

STUD BOOK REGULATIONS AND BREEDING PROGRAM OF THE CANADIAN WARMBLOOD HORSE BREEDERS ASSOCIATION

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I. AUTHORITY

The following rules and regulations are binding and enforceable as authorized under the By-Laws of the Canadian Warmblood Horse Breeders Association.

II. BREEDING PROGRAM

1. Breeding Aim

The breeding aim is well-bred Warmblood horse, correct in conformation and with good performance. A horse, which on the basis of its temperament, character and rideability is suitable for Olympic and related equestrian sports.

2. Description of the Breeding Region

The breeding region of the Canadian Warmblood Horse Breeders Association is the country of Canada. Special individual breeders and breeder's societies outside of this area are also included when the Board has so decreed.

3. Breed Population

All stallions and mares which are entered in the Association's Stud Book belong to the breeding population.

4. Breeding Program

The breeding aim is strived for through selection on the basis of judgment of conformation and the results of performance tests. In judging conformation the criteria of breed and sex type, quality of conformation, correctness of paces, buoyancy and freedom of paces, as well as general impression and development are taken into consideration. In the performance tests the physiological performance capability, willingness to perform, rideability, character and temperament are examined.

5. Criteria for Entry in the Stud Book

Entry in the Stud Book shall be decided on the grounds of the following criteria:

a) Pedigree - Registered animals must have pedigrees which trace to Warmblood horses as set out in the Articles of Incorporation and By-Laws.

b) Judgment of conformation - Judging of mares and stallions takes place before entry in the Stud Book. Judging takes place at collective events, so that the animals presented may be compared with a sufficiently large number of other animals being presented. Exceptions may be made in the case of hardship or danger to health. The horses are judged on the following criteria: 1-6 for short format mares & 1-8 for stallions and long format mares:

1. Breed and sex type
2. Quality of conformation
3. Correctness of gaits

4. Buoyancy and freedom of paces; swing, elasticity and reach of trot
5. Walk
6. General impression and development
7. Jumping (stallions)
8. Gallop (stallions)

Final Judgment - These criteria are assessed according to the following point system:

- 10 = excellent
- 9 = very good
- 8 = good
- 7 = rather good
- 6 = satisfactory
- 5 = sufficient
- 4 = insufficient
- 3 = rather bad
- 2 = bad
- 1 = very bad

The total evaluation of a horse in respect of conformation results from the addition of the judging notes of the criteria 1-6 divided by six for mares and 1-8 divided by eight for stallions and long test mares.

6. Judging Commissions

The members of the commissions, who undertake the judging of horses according to clause 5 as well as their deputies, are appointed by the Board of the Association for a period of 4 years at the most. The Judging Commission shall choose a chairman from its ranks. Resolutions shall be passed by majority vote. The chairman has the casting vote in the case of a parity of votes.

a) The Judging Commissions for Mares are nominated by the respective chapters. A Judging Commission for mares consists of:

1. Two breeders in the Association
2. A recognized EC or USEF judge or Stud Book Committee appointee.

The commission may pass resolutions if 2 of the above mentioned members are present.

b) The Judging Commission for stallions consists of:

1. Two breeders
2. A recognized EC or USEF judge or Stud Book Committee appointee.
3. Member of the Stud Book Committee

7. Stud Book Divisions

The Association shall keep a Stud Book with the following divisions and issue the following registration certificates:

- Registry recording all registration certificates issued for approved pedigrees (G)
- Main Mare Book (MM)
- Mare Book (M)
- Pre-Mare Book I (P1)
- Pre-Mare Book II (P2)
- Auxiliary Book recording pedigree certificates for non approved Warmblood pedigree (A)
- Stallion Book (S)

8. Entry in the Stud Book Divisions

(Only)horses shall be entered in the various divisions of the Stud Book which correspond to the respective conditions.

8.1 The Entry of Mares

The entry of mares in the following 5 divisions of the Stud Book shall take place when the respective conditions concerning pedigree and judgment of conformation are met.

8.1.1 Main Mare Book

Entered shall be, 2 year old and older mares which

a) are out of dams which are entered in the Main Mare Book or the Mare Book of the Canadian Warmblood Horse Breeders Association or of another recognized Warmblood registry. The sire either be entered in the Stud Book of the Canadian Warmblood Horse Breeders Association or of another recognized Warmblood Registry.

b) and in the judgment, according to section 5, reach at least 5 points in each of the 6 parts of the criteria and at least 6 in the final judgment or

c) are accepted in the Main Mare Book (or equivalent) of a recognized Warmblood Registry and which meet the pedigree requirements of the Articles of Incorporation of the CWHBA.

8.1.2 Mare Book

Entered shall be, 2 year old and older mares which

a) are out of dams which are entered in the Main Mare Book, the Mare Book or the Pre-Mare Book I of the CWHBA or of another recognized Warmblood registry. The sire, and sires of the dam and grand-dam must either be entered in the Stud Book of the CWHBA or of another recognized Warmblood registry or

b) are registered Trakehner mares.

c) and in the judgment according to section 5 reach at least 4 points in each of the 6 parts of the criteria and at least 5 in the final judgment.

d) are accepted in the Mare Book (or equivalent) of a recognized Warmblood Registry and which meet the pedigree requirements of the Articles of Incorporation of the CWHBA.

8.1.3 Pre-Mare Book 1

Entered shall be, 2 year old and older mares which

a) are out of dams which are entered in the Mare Book, or the Pre-Mare Book of the CWHBA or of another recognized Warmblood registry. The sire must either be entered in the Stud Book of the CWHBA or of another recognized Warmblood Registry.

8.1.4 Pre-Mare Book II

Entered shall be, 2 year old and older mares which

a) are out of dams which are entered in the Pre-Mare Book or the Auxiliary Book of the CWHBA or of another recognized Warmblood registry. The sire must either be entered in the Stud Book of the CWHBA or of another recognized Warmblood registry or

b) are registered Thoroughbred, Arabian or Anglo-Arabian mares which in the judgment according to section 5 reach at least 4 points in each of the 6 parts of the criteria and at least 6 in the final judgment.

8.1.5 Auxiliary Book

Entered shall be, 2 year old and older mares which do not qualify for entry in one of the aforementioned divisions of the Stud Book.

8.1.6 DNA Sampling

Verification of a DNA profile filed with the CWHBA at time of inspection and or entry into the studbook, or a hair follicle sample must be taken from each mare for DNA processing, the cost to be borne by the owner.

8.2 Stallions

The entry of stallions in the Stud Book of the Canadian Warmblood Horse Breeders Association takes place when the requirements are fulfilled concerning pedigree, the judgment of conformation and the results of performance tests.

8.2.1 Three year old and older stallions

Approved shall be, 3 year old and older stallions:

- a) who the Stud Book Committee shall determine are licensed, tested and approved as stallions in a recognized Warmblood Registry, or
- b) whose sires are approved Canadian Warmblood stallions and whose dams are entered in either the Main Mare Book, Mare Book, Pre Mare Book I or are out of TB, Arabian or Anglo-Arabian mare entered in the Pre Mare Book II of CWHBA, and
- c) which reach at least 5 points in each of the 8 parts of the licensing criteria according to no. 5.b and at least 7 points in the final judgment and
- d) which fulfill one of the following performance requirements:
 - 1) have a total result of not less than 70 index based on a 100 index average for the tested group in the test for suitability as a riding horse at a testing establishment for stallion performance which has been sanctioned by the Board
 - 2) or have five times having achieved 5 scores of 65% or greater in Prix St George dressage competition, under minimum 3 different juries, or five results in the top 8 in National Open Jumper competition, or three times in the top ten in Concour Complete International Two Star competition (specify number penalty points), or have won three Hunter Championships minimum height 3ft 6in, or five results in the top 8 at a hunter derby 3ft 6in.
All competition results must be submitted from Gold or higher level competitions or other equivalent competition
- e) or who are Trakehner, Arabian, Anglo Arabian or Thoroughbred and meet the conformation requirements of c. and the performance requirements of d.1. or d.2. and are judged by the commission for stallions, when directed by the Studbook Committee, to further the aims of the breeding program as laid out and sustained by the Board.
- f) or which are Thoroughbred stallions that meet the licensing requirements of c. and have a racing record equivalent to the requirements of d.2. as determined by the Studbook Committee.

8.2.2 Licensing Two (2) and three (3) Year Old Stallions

Two (2) and three (3) year old stallions may be issued a temporary licence in the Stud Book before fulfilling the performance requirements according to section 8.2.1.d for the purpose of an early judgment of their progeny. In the judgment of conformation they must have reached at least 5 points in each part of the criteria and at least 7 points in the final

judgment. The licence may be cancelled if the stallion has not fulfilled the requirements according to no. 8.2.1.d1 by the end of the fifth year of life. If the stallion does not fulfill these requirements then his male progeny may not be entered in the division for stallions in the Stud Book.

8.2.3 Judgment of Progeny of entered stallions

Six years at the latest, after entry in the Stallion Book, judgment on the conformation, breeding and competition successes of the progeny of stallions shall be taken into consideration by the Judging Commission for Stallions.

If it is ascertained from the judgment of at least 15 progeny that the breeding value of a stallion does not justify continuation in the Stallion Book then the stallion may be struck out of the Stallion Book at the discretion of the Studbook Committee.

8.2.4 Judgment of Progeny of non-approved stallions

Stallions which do not qualify for entry into the Stallion Book according to 8.2.1 due to age or injury but which in the judgment of conformation have reached at least 5 points in each part of the licensing criteria and at least 7 points in the final judgment may be

a) the licence may be cancelled if the stallion has not fulfilled the requirements according to section 8.2.4b within two (2) years of issue of licence.

b) approved by evaluation of the conformation and or competition success of 15 or more of their progeny.

If it is ascertained by the Judging Commission for Stallions that the progeny are a significant improvement over their dams and that they demonstrate significant competition success to be of breeding merit then the stallion may be approved by the Studbook Committee.

8.2.5 DNA Sampling

A DNA profile for all licensed and approved stallions must be on file and if not, at time of inspection, a hair follicle sample must be taken from each stallion for DNA processing, the cost to be borne by the owner.

8.3 Inspection by non recognized societies

Mares or Stallions inspected or approved by societies other than the recognized Warmblood Registries may be entered in the Stud Book if the Stud Book Committee determines that the inspection or approval met the standards of the CWHBA Stud Book regulations section 8.1 or 8.2. Recognized Warmblood Societies are Warmblood Breeding Societies as determined by the Board of Directors, from time to time, that meet the requirements for pedigree in the Articles of Amendment and the performance requirements contained in these Studbook Regulations.

III. THE STUD BOOK MANAGEMENT

The Registrar is responsible for the accuracy of the Stud Book entries, the issuing of the pedigree certificates, the conformity of these with the Stud Book regulations.

The Breeder is above all responsible for the accuracy of the declaration on the breeding certificate and breeding reports, as well as other certificates which they have to fill in, send in or preserve. They must also check all Stud Book documents and forms, including the pedigree certificates, which are sent by the Association on entry in the Stud Book. The Association or registrar must be immediately notified of all mistakes in order that these may be corrected.

Corrections by the breeder himself are not allowed. In the case of corrections a corresponding correction notice must be made by the Association's authorities.

1. Stud Book

The Stud Book shall be managed and kept in the Association's business office or if need be in a computer establishment. The Stud Book must contain at least the following information on each entered horse:

- a) the name and address of the breeder, the person in possession of the horse, and the owner
- b) the date of birth, sex and markings
- c) as far as known the markings (colour) of the sire and dam
- d) all results of performance tests and information of breeding value, as far as is known by the CWHBA
- e) the date,
- f) the issuing of pedigree certificates
- g) where applicable at least 4 generations of ancestry
- h) the judgment of the horse
- i) the progeny. By stallions the entered sons and daughters, and by mares the entire progeny
- j) premiums and show successes
- k) Universal Equine Life Number
- l) Microchip number and location if chipped
- m) DNA profile when available

The decisions concerning approval, licensing and covering permission (with all particulars), the issue of registration certificates (the reason and original numbers in the case of repetition) shall also be noted.

2. Breeding Certificate

When an annual stallion report of breeding has not been submitted or received by the association, a breeding certificate shall be completed by the stallion owner or agent and signed by him or his deputy after the mare has been covered. The breeding certificate must contain at least:

The name and number of the mare, the name and number of the stallion, all acts of covering, live and artificial insemination and if need be the date and result of the pregnancy examination, the name and address of the owner of the mare and the signature of the stallion owner or his deputy or in the case of transported semen (frozen or fresh) the signature of a veterinarian or A.I. Technician.

3. Application for Registration (Notification of Birth)

The application for registration with the relevant dates shall be sent to the CLRC within 12 months of a successful foaling. Application must be signed by the owner at time of registration. Late registrations are accepted at the current level of fees as set by the Board. The notification of foaling must contain at least:

The name and number of the foal's dam, name and number of the sire, name and address of the stallion owner and of the owner of the mare as well as the foal, the date of birth, sex, colour and markings of the foal including cowlicks and whorls. The Association's authorities shall acknowledge the receipt of the application for registration by the issue and sending of the registration certificate.

3.1 DNA Sampling

Foals born in 2011 and thereafter must have a hair follicle sample, for DNA profiling and parentage verification submitted at time of registration.

4. Registration Certificate (Pedigree Certificate)

A pedigree certificate may only be issued if the dam has been entered in the Stud Book of the CWHBA for the year of covering or if the appropriate additional fee is paid.

4.1 Registration Certificates for Entered Mares

a) the CWHBA issues Registration Certificates in the following cases:

RED CERTIFICATES for foals with three generations approved pedigree out of Main Mare Book, Mare Book or Pre-Mare Book 1 mares, which are by stallions entered in the Stud Book of the Association. The pedigree certificates show the Main Mare Book logo on the title side.

BLUE CERTIFICATES for foals out of Pre-Mare Book II mares, which are by stallions entered in the Stud Book.

WHITE CERTIFICATES for foals out of Auxiliary Book mares or from non-approved Warmblood pedigree.

Certificates of appropriate colour for horses born prior to 1994; not registered with any other Warmblood Registry and sired by stallions licensed or eligible to be licensed by the CWHBA as may be substantiated by sworn affidavits and or DNA sampling.

b) Entry Certificate: A yellow certificate of studbook entry is issued for all non CWHBA registered mares. This not a registration certificate.

4.2 The Issue of Registration Certificates

The registration certificates shall be issued and sent to the breeder to keep, after the application for registration has been received. The breeder or owner is responsible for seeing that all the information in the pedigree is correct. Mistakes must be reported immediately. It is their duty to preserve the pedigree certificate carefully. The entry of the horse in the Main Stud Book (breeding section), may only take place if a valid registration certificate can be produced. The registration certificate belongs to the horse. It should be sent to the Association's business office on the death or slaughter of the horse.

In order to fulfill the requirements of the CWHBA the registration certificate must contain at least the following information:

- a) the Stud Book Division
- b) name and address of the breeder and the owner
- c) date of birth and sex of the horse, as well as its identification marks and those of its parents (name and number)
- d) all known results of performance tests and the ascertainment of the breeding value of the horse and its parents
- e) place and date of issue
- f) signature of the Animal Registration Officer and the General Manager of the CLRC
- g) notes on licensing, approval and covering permission
- h) the name and number of at least 4 generations of ancestors
- i) notes concerning entry in the Stud Book
- j) foal and entry brand mark

It must be possible to enter the name of each new owner. The registration certificate is an important document for the horse owner. It does not give the right of entry in the Stud Book later in all cases, but is an important pre-requisite for entry into the relevant Stud Book divisions.

4.3 Registration Numbers

Each registration certificate shall be numbered according to the system “PP NNNN YY DD”, where:

- a) PP is a two letter code corresponding to the Province, country or region of birth. AB Alberta, BC British Columbia, SK Saskatchewan, MB Manitoba, ON Ontario, PQ Quebec, NB New Brunswick, NS Nova Scotia, PE Prince Edward Island, NF Newfoundland, YK Yukon, NT North West Territories, Nunavut or standard CLRC country code designations
- b) NNNN is a four digit identification number.
- c) YY is a two digit number corresponding to the year of birth.
- d) DD is a two letter/digit code corresponding to the Stud Book division.

Example: AB 1234-92 MM shall mean the Province of Alberta, serial number 1234, born in 1992, entered in the Main Mare Book division.

4.4 The Issue of Duplicates

Registration certificates shall only be issued singly. A duplicate may be issued on application in the case of loss, it must be clearly marked as such and numbered. And a witnessed application for loss of the original certificate must accompany the application.

4.5 Notice of Transfer of Ownership

Notice of transfer of ownership and payment of transfer fees is the responsibility of the vendor and must be completed within 6 months of a transaction.

4.6 Regulations in the Case of Different Stallions (Covering in the Same Heat Period)

If a mare is covered by two different stallions during a heat period then a pedigree certificate may not be issued until the fatherhood has been verified.

5. The Progeny of Entered Mares of Other Breeds

The progeny of mares of other breeds, which are entered in the Stud Book of the CWHBA, can only be issued with a CWHBA registration certificate and be branded accordingly if they are not registered with another Warmblood Registry.

6. Appointed Times for Notification

The Stallion Report which lists the dates of covering and artificial insemination by privately owned stallions shall be sent to the Association's offices by the stallion owner by the 30th of October each year.

7. Alteration of Breeding Dates

All alterations such as breeding dates, departure through death or sale, alteration of colour and markings, results of performance tests, etc., shall be notified to the Association's offices immediately and without special summons.

8. Alteration of Stud Book Entries

The Association must order the transfer of a horse to another division of the Stud Book, or if necessary, the striking from the Stud Book, should it subsequently become known that the preconditions for entry were not met or have later ceased to be. Each alteration is to be clearly marked.

All originally issued pedigree documents shall be withdrawn and rendered useless, but not destroyed. They must be kept in the Association's offices for 20 years.

IV. THE ASSURANCE OF MARKS AND IDENTITY

1. Identification Marks

Identification takes place in the Canadian Warmblood Horse Breeders Association by a description, with as many details as possible, of the colour and markings of the horse, by the issuing of a number and by name.

1.1 Entry Number

Each horse receives a number, at the latest on entry in the Stud Book. This number shall not be altered. This applies also to the transfer of the horse concerned to another division of the Stud Book. Should a horse have already been entered in another breeding Association then this entry number is also to be taken over on the entry in a division of the Stud Book of the Canadian Warmblood Horse Breeders Association.

1.2 Entered Name

Mares which shall be entered in the Main Stud Book shall receive, in addition to the number, a name.

V. FURTHER REGULATIONS FOR THE ENTRY OF MARES AND STALLIONS

1. Entry of Mares

1.1 Subsequent Entry of Mares which Have Died Prematurely

A subsequent entry of mares is possible when these shall have died before the date on which they should have been presented for entry in the year of the foal's birth. This possibility only serves the purpose of issuing a pedigree certificate for the last born foal. The Judging Commission for mares shall decide in each case, whether, and in which division, the subsequent entry shall take place.

1.2 Transcription of Mares

A subsequent alteration of the registration, the brand mark or the pedigree certificate shall not take place for mares which are already entered, or for their progeny (the exception are mares which have been entered and where the assumed conditions concerning pedigree shall be proved false)

2. Entry of Stallions

2.1 Date of Entry

The entry of stallions in the Stud Book of the Canadian Warmblood Horse Breeders Association must be applied for annually not later than December first of each year.

2.2 Presentation for Entry

Stallions may only be presented for entry in the Stud Book under the name of the owner.

2.3 Certainty of Pedigree

Stallions shall only be entered when the parentage has been ascertained by a DNA screen. Effective 2011.

2.4 Deficiencies in Conformation

Stallions to be entered shall not have had any operations for the correction of deficiencies in conformation.

2.5 Publication of Entered Stallions

All stallions entered in the Stud Book of the Canadian Warmblood Horse Breeders Association shall be made known annually.

2.6 Stallion Management Records

The stallion owner is obliged to keep a list of coverings in which each act of covering, shall be entered. Apart from this, the owner of the mare shall be issued with a covering certificate. Stallions Books shall be obtained from the Association's office. All changes of ownership or place of covering must be immediately reported to the Association's offices. The same applies should a stallion die or otherwise no longer be used for breeding purposes.

VI. FEES

Membership fees and all other fees shall be determined by the board of directors of the CWHBA.