

**Duane Swingley Auctioneers, LLC**  
Duane Swingley, Auctioneer  
Indiana Licensed Auctioneer  
License # AU 09100186

**2019 ITOBA Fall Mixed Sale**  
Monday, October 28th, 2019 – 1:00pm

Sponsored by:

Hosted by:



**Entry Deadline:** August 13<sup>th</sup> 2019

**Entry Fee:** Commission fee for every horse regardless of buy backs or sale price \$500 (\$250 entry fee, \$250 commission fee), an additional 5% commission will be applied to any horse selling over \$10,000. Commission fees for buy backs will be due at the conclusion of the auction. Entry Fee due to be submitted with signed contract at time of entry Jockey Club papers will be held at the discretion of Duane Swingley Auctioneers until accounts are paid in full.

For Example: Selling price \$5,000 -250 entry fee and -250 commission fee = \$4500 due consignor  
Selling price \$20,000 – 250 entry fee, -250 commission fee, - 500 commission premium = \$19,000 due consignor

**Due on Sales Day:** Original Jockey Club Registration Papers

Coggins

Health Certificate

Vet Certificate and Stallion Certificate (In Foal mares)

**\*Any horse missing any of the above items will not be allowed to be offered at Auction on sale day**

**Return Contracts to:** Duane Swingley Auctioneers, LLC  
ATTN: Sale Entries  
11100 E County Road 100 N  
Selma, Indiana 47383

**Questions:** Duane Swingley: (765) 212-8424

Leigh Ann Hopper 765-425-5790

DuaneSwingleyAuctioneers.com

[DuaneSwingleyAuctioneers@yahoo.com](mailto:DuaneSwingleyAuctioneers@yahoo.com)

## **PLEASE READ CAREFULLY BE FOR SIGNING**

**To: Duane Swingley Auctioneers  
11100 E County Road 100 N  
Selma, Indiana 47383**

**Owner/Seller agrees to the following terms and conditions:**

- 1.) Auctioneer is hereby appointed as the Owner's/Seller's agent to sell each horse consigned with full authority to transfer title thereto, to receive proceeds of sale for Owner's/Seller's account, and to distribute sale proceeds as Auctioneer reasonably believes appropriate. Owner/Seller is solely responsible for the correct identity of each horse consigned, and to the accuracy of any and all information regarding each horse in the sales catalog. Owner/Seller agreed to review all information and report any material inaccurate or omissions to Auctioneer prior to the sale. Horses will be identified by Indiana Horse Racing Commission (IHRC) Identifier.
- 2.) Owner/Seller warrants title and ownership of each horse consigned, free and clear of any liens and adverse claims whatsoever except those which Owner/Seller communicates to Auctioneer in writing prior to sale.
- 3.) The two hundred fifty dollar (\$250) entry fee for each horse consigned will be paid when this contract is submitted and the entry fee will be fully earned and non-refundable when Auctioneer accepts this contract. In addition to the entry fee, Owner/Seller will pay the Auctioneer a sales commission a flat fee of two hundred fifty dollars (\$250) for each horse sold or bid back in Owner's/Seller's account. A five percent (5%) commission will be added to any horse selling for over ten thousand (\$10,000) dollars. Owner/Seller also has to pay Auctioneer all amounts customarily charged to consignors in connection with the sale of their horses, if applicable. The commission and other amounts due Auctioneer may be deducted from Owner's/Seller's proceeds and the commission shall be fully earned by Auctioneer at the fall of the hammer, even in the event that the horse is returned to the Owner/Seller as unsold pursuant to the Conditions of Sale or receives no bid. In the event amounts owned to Auctioneer exceed net proceeds of Owner's/Seller's consignment, Owner/Seller shall immediately pay Auctioneer the balance due and said balance shall bear service charges of two percent (2%) per month from the date of sale until balance is paid in full.
- 4.) Owner/Seller may withdraw in writing any consigned horse prior to the assignment of catalog hip numbers. Thereafter, Owner/Seller may withdraw any consigned horse if it is unfit for sale due to material veterinary reasons acceptable to the Auctioneer upon representation of notarized veterinary certificates stating the condition of the horse which necessitates withdrawal. If Owner/Seller sells any consigned horse prior to the auction or withdraws or fails to present any horse for sale at the auction for reasons other than as unauthorized above, Owner/Seller agrees to pay Auctioneer a flat fee of \$500 before the horse leaves the grounds.
- 5.) Auctioneer shall have the right, in its sole and absolute discretion, to extend credit to the Buyer of any horse in Owner's/Seller's consignment. In the event the Buyer of the horse fails to sign the Acknowledgment of Purchase form presented to Buyer by Auctioneer or fails to make settlement as provided in the Conditions of Sale, or should Auctioneer, in its sole and absolute discretion, elect not to credit to Buyer and the Buyer fails to pay the full sale price may be less than the original sales price. Auctioneer will attempt to give Owner/Seller notice of such resale, but Owner/Seller agrees to indemnify and hold Auctioneer harmless from any adverse consequences of such resale regardless of whether Owner/Seller receives notice before the fact. Should Auctioneer elect not to resell such horse, Owner/Seller will accept return of such horse as unsold provided that Auctioneer waives sales commission.
- 6.) Owner/Seller agrees to provide Auctioneer, at a time specified by Auctioneer prior to the commencement of the Sale, all documents pertaining to the horse necessary to complete the sale, including but not limited to, Jockey Club Certificate (JCC) of Foal Registration, blood testing, Stallion Service Certificate, current certification of negative Coggins, veterinary certificate as to breeding status, and any government required health and immunization records and certification. If the JCC for any horse consigned has not been issued, Owner/Seller hereby represents that all documentation and payments required by the Jockey Club to complete and issue such certificate have been provided. If Owner/Seller fails to provide such document to Auctioneer, Owner/Seller authorizes Auctioneer, as its option, to secure such document from the person possessing it or, alternatively, Auctioneer may refuse to sell horse or withhold proceeds due to Owner/Seller until such document has been received.
- 7.) Should any horse consigned be a twin or be required under Jockey Club rules of registration to be registered as of "dual parentage", and such fact has not been disclosed at time of sale, Owner/Seller shall accept return of such horse as unsold and will reimburse Buyer and Auctioneer for all reasonable expenses incurred for the cost, maintenance and transportation of horse from the time of sale until return to Owner/Seller.
- 8.) Owner/Seller agrees to have all consigned horses on the sales premises by the time specified by Auctioneer in its notice to Consignors regarding the sale. Any horse consigned continues in the Owners/Sellers care, control, custody and possession for all purposes, whether on or off the premises of the auction, until it is taken by Buyer in exchange for a stable release issued by Auctioneer or as otherwise authorized by Auctioneer or Owner/Seller. Auctioneer has no responsibilities for the care or custody of any horse consigned, including the providing of veterinary or other care, but Owner/Seller hereby authorizes Auctioneer to take such action, without liability on his/her part, should Auctioneer deem such action reasonably necessary.
- 9.) Thirty (30) days after date of sale, Auctioneer will remit the net proceeds of Owner's/Seller's consignment, provided that Auctioneer shall not be required to remit the net proceeds of the sale of any horse: (1) that is the subject of a dispute or claim

by the Buyer or any third party, or (2) in the event of a default by the Buyer in payment of the purchase price, until such dispute, claim of default is resolved and the sales proceeds have actually been received by Auctioneer. Sales proceeds received by the Auctioneer but not remitted shall not earn interest for Owner's/Seller's account, not shall any sales proceeds not received by Auctioneer owing to a dispute, claim of default earn interest for Owner's/Seller's account.

- 10.) Auctioneer shall have, in its sole discretion, the right to (1) reject at any time any horse consigned, (2) determine the order of the sale, (3) assign or change stabling assignments, (4) change the date or location of the sale, and (5) make announcements at time of sale concerning any horse consigned.
- 11.) The sole liability of Auctioneer, should the sale be canceled or should Auctioneer fail to catalog or fail to catalog correctly any horse consigned, shall be the return of entry fee for such horse and Auctioneer shall not be liable for any damages, actual or consequential, arising out of any such failure.
- 12.) All information concerning sales prices, incidental and consequential sale expenses, the existence and amounts of liens, charges and other claims, and the final payment of accounts with respect to Buyers, Owners, Sellers, Breeders and Consignors shall not be deemed to be confidential in nature. All parties agree that Auctioneer may, but shall not be required to, disclose of such information without incurring liability by any party.
- 13.) Owner indemnifies Auctioneer from all claims, liabilities and expenses, including reasonable attorney fees, arising out of or relating to any breach of this contract by Owner/Seller, including, without limitation, claims relating to ownership of any horse consigned, the priority of payment of sales proceeds, and the distribution of sales proceeds as Auctioneer reasonably deems appropriate. In order to secure payment for all commissions, cost, expenses and damages, including reasonable attorney fee, provided for in this contract or for any other monies owed by Owner/Seller to Auctioneer arising or of other transactions, Owner/Seller grants to Auctioneer a security interest in the horse(s) consigned under this contract and any applicable JCC(s) or Stallion Service Certificates(s), and the products and proceeds thereof. Owner/Seller appoints Auctioneer as Owner's/Seller's attorney-in-fact to prepare, execute, and file any financial statement or other documents necessary to protect the security interest granted herein and Auctioneer shall have all rights and remedies of a secured party pursuant to this contract and the Uniform Commercial Code.
- 14.) As a condition of acceptable sale entry, a paid ITOBA membership or payment of ITOBA membership for 2020 must accompany the entry fee and form. Membership must be paid at the time of entry or provide proof of membership payment with entry form.
- 15.) Owner/Seller acknowledges that Auctioneer may, from time to time, waive provisions of Consignment Contracts of the Conditions of Sale but Owner/Seller agrees that such waiver shall not constitute or commit Auctioneer to make a similar waiver in the future.
- 16.) If someone other than Owner is executing this Contract, as agent for Owner, the agent shall have obtained an Agents Authorization and Owner and Agent shall be jointly and severally liable for all obligations arising here under in favor of the Auctioneer.
- 17.) Owner/Seller represents that he or she has read all provisions of this contract and agrees to be bound by them and the Conditions of Sale, which govern this sale.

Horse Owner's/Seller's Signature: \_\_\_\_\_

Owner's/Seller's Printed Name: \_\_\_\_\_ Date: \_\_\_\_\_

---

Auctioneer Information Only:

Date Contract Received: \_\_\_\_\_ Received by: \_\_\_\_\_

Auctioneer Sale Acceptance: [YES] [NO] Signature: \_\_\_\_\_ Date: \_\_\_\_\_

## 2019 Fall Mixed Sale

Contact Information: PLEASE COMPLETE ALL INFORMATION BELOW,

Owner Name: \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Email Address: \_\_\_\_\_

(This is important, as this is the primary form of communication to inform you of all necessary sale information)

Phone Number: \_\_\_\_\_ Alternate Phone Number: \_\_\_\_\_

### Items to Return:

- 1.) Entry Fee, per horse, payable to **ITOBA**
- 2.) Signed and completed Entry Form
- 3.) Signed and Completed IRS W-9 Form (required for sale proceed reporting to IRS, if we do not have on of these on file for you at time of Auction, you will be required to complete one at check in)

**\*\*\*\*PLEASE DO NOT SEND: Any Jockey Club Certificates, Coggins, Health Certificates, etc. at this time, these will be collected at check in. Duane Swingley Auctioneer will not be responsible for loss or damage to these forms if sent with entry.**

### ENTRY SUMMARY:

_____ Horse(s) entered at \$250 Entry Fee	\$:	_____
_____ Catalog Advertising (optional)	\$:	_____
<input type="checkbox"/> Business Card (\$50)		
<input type="checkbox"/> Half Page (\$100)		
<input type="checkbox"/> Full page (\$200)		
<input type="checkbox"/> Inside Cover (2 available) (\$300)		
<input type="checkbox"/> ITOBA Service Directory (includes 1yr ITOBA membership) (\$50)		
_____ ITOBA Membership for 2020		
<input type="checkbox"/> Single membership (\$50)		
<input type="checkbox"/> Joint Membership (\$80)		
<input type="checkbox"/> Single 3 yr membership (\$125)		
<input type="checkbox"/> Single Lifetime membership (\$500)		
Total:	\$:	_____

**Mail To:** Duane Swingley Auctioneers  
11100 E County Road 100 N  
Selma, Indiana 47383

Preferred Catalog Heading Name:

\_\_\_\_\_  
(Example: Buck Creek Bloodstock, agent for Bob Builder Thoroughbreds)

Jockey Club Name: \_\_\_\_\_

Date of Birth: \_\_\_\_\_ Color: \_\_\_\_\_ [mare] [filly] [colt] [gelding]

Sire: \_\_\_\_\_ Dam: \_\_\_\_\_ Dam Sire: \_\_\_\_\_

State or Country Foaled: \_\_\_\_\_ State Program Status: \_\_\_\_\_ [Bred] [Sired]

This Mare In Foal: [Yes] [No] [N/A] Stallion: \_\_\_\_\_ LCD: \_\_\_\_\_

Mare produce previous two years: \_\_\_\_\_

Breeders Cup Eligible: [Yes] [No] Tattooed: [Yes] [No] Prospected for [racing] [breeding]

Stakes/Nominations: \_\_\_\_\_

**(Eligibility MUST be maintained by the Seller through the sale date)**

---

Preferred Catalog Heading Name:

\_\_\_\_\_  
(Example: Buck Creek Bloodstock, agent for Bob Builder Thoroughbreds)

Jockey Club Name: \_\_\_\_\_

Date of Birth: \_\_\_\_\_ Color: \_\_\_\_\_ [mare] [filly] [colt] [gelding]

Sire: \_\_\_\_\_ Dam: \_\_\_\_\_ Dam Sire: \_\_\_\_\_

State or Country Foaled: \_\_\_\_\_ State Program Status: \_\_\_\_\_ [Bred] [Sired]

This Mare In Foal: [Yes] [No] [N/A] Stallion: \_\_\_\_\_ LCD: \_\_\_\_\_

Mare produce previous two years: \_\_\_\_\_

Breeders Cup Eligible: [Yes] [No] Tattooed: [Yes] [No] Prospected for [racing] [breeding]

Stakes/Nominations: \_\_\_\_\_

**(Eligibility MUST be maintained by the Seller through the sale date)**

Preferred Catalog Heading Name:

\_\_\_\_\_  
(Example: Buck Creek Bloodstock, agent for Bob Builder Thoroughbreds)

Jockey Club Name: \_\_\_\_\_

Date of Birth: \_\_\_\_\_ Color: \_\_\_\_\_ [mare] [filly] [colt] [gelding]

Sire: \_\_\_\_\_ Dam: \_\_\_\_\_ Dam Sire: \_\_\_\_\_

State or Country Foaled: \_\_\_\_\_ State Program Status: \_\_\_\_\_ [Bred] [Sired]

This Mare In Foal: [Yes] [No] [N/A] Stallion: \_\_\_\_\_ LCD: \_\_\_\_\_

Mare produce previous two years: \_\_\_\_\_

Breeders Cup Eligible: [Yes] [No] Tattooed: [Yes] [No] Prospected for [racing] [breeding]

Stakes/Nominations: \_\_\_\_\_

**(Eligibility MUST be maintained by the Seller through the sale date)**

---

Preferred Catalog Heading Name:

\_\_\_\_\_  
(Example: Buck Creek Bloodstock, agent for Bob Builder Thoroughbreds)

Jockey Club Name: \_\_\_\_\_

Date of Birth: \_\_\_\_\_ Color: \_\_\_\_\_ [mare] [filly] [colt] [gelding]

Sire: \_\_\_\_\_ Dam: \_\_\_\_\_ Dam Sire: \_\_\_\_\_

State or Country Foaled: \_\_\_\_\_ State Program Status: \_\_\_\_\_ [Bred] [Sired]

This Mare In Foal: [Yes] [No] [N/A] Stallion: \_\_\_\_\_ LCD: \_\_\_\_\_

Mare produce previous two years: \_\_\_\_\_

Breeders Cup Eligible: [Yes] [No] Tattooed: [Yes] [No] Prospected for [racing] [breeding]

Stakes/Nominations: \_\_\_\_\_

**(Eligibility MUST be maintained by the Seller through the sale date)**

## Request for Taxpayer Identification Number and Certification

Give Form to the  
requester. Do not  
send to the IRS.

▶ Go to [www.irs.gov/FormW9](http://www.irs.gov/FormW9) for instructions and the latest information.

Print or type See specific instructions on page 3.	<p>1 Name (as shown on your income tax return). Name is required on this line; do not leave this line blank.</p> <hr/> <p>2 Business name/disregarded entity name, if different from above</p> <hr/> <p>3 Check appropriate box for federal tax classification of the person whose name is entered on line 1. Check only one of the following seven boxes.</p> <p><input type="checkbox"/> Individual/sole proprietor or single-member LLC      <input type="checkbox"/> C Corporation      <input type="checkbox"/> S Corporation      <input type="checkbox"/> Partnership      <input type="checkbox"/> Trust/estate</p> <p><input type="checkbox"/> Limited liability company. Enter the tax classification (D-C corporation, B-S corporation, P-Partnership) ▶ _____</p> <p><small>Note: Check the appropriate box in the line above for the tax classification of the single-member owner. Do not check LLC if the LLC is classified as a single-member LLC that is disregarded from the owner unless the owner of the LLC is another LLC that is not disregarded from the owner for U.S. federal tax purposes. Otherwise, a single-member LLC that is disregarded from the owner should check the appropriate box for the tax classification of its owner.</small></p> <p><input type="checkbox"/> Other (see instructions) ▶ _____</p>
	<p>4 Exemptions (codes apply only to certain entities, not individuals; see instructions on page 3):</p> <p>Exempt payee code (if any) _____</p> <p>Exemption from FATCA reporting code (if any) _____</p> <p><small>(Apply to account holder/estate in U.S.)</small></p>
	<p>5 Address (number, street, and apt. or suite no.) See instructions.</p> <hr/> <p>6 City, state, and ZIP code</p> <hr/> <p>7 List account number(s) here (optional)</p>
	Requester's name and address (optional)

### Part I Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. The TIN provided must match the name given on line 1 to avoid backup withholding. For individuals, this is generally your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the instructions for Part I, later. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN*, later.

**Note:** If the account is in more than one name, see the instructions for line 1. Also see *What Name and Number To Give the Requester* for guidelines on whose number to enter.

Social security number								
<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 25%; border: 1px solid black; height: 20px;"></td> <td style="width: 25%; border: 1px solid black; height: 20px;"></td> <td style="width: 25%; border: 1px solid black; height: 20px;"></td> <td style="width: 25%; border: 1px solid black; height: 20px;"></td> </tr> <tr> <td style="text-align: center;">-</td> <td style="text-align: center;">-</td> <td></td> <td></td> </tr> </table>					-	-		
-	-							
or								
Employer identification number								
<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 25%; border: 1px solid black; height: 20px;"></td> <td style="width: 25%; border: 1px solid black; height: 20px;"></td> <td style="width: 25%; border: 1px solid black; height: 20px;"></td> <td style="width: 25%; border: 1px solid black; height: 20px;"></td> </tr> <tr> <td style="text-align: center;">-</td> <td style="text-align: center;">-</td> <td></td> <td></td> </tr> </table>					-	-		
-	-							

### Part II Certification

Under penalties of perjury, I certify that:

1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me); and
2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding; and
3. I am a U.S. citizen or other U.S. person (defined below); and
4. The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.

**Certification instructions.** You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions for Part I, later.

<b>Sign Here</b>	Signature of U.S. person ▶ _____	Date ▶ _____
------------------	----------------------------------	--------------

### General Instructions

Section references are to the Internal Revenue Code unless otherwise noted.

**Future developments.** For the latest information about developments related to Form W-9 and its instructions, such as legislation enacted after they were published, go to [www.irs.gov/FormW9](http://www.irs.gov/FormW9).

#### Purpose of Form

An individual or entity (Form W-9 requester) who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) which may be your social security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN), to report on an information return the amount paid to you, or other amount reportable on an information return. Examples of information returns include, but are not limited to, the following:

- Form 1099-INT (Interest earned or paid)

- Form 1099-DIV (dividends, including those from stocks or mutual funds)
- Form 1099-MISC (various types of income, prizes, awards, or gross proceeds)
- Form 1099-B (stock or mutual fund sales and certain other transactions by brokers)
- Form 1099-S (proceeds from real estate transactions)
- Form 1099-K (merchant card and third party network transactions)
- Form 1098 (home mortgage interest), 1098-E (student loan interest), 1098-T (tuition)
- Form 1099-C (canceled debt)
- Form 1099-A (acquisition or abandonment of secured property)

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN.

If you do not return Form W-9 to the requester with a TIN, you might be subject to backup withholding. See *What is backup withholding*, later.