



# Principles of the Appaloosa Breed of Appaloosa Horse Club Germany e.V.

Officially recognized breeders' association

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## **1. Principles for the breeding programme of the Appaloosa breed**

### **1.1. Legal basis**

The legal basis of these Principles is constituted of the Stud Book Rules (ZBO) of the ApHCG e.V., any regulations of the European Union applicable at the time, the legislation of the German federal and state governments concerning zootechnical and animal welfare matters, the Viehverkehrsverordnung ("livestock movement order"), the Articles of Association of the ApHCG e.V., and the Official Handbook of the Appaloosa Horse Club, Moscow/Idaho, USA (ApHC).

The Appaloosa Horse Club Germany e.V. breeders' association complies with the principles set up by Appaloosa Horse Club (ApHC), in accordance with the specifications of the EU and the German zootechnical legislation. The Official Handbook of the ApHC determines the principles of breeding Appaloosas. Where the regulations defined there are not consistent with EU law, ApHCG e.V. will make appropriate arrangements. Appaloosa Horse Club Germany e.V. is the organisation that maintains the stud

book of the origin of the Appaloosa breed for Europe. This is done in accordance with the specifications of the EU. These provisions bindingly determine the principles for the breeding of the Appaloosa breed for all breeders' associations maintaining subsidiary stud books. The breeders' associations are requested to comply with the principles of the original stud books, particularly when establishing a breeding programme.

Amendments to the facts of the Principles require the consent of Bayerische Landesanstalt für Landwirtschaft prior to implementation. Amendments to the Principles will be made public on the internet at [www.aphcg.com](http://www.aphcg.com).

Amendments to this breeding programme shall be effected by the general assembly of ApHCG.

## 1.2. Basic provisions for the breeding programme

- 1) The breeding programme for the Appaloosa breed comprises all measures and activities that are suited to achieve a genetic improvement with regard to the defined breeding aim. This particularly includes the evaluation of the physical appearance, performance tests, breeding value estimations, and selection. The breeding value estimation may consider not only the results of the own population but also those of other breeders' associations or authorities.
- 2) To deliver proof of hereditary defects, the breeders' association may order genetic tests at any time. If necessary, it may issue orders as to limit or ban the further breeding activities of stallions and broodmares. The owner is to tolerate the testing and to bear the expense of it.
- 3) Offspring of the stallion IMPRESSIVE shall produce a negative (N/N) HYPP genetic test. This does not apply if the test is already available for the parent/parents in question.
- 4) Provisions for controlling medication  
At breeding shows/performance tests, horses will not be admitted or, if necessary, will be excluded subsequently, that have been given a doping substance or a prohibited drug. This also applies to horses which have been subject to a prohibited method or which have been manipulated or interfered with in order to influence their performance, capability or willingness to work. The breeding committee/judges are entitled to order spot medication tests at any given time. In case of a positive result the owner shall reimburse the breeders' association for all expenses and shall pay a fine according to the current schedule of fees. The offence shall be published in the association's organ, naming both the breeder and the horse. Furthermore, horses shall not be admitted or will be excluded subsequently for which the ApHCG or any other breeders' association or horse sport association have established proof of a prohibited medication, a prohibited method or a prohibited interference aimed at influencing the horse's performance within three months - twelve months in case of anabolic steroids - before participating.
- 5) Solid-coloured mares and stallions (according to Principles 5.1) cannot be bred to horses that do not display the typical coat colour of an Appaloosa and/or pink-grey pigmented skin and a further external feature, the origin of which is, however, proven beyond doubt by a DNA analysis. They must not be bred to the breeds approved for cross-breeding. This concerns Appaloosas that do not have a regular registration but a registration with the prefixes "CN" or "N" in front of the number code.
- 6) Coloured mares and stallions (according to ZBO section 25.1.) may be bred to horses that do not display the typical coat colour of an Appaloosa and/or pink-grey pigmented skin and a further external feature, the origin of which is, however, proven beyond doubt by a DNA analysis. They also may be bred to the breeds approved for cross-breeding. They may also be bred to Appaloosas that do not have a regular registration or that have a registration with the prefixes "CN" or "N" in front of the number code.

- 7) With regard to the age of the horse, 1 January of the year of birth is the key date to determine which year the horse belongs to.
- 8) Zootechnical certificates (certificate of origin, horse passport)  
The zootechnical certificate is a certificate that is issued by an approved breeders' association and states the origin and performance of a breeding horse. It may be issued as a certificate of origin. It is a zootechnical certificate according to § 2 no. 12 TierZG, provided both parents are registered in a stud book of the same breed. The horse passport serves as a document to identify registered horses according to the EU Commission Regulation (EC) No 504/2008 and the German federal Viehverkehrsverordnung (VVVO). The breeders' association shall issue a horse passport for every registered foal born from 1 November 1997 in a uniform format (§ 10 ZBO). For breeding horses, the horse passport is tacked together with the zootechnical certificate in a combined folder (horse passport incl. zootechnical certificate), which may only be issued by an officially recognised breeders' association. Passports of horses that are not breeding horses as defined in animal breeding law do not contain a zootechnical certificate (passports for leisure horses). Should those horses be registered with a stud book, their horse passports will be extended by a registration certificate (zootechnical certificate).
- 9) Certificate of ownership  
The certificate of ownership (Certificate of Registration) belongs to who is the horse's owner according to the German Civil Code. Thus, when the horse is sold, the certificate shall be handed over to the new owner, along with the horse's passport and a completed and signed transfer report. In case of the horse's death the horse passport shall be given back to the issuing breeders' association. In case the certificate is lost, only the issuing breeders' association is entitled to issue a duplicate copy which is labelled as such.

## 2. Method of breeding

The breeding aim set by the association shall generally be pursued by pure-breeding and selection. "Pure-bred Appaloosas" shall mean all horses duly registered with the stud book of an approved breeders' association. The Appaloosa is internationally bred by means of pure-breeding in closed stud books of the national breeding associations.

New genetic material from other breeds may be introduced. The breeds admitted for cross-breeding are:

- American Quarter Horse, registered with an approved breeding association
- Pure-bred Arab, registered with an approved breeding association
- English Thoroughbred, registered with an approved breeding association.

Offspring from an interbreeding of the admitted breeds (e.g. American Quarter Horse) cannot be registered with the stud book. Only stallions and mares that are listed in the main section of the stud book of the respective breed are admitted (COM 69/78/EC).

## 3. Selection methods

- 1) The improvement of the breed shall be effected by selecting systematically.
- 2) A horse shall only be registered with the stud book when its origin meets the requirements of the rule book, which are standardised in the stud book, and when this fact is proven ahead of the registration in the form required.
- 3) The following selection stages are designated:

a. **First stage:** Offspring evaluation

Offspring evaluation as suckling or, in justified exceptional cases, as yearling.  
(Upon application, import horses may be evaluated at the first stage even as older horses).  
The evaluation of the physical appearance of foals and yearlings will be recorded in the stud book using the following grading:

Ia = with an overall score of 8.0 and better

Ib = with an overall score of 7.5 up to 8.0

II = with an overall score of 7.0 up to 7.5

Foals with an overall score of less than 7.0 do not receive the rating ApHCG Premium Foal.

b. **Second stage:** Licensing/breeding show

- Evaluation of the physical appearance of two-year-old and older stallions including the presentation at a licensing event and the registration with a stallion stud book.
- Evaluation of the physical appearance of two-year-old and older mares including the presentation at a breeding show for registration with a mare stud book.

c. **Third stage:** Performance tests for stallions and mares (s.a. 7.1.2.).

d. **Fourth stage:** Offspring performance evaluation

The offspring's performance at breeding shows, halter shows and Futurity and/or Performance Classes and/or Races is determined in scores and also in points. Performance results from ApHC are accepted.

## 4. Breeding aim and breed description

According to the framework set by the German animal breeding law ("Tierzuchtgesetz") for maintaining and improving horse breeding, the breeders' association pursues the following breeding aim with regard to the Appaloosa Horse:

The aim is to breed a versatile horse that is equally suitable for both leisure and competition riding. Apart from a correct body conformation and correct movements, both in a quality typical of the breed, the horse is supposed to have a hardy constitution and stamina as well as good health and an undemanding character. Particular attention is given to an impeccable character and a good-natured disposition.

### Breed description:

#### **Breed description:**

|                          |  |
|--------------------------|--|
| Breed:                   | Appaloosa Horse  |
| Origin:                  | North America  |
| Height:                  | 142-165 at withers (stick-measure)   |
| Colours:                 | All except Albinos and pinto spotting patterns   |
| Distinguishing features: | Spots or coat pattern all over the body or on the back part (no pinto spotting patterns), pink-grey pigmentation of the skin, readily visible white sclera with the eye in a normal position, vertically striped hooves. |

#### **Conformation:**

|       |  |
|-------|--|
| Head: | Short, wedge-shaped, small firm muzzle, strong throat latch with a clean throat, straight nose-line, broad forehead, big friendly eyes, small well-shaped ears |
|-------|--|

|                   |   |
|-------------------|---|
| Neck:             | Light poll in sufficient length, supple   |
| Body:             | Close to square type, with a long sloping shoulder, short back, long croup, well pronounced, not too high withers that reach far into the back, sufficiently wide chest, legs not too long; strong muscles, especially in the hindquarters. |
| Limbs:            | Lean, correct, joints not too small, short cannon bones, hard hooves  |
| Movements:        | Smooth action with a supple activity of the back, correct, rhythmical, with a good thrust of the hindlegs.  |
| Range of uses:    | Easy to handle horse for the whole family, suitable for all disciplines of horse riding and competition riding, particularly Western Riding.  |
| Special features: | Good-natured, friendly disposition, pleasant character, intelligent with strong nerves.   |

## 5. Relevant characteristics (selection criteria)

### 5.1. Characteristics of the breed are:

#### 1) Eyes with a white sclera (human eye)

#### 2) Striped hooves

#### 3) Coat patterns

#### 4) Mottled skin

Where the coat does not cover the skin, e.g. at the muzzle and in the genital area, the pink-black mottled skin is a characteristic. The spots on the skin are not identical to the spots of the coat! White hair may grow on pink as well as black skin. With roan Appaloosas there is often dark coat hair e.g. at the hip, the elbow or at the stifle, similar to a shadow. This is another distinguishing feature of the Appaloosa.

#### 5) Coat Patterns

In order to describe the coat patterns, seven categories (Coat Patterns) are used, to which any horse is assigned.

##### 5.1) Blanket

This pattern describes a horse with a white "blanket" over the croup that is clearly defined against the base colour and rich in contrast to it. This blanket is not necessarily confined to the croup (e.g. white over the hip).

##### 5.2) Spots

This term defines white or dark spots (e.g. spots in the hip or loin area).

##### 5.3) Roan

Roan is not a colour but describes single white hairs intermixing with other hair; the pattern may be confined to patches.

##### 5.4) Roan Blanket

A blanket that is not white but roan (e.g. roan over the hip area).

### **5.5) Roan Blanket with Spots**

Apart from the roan blanket there are also spots (e.g. roan with spots over hips and loans).

### **5.6) Solid**

A solid-coloured horse of any base colour. Those horses need to feature mottled skin and a further Appaloosa characteristic in order to be issued regular documents. In order to be regularly registered with a stud book (Registration), an Appaloosa needs to feature a discernible coat pattern or mottled skin plus a further characteristic.

Horses that are regularly registered with a stud book receive a serial number (without letters in front of the number). Those who do not feature clearly discernible mottled skin plus a further typical characteristic are classified as non-characteristic (N/C); there is the letter N in front of their registration number.

Horses that have the full Performance Permit (PP) receive the letters CN in front of the serial number.

## **5.2 The 14 base colours of the Appaloosa**

### **1) Bay**

This colour covers all lighter and reddish shades of brown, with the mane, tail hair and lower legs being black.

### **2) Black**

"Black" describes black horses without any lighter tints but with black mane and tail.

### **3) Blue Roan**

The Blue Roan features white hairs intermixing with a black base colour. Mane and tail hair may be black or grey. A typical feature of the Appaloosa Roan is the stronger lightening at the forehead and the facial bones; usually a Roan gets lighter with age.

### **4) Buckskin**

The coat colour is yellowish or golden with black mane and tail hair and black lower legs. A Buckskin may have a dorsal band, but no "zebra stripes" on the legs.

### **5) Chestnut**

The chestnut colour covers a range from golden and copper to a dark "liver shade". The darkest variety may even feature small black tints, the light varieties white hairs.

Mane and tail hair can either be the same colour as the coat or even be flaxen-coloured. In rare cases, a very light Chestnut with a flaxen mane might be mistaken for a Palomino.

### **6) Cremello or Perlino**

Cremellos feature pink skin, blue eyes and ivory-coloured hair. Perlinos also feature pink skin, blue eyes and ivory-coloured mane and tail, which are, however, a darker shade than the coat. Cremellos and Perlinos do not have a dorsal band.

### **7) Dark Bay or Brown**

This denotes dark or blackish brown horses, which may have lighter areas at the nostrils, eyes, shoulders, lower belly, flanks, and on the inside of the legs (at stifle height). Mane, tail hair and legs

are black. The colour Brown might also include horses with brown mane and tail hair. Those feature only few light areas which are mostly confined to the head.

#### **8) Dun**

As with the Buckskin, the coat colour is yellowish to golden, or it might be a dull copper shade. The Dun always features a dorsal band (without white markings) and may have zebra stripes at the legs. The mane and tail hair is brown, reddish, yellow, or a mixture of all three.

#### **9) Gray**

The coat colour Gray is a mixture of white and black hair with a dark background. Almost any horse of this colour is born in a very dark shade, with the white hairs growing more and more over the years, particularly around the eyes and ears first. An elder horse might even be confused with a White.

#### **10) Grulla**

This colour is often referred to as smoke or mouse or dove coloured. It is not the result of dark hair intermixing with white hair, every hair is coloured in the same shade. Mane and tail hair as well as the lower legs are black, sometimes Grullas feature zebra stripes and/or dorsal bands.

#### **11) Palomino**

A Palomino's colour is often described as 22-carat gold. In general, the coat colour is a shiny golden yellow. Mane and tail hair are always a lighter shade than the coat, often almost white. Dapple grey spots are not Appaloosa spots.

#### **12) Red Roan**

This colour results from white (roan) hairs intermixing with the base colour. Thus, the Red Roan features red - chestnut-coloured - and white hair. Head and legs usually appear solid-coloured, mane and tail hair correspond with the base colour or may be streaked with white hairs.

#### **13) White**

The coat colour is as white as snow with a pink or slightly pigmented background. Appaloosas featuring a white base colour with dark Spots (striking, often circular or oval spots) colloquially are called Leopards, although the certificate of origin says "White with Spots". Mane and tail hair are always white without dark streaks, unless these result from a Spot near the mane.

#### **14) Bay Roan**

With the Bay Roan, white hairs intermix with the brown base colour of the coat; mane and tail hair might be black or grey. A typical feature of the Appaloosa Roan is the stronger lightening at the forehead and the facial bones; usually a Roan gets lighter with age.

### **6. Subdivision of the stud book and requirements for stud book registration**

The association maintains a closed stud book. The stud book contains the main sections I and II and may contain an appendix, in accordance with the breeding programme. The stud book is maintained separately for stallions and broodmares and lists various sections according to the origin and performance of the breeding horses.

## 6.1. Stallion stud book

The main part of the stud book for stallions is subdivided into the sections Hengstbuch I, Hengstbuch II and the appendix (Anhang).

### For Hengstbuch I, the following registration rules apply:

- a. only for stallions of the Appaloosa breed,
- b. the owner of which is a member of a breeders' association/ApHCG e.V.,
- c. the stallion has been recorded in the birth register,
- d. a stallion, the origin of which is fully verifiable over at least three generations and recorded in the stud books of the breeders' association
- e. DNA typing of the stallion has been provided
- f. DNA typing of the parents has been provided (except for dead parents, if available)
- g. a negative 5-panel test (PSSM-TYPE 1, HYPP, HERDA, GBED, EMH) of the stallion has been provided.
- h. a stallion at least two years old, that has achieved an overall score of at least 7.5 for his physical appearance at a licensing, with no score being lower than 6.5 in any of the registration criteria, or that can produce 10 points (ROM) in an approved Halter discipline. The stallion will provisionally be registered with Hengstbuch II (HB II). Only after having passed the stallion performance test, at an age of at least three years, or when he is able to present 10 points (ROM) in an approved Performance discipline or a ROM in endurance riding, will he be listed in Hengstbuch I (HB I).
- i. a licensed stallion, at least three years old, that passed the required stallion performance test with at least 70 points, or that has gained 10 points (ROM) in an approved Performance discipline or a ROM in endurance riding,
- j. or a stallion at least three years old that is able to present 10 points (ROM) in an approved Performance discipline or a ROM in endurance riding and additionally has gained 10 points (ROM) in an approved Halter discipline
- k. a certification of breeding soundness, confirmed by a vet, can be presented
- l. The licensing results gained at other officially recognized breeding associations will be acknowledged if points a - k can be presented and if the stallion has been re-presented to a breeding committee.
- m. A stallion that receives the licensing result "not licensed" and later on achieves outstanding performance records in approved competition disciplines of the ApHC (Performance Class) with at least 25 points in Performance Class and further 5 points in Halter classes may upon application be taken over into Hengstbuch I of the breeders' association, provided there is an unanimous decision of the breeding committee with the consent of the board of the breeders' association.

### For Hengstbuch II, the following registration rules apply:

- a. only stallions of the Appaloosa breed,
- b. the owner of which is a member of a breeders' association,
- c. the stallion has been recorded in the birth register,
- d. a stallion, the origin of which is fully verifiable over at least two generations and recorded in the stud books of an approved breeding association,
- e. DNA typing of the stallion has been provided
- f. DNA typing of the parents has been provided (except for dead parents, if available)
- g. a negative PSSM type 1 genetic test of the stallion has been provided.
- h. the stallion is free from dominant hereditary diseases (see appendix)



For the **appendix (Anhang)**, the following registration rules apply:

- a. All stallions of the Appaloosa breed that do not meet the requirements of Hengstbuch I and II and the parents of which have been registered in a stud book of the breed. DNA typing of the stallion must be provided. If offspring of horses listed in the appendix meet the requirements of Hengstbuch I or II, they are eligible to be registered there.
- b. All stallions belonging to the breeds Quarter Horse, pure-bred Arab and English Thoroughbred are listed in the appendix. These stallions must be free from defects which influence the breeding soundness or the ability to perform, and they must present a DNA typing. In addition, a negative PSSM type 1 genetic test must be provided for the stallion and the stallion must be free from dominant hereditary diseases (see appendix). Furthermore, only stallions of these breeds are admitted for breeding which have themselves been registered in the main section of their respective stud books. Breeds admitted for cross-breeding receive the marking Z in the appendix.

## **6.2. Mare stud book**

The main part of the stud book for mares is subdivided into the sections Stutbuch I, Stutbuch II and the appendix (Anhang).

For **Stutbuch I**, the following registration rules apply:

- a. only mares of the Appaloosa breed,
- b. the owner of which is a member of a breeders' association
- c. the mare has been recorded in the birth register,
- d. a mare, the origin of which is fully verifiable over at least three generations and recorded in the stud books of the breeders' association,
- e. DNA typing of the mare has been provided
- f. DNA typing of the parents has been provided (except for dead parents, if available)
- g. a negative 5-panel test (PSSM TYPE 1, HYPP, HERDA, GBED, EMH) of the mare has been provided,
- h. a mare at least two years old, that has achieved an overall score of at least 7.5 for her physical appearance at a breeding show, with no score being lower than 6.5 in any of the registration criteria, or that can present 10 points (ROM) in an approved Halter discipline.
- i. or a mare at least three years old that has passed the required mare performance test with at least 70 points,
- j. or a three year old mare that is able to present 10 points (ROM) in an approved Performance discipline or a ROM in endurance riding and additionally has gained 10 points (ROM) in an approved Halter discipline
- k. A mare that failed to receive the rating Premium Mare and later on achieves outstanding performance records in approved competition disciplines of the ApHC (Performance Class) with at least 25 points in Performance Class and further 5 points in Halter classes may, upon application, be taken over into Stutbuch I of the breeders' association.
- l. The Premium Mare results gained from other officially recognized breeding associations will be acknowledged if points a-j can be presented and if the mare has been re-presented to a breeding committee.

For **Stutbuch II**, the following registration rules apply:

- a. only mares of the Appaloosa breed,
- b. the owner of which is a member of a breeder's association,
- c. the mare has been recorded in the birth register,

- d. a mare, the origin of which is fully verifiable over at least two generations and recorded in the stud books of an approved breeding association,
- e. DNA typing of the mare has been provided
- f. DNA typing of the parents has been provided (except for dead parents, if available)
- g. a negative PSSM type 1 genetic test of the mare has been provided.
- h. the mare is free from dominant hereditary diseases (see appendix)

For the **appendix (Anhang)**, the following registration rules apply:

- a. All mares of the Appaloosa breed that do not meet the requirements of Stutbuch I and Stutbuch II and the parents of which have been registered in a stud book of the breed. DNA typing of the mare must be provided. If offspring of horses listed in the appendix meet the requirements of Stutbuch I or II, they will be eligible to be registered there.
- b. All mares belonging to the breeds Quarter Horse, pure-bred Arab and English Thoroughbred are listed in the appendix. These mares are required to present a DNA card. In addition, a negative PSSM type 1 genetic test must be provided for the mare and the mare must be free from dominant hereditary diseases (see appendix). Furthermore, only mares of these breeds are admitted for breeding which have themselves been registered in the main section of their respective stud books. Breeds admitted for cross-breeding receive the marking Z in the appendix.

## **7. Stud book registration**

A breeding horse at least two years old may be registered in the respective section (or part) of the stud book on request of the member, provided that the identity and origin of the horse can be fully verified according to the criteria defined in section 12 of the Principles and that the requirements with regard to the physical appearance and further performance criteria are met.

The request for registration will be complied with if

- a. the owner of the horse is a member of a breeders' association
- b. the horse fulfils all prerequisites for registration according to the Principles / Rule Book
- c. all deadlines set by the Principles are met - if not, an unverified origin is assumed until the origin has been proven beyond doubt via DNA typing.
- d. The registration of a breeding horse in a section (or part) of the stud book must be noted on the zootechnical certificate or a document that is part of the zootechnical certificate. This classification is made by the breeding manager or their representative.

In exceptional cases the horse may be registered without evaluation, after its identity has been verified. The evaluation of stallions/mares made by other breeders' associations may be accepted. However, the horses must be re-presented to a breeding committee at a breeding show.

The entry in the stud book shall be reversed by the breeders' association if one of the prerequisites has not been fulfilled. In cases where the breeders' association is in doubt with regard to registration, the entry in the stud book, or show results, the burden of proof concerning the correctness of the data lies with the applicant/owner.

### **7.1. Requirements for stud book registration**

Apart from the origin, the following criteria regarding the physical appearance with particular focus on the sequence of movements are to be considered for a registration with the stud books:

### 7.1.1. Evaluation of breeding animals

The criteria to be evaluated are the registration criteria defined in the breeding programme. The registration criteria include type/typiness, conformation, legs, correctness of gaits, quality of gaits and overall impression. The evaluation is usually carried out at collective events (licensings, mare or foal shows, performance tests etc.) to have a sufficiently large number of horses to compare. In justified exceptional cases, particularly regarding stud book or foal registrations, an evaluation can be carried out outside the framework of collective events at so-called on-site inspections.

The evaluation is done in whole, half and quarter scores:

|                 |                            |
|-----------------|----------------------------|
| 10= excellent   | 4= insufficient            |
| 9= very good    | 3= fairly bad              |
| 8= good         | 2= bad                     |
| 7= fairly good  | 1= very bad                |
| 6= satisfactory | 0= not performed/evaluated |
| 5= sufficient   |                            |

If the result is expressed as an overall score, it is the arithmetic mean of the partial scores and will be calculated to the second decimal place.

### 7.1.2. Performance criteria

The performance criteria comprise the licensing as well as performance tests, the recognition of achievements in sport, stud book registration and identification.

#### Licensing

The minimum age for a stallion to be licensed is two years. In order to guarantee orderly licensing events, the stallions put down for the licensing may be pre-selected. If a pre-selection takes place, it becomes a prerequisite for being admitted to the licensing. At the licensing, a certificate of health issued by a veterinary surgeon which confirms the breeding soundness of the stallion must be presented to the licensing committee, along with a negative PSSM type 1 test and the test results for the hereditary diseases HERDA, GBED and HYPP. This procedure may be waived if negative test results for both parents can be presented. In order to test for the genetic defects mentioned above, a veterinary surgeon has to take a hair or blood sample beforehand. In addition, DNA typing of the stallion and the parents must be presented.

The possible licensing verdicts are:

- licensed
- not licensed
- provisionally not licensed

The licensing verdict will be "provisionally not licensed" if the stallion does not meet the requirements concerning the physical appearance and attitude with particular focus on the movements and/or the breeding soundness and health, if at the same time it can be expected that he will meet them in the future. The licensing verdict may be connected to a deadline, by which the stallion may be re-presented for licensing.

The selection verdict "licensed" requires an overall score of the registration criteria (type/typiness, conformation, legs, correctness of gaits, quality of gaits, overall impression) of at least 7.5 with no single score being lower than 6.5. The licensing verdict shall be publicly announced at the licensing event and given to the stallion's owner in writing. The verdict "licensed" is to be noted in the horse passport including the zootechnical certificate.

## Procedure

### 1. Measuring and identification of the stallions:

- Height at withers
- Size of bone
- Transponder check
- Matching the markings against the horse passport
- Checking for deformity of the teeth
- Checking the openness of the throat latch

### 2. Presentation on hard ground:

Horses are individually presented in hand on a loose lead rope on a stretch of asphalt or pavement, first at a walk, then at a trot. The person presenting the horse walks to the left of it. At a walk, the turnaround is carried out to the right for the judges to have a clear view of the horse's legs at all times. If the horse is found to be lame it will have to be withdrawn. The horse may be re-presented at a later date.

### 3. Physical examination:

The stallions will be lined up individually in front of the licensing committee to be evaluated.

### 4. Judging triangle:

Subsequently, all horses will be presented individually in hand on the judging triangle at a walk and at a trot.

### 5. Lunging

To assess the quality of gaits, the stallions have to be presented on the lunge at a walk, trot and canter, which allows the sequence of movements to be judged in a better way than in hand.

## Performance tests for mares, stallions and geldings

The stallion performance test (HLP), the mare performance test (SLP) and the performance test for geldings (WLP) are conducted according to the generally accepted rules of Western Riding. The afore-mentioned tests are performance tests according to the German animal breeding law ("Tierzuchtgesetz"). They may be carried out as field tests or be substituted by show successes, the so-called Performance ROM. The performance tests for mares, stallions and geldings are governed by the German act on performance tests for horses as amended from time to time.

### Field test

#### 1.1 Duration

The test is carried out in one day.

#### 1.2 Location

The test locations are to be approved by the current board of the breeding association in charge.

#### 1.3 Age of the horses:

All three-year-old and older stallions/mares/geldings of the Appaloosa breed are entitled to participate. The respective association shall decide on any exceptions.

#### 1.4. Conditions for admission

To participate in the performance tests, all stallions/mares/geldings must meet the general requirements regarding vaccination in accordance with the ApHC Rulebook and the FEI Rulebook and be insured against third-party risk.

1.5. Admission of other breeds

Stallions/mares/geldings of other breeds may, upon application, participate in a performance test. This does not constitute an entitlement to participate. Horses of other breeds will not be included in the ranking and will not be awarded premiums. They will receive a certificate on passing the test which will show the score they achieved.

1.6 Equipment

Western equipment is compulsory according to the valid Rulebook of the ApHC. Hoof protection, leg protectors and boots are permitted. Bridles, bits and the manner of holding the reins must comply with the ApHC Rulebook. Broodmares that can be verified to have been used for breeding over a longer period of time may be presented two-handed on snaffle bit even when they are more than five years old. The mare's breeding activity must be verified before the test.

1.7 Performance test

The performance test is held by at least one approved ApHC judge in the presence of the breeding manager or the breeding chairperson or by a judge of the breeders' association. Members of the board of examiners must not have owned, trained or been the agent of the horse to be tested within the previous six months. Likewise, the horse to be tested shall not be bred by a member of the board.

**In particular, the stallions/mares/geldings are given marks by the judges for the following criteria:**

- 1) Walk to the centre of the arena
- 2) Jog ½ circle
- 3) Extended trot on the diagonal
- 4) In the corner, transition to walk
- 5) Walk to the bridge
- 6) Crossing of the bridge
- 7) 180° turn on the forehand
- 8) Backwards through an L
- 9) Lateral movement to the right across the outer poles
- 10) Jog to the centre of the arena
- 11) 2 spins right
- 12) 2 spins left
- 13) 3 circles to the left at a canter, the first two large and fast, the third small and slow
- 14) Flying change/simple change of leg (flying change may receive credit)
- 15) 3 circles to the right at a canter, the first two large and fast, the third small and slow
- 16) Flying change/simple change of leg (flying change may receive credit)
- 17) ¾ circle to the left at a canter
- 18) Canter on the diagonal (Run down)
- 19) Stop. 5 steps backwards
- 20) Pause to indicate the end of the test. Walk towards the judges.

1.8 Standards for judging

Decisive for the evaluation is the horse's suitability for being a sire/broodmare with regard to improving the riding qualities of the breed. On delivery and during the entire test, the stallions/mares/geldings are scrutinised regarding their condition, constitution and health. Stallions/mares/geldings that do not fit into the norm regarding their condition, constitution or health, will not be admitted to the test or rather excluded from it. The combined test comprises elements of the Western Pleasure, Trail and Reining disciplines - each being weighted the same - and is evaluated following the rules of the ApHC rule book.

The sections are subdivided as follows:

- Western Pleasure (walk, jog, extended trot, slow circles)
- Trail (bridge, backwards, turn on the forehand, backup, L, sidepass)
- Reining (change of leg, all canter circles (speed control), spins, run down, stop, backup)

Starting from a score of 70, the following points are added or subtracted for each manoeuvre (see valid ApHC Rulebook):

|       |                |
|-------|----------------|
| -1 ½  | extremely poor |
| -1    | very poor      |
| -1/2  | poor           |
| 0     | average        |
| + ½   | good           |
| + 1   | very good      |
| + 1 ½ | excellent      |

Points are awarded according to the ApHC Rulebook. The test is deemed passed if an overall score of 70 has been achieved. An error of course in the patterns does not necessarily result in the horse not passing the performance test: minor errors of course (e.g. one spin short/too many or one circle short/too many) will be penalized with 5 points each.

In case of failure, the test may be repeated. In that case, it is the result of the second test that is valid. The result will be confirmed on a certificate of the breeding association. The results of the performance test will be published and noted in the stud book. Other breeders' associations may receive the test results on request.

#### 1.9 Placement of the participants

The participants will be placed and awarded ribbons.

### **Recognition of achievements in sport**

The performance test may also be deemed passed if a stallion/mare/gelding can prove to have competed successfully in accordance with section 6 of the Principles. Competition classes will be held and recognised in the approved Performance disciplines (except for Longe Line, Trail in Hand, Showmanship at Halter, Heritage and Walk/ Trot Classes) or approved endurance classes of the ApHC. Successes in competitions of other associations can be accepted if they are equivalent.

## **8. Minimum data required in the stud book**

For every horse registered, the stud book must comprise at least the following data:

- 1) Name and address of the breeder and the owner or the keeper
- 2) Last covering date of the dam
- 3) Date of birth, sex, colour and markings (distinguishing features where applicable)
- 4) 15-digit UELN Life Number
- 5) Identification (microchip)
- 6) Parents, including colour, life numbers and breed
- 7) Names and life numbers (15-digit UELN) of three generations of ancestors (parents, grandparents, great-grandparents), if known
- 8) Issuing date of the horse passport including the zootechnical certificate
- 9) Section of the stud book the horse is registered in, including the date
- 10) Evaluation of the physical appearance
- 11) Results of performance tests
- 12) Show achievements and premiums, if relevant for the breeding programme
- 13) The entire progeny (including life numbers)
- 14) Decisions on entries and amendments in the stud book

- 15) Results of the DNA analyses for stallions and mares, including dates
- 16) Special genetic features and hereditary defects
- 17) Details regarding the breeds admitted for cross-breeding (Z)
- 18) Date and (if known) cause of death
- 19) Details regarding twin birth
- 20) For breeding animals the semen of which is envisaged for artificial insemination, the procedures and test results which are required for validating their identity (DNA typing) and the origin of their progeny.
- 21) For horses originating from embryo transfer, additional data regarding
  - a. the identification of the genetic parents, the recipient animal and the embryo is requested in order to validate identity and origin. Country-specific procedures and test results are used.
  - b. The date of the artificial insemination.
  - c. The dates of collecting and transferring the embryos and the name of the person in charge of the records.

## **9. Horse passport incl. zootechnical certificate (horse passport), certificate of ownership**

### **(1) Zootechnical certificate**

A zootechnical certificate shall be issued if the following prerequisites are met:

- a. Both parents shall be registered in the respective sections of the stud book (see breeding programme of the Appaloosa breed) or with that of another breed or a recorded breeding population, the use of which is listed in the breeding programme, in the year of the covering or at least in the year the foal is born (breeding year).
- b. The foaling notice was presented within 28 days after foaling. Where this time limit is exceeded, the breeders' association will order parentage testing via DNA typing.
- c. The identification of the foal shall be made while it is still with the dam, unless the dam is proven to be dead. Furthermore, at least the stallion breeding report is required (COM 96/78/EC). In this case, the breeders' association will order parentage testing via DNA typing.

### **(2) Horse passport / procedure in case of death of the horse**

The horse passport belongs to the horse. If there is a change of ownership, the horse passport shall be handed over to the new proprietor. If the horse dies, the passport shall be handed back to the issuing authority. If there is a change of ownership, the horse passport is to be handed over to the new owner.

### **(3) Certificate of ownership**

The American document of the ApHC (Certificate of Registration) and the Canadian document of the ApHCC are recognized as certificate of ownership. For the issuing of the horse passport and the stud book registration the original Certificate of Registration must be presented to the breeders' association.

By putting a stamp on the document together with the signature of the respective person in charge of breeding, the ApHC document is declared a certificate of ownership. The certificate of ownership belongs to the person that is the horse's owner according to the German Civil Code. If there is a change of ownership, the certificate of ownership is to be handed over to the new owner. Leasing horses do not require a transference. In that case, the Appaloosa Horse Club Lease Agreement document has to be presented to the breeders' association.

#### **(4) Duplicate copies**

A duplicate copy of a horse passport including the zootechnical certificate and a certificate of ownership may be issued on request of the person having lost the original document, provided he/she presents a statutory declaration including a notarially certified signature on having lost the original document. Only the breeders' association having issued the original document is entitled to do this. The duplicate copies shall be clearly marked as such and be numbered according to Commission Regulation (EC) 504/2008.

#### **(5) Issuance of zootechnical certificates including horse passports for horses imported from non-member countries**

If the certificates for imported horses from non-member countries do not meet the requirements of a horse passport (COM (EC) 504/2008), then Chapter II, Article 8 of Commission Regulation (EC) No 504/2008 will apply. An imported horse may be issued a horse passport including a zootechnical certificate, provided the horse is evaluated and an export certificate, DNA typing and certified copies of both parents' zootechnical certificates and the DNA cards of both parents can be presented.

If that is the case, the original zootechnical certificates of the country of origin (except Certificate of Registration issued by the ApHC or ApHCC) will be collected or stamped as certificate of ownership. The horse owner may only possess one single valid horse passport including a zootechnical certificate for the respective horse.

#### **(6) Provisions in case of double mating**

If a mare was mated with two different stallions within one season, a horse passport including the zootechnical certificate may only be issued within the given time limits of half a year or until 31 December if the paternity has been clarified by DNA typing.

### **10. Minimum data required for the horse passport incl. zootechnical certificates; certificate of ownership**

The minimum data for the horse passport including the zootechnical certificate are drawn up according to COM (EC) 504/2008:

- 1) Life number/international life number of the horse (15-digit UELN)
- 2) Name and address of the horse owner or the person authorised to dispose of the horse
- 3) Name and sex of the horse
- 4) Active identification: microchip code (transponder code according to COM (EC) 04/2008) in conjunction with § 44 of the German VVVO, description of the horse
- 5) Completed diagram, signed and stamped by the approved veterinary surgeon/person in charge of identification
- 6) Date and place of birth
- 7) Name and address of the breeder
- 8) Colour and description of markings (distinguishing marks if applicable) while at foot of the dam
- 9) Breed
- 10) Last covering date of the dam
- 11) Names, life numbers, birth numbers (if available), colour and breed of the genetic parents, as well as names, life numbers and breed of at least one further generation of ancestors (the genetic grandparents)
- 12) Pedigree with three generations (if available)
- 13) Name, address, telephone and fax numbers as well as stamp of the issuing breeders' association
- 14) Stud book records of the breeding horse and its ancestors (e.g. registered in which section/part), where available for the ancestors



- 15) Breeding details of the horse and performance test results/premiums awarded
- 16) Details on embryo transfer including details on the genetic parents, the recipient animal and the embryo and their DNA typing
- 17) Issuing day and place
- 18) Signature of the issuing person, the person in charge of breeding or his deputy
- 19) Medical treatments
- 20) Slaughter horse identification (clarifying the status of the horse as 'slaughter horse' or 'horse not to be slaughtered')
- 21) Vaccination record
- 22) Laboratory health tests
- 23) Records of dominant and recessive genetic defects
- 24) Parentage testing results including dates and test bodies
- 25) Registrations as competition horse
- 26) Medication checks
- 27) Identity checks
- 28) Registration as FEI passport
- 29) Invalidation/revalidation of the document for movement purposes in case of compulsorily notifiable diseases

### **Certificate of ownership (Certificate of Registration)**

The certificate of ownership corresponds with the Certificate of Registration of the Appaloosa Horse Club in the US A 4 broadside format.

## **11. Identification of breeding animals**

**The identification of horses by a breeders' association is carried out according to COM (EC) 504/2008 or its successor Implementing Regulation (EU) 2015/262 applying the following methods:**

1) Indication of sex, description of colour and markings, transponder code

2) Allocation of a life number (international life number)

Every horse is allocated a life number (UELN) when being registered with a stud book at the latest, foals with birth registration.

The life number consists of 15 digits and is alphanumeric.

The first three digits (alphanumeric) relate to the country of origin or the country the horse was first allocated the international life number.

The next digit (numeric) with the figure 3 relates to horses born before the year 2000, the figure 4 relates to horses born after the year 2000.

The next two figures signify the breeders' association the horse was first registered with; the following digit 0 (zero) signifies coloured Appaloosas (regular registration), N signifies solid-coloured Appaloosas (for non-characteristic registration).

The next six digits contain the horse's registration number as listed by the ApHC or the respective association listing the Appaloosa breed. By synchronising the numbers, the associations make sure no number is allocated twice.

The last two digits signify the year of birth.

3) Allocating a name

The name allocated to a horse when it was registered with a stud book must be maintained.

4) The international life number (15-digit UELN) of the horse will not be changed and will remain the same if the horse is transferred into another stud book or section. International UELN life

numbers of horses born abroad will be taken over when the horses are registered with the stud book of the breeders' association.

## 12. Identity verification/parentage testing

The breeder is to tolerate and support any order of the breeders' association to verify the identity through DNA typing. The horse owner/breeder will bear the arising expenses.

Parentage testing will be carried out by means of a parentage certificate of a laboratory accredited according to DIN EN ISO/IEC 17025:2005.

- 1) For every horse registered or presented for registration and for every foal to be registered, the breeders' association may request a parentage test due to the results of a DNA typing or of other criteria verifying identity that are stipulated by legal decree. The DNA typing or the results of the verification of other criteria verifying identity will be deposited.
- 2) Where there are any doubts about the stated origin, a parentage test is obligatory before a zootechnical certificate may be issued. This is generally the case if:
  - the mare was mated with two or more stallions within one season or in two consecutive seasons
  - the duration of pregnancy deviates by 30 days and more from the average pregnancy duration of the respective breed
  - the foal was not identified at its dam's foot
  - the horse has not been presented and identified at a breeding show.
  - Solid-coloured foals from a cross with a breed admitted for cross-breeding shall prove their origin through DNA typing before a zootechnical certificate is issued. The expense is to be met by the breeder.
- 3) DNA typing will be set up when stallions and mares are registered with the stud book, at the latest. Above that, a parentage test is ordered at the time a stallion is licensed or registered. The same applies for mares being registered as premium mares. The expense is to be met by the applicant.
- 4) If the mare or stallion is registered with another breeders' association, this association should feel obligated to provide administrative assistance in verifying the identity/origin.
- 5) The owners of stallions and mares agree to a central storage of DNA data and their transfer to other breeding associations for parentage testing purposes.
- 6) All progeny of breeding animals the semen of which is used for artificial insemination must be parentage-verified through DNA typing.
- 7) For breeding animals originating from embryo transfer, additional details regarding
  - the identification of the genetic parents of the recipient animal and the embryo
  - the date of the artificial insemination and
  - the dates of collecting and transferring the embryo

must be recorded. The breeder is responsible for the records. In addition, the DNA typing method and the test results according to § 8 of TierZVO as of 29/4/2009, which are required to verify the identity and origin of their progeny, will be applied.

### **13. Recording data on horses' origin (data base)**

A register of births for all foals born in the breeders' associations is maintained. When a horse passport is issued or when identification documents that were issued earlier are registered, the following data on the equidae are to be recorded in the breeders' association's data base:

- 1) Name and address of the breeder and the owner or the keeper
- 2) Last covering date of the dam
- 3) Date of birth, country and place of birth
- 4) Sex, colour and markings
- 5) UELN Life Number
- 6) Identification (transponder/microchip)
- 7) Parents, including colour and life numbers
- 8) Three generations of ancestors (parents, grandparents, great-grandparents)
- 9) Date of issue of the horse passport including the zootechnical certificate
- 10) Date of issue of the zootechnical certificate for semen/eggs/embryos
- 11) Status of the registered breeding equine animal/stud book section
- 12) Status assigned to the animal as not intended for slaughter or intended for slaughter for human consumption
- 13) Details on and date of duplicates or replacement documents, if existent
- 14) Evaluation of the physical appearance
- 15) Results of performance tests
- 16) Show achievements and premiums, if relevant for the breeding programme
- 17) The entire progeny (including life numbers)
- 18) Any result of the breeding value determinations
- 19) Decisions on entries and amendments in the stud book
- 20) Results of the DNA analysis for stallions and mares
- 21) Special genetic features and hereditary defects
- 22) Details regarding the breeds admitted for cross-breeding (Z)
- 23) Date and (if known) cause of death
- 24) Details regarding twin birth
- 25) For horses originating from embryo transfer, additional data are required regarding
  - the identification of the genetic parents, the recipient animal and the embryo are requested in order to verify identity and origin. Procedures and test results comply are used in accordance with § 8 TierZVO as of 29.04.2009.
  - the date of the artificial insemination
  - the dates of collecting and transferring the embryos and the name of the person in charge of recording the details (§ 2 section 1, No 3b TierZVO as of 29.04.2009).

The breeders' association will store the afore-mentioned data for at least 35 years or for the duration of the legal retention period. Records will be kept in the office for up to ten years.

### **14. Registration of external and foreign horses**

A horse that has been registered with the stud book of another approved breeding association and/or the stud book of the ApHC or the ApHCC and that is permanently moved to the breeding area of the breeders' association, will, upon application, be registered with the stud book if the horse meets the requirements for registration. Mares and stallions will only be registered if the mare/stallion is guaranteed to be deactivated in the stud book of the former external or foreign breeders' association and if the deactivation takes place immediately after the horse's registration with the stud book of the breeders' association. The external or foreign breeders' association formerly in charge will be notified of the horse's registration with the stud book of the breeders' association. Horses registered with the ApHC or the ApHCC are exempted from deactivation.

## 15. Amendments/authorisation

Any individual provisions in the Principles that are invalid or impracticable or become invalid or impracticable after passing shall have no effect on the validity of the remaining provisions. Any invalid or impracticable provision shall be replaced by the valid and practicable provision the effects of which approximate closest to the economic and legal intentions the contracting parties had pursued with the invalid or impracticable provision. The above provisions shall correspondingly apply if the agreement/contract turns out to be incomplete.

Should the need arise to amend these Principles due to instructions of the competent authorities or due to changes in the law, the board is entitled to do so. Apart from that, amendments to the Principles may only be made on the orders of the members.

**Appendix:** Hereditary diseases according to current examination and research methods:

HERDA (Hereditary Equine Regional Dermal Asthenia), autosomal recessive inheritance

HYPP (Hyperkalemic Periodic Paralysis Disease), autosomal dominant inheritance

GBED (Glycogen Branching Enzyme Deficiency), autosomal recessive inheritance

PSSM (Polysaccharid Storage Myopathy), autosomal dominant inheritance

EMH (Equine Malignant Hyperthermia), autosomal dominant inheritance

These Principles were passed by the members of ApHCG e.V. in D-56370 Rettert on 20.04.2013 and became effective on 30.9.2013 upon the official confirmation of the Bavarian State Institute for Agriculture.

The Principles are published on the ApHCG e.V. website ([www.aphcg.com](http://www.aphcg.com)) in German and English and updated as necessary.