may request the Home Authority to reciprocate the suspension or disqualification; and
- (iii) may extend that request to other Racing Authorities where the rider, owner trainer or horse may be expected to race.

#### 4.2 Riders' Suspensions

In the case of riders' suspensions, the Staging Authority should indicate the suspension which it is requesting to be reciprocated, in one (or more) of the following formats:

- the dates on which the rider's suspension would apply;
- the calendar period of time the suspension would apply;
- the number of days' racing the rider would be suspended for.

A Model Form for requesting the reciprocation of penalties on riders is shown as Appendix 6B.

- 4.3 A Staging Authority may also seek reciprocation of a suspension or disqualification imposed upon a rider, owner or trainer licensed or registered by, or a suspension imposed on a horse recorded as being in training within, its own jurisdiction, where that person or horse travels abroad.
- 4.4 Racing Authorities should reciprocate the suspension or disqualification as requested by the Staging Authority. Where the Staging Authority has expressed the penalty in more than one way (a combination of specific dates, calendar period of time or number of racing days), the Racing Authority may hand down a suspension in whichever way it considers most appropriate in its own jurisdiction. This will have no effect on the suspension applied by the Staging Authority, which will remain in force for racing in that jurisdiction.
- 4.5 Where a person or horse, at the effective commencement of a suspension, is already suspended by any recognised Racing Authority, the new suspension shall begin at the commencement of the day following the completion of any previous period of suspension.

#### 5. Application for Non-Reciprocation

5.1. Where the domestic authority hears an application for a declaration that the suspension or disqualification imposed by the Staging Authority not have effect in the domestic Racing Authority's country it must offer the Staging Authority the opportunity to be represented at that hearing. Such representation is to be arranged and funded by the Staging Authority and its representative will be heard on any alleged failure to comply with either the principles of procedural fairness, the rules of the Staging Authority or this Article, but not on the merits of the original decision.

5.2 In the event that the domestic authority does not reciprocate a penalty imposed by the Staging Authority, it must inform that Authority of its decision and provide a comprehensive statement of reasons why the penalty was not reciprocated. Unless exceptional circumstances apply, the statement of reasons must be provided within 7 days of the decision having been made.

*Last update : January 2017*

*Agreed by :*

**ISRAEL**

**PANAMA**

\*

**APPENDIX 6 B**

**ARTICLE 10: MODEL FORM FOR REQUEST FOR RECIPROCATION OF PENALTIES ON RIDERS**

**PART 1**

To: *[Name of Licensing Horseracing Authority]*

*[Name of imposing Horseracing Authority]* wish to inform you in accordance with Article 10 of the International Agreement on Breeding, Racing and Wagering of the following sanction imposed on:

Rider's Name.....  
Race meeting at which sanction was imposed .....  
Date of race meeting .....  
Race number/time .....  
Offence.....

Please express the penalty in one or more of the ways shown below (where the penalty is expressed in more than one way, the Racing Authority reciprocating the penalty may select the most appropriate basis on which to reciprocate, in the context of racing in its own jurisdiction).

A – Specific suspension/disqualification dates, if any.....

B – Calendar date range of the suspension/disqualification (if any).....

C- Number of Racing Days' suspension (if any).....

\*Has the rider appealed the sanction            YES/NO

Date by which any appeal must be lodged .....

The Authority requests that this penalty be reciprocated by the Licensing Authority.

\*If the rider has appealed the sanction PART 2 must be completed when the appeal is determined and forwarded to the Horseracing Authority in the country in which the rider's licence or permit was issued)

Signed..... Date.....

Name:.....

Position:.....

**PART 2**

Date of Appeal Hearing .....

Decision of Appeal Hearing .....

Number of days suspension (if any) .....

Applicable suspension dates (if any) .....

**ARTICLE 10: MODEL RULE ON RECIPROCATION OF SUSPENSIONS OR DISQUALIFICATIONS**

Racing Authorities should include within their Rules a close approximation to the following Model Rule:

- (a) "Subject to sub-rule (b) of this rule, any person on whom a suspension or disqualification has been imposed by any recognised Racing Authority (the 'Staging Authority') is a suspended or disqualified person under these rules so long as the suspension or disqualification continues unless the *[Name of Domestic Authority]* declares that the suspension or disqualification shall not have effect under these rules. An application to the *[Name of Domestic Authority]* for such a declaration may be made by the person suspended or disqualified provided that he has exhausted all procedures for appeal available under the Rules of the Staging Authority. The person suspended or disqualified must particularise reasons why he believes the principles of procedural fairness were not complied with in the proceedings leading to the penalty.
- (b) Where a person upon whom a suspension or disqualification has been imposed by the Staging Authority has made an application for a declaration under sub-rule (a) of this rule, the *[Name of Domestic Authority]* have power to defer the suspension or disqualification under these rules pending their decision on the application".

\*

Agreed by :

ISRAEL  
PANAMA

## Article 11 A (RACING) – TREATMENT FOR RACING PURPOSES OF HORSES' AGES

Racing Authorities may, for racing purposes, describe horses as being of an age which is not consistent with their actual age. In calculating the age of horses for racing purposes, they may make reference to a notional date on which the ages of horses are deemed to increase by one year. For example, most Racing Authorities in the Northern Hemisphere deem January 1<sup>st</sup> to be the date on which the described age of horses increases: horses foaled between January 1<sup>st</sup> and December 31<sup>st</sup> 2010 will be deemed to be yearlings between January 1<sup>st</sup> and December 31<sup>st</sup> 2011, and become 2-year-olds on January 1<sup>st</sup> 2012. Most Racing Authorities in the Southern Hemisphere deem July 1<sup>st</sup> or August 1<sup>st</sup> to be the relevant date.

When an Authority receives a race entry for a horse born abroad, it may wish to treat the horse, for purposes of race qualification, weight allocation, etc., as being of a different age from that described by that horse's Home Authority. By way of illustration, one such treatment is shown as Appendix 7.

Racing Authorities must publish, or make available to other Racing Authorities on request, details of any different treatment (for race qualification and weight allocation purposes, in particular) which would apply to horses from other countries.

In order to give Staging Authorities the means to determine whether or not different treatment should be applicable, Home Authorities must, on request, make available to the Staging Authority not only the described ages of horses entered in that country, but also their dates of foaling.

Agreed by :

|                |               |             |                          |
|----------------|---------------|-------------|--------------------------|
| ARGENTINA      | FRANCE        | MACAU       | SINGAPORE                |
| AUSTRALIA      | GERMANY       | MALAYSIA    | SLOVAKIA                 |
| AUSTRIA        | GREAT BRITAIN | MAURITIUS   | SLOVENIA                 |
| BAHRAIN        | GREECE        | MONGOLIA    | SOUTH AFRICA             |
| BELGIUM        | HONG KONG     | MOROCCO     | SPAIN                    |
| BRAZIL         | HUNGARY       | NETHERLANDS | SWEDEN                   |
| CANADA         | INDIA         | NEW ZEALAND | SWITZERLAND              |
| CHILE          | IRELAND       | NORWAY      | TUNISIA                  |
| CROATIA        | ISRAEL        | OMAN        | TURKEY                   |
| CYPRUS         | ITALY         | PANAMA      | UNITED ARAB EMIRATES     |
| CZECH REPUBLIC | KAZAKHSTAN    | PERU        | UNITED STATES OF AMERICA |
| DENMARK        | KOREA         | QATAR       | URUGUAY                  |
|                | LEBANON       | SERBIA      |                          |

## APPENDIX 7

### REMISES DE POIDS ACCORDEES (en kilos) aux chevaux nés entre le 1<sup>er</sup> juillet et le 31 décembre par rapport aux poids portés par les chevaux du même âge, nés entre le 1<sup>er</sup> janvier et le 30 juin.

| Distance                                    | Ages       | Mars | Avril | Mai | Juin | juillet | Août | Sept. | Oct. | Nov. & Déc. |
|---|------------|------|-------|-----|------|---------|------|-------|------|-------------|
| Jusqu'à 1.200 m inclus                      | 2 ans..... | -    | -     | -   | -    | 3       | 3    | 3     | 3    | 3           |
|   | 3 ans..... | 2    | 2     | 2   | 2    | 1½      | 1½   | 1½    | 1    | 1           |
|   | 4 ans..... | ½    | ½     | -   | -    | -       | -    | -     | -    | -           |
| Supérieure à 1.200 m jusqu'à 1.600 m inclus | 2 ans..... | -    | -     | -   | -    | 3 ½     | 3 ½  | 3 ½   | 3 ½  | 3 ½         |
|   | 3 ans..... | 2 ½  | 2 ½   | 2 ½ | 2 ½  | 2       | 2    | 2     | 1 ½  | 1 ½         |
|   | 4 ans..... | 1    | 1     | ½   | ½    | ½       | ½    | -     | -    | -           |
| Supérieure à 1.600 m jusqu'à 2.000 m inclus | 2 ans..... | -    | -     | -   | -    | 4       | 4    | 4     | 4    | 4           |
|   | 3 ans..... | 2 ½  | 2 ½   | 2 ½ | 2 ½  | 2 ½     | 2    | 2     | 2    | 2           |
|   | 4 ans..... | 1 ½  | 1     | 1   | 1    | ½       | ½    | ½     | -    | -           |
| Supérieure à 2.000 m jusqu'à 2.400 m inclus | 3 ans..... | 3    | 3     | 3   | 3    | 2 ½     | 2 ½  | 2 ½   | 2    | 2           |
|   | 4 ans..... | 1 ½  | 1 ½   | 1 ½ | 1 ½  | 1       | 1    | ½     | ½    | -           |
| Supérieure à 2.400 m jusqu'à 3.000 m inclus | 3 ans..... | 3 ½  | 3 ½   | 3 ½ | 3 ½  | 3 ½     | 3 ½  | 3     | 3    | 3           |
|   | 4 ans..... | 2    | 2     | 2   | 1 ½  | 1 ½     | 1    | 1     | ½    | ½           |
| Supérieure à 3000 m                         | 3 ans..... | -    | -     | -   | -    | 4       | 4    | 4     | 4    | 4           |
|   | 4 ans..... | 2 ½  | 2 ½   | 2 ½ | 2    | 2       | 1 ½  | 1 ½   | 1    | 1           |

*Note : Les âges indiqués ci-dessus correspondent à ceux de l'hémisphère nord.*

### ALLOWANCES GIVEN (in pounds) to horses foaled between July 1<sup>st</sup> and December 31<sup>st</sup> in the Southern Hemisphere with regard to weights carried by horses of the same age, born between January 1<sup>st</sup> and June 30<sup>th</sup>.

| Distance             | Ages       | March | April | May | June | July | Aug. | Sept. | Oct. | Nov. |
|----------------------|------------|-------|-------|-----|------|------|------|-------|------|------|
| 5 and 6 furlongs     | 2 y o..... | -     | -     | -   | -    | 7lb  | 7lb  | 7lb   | 7lb  | 7lb  |
|                      | 3 y o..... | 5lb   | 5lb   | 5lb | 5lb  | 3lb  | 3lb  | 3lb   | 2lb  | 2lb  |
|                      | 4 y o..... | 1lb   | 1lb   | -   | -    | -    | -    | -     | -    | -    |
| 7 and 8 furlongs     | 2 y o..... | -     | -     | -   | -    | -    | 8lb  | 8lb   | 8lb  | 8lb  |
|                      | 3 y o..... | 6lb   | 6lb   | 6lb | 6lb  | 5b   | 5lb  | 5lb   | 3lb  | 3lb  |
|                      | 4 y o..... | 2lb   | 2lb   | 1lb | 1lb  | 1lb  | 1lb  | -     | -    | -    |
| 9 and 10 furlongs    | 2 y o..... | -     | -     | -   | -    | -    | -    | 9lb   | 9lb  | 9lb  |
|                      | 3 y o..... | 6lb   | 6lb   | 6lb | 6lb  | 6lb  | 5lb  | 5lb   | 5lb  | 5lb  |
|                      | 4 y o..... | 3lb   | 2lb   | 2lb | 2lb  | 1lb  | 1lb  | 1lb   | -    | -    |
| 11 and 12 furlongs   | 3 y o..... | 7lb   | 7lb   | 7lb | 7lb  | 6lb  | 6lb  | 6lb   | 5lb  | 5lb  |
|                      | 4 y o..... | 3lb   | 3lb   | 3lb | 3lb  | 2lb  | 2lb  | 1lb   | 1lb  | -    |
| 13 and 14 furlongs   | 3 y o..... | 8lb   | 8lb   | 8lb | 8lb  | 8lb  | 8lb  | 7lb   | 7lb  | 7lb  |
|                      | 4 y o..... | 5lb   | 5lb   | 5lb | 3lb  | 3lb  | 2lb  | 2lb   | 1lb  | 1lb  |
| 15 furlongs and over | 3 y o..... | -     | -     | -   | -    | -    | 9lb  | 9lb   | 9lb  | 9lb  |
|                      | 4 y o..... | 6lb   | 6lb   | 6lb | 5lb  | 5lb  | 3lb  | 3lb   | 2lb  | 2lb  |

*Note : The ages shown are those which apply in the Northern Hemisphere.*

This Guideline gives examples of use of the whip which are prohibited:

- Using the whip to the extent of causing injury.
- Using the whip with the arm above shoulder height.
- Using the whip with excessive force.
- Using the whip on a horse which is showing no response.
- The continued use of the whip on a horse after its chance of winning or being placed is clearly gone.
- The unnecessary use of the whip on a horse that has clearly won its race or has obtained its maximum placing.
- Using the whip on a horse which is past the winning post.
- Using the whip on the flank of the horse.
- Using the whip with excessive frequency.
- Using the whip on any part of the horse's head or in the vicinity of the head.
- The use of the whip in front of the saddle while the whip is held in the forehand position, unless exceptional circumstances prevail.

Agreed by :

|                |   |               |  |
|----------------|---|---------------|--|
| ARGENTINA      | GREAT BRITAIN   | MAURITIUS     | SINGAPORE ( <i>except ... with the arm above shoulder height</i> ) |
| AUSTRALIA      | GREECE  | MOROCCO       | SLOVAKIA   |
| AUSTRIA        | HONG KONG   | NETHERLANDS   | SLOVENIA   |
| AZERBAIJAN     | HUNGARY   | NEW ZEALAND   | SOUTH AFRICA   |
| BAHRAIN        | INDIA   | NORWAY        | SPAIN  |
| BELGIUM        | IRELAND   | OMAN          | SWEDEN   |
| CHILE          | <b>ISRAEL</b>   | <b>PANAMA</b> | SWITZERLAND  |
| CROATIA        | ITALY   | PERU          | TUNISIA  |
| CYPRUS         | JAPAN   | PHILIPPINES   | TURKEY   |
| CZECH REPUBLIC | KOREA   | POLAND        | UNITED ARAB EMIRATES   |
| DENMARK        | LEBANON   | QATAR         | URUGUAY  |
| FRANCE         | MACAU   | SERBIA        |  |
| GERMANY        | MALAYSIA ( <i>except ... with the arm above shoulder height</i> ) |               |  |

\*

## Article 12 (BREEDING) – DEFINITION OF A THOROUGHBRED

A Thoroughbred is a horse which is recorded in the Thoroughbred Stud Book of the country of its foaling, that Stud Book having been granted Approved status by the International Stud Book Committee (**Appendix 8**) at the time of its official recording.

### A: QUALIFICATION

For a horse to be eligible to be recorded in an approved Thoroughbred Stud Book all of the following requirements must be satisfied:

#### 1. STATUS OF SIRE AND DAM

- 1.1 **The horse must be the product of a mating between a sire and a dam, both of which are recorded in an approved Thoroughbred Stud Book or either or both must have been promoted from a Non-Thoroughbred register under the terms set out in Article 13 paragraph 4.1.**
- 1.2 **Where the dam has been imported into the country where the foal is born, either permanently or for a temporary period not exceeding nine months, an export certificate or BCN (as appropriate) must have been lodged before the foal may be registered.**

#### 2: SERVICE TO PRODUCE AN ELIGIBLE FOAL

- 2.1 The Thoroughbred must be the result of a Stallion's mating with a Mare which is the physical mounting of a Mare by a Stallion with intromission of the penis and ejaculation of semen into the reproductive tract. As an aid to the mating and if authorised by the Stud Book Authority of a country certifying the Thoroughbred, a portion of the ejaculate produced by the Stallion during such mating may immediately be placed in the reproductive tract of the Mare being bred.

#### 3: GESTATION TO PRODUCE AN ELIGIBLE FOAL

- 3.1 A natural gestation must take place in, and delivery must be from, the body of the same Mare in which the Foal was conceived. Any Foal resulting from or produced by the processes of Artificial Insemination, Embryo Transfer or Transplant, Cloning or any other form of genetic manipulation not herein specified, shall not be eligible for recording in a Thoroughbred Stud Book approved by the International Stud Book Committee.

#### 4: RECORDING OF THE MATING AND RESULT

- 4.1 The details of the mating must be recorded by the Stallion owner or authorised agent on an official form or electronic system provided or approved by the Stud Book Authority certifying the Thoroughbred which should include:
  - 4.1.1 name of the Stallion,
  - 4.1.2 name of the Mare,
  - 4.1.3. the first and last dates of mating to the Stallion and,
  - 4.1.4 a statement signed by the Stallion owner or authorised agent that the mating was natural and did not involve the processes of Artificial Insemination, Embryo Transfer or Transplant, Cloning or any other form of genetic manipulation (see 3.1) **and that the identity of the Mare was verified from her passport before covering.**
- 4.2 The details of the Foal at the time of foaling must be recorded by the Mare owner or authorised agent on an official form or electronic system provided or approved by the Stud Book Authority certifying the Thoroughbred which should include:
  - 4.2.1 name of the Stallion,
  - 4.2.2 name of the Mare,
  - 4.2.3 exact date of foaling,
  - 4.2.4 colour of the Foal,
  - 4.2.5 gender of the Foal,
  - 4.2.6 name of the Breeder of the Foal who is the Owner(s) of the Mare at the time of foaling,
  - 4.2.7 country of foaling

4.2.8 a statement signed by the Mare owner or authorised agent that the Foal was not the result of Artificial Insemination, Embryo Transfer or Transplant, Cloning or any other form of genetic manipulation (see 3.1).

4.3 For the avoidance of any doubt, both the details of the mating (as set out in 4.1 above) and the details of the foaling (as set out in 4.2 above) must be provided to the Stud Book Authority in order for the foal to be registered.

## 5: IDENTIFICATION & DESCRIPTION

5.1 The description of the Foal must be recorded by a person authorised by the Stud Book Authority on an official form or electronic system provided or approved by the Authority certifying the Thoroughbred which should include:

- 5.1.1 name of the Stallion,
- 5.1.2 name of the Mare,
- 5.1.3 exact date of foaling,
- 5.1.4 colour of the Foal,
- 5.1.5 gender of the Foal,
- 5.1.6 name of the Breeder (see 4.2.6)
- 5.1.7 country of foaling
- 5.1.8 a detailed description of permanent and acquired identifying markings of the Foal which should include all leg markings, face markings, hair whorls, scars, tattoos, brands and a microchip number, if found, which should be substantiated by either colour photographs or physical inspection.

## 6: PARENTAGE VERIFICATION

6.1 The Stud Book Authority certifying the Thoroughbred must require further evidence of parentage based upon typing of genetic factors present in blood, hair and/or other biological samples and must certify:

- 6.1.1 that the genetic typing is only undertaken by a laboratory approved by that Stud Book Authority for that purpose,
- 6.1.2 that the laboratory is an institutional member of ISAG and participates to the satisfaction of the International Stud Book Committee in comparison tests,
- 6.1.3 that all genetic typing results and details are maintained in strict confidence and are only disclosed to other Stud Book Authorities granted approved status by the International Stud Book Committee and,
- 6.1.4 the Stud Book Authority conducts routine genetic typing and parentage verification before registration of all horses applying for recording in their Stud Book.

## B: DISQUALIFICATION

Modification of the heritable genome of a prospective or registered Thoroughbred, during its conception, gestation or at any stage thereafter in its existence, will result in that Horse **permanently** forfeiting its status as a Thoroughbred **and where appropriate being removed from the Stud Book.**

*Last update : JANUARY 2016*

|             |            |                |             |                 |                          |
|-------------|------------|----------------|-------------|-----------------|--------------------------|
| Agreed by : | ARGENTINA  | CZECH REPUBLIC | JAMAICA     | OMAN            | SPAIN                    |
|             | AUSTRALIA  | DENMARK        | JAPAN       | <b>PANAMA</b>   | SYRIA                    |
|             | AUSTRIA    | ECUADOR        | KAZAKHSTAN  | PARAGUAY        | SWEDEN                   |
|             | AZERBAIJAN | FRANCE         | KENYA       | PERU            | SWITZERLAND              |
|             | BAHRAIN    | GERMANY        | KOREA       | PHILIPPINES     | TUNISIA                  |
|             | BELGIUM    | GREAT BRITAIN  | LIBYA       | QATAR           | TURKEY                   |
|             | BRAZIL     | GREECE         | MALAYSIA    | ROMANIA         | UKRAINE                  |
|             | BULGARIA   | HUNGARY        | MOROCCO     | SAUDI ARABIA    | UNITED ARAB EMIRATES     |
|             | CANADA     | INDIA          | MEXICO      | SERBIA          | UNITED STATES OF AMERICA |
|             | CHILE      | IRELAND        | NETHERLANDS | SLOVAKIA        | URUGUAY                  |
|             | CROATIA    | <b>ISRAEL</b>  | NEW ZEALAND | SLOVENIA        | VENEZUELA                |
|             | CYPRUS     | ITALY          | NORWAY      | SOUTHERN AFRICA |                          |

**APPENDIX 8**

**LIST OF APPROVED STUD BOOKS (65)**

|                         |                              |
|-------------------------|------------------------------|
| ARGENTINA               | MEXICO                       |
| AUSTRALIA               | MOROCCO                      |
| AUSTRIA                 | NETHERLANDS                  |
| AZERBAIJAN              | NEW ZEALAND                  |
| BAHRAIN                 | NORWAY                       |
| BARBADOS                | OMAN                         |
| BELGIUM & LUXEMBURG     | PANAMA                       |
| BRAZIL                  | PARAGUAY                     |
| BULGARIA                | PERU                         |
| CHILE                   | PHILIPPINES                  |
| CHINA                   | POLAND                       |
| COLOMBIA                | PORTUGAL                     |
| CROATIA                 | QATAR                        |
| CYPRUS                  | ROMANIA                      |
| CZECH REPUBLIC          | RUSSIA                       |
| DENMARK                 | SAUDI ARABIA                 |
| DOMINICAN REPUBLIC      | SERBIA, BOSNIA & HERZEGOVINA |
| FINLAND                 | SLOVAKIA                     |
| FRANCE                  | SLOVENIA                     |
| GERMANY                 | SOUTH AFRICA & ZIMBABWE      |
| GREAT BRITAIN & IRELAND | SPAIN                        |
| GREECE                  | SWEDEN                       |
| HUNGARY                 | SWITZERLAND                  |
| INDIA                   | SYRIA                        |
| ITALY                   | TRINIDAD AND TOBAGO          |
| JAMAICA                 | TUNISIA                      |
| JAPAN                   | TURKEY                       |
| KENYA                   | UKRAINE                      |
| KOREA                   | UNITED ARAB EMIRATES         |
| LEBANON                 | USA, CANADA & PUERTO RICO    |
| LITHUANIA               | URUGUAY                      |
| MALAYSIA                | UZBEKISTAN                   |
|                         | VENEZUELA                    |

**LIST OF APPROVED STUD BOOKS UNDER ASSESSMENT (1)**

ECUADOR

**LIST OF STUD BOOKS NOT CURRENTLY OPERATING OR APPROVED (5)**

*(Thoroughbred Foal Crops shown in brackets)*

|                        |                        |                      |
|------------------------|------------------------|----------------------|
| COSTA RICA (1989-2004) | GUATEMALA (1949-2004)  | THAILAND (1988-2015) |
| ISRAEL (1977-2008)     | KAZAKHSTAN (2006-2017) |                      |

**LIST OF KNOWN EMERGING STUD BOOKS (15)**

|         |            |           |
|---------|------------|-----------|
| ALGERIA | INDONESIA  | MALTA     |
| ANTIGUA | IRAN       | MONGOLIA  |
| ESTONIA | KYRGYZSTAN | PAKISTAN  |
| GEORGIA | KUWAIT     | SRI LANKA |
| ISRAEL  | LIBYA      | VIETNAM   |

\*

**A: QUALIFICATION**

**1. Definition**

- 1.1 A Non Thoroughbred Register is a Racing Register of thoroughbred type racehorses which do not qualify for acceptance in an Approved Stud Book at the time of registration.
- 1.2 A Non Thoroughbred Register is kept to enable the promotion of racehorses to Thoroughbred status using the 'eight Thoroughbred crosses' process, subject to the final approval of ISBC
- 1.3 Racehorses recorded in a Non Thoroughbred Register should be permitted to race nationally, both against other NTR horses and against Thoroughbreds, unless specifically excluded by the race conditions
- 1.4 A Non Thoroughbred Register must be operated to the same standards as an Approved Thoroughbred Stud Book
- 1.5 A Non Thoroughbred Register may only be kept by the Approved Thoroughbred Stud Book in that country(ies). That country must be a signatory to Article 13.

**2. Acceptance of broodmares and stallions in the register.**

- 2.1 The criteria for the acceptance of broodmares and stallions to a Non Thoroughbred Register should be clearly defined in the Rules of that register. The criteria must include the following:
  - 2.1.1 A requirement that any evidence of artificial breeding at any point in its pedigree would automatically exclude a horse from the register.
  - 2.1.2 A statement that the inclusion of a horse from the Non Thoroughbred Register of another country may only be accepted with the bilateral agreement of both Stud Book Authorities.

**3. Conditions for recording produce in the register.**

- 3.1 In order for a horse to be recorded in a Non Thoroughbred Register, either the sire or the dam must be a Thoroughbred at every cross. Where relevant, the name of the breed must be mentioned.  
*[Note for clarification: This rule will apply only to horses registered from 2016 onwards. It is recognised that this requirement did not exist historically]*
- 3.2 The conditions for recording the produce of broodmares in the register should follow identically the conditions contained in Article 12 (excluding section 1).
- 3.3 All horses recorded in the register should be published, whether electronically or in paper form.

**4. Promotion of horses from a register to an approved Thoroughbred Stud Book.**

**4.1. Procedure**

- 4.1.1 A horse may be promoted from a Non Thoroughbred Register to a Thoroughbred Stud Book only when the following conditions are all satisfied :
  - 4.1.1.1 the pedigree of the horse demonstrates eight Thoroughbred crosses consecutively including the cross of which it is the progeny,
  - 4.1.1.2 the pedigree of the horse contains animals which can show such performances in races open to Thoroughbreds, in both the Thoroughbred and non-Thoroughbred sections of its pedigree, as to warrant its assimilation with Thoroughbreds.
  - 4.1.1.3 the promotion is approved by the unanimous agreement of the International Stud Book Committee.
- 4.1.2 Details of any promotion must be published in an Addendum to the Thoroughbred Stud Book, with a reference to the date of the ISBC meeting at which approval of the promotion was granted.

## 4.2. Explanation of terms

- 4.2.1 **Thoroughbred cross.** A cross, or mating, in which either the sire or the dam is in the category of horse described in Article 12.1.1. (ie a Thoroughbred)
- 4.2.2 **Performances.** In assessing the adequacy of performances the following criteria should be adopted:
- 4.2.2.1. In general, the area in which the performances should be seen is the non-Thoroughbred line. This will usually be the tail female line.
- 4.2.2.2. In general, the performances mentioned in 4.2.2.1 above should be found within the first three generations from the foal.
- 4.2.2.3. In considering the performances of a mare or stallion the performances of their other progeny may be taken into account.
- 4.2.2.4. Normally, only winning or placed performances will be taken into account
- 4.2.3 **Vehicle horses.** Mares or Stallions which are the product of seven consecutive Thoroughbred crosses, and which ISBC have unanimously agreed that the produce of which, when mated with a Thoroughbred, may be considered to have Thoroughbred status. Such stallions or mares should be indicated as such in the Register.

*Note: Details of recognition of vehicle status must be published in an Addendum to the Non Thoroughbred Register, with a reference to the date of the ISBC meeting at which approval was granted.*

## 5. Publication

The Non Thoroughbred Register must be regularly published or made available in electronic form.

## B: DISQUALIFICATION

Modification of the heritable genome of a horse recorded in the Non Thoroughbred Register (or for which an application has been made for acceptance in the Non Thoroughbred Register), in any part of its pedigree, during its conception, gestation or at any stage thereafter in its existence, will result in that horse permanently forfeiting its right to be recorded in the Non Thoroughbred Register or to be promoted to Thoroughbred status.

*Last update : JANUARY 2016*

|             |            |                               |  |              |                      |
|-------------|------------|-------------------------------|--|--------------|----------------------|
| Agreed by : | ARGENTINA  | CYPRUS (except § 3.1.)        | JAMAICA  | PERU         | SPAIN                |
|             | AUSTRALIA  | CZECH REPUBLIC                | JAPAN  | PHILIPPINES  | SWEDEN               |
|             | AUSTRIA    | DENMARK                       | KAZAKHSTAN                                     | POLAND       | SWITZERLAND          |
|             | AZERBAIJAN | ECUADOR                       | KENYA  | PORTUGAL     | SYRIA                |
|             | BAHRAIN    | DOMINICAN REPUBLIC            | KOREA  | PUERTO RICO  | THAILAND             |
|             | BARBADOS   | ECUADOR                       | LEBANON  | QATAR        | TRINIDAD & TOBAGO    |
|             | BELGIUM    | FINLAND                       | LIBYA  | ROMANIA      | TUNISIA              |
|             | BRAZIL     | FRANCE                        | MALAYSIA                                       | RUSSIA       | TURKEY               |
|             | BULGARIA   | GERMANY                       | MEXICO   | SAUDI ARABIA | UKRAINE              |
|             | CHINA      | GREAT BRITAIN (except § 3.1.) | MOROCCO  | SERBIA       | UNITED ARAB EMIRATES |
|             | COLOMBIA   | GREECE                        | NETHERLANDS                                    | SINGAPORE    | UZBEKISTAN           |
|             | CROATIA    | HUNGARY                       | (except § 1, 3, 5 –<br>no Non-Thoroughbred SB) | SLOVAKIA     | VENEZUELA            |
|             |            | INDIA                         | NEW ZEALAND                                    | SLOVENIA     |                      |
|             |            | IRELAND (except § 3.1.)       | NORWAY   | SOUTH AFRICA |                      |
|             |            | ISRAEL                        | PANAMA   |              |                      |
|             |            |                               | PARAGUAY                                       |              |                      |

- I The registration of a name for a horse can only be made by or with approval of the competent Authority of its country of birth.

For a horse born abroad, the application to register a name must be made through the relevant authority of the country where the export certificate is lodged.

The change of a name already registered and published can only be requested from the Authority which originally registered that name.

In the case of a necessary change for cultural reasons, the new name (or, in the case of a horse renamed more than once, the most recently registered new name) will become the registered name for racing purposes.

The Authority making the change must :

1. liaise with the Authority which originally registered the name, in order to avoid duplication and to ensure that the horse is not so celebrated under its original name so as to render a change of name inappropriate.
2. inform all Authorities and Stud Books which have previously registered that horse.

- II An International List of Protected Names is maintained and published by the International Federation according to the Rules adopted by the Executive Council. The List covers the names of certain horses whose fame derives from their accomplishments on the racecourse or at stud. The Rules governing inclusion on this List are set out under **Appendix 9**.

- III Concerning names registered and not protected, the following criteria are provided as a guideline forming the basis upon which Authorities may establish a suitable period during which registered names will not be reused:

- a) in the case of stallions, 15 years after death or 15 years after the last recorded year in which they covered mares or at 35 years of age (whichever is the sooner).
- b) in the case of broodmares, 10 years after their death or 10 years after the last recorded year in which they were covered or produced a foal, or at 25 years of age.
- c) in the case of all other horses, 5 years after their death, or at 20 years of age (whichever is the sooner). An exception may be made where the name of a horse which has been reported as dead and has not raced is sought for re-use by the same applicant.

- IV. Names cannot be accepted if they are already registered subject to the conditions on re-use of names set out above, nor if :

1. - they appear on the International List of Protected Names,
2. - they have more than eighteen characters, including signs or spaces,
3. - they are the name of a public person, without that person's or their family's permission, or names of commercial significance without the appropriate permission,
4. - they are followed by numbers,
5. - they are made up entirely of initials or include figures, hyphens, full stops, commas, signs, exclamation marks, inverted commas, forward slash, back slash, colon or semi-colon.
6. - they are suggestive or have a vulgar, obscene or insulting meaning ; names considered in poor taste ; or names that may be offensive to religious, political or ethnic groups,
7. - in pronunciation, they are identical or similar to a protected name or a name registered for a horse whose year of foaling is within ten years of that of the horse in question.
8. - they start with a sign other than a letter.
9. - they are already registered to a sibling or parent of the horse in question.

Authorities may refuse to accept entries for races in respect of horses whose names do not conform to the above provisions.

Agreed by :

|  |                                |                                   |                                   |
|--|--------------------------------|-----------------------------------|-----------------------------------|
| ALGERIA                                  | FRANCE                         | MAURITIUS                         | SINGAPORE                         |
| ARGENTINA                                | GERMANY                        | MEXICO                            | <i>(except § I &amp; IV 7)</i>    |
| AUSTRALIA                                | GREAT BRITAIN                  | MONGOLIA                          | SLOVAKIA                          |
| AUSTRIA                                  | GREECE                         | MOROCCO                           | SLOVENIA                          |
| AZERBAIJAN                               | HONG KONG                      | NETHERLANDS                       | SOUTH AFRICA & Zimbabwe           |
| BAHRAIN                                  | HUNGARY                        | NEW ZEALAND                       | SPAIN                             |
| BELGIUM & Luxemburg                      | INDIA                          | NORWAY                            | <b>SYRIA</b>                      |
| BRAZIL                                   | IRELAND                        | OMAN                              | SWEDEN                            |
| <b>BULGARIA</b>                          | <b>ISRAEL</b>                  | <b>PANAMA</b>                     | SWITZERLAND                       |
| CANADA <i>(except § IV 3, 5 &amp; 7)</i> | ITALY                          | PERU                              | TRINIDAD & TOBAGO                 |
| CHILE                                    | JAMAICA                        | PHILIPPINES                       | <i>(except § IV 3, 4 &amp; 5)</i> |
| CHINA                                    | <i>(except § IV 3 &amp; 5)</i> | POLAND                            | TUNISIA                           |
| CROATIA                                  | JAPAN                          | PORTUGAL                          | TURKEY                            |
| CYPRUS                                   | KAZAKHSTAN                     | PUERTO RICO                       | UKRAINE                           |
| CZECH REPUBLIC                           | KOREA                          | <i>(except § IV 3, 5 &amp; 7)</i> | UNITED ARAB EMIRATES              |
| DENMARK                                  | LEBANON                        | QATAR                             | UNITED STATES OF AMERICA          |
| DOMINICAN REP.                           | LITHUANIA                      | ROMANIA                           | <i>(except § IV 3, 5 &amp; 7)</i> |
| <i>(except § IV 5)</i>                   | MACAU                          | SAUDI ARABIA                      | URUGUAY                           |
| FINLAND                                  | MALAYSIA                       | SERBIA, Bosnia & Herzegovina      | UZBEKISTAN                        |
|  | <i>(except § I &amp; IV 7)</i> |                                   | VENEZUELA                         |

**RULES ADOPTED BY THE EXECUTIVE COUNCIL FOR ESTABLISHING  
THE INTERNATIONAL LIST OF PROTECTED NAMES FROM 2006**

The list of Protected Names is updated as follows :

1.- Racehorses :

a) Automatic addition of the names of the winners of the following 11 most important international races for 3 y.o. and upwards :

|                     |  |
|---------------------|--|
| South America (2) : | - Gran Premio Carlos Pellegrini<br>- Grande Premio Brazil.   |
| Asia (4) :          | - Melbourne Cup<br>- Dubai World Cup<br>- Hong Kong Cup<br>- Japan Cup                               |
| Europe (3) :        | - Prix de l'Arc de Triomphe<br>- King George VI & Queen Elizabeth Stakes<br>- Irish Champion Stakes. |
| USA (2) :           | - Breeders' Cup Classic<br>- Breeders' Cup Turf.   |

b) Countries can propose to the IFHA Executive Council for approval, a maximum of 3 additional names per year of racehorses whose form justifies such a protection. Each such request must be supported by the following information:

- the name of the horse
  - sex
  - colour
  - country of birth
  - the year of its birth
  - the name of the sire
  - the name of the dam
  - the name of the dam's sire
  - Justification for the request
  - Race record.
- | with the suffix

c) Countries in Part I of the International Cataloguing Standards Book may each submit, on-line to the IFHA website, up to 3 names per annum for temporary protection. Each such name will be removed from the list after two years, unless the name has subsequently been afforded permanent protection, either by dint of the horse having won one of the races listed under (a) above, or through a successful application under (b) above.

Countries outside Part I of the Cataloguing Standards Booklet may propose names for the above system of temporary protection by exception, through their respective Regional Federation (ARF, EMHF, OSAF or Pan-American Conference).

N.B. For the avoidance of doubt, should a horse which has been subject of a name change for cultural reasons qualify for addition to the list of Internationally protected names, the name under which it raced when qualifying for protection will be protected.

2. - Breeding stock :

a) Protection is given to :

- Broodmares who have produced at least two Group 1 winners and one other Black Type winner.
- Stallions who have produced at least 15 individual Group 1 winners.

Only those Group 1 races listed under Part I of the International Cataloguing Standards would qualify for consideration.

The Secretariat of the International Stud Book Committee will update this list on a quarterly basis.

b) Countries can propose to the ISBC for approval, a maximum of 3 additional names per year of broodmares and stallions whose record at stud justifies such protection. Each such request must be supported by the following information:

- |   |   |
|---|---|
| <ul style="list-style-type: none"> <li>- the name of the horse</li> <li>- sex</li> <li>- colour</li> <li>- country of birth</li> <li>- the year of its birth</li> </ul> | <ul style="list-style-type: none"> <li>- the name of the sire, with suffix</li> <li>- the name of the dam, with suffix</li> <li>- the name of the dam's sire, with suffix</li> <li>- Justification for the request</li> <li>- Progeny record</li> </ul> |
|---|---|

The control of a horse's identity is one of the prime considerations in the operation of racing, breeding and health management. It is necessary that identity control should be made at the horse's first public race start as well as for every horse coming from abroad, and recommended for every claiming or selling race. This identity control has to be performed as well at every stage of breeding operations (covering, registration of foal, etc.). It is as well recommended before public sales.

The official papers which allow a horse to be identified can be separated into two categories :

1. Export Certificate:

The Export Certificate or Electronic Notification of Export (including markings) may only be issued by the Approved Stud Book of the country of birth of the horse. The DNA Certificate must also be included. It is sent directly or made available on a website by the exporting authority to the Stud Book Authority (or, in the case of Special Racing Authorities, to the Racing Authority) of the country to which the horse is exported when the exportation is permanent, or when the period of export exceeds the period for which the clearance notification or the endorsement of the document of identification is valid (see Articles 3).

N.B. Special Racing Authority status is granted by the International Stud Book Committee in the case of countries with no breeding industry. Currently, this applies to Hong Kong, Macau, Mauritius and Singapore.

This Electronic Notification of Export must be accepted by the Approved Stud Book Authority of the country to which the horse has moved. In the exceptional case where an original document is needed, this fact is to be stated at the time of notification of export.

2. Passport:

- 2.1 The Stud Book Authority certifying the Thoroughbred, being the only Authority permitted to issue the original passport or any subsequent duplicates, must produce a passport which certifies:
  - 2.1.1 the authenticity of the pedigree, the age, sex and colour.
  - 2.1.2 the markings, photographs (if applicable) or other characteristics used to identify the Thoroughbred which should include all permanent identifying markings such as leg markings, face markings and hair whorls and may include other identifying characteristics such as night eyes/chestnuts, brands, tattoos, scars and microchips or other such electronic devices,
  - 2.1.3 the parentage of the Thoroughbred based upon typing of genetic factors present in blood, hair and/or other biological samples
  - 2.1.4 the Breeder and,
  - 2.1.5 the Stud Book volume and page number where the Thoroughbred is recorded, or the Stud Book volume where the horse will be recorded in the future, or, if the Stud Book is recorded electronically, where to access the appropriate Stud Book record.
  - 2.1.6 Additional pages for vaccinations and administrative endorsements.
- 2.2. The document should be printed in the principal language of the issuing Authority. It is a requirement that the principal information held within the document is also translated into English.
- 2.3 The document must always accompany the horse and should only be altered by, or with the express permission of, the issuing Stud Book Authority.
- 2.4 The loss of the document must be notified to the issuing Authority who are the only party permitted to issue a duplicate copy.
- 2.5 The document of a dead horse should be returned to the relevant Authority of the country in which it died.
- 2.6 Stud Book Authorities may use a single colour for their passport covers, or adopt a differentiating colour for each successive foal crop, using the colours listed in the following table:

|      |             |      |             |
|------|-------------|------|-------------|
| 1991 | Beige       | 2012 | Beige       |
| 1992 | Red         | 2013 | Red         |
| 1993 | Lime Green  | 2014 | Lime Green  |
| 1994 | Plum        | 2015 | Plum        |
| 1995 | Royal Blue  | 2016 | Royal Blue  |
| 1996 | Grey        | 2017 | Grey        |
| 1997 | Dark Purple | 2018 | Dark Purple |
| 1998 | Cream       | 2019 | Cream       |
| 1999 | Mint Green  | 2020 | Mint Green  |
| 2000 | Bronze      | 2021 | Bronze      |
| 2001 | Turquoise   | 2022 | Turquoise   |
| 2002 | Light Brown | 2023 | Light Brown |
| 2003 | Peru        | 2024 | Peru        |
| 2004 | Dark Green  | 2025 | Dark Green  |
| 2005 | Red         | 2026 | Red         |
| 2006 | Navy Blue   | 2027 | Navy Blue   |
| 2007 | White       | 2028 | White       |
| 2008 | Brown       | 2029 | Brown       |
| 2009 | Yellow      | 2030 | Yellow      |
| 2010 | Purple      | 2031 | Purple      |
| 2011 | Orange      | 2032 | Orange      |

### 3. Horses of Ambiguous Sex

- 3.1 For the purposes of this Article, 'Ambiguous sex' is the term used to describe the situation where the externally visible sexual characteristics of a horse are contradicted by its genetic makeup/internal organs.
- 3.2 When a Stud Book Authority comes by evidence of ambiguity in the sex of a horse, it should:
- Advise its Racing Authority
  - Require the owner to return the horse's passport.
  - Suitably amend the horse's passport to indicate the ambiguity of sex.
  - Whenever relevant, inform the Stud Book Authority which registered the horse as a foal.
- 3.3 When a Racing Authority comes by evidence of ambiguity in the sex of a horse within its jurisdiction, it should:
- Advise its Stud Book Authority
  - Require the horse's owner or trainer (as appropriate) to alert the Racing Authority if they intend to make an entry to race in another country, prior to making such entry.
  - On receipt of such an alert, notify the Racing Authority of the country in which it is intended to race the horse of the relevant facts in its possession as to the ambiguity of the horse's sex.
- 3.4 A Racing Authority may, on the basis of information received as to the ambiguity of a horse's sex, impose whatever restrictions it considers appropriate on its freedom to take part in races, or in specified race types.

#### **Last update : DECEMBER 2015**

|             |                |               |               |                          |
|-------------|----------------|---------------|---------------|--------------------------|
| Agreed by : | ARGENTINA      | ECUADOR       | KOREA         | QATAR                    |
|             | AUSTRALIA      | FRANCE        | LEBANON       | SAUDI ARABIA             |
|             | AUSTRIA        | GERMANY       | MACAU         | SERBIA                   |
|             | AZERBAIJAN     | GREAT BRITAIN | MALAYSIA      | SINGAPORE                |
|             | BAHRAIN        | GREECE        | MAURITIUS     | SLOVAKIA                 |
|             | BELGIUM        | HONG KONG     | MEXICO        | SLOVENIA                 |
|             | BRAZIL         | HUNGARY       | MOROCCO       | SOUTHERN AFRICA          |
|             | BULGARIA       | INDIA         | NETHERLANDS   | SPAIN                    |
|             | CANADA         | IRELAND       | NEW ZEALAND   | SWEDEN                   |
|             | CHILE          | <b>ISRAEL</b> | NORWAY        | SWITZERLAND              |
|             | CHINA          | ITALY         | OMAN          | TURKEY                   |
|             | CROATIA        | JAMAICA       | <b>PANAMA</b> | UKRAINE                  |
|             | CYPRUS         | JAPAN         | PARAGUAY      | UNITED ARAB EMIRATES     |
|             | CZECH REPUBLIC | KAZAKHSTAN    | PERU          | UNITED STATES OF AMERICA |
|             | DENMARK        | KENYA         | PHILIPPINES   | VENEZUELA                |
|             |                |               | POLAND        |                          |

## Article 16 (RACING) - GUARANTEED MONEY FOR ENTRIES

A Racing Authority which forwards, on behalf of a horse's owner/trainer, an entry for that horse in a race to be run in a foreign country is responsible for the payment of the monies required under that race's conditions (such as entry and forfeit fees) in order for the horse to take part, unless specific alternative arrangements have been agreed between the respective Authorities.

Agreed by :

|                |               |              |                      |
|----------------|---------------|--------------|----------------------|
| ARGENTINA      | FRANCE        | MALAYSIA     | SERBIA               |
| AUSTRIA        | GERMANY       | MAURITIUS    | SINGAPORE            |
| AZERBAIJAN     | GREAT BRITAIN | MONGOLIA     | SLOVAKIA             |
| BAHRAIN        | GREECE        | MOROCCO      | SLOVENIA             |
| BELGIUM        | HUNGARY       | NETHERLANDS  | SOUTH AFRICA         |
| BRAZIL         | INDIA         | NEW ZEALAND  | SPAIN                |
| CANADA         | IRELAND       | NORWAY       | SWEDEN               |
| CHILE          | ISRAEL        | OMAN         | SWITZERLAND          |
| CROATIA        | ITALY         | PANAMA       | TUNISIA              |
| CYPRUS         | KOREA         | POLAND       | TURKEY               |
| CZECH REPUBLIC | LEBANON       | QATAR        | UNITED ARAB EMIRATES |
| DENMARK        | MACAU         | SAUDI ARABIA | URUGUAY              |

\*

## Article 17 (RACING) – FINANCIAL ARRANGEMENTS

Racing Authorities must ensure that all prize money advertised is duly paid to the connections of the successful horses - and/or, in the case of horses trained abroad, to the relevant foreign Racing Authority - promptly (and in any case within three months of the race) upon receipt of the clear results of any relevant drugs tests.

Racing Authorities should make available a summary of their country's laws which may impact on the financial or taxation arrangements of those participating in horseracing in that country.

Last update : NOVEMBER 2015

|             |   |               |             |                          |
|-------------|---|---------------|-------------|--------------------------|
| Agreed by : | AUSTRALIA                                 | DENMARK       | JAPAN       | PANAMA                   |
|             | AUSTRIA                                   | FRANCE        | KOREA       | POLAND                   |
|             | AZERBAIJAN                                | GERMANY       | LEBANON     | QATAR                    |
|             | BAHRAIN                                   | GREAT BRITAIN | MACAU       | SERBIA                   |
|             | BELGIUM (except 1 <sup>st</sup> sentence) | GREECE        | MALAYSIA    | SINGAPORE                |
|             | BRAZIL                                    | HONG KONG     | MAURITIUS   | SLOVAKIA                 |
|             | CANADA                                    | HUNGARY       | MEXICO      | SWEDEN                   |
|             | CHILE                                     | INDIA         | MOROCCO     | SWITZERLAND              |
|             | CROATIA                                   | IRELAND       | NETHERLANDS | TURKEY                   |
|             | CYPRUS                                    | ISRAEL        | NEW ZEALAND | UNITED ARAB EMIRATES     |
|             | CZECH REPUBLIC                            | ITALY         | NORWAY      | UNITED STATES OF AMERICA |
|             |   |               | OMAN        | VENEZUELA                |

\*

## Article 18 (RACING) - EXCHANGE RATE.

Where qualification, penalties or allowances are based upon prize money won, international comparisons should be calculated by reference to an exchange rate which each Horseracing Authority has set for this purpose. This exchange rate being the rate applicable on the first working day of the year will normally apply for a full Calendar year (other than in exceptional circumstances, such as when a currency is re-valued) and should be published by each Horseracing Authority for the benefit of participants as soon as practicable after 1<sup>st</sup> January. Countries may wish to publish their information on the IFHA website.

Agreed by :

|            |                |         |             |              |                      |
|------------|----------------|---------|-------------|--------------|----------------------|
| ARGENTINA  | CYPRUS         | HUNGARY | MALAYSIA    | POLAND       | SPAIN                |
| AUSTRALIA  | CZECH REPUBLIC | INDIA   | MAURITIUS   | PORTUGAL     | SWEDEN               |
| AZERBAIJAN | DENMARK        | IRELAND | MEXICO      | QATAR        | SWITZERLAND          |
| BAHRAIN    | FRANCE         | ISRAEL  | MOROCCO     | SINGAPORE    | TURKEY               |
| BELGIUM    | GERMANY        | ITALY   | NETHERLANDS | SLOVAKIA     | UNITED ARAB EMIRATES |
| BRAZIL     | GREAT BRITAIN  | JAPAN   | NEW ZEALAND | SLOVENIA     | URUGUAY              |
| CHILE      | GREECE         | KOREA   | NORWAY      | SOUTH AFRICA | VENEZUELA            |
| CROATIA    | HONG KONG      | LEBANON | PANAMA      |              |                      |
|            |                | MACAU   | PERU        |              |                      |

**ARTICLE 19 (RACING) DELETED**

Article 20 deleted

**Article 21 (RACING) - TRANSFER ACCOUNTS.**

In order to make international exchange easier, transfer accounts have been established between the various Racing Authorities within the limits of and according to the foreign exchange regulations of each country.

The keeping of these accounts is done in the currency of the country of origin in their books.

The use of these transfer accounts is limited to operations connected with racing and breeding and does not include payment for horses sold which has been transferred separately.

|                    |                |               |                      |
|--------------------|----------------|---------------|----------------------|
| <i>Agreed by :</i> | ARGENTINA      | GREAT BRITAIN | OMAN                 |
|                    | AUSTRALIA      | GREECE        | <b>PANAMA</b>        |
|                    | AUSTRIA        | HUNGARY       | QATAR                |
|                    | AZERBAIJAN     | INDIA         | SAUDI ARABIA         |
|                    | BAHRAIN        | IRELAND       | SERBIA               |
|                    | BELGIUM        | <b>ISRAEL</b> | SINGAPORE            |
|                    | BRAZIL         | ITALY         | SLOVAKIA             |
|                    | CANADA         | LEBANON       | SLOVENIA             |
|                    | CHILE          | MACAU         | SWEDEN               |
|                    | CROATIA        | MAURITIUS     | SWITZERLAND          |
|                    | CYPRUS         | MONGOLIA      | TUNISIA              |
|                    | CZECH REPUBLIC | MOROCCO       | TURKEY               |
|                    | DENMARK        | NETHERLANDS   | UKRAINE              |
|                    | FRANCE         | NEW ZEALAND   | UNITED ARAB EMIRATES |
|                    | GERMANY        | NORWAY        | URUGUAY              |

## **1. Principles**

The international movement of horses both for competition and for breeding has increased significantly since the original adoption of the International Agreement on Breeding, Racing and Wagering, in 1966.

The Horseracing and Stud Book Authorities (Horse Authorities) of the countries which are signatories to this Article recognise the need for scientifically based rules for the international movement of horses to prevent the spread of infectious and contagious diseases.

To this end they undertake to have the health principles contained in the health rules detailed below, applied in their respective countries on all racecourses, training centres, collecting centres and breeding establishments under their control, which receive foreign horses. They strongly recommend the application of the same rules to all horses, which may come in contact with imported horses and indeed to all places where horses are gathered.

Authorities undertake not to amend these rules in any way without consulting beforehand their counterparts in other signatory countries.

Rules, which should be drawn up in cooperation with the national veterinary authority, should cover the movement of horses between countries and, in the case of temporary movements, the separation into agreed groupings, the stabling and training of horses, whilst in the country of temporary import. Such rules aim to minimise the risk of disease introduction into, and disease spread within, a country and between countries.

Due consideration should be given to the provisions of the Office International des Epizooties \* (OIE) Terrestrial Animal Health Code when formulating health rules.

All Authorities should be aware of the publication "Guidelines to Facilitate the Temporary Movement of Registered Racehorses for International Races" adopted by the 36<sup>th</sup> Conference of the International Federation of Horseracing Authorities (IFHA), October 2002. The Guidelines serve as a basis for discussion with each country's veterinary authorities in order to achieve international harmonisation Updated Guidelines are available on line at :

["www.horseracingintfed.com/resources/Guidelines\\_2002.pdf"](http://www.horseracingintfed.com/resources/Guidelines_2002.pdf)

## **2. Temporary Import**

### **i. Certification**

All horses must fully meet the import conditions of the importing country (unless there is an agreed dispensation) and must be accompanied by health certification, issued by the National Veterinary Authorities of the exporting country. The health certification must conform with that agreed between the National Veterinary Authorities of the exporting and importing countries and must include a detailed description of the horses being certified. This may be by reference to a passport, or another official identification document. In these cases, the number of the identification document and the name of the validating authority must be included on the health certification.

Horses should travel with their passport, or another official identification document validated by an approved Horse Authority which is signatory to this Agreement.

Prior to racing or breeding, the passport, or other official identification document, issued by an approved Horse Authority which is a signatory to this Agreement, must be inspected by the relevant Authority in the importing country to confirm the identity of the horse.

## **ii. Hygiene Requirements**

All equipment used during transport, including vehicles and air stalls, should be thoroughly cleaned and disinfected prior to use.

All stables used for imported horses should be thoroughly cleaned and disinfected prior to use.

All disinfectants used for the above purposes should be approved for use by the National Veterinary Authority.

When arranging the stabling and training of temporarily imported horses, consideration should be given to the conditions that will apply when the horse is exported, as well as to national rules.

Access to stabling facilities should be restricted to authorised persons only and visitor records should be maintained.

Whenever necessary protection against insect vectors of disease must be practised by making use of physical barriers, timing of exercise periods, insecticides and insect repellents.

Standard Operating Procedures should be established in cooperation with the National Veterinary Authority and should cover biosecurity, management of stables and training of imported horses. All persons associated with the horses should be made aware of them.

Imported horses should be held under the supervision of an Approved Veterinary Surgeon who should be responsible for ensuring compliance with agreed protocols and Standard Operating Procedures.

The Approved Veterinary Surgeon will be a person approved by both the Horse Authorities and the National Veterinary Authorities of the importing country.

Standard Operating Procedures should set out the responsibilities of the Approved Veterinary Surgeon and should cover the use of local staff, facilities and equipment. They should also clearly define responsibilities and lines of communication.

The Approved Veterinary Surgeon or his/her approved delegate should be responsible for confirming the identity of imported horses, carrying out daily health inspections, including monitoring rectal temperatures (which should be taken and recorded twice daily) and for ensuring overall compliance with Standard Operating Procedures.

The Approved Veterinary Surgeon should liaise closely with the National Veterinary Authorities of the importing country and the Horse Authorities. The Approved Veterinary Surgeon should report, immediately, any significant signs of contagious or infectious disease.

## **iii. Welfare**

Horse Authorities should advise connections of horses, and their shipping agents, to be aware of national and international welfare legislation and to give careful consideration to the welfare of horses when they are being transported.

Horses should be accompanied by personnel who are experienced in transporting horses by the method of transport being used and who are familiar with emergency procedures. There should be sufficient personnel to cover any emergencies that might occur.

When horses are to be exported by air due regard should be given to the Live Animals Regulations (LAR) of the International Air Transport Association \*(IATA).

Subsequent to their arrival at their destination and prior to commencing training and racing, horses should be inspected by an Approved Veterinary Surgeon to ensure that they are in a suitable condition to resume training or racing and are free from signs of infectious and contagious disease.

The relevant rules of racing of the Horseracing Authorities of the importing country relating to protection of the welfare of racehorses must be available to horse connections.

#### iv. Treatments

All treatments to horses must comply with the rules of racing and/or national regulations. All treatments should be recorded and all injections should be administered using disposable needles and syringes.

The relevant rules of racing and national legislation relating to the treatment of horses must be available to horse connections.

\* Office International des Epizooties,  
12, rue de Prony,  
75017 Paris,  
France.  
Tel: +33 (0) 1 44 15 18 88  
Email: [oiie@oiie.int](mailto:oiie@oiie.int)  
Website: [www.oiie.int](http://www.oiie.int)

\* International Air Transport Association,  
[www.iata.org/index.htm](http://www.iata.org/index.htm)

Agreed by :

|                |               |               |                          |
|----------------|---------------|---------------|--------------------------|
| ARGENTINA      | FRANCE        | MACAU         | SLOVAKIA                 |
| AUSTRALIA      | GERMANY       | MALAYSIA      | SLOVENIA                 |
| AUSTRIA        | GREAT BRITAIN | MAURITIUS     | SOUTH AFRICA             |
| AZERBAIJAN     | GREECE        | MEXICO        | SPAIN                    |
| BAHRAIN        | HONG KONG     | MOROCCO       | SWEDEN                   |
| BELGIUM        | HUNGARY       | NETHERLANDS   | SWITZERLAND              |
| BRAZIL         | INDIA         | NEW ZEALAND   | TRINIDAD & TOBAGO        |
| CANADA         | IRELAND       | NORWAY        | TURKEY                   |
| CHILE          | <b>ISRAEL</b> | <b>PANAMA</b> | UNITED ARAB EMIRATES     |
| CROATIA        | ITALY         | PERU          | UNITED STATES OF AMERICA |
| CYPRUS         | JAPAN         | POLAND        | URUGUAY                  |
| CZECH REPUBLIC | KOREA         | PORTUGAL      | VENEZUELA                |
| DENMARK        | LEBANON       | QATAR         |                          |
|                |               | SINGAPORE     |                          |

## Article 23 (RACING / BREEDING) - VACCINATIONS.

Vaccination of horses to reduce the risk of their introducing infectious disease as well as protecting them from acquiring disease from the indigenous population is strongly recommended.

Horseracing and Stud Book Authorities (Horse Authorities) should be aware of their National Veterinary Authority's vaccination requirements.

Horse Authorities should give consideration to requiring vaccination against diseases, which are not covered by their national legislation.

Information on vaccinations and vaccination protocols should be available from the Horse Authority.

All vaccinations should be given by a registered veterinary surgeon.

A record, endorsed in writing by the administering veterinary surgeon, detailing the date of vaccination, the vaccine type and the batch number should be made, and should appear in the passport where one exists.

This record should accompany the horse and be made available to the relevant Authorities when required.

Agreed by :

ARGENTINA  
AUSTRALIA  
AUSTRIA  
AZERBAIJAN  
BAHRAIN  
BELGIUM  
BRAZIL  
CHILE  
CROATIA  
CYPRUS  
CZECH REPUBLIC  
DENMARK  
FRANCE

GERMANY  
GREAT BRITAIN  
GREECE  
HONG KONG  
HUNGARY  
INDIA  
IRELAND  
ISRAEL  
ITALY  
JAPAN  
KOREA  
LEBANON

MACAU  
MALAYSIA  
MAURITIUS  
MEXICO  
MOROCCO  
NETHERLANDS  
NEW ZEALAND  
NORWAY  
PANAMA  
PERU  
POLAND  
PORTUGAL  
QATAR

SINGAPORE  
SLOVAKIA  
SLOVENIA  
SOUTH AFRICA  
SPAIN  
SWEDEN  
SWITZERLAND  
TRINIDAD & TOBAGO  
TURKEY  
UNITED ARAB EMIRATES  
UNITED STATES OF AMERICA  
URUGUAY  
VENEZUELA

## Article 24 (RACING / BREEDING) - HEALTH INFORMATION.

Horseracing and Stud Book Authorities (Horse Authorities) should ensure that new information concerning the state of health of breeding and racing horses in their respective countries is communicated to their National Veterinary Authority and via the International Collating Centre\* (ICC) to all signatories to this Agreement.

- It is agreed that the International Collating Centre shall send, to the Secretariat of the International Federation of Horseracing Authorities, its Quarterly Report as well as Interim Reports, for circulation to all its members.
- Every Horse Authority, in conjunction with the country's Thoroughbred Breeders Association, shall appoint one veterinarian, who will be the official contact with the International Collating Centre.

Horse Authorities should permanently liaise with their National Veterinary Authorities regarding measures to prevent spread or entry of disease.

\*International Breeders' Meeting,  
International Collating Centre,  
Animal Health Trust,  
Information Exchange on Infectious Equine Disease,  
Lanwades Park,  
Kentford,  
Newmarket,  
Suffolk CB8 7UU,  
England.  
Tel: + 44 (0) 1638 750659 Ext: 1203  
Fax: + 44 (0) 1638 555659  
Email: [amanda.tanner@aht.org.uk](mailto:amanda.tanner@aht.org.uk)  
Website: [www.aht.org.uk/icc/iccform.html](http://www.aht.org.uk/icc/iccform.html)

Agreed by :

|                |               |             |                          |
|----------------|---------------|-------------|--------------------------|
| ARGENTINA      | DENMARK       | KOREA       | QATAR                    |
| AUSTRALIA      | FRANCE        | LEBANON     | SINGAPORE                |
| AUSTRIA        | GERMANY       | MACAU       | SLOVAKIA                 |
| AZERBAIJAN     | GREAT BRITAIN | MALAYSIA    | SLOVENIA                 |
| BAHRAIN        | GREECE        | MAURITIUS   | SOUTH AFRICA             |
| BELGIUM        | HONG KONG     | MOROCCO     | SPAIN                    |
| BRAZIL         | HUNGARY       | NETHERLANDS | SWEDEN                   |
| CANADA         | INDIA         | NEW ZEALAND | SWITZERLAND              |
| CHILE          | IRELAND       | NORWAY      | TURKEY                   |
| CROATIA        | ISRAEL        | PANAMA      | UNITED ARAB EMIRATES     |
| CYPRUS         | ITALY         | PERU        | UNITED STATES OF AMERICA |
| CZECH REPUBLIC | JAPAN         | POLAND      | URUGUAY                  |
|                |               | PORTUGAL    | VENEZUELA                |

\*

Article 25 - deleted

## Article 26 (RACING) - TRANSMISSION OF INFORMATION BETWEEN HORSERACING AUTHORITIES

When one Authority receives information from a third party or parties, correctly and in due time in accordance with that Authority's Rules, and fails to convey the information to another Authority, or conveys it incorrectly, the intended or receiving Authority will wherever practical accept or correct the information as long as the original notification to that other Authority complied with the intended or receiving Authority's Rules.

Notification to one Authority shall for these purposes be deemed notification to the intended or receiving Authority.

Horseracing Authorities should ensure that they implement appropriate measures to enable them to share personal data relating to licensed persons and owners with other horseracing authorities for licensing and other purposes, in compliance with any relevant data protection regulations.

Medical information about riders must be treated with specific caution, and it may be necessary to get specific consent from the rider to share their data.

Authorities may wish to consider sharing such information only between Chief Medical Officers.

For the avoidance of doubt, there is no obligation on a racing authority to share personal data in circumstances where it would breach their national or other relevant laws.

Horseracing Authorities requesting personal data in relation to licensed persons and owners should provide information and assistance as necessary to allow a disclosing Horseracing Authority to satisfy itself that personal data is permitted to be shared.

*Last update : JANUARY 2016*

|             |                |               |  |                                |
|-------------|----------------|---------------|--|--------------------------------|
| Agreed by : | AUSTRALIA      | DENMARK       | MACAU                                    | SINGAPORE                      |
|             | AUSTRIA        | FRANCE        | MALAYSIA                                 | SLOVAKIA                       |
|             | AZERBAIJAN     | GERMANY       | MAURITIUS                                | SLOVENIA                       |
|             | BAHRAIN        | GREAT BRITAIN | MOROCCO                                  | SOUTH AFRICA                   |
|             | BELGIUM        | GREECE        | NETHERLANDS ( <i>sharing of medical</i>  | SWEDEN                         |
|             | CANADA         | HONG KONG     | <i>data by non-medical authority not</i> | SWITZERLAND                    |
|             | CHILE          | HUNGARY       | <i>allowed by Dutch law)</i>             | TUNISIA                        |
|             | CROATIA        | INDIA         | NEW-ZEALAND                              | TURKEY                         |
|             | CYPRUS         | IRELAND       | NORWAY                                   | UKRAINE                        |
|             | CZECH REPUBLIC | ISRAEL        | OMAN                                     | UNITED ARAB EMIRATES           |
|             |                | ITALY         | PANAMA                                   | UNITED STATES OF AMERICA       |
|             |                | JAPAN         | QATAR                                    | <i>(except § 3 to the end)</i> |
|             |                | KOREA         | ROMANIA                                  | URUGUAY                        |
|             |                | LIBYA         |  |                                |

## Article 27 (RACING) – GUIDELINES TO HORSERACING AUTHORITIES ON THE PRINCIPLES FOR HEALTH PROTECTION OF RIDERS (PROFESSIONAL AND AMATEUR)

### 1. Standard of medical fitness to ride

Racing Authorities are advised that they should establish a medical standard for riders which is available in written form on request. When issuing a licence (permit), the Racing Authorities should ensure that the rider's health conforms to the standard they have established.

### 2. Protective equipment

To protect riders from avoidable injury, Racing Authorities should ensure that each rider wears appropriate protection for the head, body and eyes. The equipment worn by riders should conform to whatever standards are in operation. Riders must be aware of equipment that is banned in certain jurisdictions.

*N.B : The **Appendix 10 B** is a guideline to riders on the standard protective equipment required to be worn by all riders by each Horseracing Authority.*

### 3. Medical arrangements on racecourses

Racing Authorities are advised that they should establish a standard for medical personnel and equipment to safeguard the health of riders. The racecourse authority should ensure that this standard is implemented on race days.

### 4. Testing of biological samples – Control of prohibited (banned) substances

To protect the health of riders, to ensure a safe racing environment and preserve the integrity of the sport, Racing Authorities should establish a set of rules for the testing of biological samples in relation to the control of prohibited (banned) substances. The findings of a prohibited substance in a rider cannot lead to the disqualification of a horse.

Racing Authorities must compile and publish a list of prohibited substances.

Where a sample taken from a rider contains a prohibited substance, which is included in the list, a medical adviser of the Horseracing Authority must re-assess the fitness to ride of the rider and the medical adviser's conclusions must be notified to the Horseracing Authority and where applicable, to the Horseracing Authority where the rider is licensed either of which may, according to its own rules, impose sanctions on the rider.

The findings of a prohibited substance in a rider cannot lead to the disqualification of a horse.

*N.B : The **Appendix 10 C** sets out guidelines on categories of substances which a racing authority should at a minimum consider in compiling its list of prohibited substances for riders.*

### 5. Racetrack environment

Racing Authorities are advised that they should establish minimum safety guidelines to ensure that riders are not unduly exposed to any preventable hazard. The racecourse authority should ensure that these matters are addressed on every race day.

*N.B. : The **Appendix 10 A** is a guideline set of standards which may assist Horseracing Authorities to define their own requirements.*

### 6. Laboratory service

The aim of signatory countries is that their laboratories should:

- be accredited according to ISO/IEC 17025, *General requirements for the competence of testing and calibration laboratories*,
- take part in interlaboratory comparisons (clause 5.9(b) of ISO/IEC 17025 : 2005);

**Last update : NOVEMBER 2015**

|   |   |  |  |
|---|---|--|--|
| Agreed by : AUSTRALIA<br>AUSTRIA<br>BAHRAIN<br>BELGIUM<br>BRAZIL (except § 1 & 4)<br>CHILE<br>CROATIA<br>CYPRUS<br>CZECH REPUBLIC<br>DENMARK<br>FRANCE<br>GERMANY | GREAT BRITAIN (updated App. B)<br>GREECE<br>HONG KONG (except § 4 third sentence from "and the medical adviser's conclusions ..."; updated App. B ; except App. 10 C 4)<br>HUNGARY<br>INDIA<br>IRELAND (except App. 10 C 2)<br>ISRAEL<br>ITALY<br>JAPAN | KOREA (except § 4)<br>LEBANON<br>MACAU<br>MALAYSIA<br>MAURITIUS<br>MEXICO<br>MOROCCO<br>NETHERLANDS<br>NEW ZEALAND<br>NORWAY<br>OMAN<br>PANAMA | POLAND<br>QATAR<br>SERBIA<br>SINGAPORE<br>SLOVAKIA<br>SLOVENIA<br>SWEDEN<br>SWITZERLAND<br>TURKEY<br>UNITED ARAB EMIRATES<br>UNITED STATES OF AMERICA<br>VENEZUELA |
|---|---|--|--|

**GUIDELINE SET OF STANDARDS  
for health protection for riders to assist Horseracing Authorities  
to define their own requirements**

**STANDARD OF MEDICAL FITNESS TO RIDE**

**1. Introduction – Mission statement**

Race riding is an activity that requires each and every rider to exercise physical skills and judgement of an extremely high order. Any failure in a rider's performance may not only put his/her life in danger but may also put others at risk of injury, permanent disability or death.

Assessing medical fitness to ride should be done by specialised Doctors in conjunction with the family Doctor.

**2. Frequency – Age**

Frequency:

Medical examination before 1<sup>st</sup> licence.

Regular medical checks as deemed necessary.

Age:

When issuing a licence, consideration should be given to the age of the applicant in relation to maturity (minimum age) and any possible decline in mental or physical skills (maximum age).

**3. Content of medical examination / questionnaire**

This document should include:

- a signed declaration by the rider to include details of his/her medical history.
- a full record of the physical examination to cover all aspects required for racing – including Item 4 (see below).
- a written declaration by the examining doctor certifying fitness to ride.

N.B. : It is the responsibility of the issuing authority to ensure that fitness to ride is taken in consideration when a licence is issued.

**4. List of contra indications which must be published:**

- \* means the jockey as well as the other competitors may be accountable for the risk.  
The absence of \* means that the jockey can be solely held responsible.

In the following list, **R.** means refused, **D.** means deferred.

**a) Cardiovascular disorders \* :**

|   |                              |   |
|---|------------------------------|---|
| Ischaemic heart disease/(with current Angina) – R | Dysrhythmias – D             | Marfan's syndrome – R                               |
| Heart failure – R                                 | Pacemakers – D               | Treatment with anticoagulants – R                   |
| Myocardial infarction – D                         | Cardiac valvular disease – D | Peripheral vascular disease (with claudication) – D |
| By-pass grafting – D                              | Hypertension – D             | Chronic pericarditis – R                            |
| Angioplasty – D                                   | Cardiomyopathies – D         | Aneurysm – R  |
| Cardiac transplant – R                            | Congenital heart disease – D |   |

**b) Endocrine and metabolic disorders:**

- Diabetes \*
- insulin dependent – R
  - requiring oral medication – D
  - controlled by diet – D
- Thyroid disease – D
- Diabetes insipidus – R \*
- Adrenal Disorders - D

**c) Gastro-intestinal and abdominal disorders: \***

- Active peptic ulcer - D
- Acute gastric erosion – D
- Chronic gastritis – D
- Cirrhosis decompensated – R
- Chronic pancreatitis – R
- Cirrhosis – D
- Colitis (ulcerative or Crohns) – D
- Colostomy, ileostomy - D
- Gall stones – D
- Haemorrhoids, anal fissure, fistulae – D
- Inguinal hernia - D

**d) Genito-urinary and renal disorders:**

Chronic renal failure – R  
Renal transplant – R  
Nephritis – D  
Kidney stones – D  
Single kidney or horseshoe kidney - D

**e) Gynaecological conditions: \***

Pregnancy  
- normally – D  
- last three months – R  
- caesarian section – D  
- hysterectomy – D

**f) Haematology:\***

Haemorrhagic disorders – R

**g) Hearing: \***

Hearing should be adequate for the rider to hear all instructions and to ensure that the safety of other riders is not put at risk. Any loss greater than 20 Db (binaurally) is pathological in a jockey.:

- New applicants – R  
- Existing licence holders – D  
- Bilateral total deafness, surditism - R  
- One side total deafness with contralateral air and bone conduction loss greater than 20 db - R  
- Any disorder in the eardrum and medium cavum leading to a binaural hearing loss greater than 20 db - R  
- Acute otorrhea – D  
- Unilateral uncompensated vestibular areflexia – R  
- Bilateral hyporeflexia with directional preponderance - R  
- Vertigo syndrome, resolved after treatment of cause, in the absence of ideonystagmographic disorder - D  
Perforated eardrum – D  
Chronic suppurating otitis media – D  
Otosclerosis – D  
Prothesis – R

**h) Infections disorders:**

- Tuberculosis (active) – R  
- Hepatitis – D  
- HIV positive – D  
- AIDS syndrome – R

**i) Medication:**

If an applicant requires, or has required, regular medication to maintain his/her physical or mental wellbeing, a licence may be declined.

If any of the following statements applies, the Licence/Permit will invariably be declined or deferred-

- 1) The therapeutic effect of the medication may put the jockey at risk when he/she rides or falls.
- 2) The side effects, actual or potential, of the medication are such that they could interfere with the jockey's physical capability, judgement, coordination or alertness.
- 3) A voluntary or involuntary adjustment of the dosage, administration or absorption of the medication could interfere with the jockey's physical capability, judgement, coordination or alertness.

**j) Musculo-skeletal disorders:**

Amputation of a limb or part of a limb – R (loss of digit(s) will be reviewed on an individual basis - D  
Artificial limbs – R  
Fracture – D (see below)

Fractures – Before applying to return to race riding after any fracture or dislocation, the jockey should have an appropriate range of pain free movement and be able to show that his/her ability to ride is unaffected. No jockey may race wearing a plaster cast, backslab, fibre-glass support, prosthesis or similar appliance.

Fractures of the skull and spine are of particular concern and medical clearance by the Medical Advisor is required in every case. This will normally involve an examination by the Chief Medical Advisor.

**Dislocated or subluxed shoulder – first occasion – D** unless the jockey is under the age of 25, when a surgical repair should be completed (as for 'recurrent' – below)

**Dislocated or subluxed shoulder – recurrent – R** until a surgical repair has been completed.

**k) Neoplasia / cancer – D**

**l) Neurological disorders: \***

Chronic migraine – D  
Chronic neurological disorders (eg. Parkinson’s disease, multiple sclerosis, etc.) – R  
Chronic Menieres, vertigo or labyrinthitis – R  
Cerebrovascular disease – R  
Meningitis or encephalitis – D  
Intracranial tumour requiring craniotomy – D  
A-V malformation after a bleed – R  
Intracranial aneurysm – R  
Narcolepsy – R  
Pituitary tumour                   - no visual field defect – D  
   - with visual field defect – R  
  
Narcolepsy – R  
Unexplained loss of consciousness – D  
Subarachnoid haemorrhage – D – see epilepsy / single seizure below  
Intracranial haematoma – D – see epilepsy / single seizure below  
Serious head injury – D – see epilepsy / single seizure below  
Craniotomy/Burr hole surgery – D see epilepsy / single seizure below  
Epilepsy – R unless the applicant can meet the criteria relating to epilepsy in the current DVLA Medical Standards of Fitness to Drive – Group 2 (VOC-LGV/PCV-September 2009)  
Single seizure – following acute head injury, intracranial surgery or use of epileptogenic medication (e.g. Tramadol) – D (independent specialist opinion required in every case).  
Benign Epilepsy of Childhood (Benign Rolandic epilepsy) may also be subject to special consideration – D (independent specialist opinion required in every case).

PLEASE NOTE – following any cranial fracture or surgery, the integrity and/or strength of the skull must not be significantly compromised.

**m) Psychiatric disorders:**

Most mental illness affects the ability of the person to exercise sound judgment (due to the illness), or affects their ability to co-ordinate and remain alert (due to the side effects of the medication, which are frequently of a sedative nature). Either feature may endanger the well being of both the individual and other jockeys.

**Organic – disorders – R**

(Including: all forms of dementia, delirium, organic brain disorders as a result of brain damage, neurological, metabolic or endocrine dysfunction)

**Any diagnosis under psychoactive substance use – R**

(including: states of acute intoxication; dependence, withdrawal; side effects – for alcohol, recreational drugs or solvent use)

**Residual damage from substance use or abuse – D**

**Schizophrenia and Delusional disorders – R**

(including: all types of schizophrenia, schizoaffective disorders and acute and transient psychotic disorders)

**Mood disorders**

Depression – D (specialist opinion will be required with particular attention to the method of treatment. A significant number of the drugs used to treat depression will have sedative side-effects and affect co-ordination and/or physical capabilities).

Mania – R

Bipolar disorder – D

**Anxiety disorders**

Generalised anxiety – D (specialist opinion required to review the severity and mode of treatment).

Panic Disorder – R

**Personality disorders – D** (specialist opinion required in every case)

**Antisocial personality disorder also known as Dissocial or Psychopathic – R**

**Behavioural, Emotional and Developmental disorders**

ADHD (adult form) – D (specialist opinion required)

Autistic spectrum and Aspergers Syndrome – D (specialist opinion required)

**n) Respiratory disorders: \***

Asthma – D

Chronic obstructive airways disease – D

Traumatic pneumothorax – D (normal recovery 6-8 weeks)

Spontaneous pneumothorax:

- recurrent – R (until the condition has been stabilised by surgical intervention)

Emphysema – D

Respiratory insufficiency or significant shortness of breath - R

o) **Surgery / Operations - D**

Following any form of surgery, an applicant must obtain clearance from the specialist carrying out the procedure and, in the case of open abdominal surgery, must have waited a minimum of 6 to 8 weeks from the date of the operation before applying. The specialist will normally be required to provide a written report but, in certain circumstances, direct discussion with the Chief Medical Advisor may be acceptable.

p) **Visual acuity: \***

Corrective lenses are acceptable provided that there are in the form of "soft contact lenses". MINIMUM requirement (with or without corrective lenses)-

Distance vision – the "good" eye must be 6/9 or better  
- the "worse" eye must be 6/18 or better

Monocular vision – D

Significant visual field defect – R (homonymous hemianopia, bilateral glaucoma, bilateral cataract, bilateral retinopathy, etc.)

Diplopia – D

Retinal detachment – D

History of surgery to restore or save eyesight - D

5. **Appeal mechanism**

Provision should exist for riders to appeal any refusal to grant a licence based on medical grounds.

\*

**MEDICAL ARRANGEMENTS ON RACECOURSE**

1. **Introduction / Mission statement**

Medical arrangements on racecourse should be covered by a guide.

This guide should ensure that prior to racing all arrangements are in place as listed below and racing is safe to proceed.

2. **Personnel**

Doctor (mandatory)

Paramedics ambulance personnel (mandatory)

Nurse for infirmary

First aid fence attendants

3. **Transport**

Ambulance (mandatory)

Route of access for ambulance to all areas of the track

4. **Equipment appropriate**

Equipment should be available to cope with any situation that may arise.

Doctor

Ambulance

Infirmary

5. **Communication**

Permanent availability of communication between all medical staff involved on the racecourse and between the racecourse and outside specialised services.

**TESTING FOR BIOLOGICAL SAMPLES  
CONTROL OF PROHIBITED SUBSTANCES**

Details of all procedures should be available for riders in writing. This should include a list of prohibited substances, and practises, with details of all penalties imposed for infringements.

\*

**RACETRACK ENVIRONMENT**

**Preventable hazards**

**Introduction**

The conduct of racing involves the use of a number of fixed and moveable structures which may pose a hazard to riders. Racing Authorities should establish minimum safety guidelines for the following areas of concern.

**Rails and marker poles**

Rails and marker poles should preferably be flexible and concrete should be avoided.

**Parade ring / paddock**

Non-slippery surfaces for horses are recommended. Access should be controlled.

**Obstacles / wings / bypassing procedures**

Obstacles should be constructed so as to be fair to both riders and horses. Wings should be flexible (see rails and marker poles above). Arrangements for bypassing should be prepared when appropriate.

**Starting stalls / tapes – elastic**

Starting stalls / tapes should be well maintained and regularly tested.

**Public / horses**

Provision should be made to separate members of the public from all equine areas before, during and after racing.

**Ground, landing site, lightening, meteorology**

When adverse conditions put the safety of riders at risk, racing should be suspended.

**Map of the course**

A clear map and instructions should be readily available on race days for riders.

\*

**APPENDIX 10 B**

**GUIDELINE STANDARDS OF RIDING EQUIPMENT  
required by Horseracing Authorities to protect riders from avoidable injury**

**STANDARD OF PROTECTIVE EQUIPMENT ALLOWED**

**1. Helmets**

A - European Standard EN1384:1996, EN1384:1997 and PAS015:1994

B - JRA Standard (ARAI)

C - Australian Standard AS/NZS 3838 2003

D - USA Standard ASTM F11 63-01

| Agreed by Country | Helmet Standard Allowed            |
|-------------------|------------------------------------|
| GREAT BRITAIN     | A only EN1384:1997 and PAS015:1994 |
| HONG KONG         | A, C or D                          |
| SLOVAKIA          | A                                  |
| SWEDEN            | A                                  |

**2. Safety Vests**

A – European Standard EN13158:2000 Level 1

B – JRA Standard (DESCENTE)

C – ARB Standard 1998

D – Satra Jockey Vest Standard Document M6 issue 3

E – ASTM F2681 - 08

| Agreed by Country | Safety Vest Standard Allowed | Vest allowance At Scales                     |
|-------------------|------------------------------|--|
| GREAT BRITAIN     | A and D only                 |  |
| HONG KONG         | A, C or D                    | 2 pounds                                     |
| SLOVAKIA          | A, D                         | 1 kilo                                       |
| SWEDEN            | A, D                         | 1 kilo                                       |
| USA               |                              | Up to 3 pounds<br>for safety vest and helmet |

**APPENDIX 10 C**

**Prohibited Substance Guidelines**

In compiling its list of prohibited substances for riders, Racing Authorities should at a minimum have regard to the following.

1. Centrally acting analgesics including opioids and narcotics
2. Psychotropic drugs including :anti-depressants, Benzodiazepines ,Gamma-hydroxybutyrate (GHB) and pro-drugs of GHB (1, 4-Butanediol, Gammabutyrolactone), Lysergic Acid Diethylamide (LSD)
3. Stimulants
4. Beta2 Agonists and Beta-blockers
5. Cannabinoids
6. Diuretics and masking agents
7. Alcohol

## Article 28 A (WAGERING) - WAGERING

- I. In the International Agreement the term wagering shall be taken to include, without limitation, totalizator, pari-mutuel, fixed-odds or any form of bookmaking and/or betting exchange operations by whatever means (including, without limitation, electronic and telecommunications media through the Internet, interactive TV, telephone, mobile phone and other "hand-held" devices).
- II. Each signatory of this Article shall respect the jurisdictional integrity of every other signatory in the provision of wagering on racing.
- III. The use of racing events, pictures and data relating thereto for wagering purposes shall only be made with the express consent of the organisation staging those racing events and/or its authorised licensees and franchisees and/or other relevant rights holders.
- IV. Wagering opportunities shall only be offered in another country with the express consent of that country's relevant governmental authorities, if required, and in compliance with the legal and regulatory requirements of that country.
- V. All signatories to this Article shall inform their respective governments or governmental supervisory institutions about their adoption and observance of this Article and, subject to paragraph VI of this Article, shall undertake all possible efforts to lobby for legislative and/or regulatory support of this Article and to prevent wagering operators based in its jurisdiction from acting in breach of paragraphs III and IV of this Article.
- VI. Where a signatory to this Article is a body that does not have direct control over wagering then the obligations of this Article shall be read as being a commitment of best endeavours to promote respect for the Article within its jurisdiction.
- VII. The signatories to this Article shall strive to ensure complete integrity and security of their respective operations. Every effort will be made to ensure that wagering will be conducted fairly and not used as a means for any illegal activities, in particular, for money laundering.

Agreed by :

ARGENTINA  
AUSTRALIA  
AZERBAIJAN  
BAHRAIN  
BELGIUM  
BRAZIL  
CANADA  
CHILE  
CROATIA  
CYPRUS  
CZECH REPUBLIC  
DENMARK  
FRANCE  
GERMANY  
GREAT BRITAIN  
GREECE  
HONG KONG

HUNGARY  
INDIA  
IRELAND  
ISRAEL  
ITALY  
JAPAN  
KOREA  
LEBANON  
MACAU  
MALAYSIA  
MAURITIUS  
MEXICO  
MOROCCO  
NETHERLANDS  
NEW ZEALAND  
NORWAY

PANAMA  
PERU  
POLAND  
PORTUGAL  
QATAR  
SINGAPORE  
SLOVAKIA  
SOUTH AFRICA  
SPAIN  
SWEDEN  
SWITZERLAND  
TRINIDAD & TOBAGO  
TURKEY  
UNITED ARAB EMIRATES  
UNITED STATES OF AMERICA  
URUGUAY  
VENEZUELA

**Article 28 B (WAGERING) – STANDARD FOR ELECTRONIC TRANSMISSION  
OF PRE-RACE INFORMATION RELATED TO WAGERING**

**Appendix 11** to be found on IFHA Website [[http://www.ifhaonline.org/resources/2008\\_Appendix11.PDF](http://www.ifhaonline.org/resources/2008_Appendix11.PDF)] sets out a Standard for the international transmission of data relating to forthcoming races, in support of wagering activity. This encompasses both the data elements to be included and the format in which they should be transmitted.

Where countries enter into agreement that such information should be provided, the transmitting country should observe the Standard, upon request from the recipient country.

*Agreed by :*

AUSTRALIA  
AZERBAIJAN  
CYPRUS  
CZECH REPUBLIC  
DENMARK  
FRANCE  
GERMANY

IRELAND  
**ISRAEL**  
KAZAKHSTAN  
MACAU  
NETHERLANDS  
NEW ZEALAND  
NORWAY  
**PANAMA**  
PERU

SLOVAKIA  
SOUTH AFRICA  
SPAIN  
SWEDEN  
TURKEY  
UNITED STATES OF AMERICA  
URUGUAY

The granting of a licence to a trainer or the granting or renewing of a licence to a rider by a Horseracing Authority should as a guideline take account of the following criteria in order to safeguard the welfare of participants and the horse and the interests of the Racing Authority.

## **TRAINERS**

### **Experience and Qualifications**

Trainers should:

1. Have sufficient experience of working in a training establishment;
2. Be able to demonstrate recognition of the signs of normal health, common diseases and ailments in the horse and have an understanding of preventive medicine and veterinary treatment;
3. Be able to demonstrate the principles of exercise physiology and feeding;
4. Possess sufficient knowledge of racecourse procedures and the Rules of Racing of the Horseracing Authority;
5. Possess any formal qualifications required by the Horseracing Authority - for example, a qualification in Racehorse Care and Management.

### **Facilities**

Trainers should:

1. Possess suitable premises including adequate stabling arrangements. (The applicant or a suitably experienced and responsible employee to live at the premises);
2. Have access, within a reasonable distance, to gallops or facilities for training racehorses;
3. Where necessary, have access to starting stalls for schooling horses through starting stalls;
4. If relevant, have access to obstacles or nursery facilities for schooling or teaching horses to jump.

### **General**

1. The applicant to be considered of "good standing".
2. The applicant to provide suitable references in support of the application.
3. The applicant to provide a relevant business plan for the first 12 months of operating, if required.
4. The applicant to have satisfied any performance criteria in operation at the relevant time by the Racing Authority. Performance criteria may include, but are not limited to, number of wins and/or prize money earned during a specified period and the number of horses in training at the relevant time.

### **Licences for Temporary Stays**

Racing Authorities may issue licences or other permissions to trainers permanently licensed abroad, for temporary purposes of racing or training. Where such a licence or permission has been issued, the Racing Authority should include within its Rules provision to inspect and test any horse in the care of such a trainer while in that Racing Authority's country. The terms of the licence or permission, of which the applicant trainer must sign acceptance, should reflect this provision.

## **RIDERS**

### **Experience and Qualifications**

Riders should:

1. Demonstrate sufficient riding competence and experience as required by the Horseracing Authority including the satisfactory completion of an apprenticeship or riding course.
2. Satisfactorily complete any training and assessment course as required by the Horseracing Authority.

## **Medical Fitness**

1. Comply with the medical standards established by the Horseracing Authority (see Article 27).

## **General**

1. The applicant to be considered of "good standing".
2. The applicant to possess sufficient knowledge and appreciation of the Rules of Racing insofar as they affect Riders.

## **RIDERS RIDING ABROAD**

Except where Staging Authorities insist on issuing their own licence, whenever a rider goes to take part in a race in a foreign country, he may ride in that country without a licence being issued by the Staging Authority of that country provided that he declares that he is the holder of a valid licence or permit to ride and that he is not currently under any suspension or medical restriction imposed by a Racing Authority and that he is currently free from injury and fit to ride at that time.

In order to assist a rider in riding abroad, a declaration sheet has been issued which allows a person to state to the Staging Authority of the country in which he has come to ride :

1. That he is the holder of a valid licence or permit to ride ;
2. That he has not been penalised in a way which disallows him from taking part in a race ;
3. That he is or is not subject to any future period of suspension ;
4. That he agrees to be bound in all respects by the Rules of the Staging Authority concerned when riding abroad and that he accepts that any suspension imposed by that Staging Authority may be extended by other Racing Authorities under their domestic Rules and in accordance with their country's laws.
5. That he is covered by medical insurance organised either in his home country or through his own, the racetrack's or Racing Authority's arrangements in the foreign country where he is going to ride and, in the event that he is not covered, he acknowledges that he shall be responsible for his medical fees should he be injured (unless a third party is liable for such fees). Nothing in any such declaration shall be interpreted as altering any legal position on liability as between the rider and any third party).

This declaration sheet, signed by the rider and endorsed by the Official, is to be sent to the Racing Authority of the country where the licence has been issued, on the day after the race. The endorsement by the Official shall state whether or not the rider incurred a suspension and whether or not he had a fall. (Appendix 6)

\*

Countries in which the Racing Authority, appearing as signatory to this article, insists on issuing its own licence for foreign jockeys wanting to ride in the country : Australia, Hong Kong, India, Japan, Korea, Malaysia/Singapore, Mexico, South Africa (other than for brief visits).

Last update : JANUARY 2016

Agreed by :

|                |  |              |                          |
|----------------|--|--------------|--------------------------|
| AUSTRALIA      | GREECE                                 | KOREA        | SERBIA                   |
| AUSTRIA        | HONG KONG                              | LIBYA        | SINGAPORE                |
| AZERBAIJAN     | HUNGARY                                | MACAU        | SLOVAKIA                 |
| BAHRAIN        | INDIA                                  | MALAYSIA     | SLOVENIA                 |
| BELGIUM        | IRELAND                                | MAURITIUS    | SOUTH AFRICA             |
| CANADA         | ISRAEL                                 | MOROCCO      | SWEDEN                   |
| CHILE          | ITALY                                  | NETHERLANDS  | SWITZERLAND              |
| CROATIA        | JAPAN ( <i>except § 5 of</i>           | NEW ZEALAND  | TUNISIA                  |
| CYPRUS         | <i>Trainers Experience and</i>         | NORWAY       | TURKEY                   |
| CZECH REPUBLIC | <i>Qualifications Section ; all</i>    | OMAN         | UNITED ARAB EMIRATES     |
| DENMARK        | <i>Facilities section ; all Riders</i> | PANAMA       | UNITED STATES OF AMERICA |
| FRANCE         | <i>Experience and</i>                  | QATAR        |                          |
| GERMANY        | <i>Qualification Section)</i>          | ROMANIA      |                          |
| GREAT BRITAIN  |  | SAUDI ARABIA |                          |

ARTICLE 29: FOREIGN-BASED RIDER'S CLEARANCE FORM

I ..... (NAME) hereby declare that I currently hold a jockey's licence/amateur-rider's permit for flat races or steeple-chases and hurdle races issued by:

.....  
*Enter name of Licensing Authority*

I am not subject to any suspension on this day or medical restriction, am currently free from injury and fit to ride at this time and (\*I am) (\* I am not) covered by medical insurance. I agree that, should I not be covered by medical insurance, I am responsible for my own medical costs, if injured (however, this does not absolve the racecourse or any other party from liability in the case of an incident). I agree to be bound in all respects by the Rules of this recognised Racing Authority when riding today and I accept that any suspension which may be imposed on me by this Authority may be reciprocated and/or extended by other recognised Racing Authorities under their domestic Rules (including my home Racing Authority) subject to any special conditions required by the principles of procedural fairness laws of natural justice in that country

I confirm that (\*I am) (I am not) subject to any future period of suspension.

*Delete as appropriate*

\*If subject to future suspension, please give relevant dates below:

Signed:

*Rider's Name*

Racecourse:

Country:

Date:

The Rider .....

who signed this declaration and rode today incurred  
(no suspension) / (a suspension\*)

*Delete as appropriate*

\*If the Rider incurred a suspension, please give details of the suspension.

.....

Did the Rider sustain any injury or was precluded from riding for a medical related reason.

YES  / NO

If YES, please give details.

Signed(Official):

Date:

*Appendix 12 – Article 29*

*Last update : JANUARY 2017*

*Agreed by*

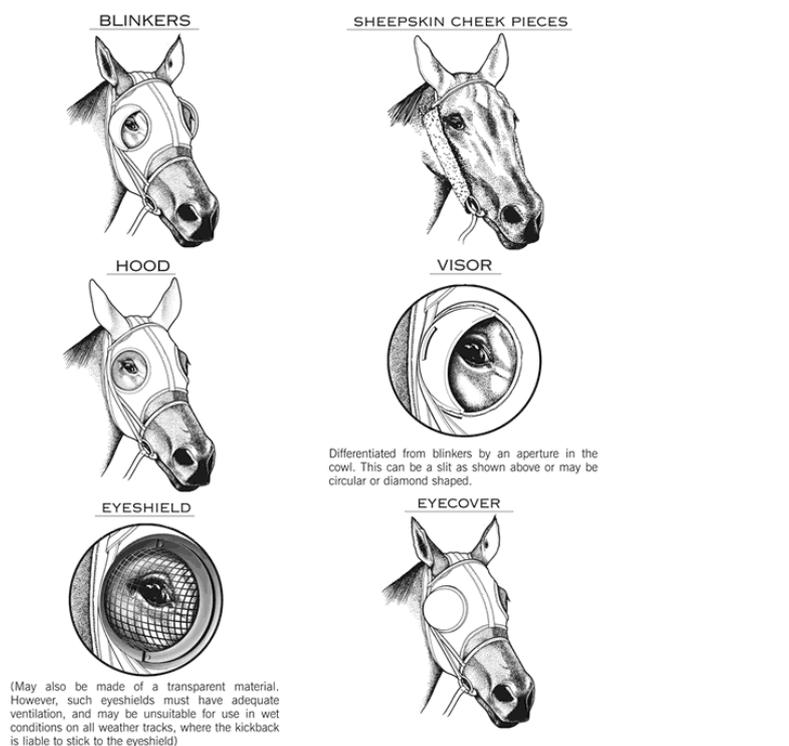
**ISRAEL**  
**PANAMA**

## Article 30 (RACING) - HEADGEAR

Racing Authorities will normally stipulate the types of headgear which horses may or may not carry in a race. Furthermore, in the interests of providing accurate information to the wider racing and betting public, they may require that some or all of the permissible headgear must be declared in advance. Some Authorities disallow the wearing of certain combinations of headgear. Headgear may be known by different names in different countries.

Penalties for non-compliance vary from country to country, but may include fines or prevention from participation in the race.

To avoid confusion and misunderstanding when horses race internationally, therefore, Racing Authorities will make available to others clear information on the Rules relating to headgear which apply in their countries, either by granting on-line access to the information or by providing it on request. It is strongly recommended that this includes graphical representations of the types of headgear permitted, (an example is shown below), to help avoid misunderstandings caused by varied terminology.



### Agreed by :

|                |               |             |                          |
|----------------|---------------|-------------|--------------------------|
| ARGENTINA      | GERMANY       | MACAU       | SINGAPORE                |
| AUSTRALIA      | GREAT BRITAIN | MALAYSIA    | SLOVAKIA                 |
| AUSTRIA        | GREECE        | MAURITIUS   | SLOVENIA                 |
| AZERBAIJAN     | HONG KONG     | MONGOLIA    | SOUTH AFRICA             |
| BAHRAIN        | HUNGARY       | MOROCCO     | SPAIN                    |
| BELGIUM        | INDIA         | NETHERLANDS | SWEDEN                   |
| BRAZIL         | IRELAND       | NEW ZEALAND | SWITZERLAND              |
| CANADA         | ISRAEL        | NORWAY      | TUNISIA                  |
| CHILE          | ITALY         | OMAN        | TURKEY                   |
| CROATIA        | JAPAN         | PANAMA      | UKRAINE                  |
| CYPRUS         | KAZAKHSTAN    | PERU        | UNITED ARAB EMIRATES     |
| CZECH REPUBLIC | KOREA         | POLAND      | UNITED STATES OF AMERICA |
| DENMARK        | LEBANON       | QATAR       | URUGUAY                  |
| FRANCE         |               | SERBIA      |                          |

## ARTICLE 31: ELECTIVE PERMANENT RETIREMENT OF RACEHORSES

Racing Authorities may establish a system under which they record the elective permanent retirement from racing of a racehorse, for example on the strength of a request, formally expressed by the horse's owner, and accepted by the Racing Authority, that the horse should not race again.

Racing Authorities adopting such a system:

- (a) should place a requirement on the owners of any horse the subject of such restrictions to make any purchaser of the horse aware thereof
- (b) may adopt a system for the lodgement and registration of agreements between seller and buyer that the horse should not race again. To address subsequent sales of the horse, Racing Authorities may wish to include the following Model Clause into their agreement form:

The Buyer agrees that on any sale, lease, trust creation or any other disposition of the Horse he shall procure that the buyer, lessee, beneficiary or other person to be legally or beneficially entitled to an interest in the Horse shall enter into a direct agreement with the Seller agreeing to be bound by the Rules of Racing from time to time in force and to observe and perform the following clauses, so that both the Buyer and all subsequent owners of the Horse shall be bound by the said Conditions:

### Conditions Applicable

1. *The Buyer agrees that, from the date of this agreement, the Horse shall not be entered to race in any race and shall not participate in any race.*
2. *The Buyer shall not sell, lease, hold on trust for another or otherwise dispose of the whole or of any part of the horse without the prior written consent of the seller.*
3. *The Buyer agrees that, on any sale, lease, trust creation or any other disposition of the horse, he shall procure that the Buyer, lessee, beneficiary or other person to be legally or beneficially entitled to an interest in the horse, shall enter into a direct agreement with the Seller agreeing to be bound by the Rules of Racing from time to time in force and to observe and perform Clauses 1 – 6 inclusive of the Conditions, so that both the buyer and all subsequent owners of the horse shall be bound by the said Conditions.*
4. *The Seller and the Buyer hereby jointly and irrevocably apply to the (Racing Authority) for notice of the restrictions contained within this agreement to be registered against the horse on their records and on the horse's passport, and the passport for the horse shall be so endorsed prior to the buyer receiving the passport*
5. *Any variation to these Conditions shall be ineffective unless agreed in writing by the Seller.*
6. *(Include any particular provisions required by the parties concerning warranties, delivery, title, risk, acceptance, remedies, etc.)*

Racing Authorities may seek from others reciprocation of the prevention from racing of horses permanently retired in this way. Where reciprocation is sought, Racing Authorities must

- (a) make clear within the document used to record the owner's request that other Racing Authorities may be requested to reciprocate the restriction on running, but that a Racing Authority may, at its discretion and with veterinary clearance, rescind the restriction under exceptional circumstances
- (b) through liaison with the Stud Book Authority (where separate) of the country in which the horse was in training at the point of retirement, ensure that such retirements are recorded in the horse's passport or other official document and, in the event of permanent exportation, into the horse's Export Certificate\*
- (c) include mention of the retirement within any Racing Clearance Notifications for the horse.

Racing Authorities in receipt of such requests for reciprocation should refuse to accept entries for the horse, although, under exceptional circumstances and with veterinary support, they may rescind such retirements.

**Creation : JANUARY 2016**

Agreed by :

AUSTRALIA  
AUSTRIA  
AZERBAIJAN  
BAHRAIN  
BELGIUM  
CANADA  
CHILE  
CROATIA  
CYPRUS  
CZECH REPUBLIC

FRANCE  
GERMANY  
GREAT BRITAIN  
GREECE  
HONG KONG  
HUNGARY  
INDIA  
**ISRAEL**  
ITALY

KOREA  
MALAYSIA  
MOROCCO  
NEW ZEALAND  
NORWAY  
**PANAMA**  
PERU  
QATAR  
ROMANIA  
SAUDI ARABIA  
SINGAPORE

SLOVAKIA  
SLOVENIA  
SOUTH AFRICA  
SWEDEN  
SWITZERLAND  
TUNISIA  
TURKEY  
UNITED ARAB EMIRATES  
URUGUAY

## ARTICLE 32 : RUNNING OF THE RACE

1. Horses must be ridden to achieve their best placing in a race.
2. Remounting  
Following the fall, during a race, of a horse and/or of the jockey from that horse, or the rider being dislodged from a horse, Racing Authorities should not permit such a horse to be re-mounted with the intention of continuing in the race.
3. Carrying Weight Throughout the Race  
In the event any part of the rider of a horse makes contact with the ground during the running of a race, irrespective of whether the rider has contact with the horse, such horse shall be deemed not to have carried the weight.

**Creation : JANUARY 2016**

Agreed by :

AUSTRALIA (except § 3)  
AUSTRIA  
AZERBAIJAN  
BAHRAIN  
BELGIUM  
CANADA  
CHILE  
CROATIA  
CYPRUS  
CZECH REPUBLIC  
DENMARK

FRANCE  
GERMANY  
GREAT BRITAIN  
GREECE  
HONG KONG  
HUNGARY  
INDIA  
IRELAND (except § 3)  
**ISRAEL**  
ITALY  
KOREA

MACAU  
MALAYSIA (except § 3)  
MOROCCO  
MAURITIUS  
NETHERLANDS  
NEW ZEALAND  
NORWAY  
OMAN (except § 3)  
**PANAMA**  
PERU  
QATAR  
ROMANIA  
SAUDI ARABIA

SINGAPORE (except § 3)  
SLOVAKIA  
SLOVENIA  
SOUTH AFRICA  
SWEDEN  
SWITZERLAND  
TUNISIA  
TURKEY  
UNITED ARAB EMIRATES  
UNITED STATES OF AMERICA  
URUGUAY

## ARTICLE 33 : CATEGORIES OF HORSE ENTITLED TO RACE

Each Racing Authority should include a Rule within their Rule Book, specifying which – if any - categories of horse, in addition to the Thoroughbred, are generally entitled to race under the Rules of that Authority. Where flat racing and jump racing are treated differently, this should be stated. This does not preclude the exclusion of certain categories of horse from individual races, where this is specifically mentioned in the race conditions.

*Creation : JANUARY 2016*

*Agreed by :*

AUSTRALIA  
AUSTRIA  
AZERBAIJAN  
BAHRAIN  
BELGIUM  
CANADA  
CHILE  
CROATIA  
CYPRUS  
CZECH REPUBLIC

DENMARK  
FRANCE  
GERMANY  
GREECE  
HONG KONG  
HUNGARY  
INDIA  
**ISRAEL**  
ITALY  
JAPAN

KOREA  
MACAU  
MOROCCO  
MAURITIUS  
NETHERLANDS  
NEW ZEALAND  
NORWAY  
OMAN  
**PANAMA**  
QATAR  
ROMANIA  
SINGAPORE

SLOVAKIA  
SLOVENIA  
SWEDEN  
SWITZERLAND  
TUNISIA  
TURKEY  
UNITED ARAB EMIRATES  
UNITED STATES OF AMERICA  
UKRAINE  
URUGUAY

\*

