Ownership Guidelines

THE JOCKEY CLUB
INCOMPASS
SOLUTIONS

TYPES OF OWNERSHIPS

Individuals
One person listed as the owner:
• Michael E. Smith
• Amanda Anderson

Organizations
A single entity that is not an individual (typically stables, farms, or businesses):
• Triple J Farm
• Brownstone LLC

Partnerships
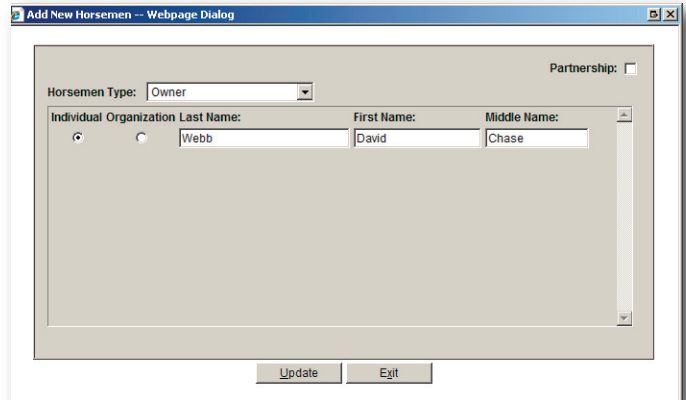A combination of two or more individuals and/or organizations:
• A and B Stable and Smith, Michael E.
• Anderson, Amanda and Stone, Andrew

CREATING INDIVIDUAL OWNERS

STEP ONE: Before entering any individual, make sure the name does not exist in the system (scanner). If an individual name comes in with a different middle initial, investigate for the correct middle initial before creating a new owner name. If numerous iterations of a name exist with different middle initials, do not add this name with no initial. Try to contact the owner or trainer to find out the correct initial or middle name.

> *NOTE: All new owner names that you enter go directly into Equibase's central database. Any individual created may be incorrectly associated with a partnership if the name is not as complete as possible. Always add as much information as possible when adding a new name.*
> *Example: Michael R. Smithers should be added with the full first name and middle initial, rather than Mike and no middle initial.*

STEP TWO: Enter the names in the appropriate fields.

Exceptions:

1. Sheik Mohammed al Maktoum
   Last Name: al Maktoum   First Name: Sheik   Middle Name: Mohammed
2. Lessee: Equibase's database can accept a Lessee only as part of an owner's name. Do not enter a Lessor. For example, Michael M. Smithers, Lessee, should be entered in to fields as:
   Last Name: Smithers, Lessee   First Name: Michael   Middle Name: M.
3. Mr. or Mrs. and Dr. titles should be entered so that prefix and first name appear in the first name field. These titles should not be used unless the client insists. Adding a master name of Mrs. or Dr. SoandSo in the first name field does not allow an intuitive search for this owner at a later date. If you are searching for an owner you are sure must exist, remember to search a Mr., Mrs. or Dr. in front of the first name. Please note: All initials and titles, such as Dr., Jr., and Sr., must be followed by a period.
4. Suffixes should be entered in the last name field. If multiple people exist with a suffix of Jr., Sr., II, III, etc., do not add the name without a suffix. Try to contact the owner or trainer to establish the correct suffix. Please note: Roman numerals should not be followed by a period. There should be no comma between the last name and a roman numeral.
5. Royal names should be entered "as is" in the last name field only:
   • Queen Elizabeth   • Lord Hartington   • Duke of Roxburgh
6. Be aware that an owner may go by a nickname. When searching for an owner with the first name of Richard, know that he may exist as Rick, Rich or Dick. If you have an owner with an unlikely given name, e.g., "Scooter," establish his given name and use when creating a master name.

CREATING ORGANIZATIONS

STEP ONE: Before entering any organization, make sure the name does not exist in the system using the people scanner/search function. If there is already an organization with the same name, but it contains LLC, it may be the same organization. Conversely, if there is already an organization with the same name, but without LLC, it may be the same organization. If numerous iterations of a name exist, do not add another until you have established that the new name is a different entity. Try to contact the owner or trainer to find out if an existing organization is correct. The same applies if you have a "Stable" and the name exists as "Stables," "Farm" / "Farms," "Corp." / "Corporation," etc.

> *NOTE: All new owner names that you enter go directly into Equibase's central database and are reviewed on a daily basis. If there are questions regarding a name that appears to be a duplicate of another existing owner, Equibase will contact you.*

STEP TWO: Enter the organization name in the last name field. Do not use the first name or middle name fields for an organization. Enter only a single entity. More than one entity must be created as a partnership.

Examples of organization names:
- Smith Corporation LLC (Note there is no comma)
- Smith Company, Inc. (Note that Inc. is abbreviated.)
- Estate of Michael Smith
- Crown's Way Farm

Example of formatting stable names: Winner Stable
(R. Dicicilia)* – R. Dicicilia, the principal owner, should not be
entered – it should read Winner Stable.
*Equibase uses principal owner in parenthesis only if the same
farm or stable name is duplicated by different owners.*

The process capitalizes the first letter of a word and lowercases
following letters.
Example: DLRS Stable will appear as Dlrs Stable.

PARTNERSHIPS (See "Creating Partnerships Quick Guide")

Equibase has changed the way partnerships are constructed and stored in the
Equibase database to facilitate search for an owner within a partnership, even
if not listed as the first partner in the partnership name.

Partnerships are constructed by selecting each individual and/or organization
that makes up the partnership. In the process of creating a new partnership,
any individual or organization that does not exist must be created and then
associated with the partnership.

The RTO system will automatically build the Equibase master owner name
according to Equibase's master name rules. This name will be displayed in RTO dynamically, adding one member of the partnership at
a time, until all individuals and/or organizations have been added to complete the partnership.

The Equibase database is limited to 80 characters for a partnership name. Automatic rules are applied when the master name is being
built to shorten the master name logically rather than truncating it. These steps include automatic shortening of the first name to first
name initial only, eliminating the middle name, etc.

The entry of individuals and/or organizations as members of a partnership is necessary for proper upkeep of the entire Equibase owner
database. Now, even a shortened master name of a partnership will have all associated members stored in the Equibase database.

PROGRAMS AND OVERNIGHTS
You can customize program and overnight fields:
- Shorten owner names
- Use a nickname
- Add a title
- Add a lessor
- Add a principal owner in parenthesis
- Display names in all caps

Creating Partnerships

STEP ONE: Before entering a new partnership, make sure the name
does not exist in the system using the people scanner/search
function. Each owner's last name will have to be searched to find
the first owner name that the partnership might be listed under.
Multiple owners can appear in different order within an existing
partnership name.

STEP TWO: Check the **Partnership** box. All of the entities in a
partnership must exist as an individual or an organization before
you can construct the new partnership name. Your partnership
name will build as you add the individuals and/or organizations to
the list. If the string of names exceeds 80 characters, the process
will shorten the names.

Updating Existing Partnerships

If a partnership was created before the new rules were created, it might not have the individual and/or organization owners associated
with it. You will need to make these associations. If an existing partnership ends with an "et al," the individuals and/or organizations
must be added to this partnership as well.

For inquiries related to RTO, call InCompass at (800) 625 4664
For inquiries related to duplications, corrections or entering a new owner, organization or partnership,
e-mail Equibase at PeopleNames@equibase.com or call (800) 333 2211 and ask for Equibase Operations / People Names