



Department of the Interior  
U.S. Fish and Wildlife Service

OMB No. 1018-0093  
Expires XX/XX/2017

### Federal Fish and Wildlife Permit Application Form

**Return to:** Division of Management Authority (DMA)  
U.S. Fish and Wildlife Service  
4401 N. Fairfax Drive, Room 212  
Arlington, VA 22203  
1-800-358-2104 or 703-358-2104

**Type of Activity:**  
**Export of Caviar or Meat of Paddlefish or Sturgeon  
Removed from the Wild (CITES)**

Complete Sections A or B, and C, D, and E of this application. U.S. address may be required in Section C, see instructions for details.  
**See attached instruction pages for information on how to make your application complete and help avoid unnecessary delays.**

| A. Complete if applying as an individual |                                 |                             |  |
|--|---------------------------------|-----------------------------|--|
| 1.a. Last name                           | 1.b. First name                 | 1.c. Middle name or initial | 1.d. Suffix  |
| 2. Date of birth (mm/dd/yyyy)            | 3. Social Security No.          | 4. Occupation               | 5. Affiliation/ Doing business as (see instructions) |
| 6.a. Telephone number                    | 6.b. Alternate telephone number | 6.c. Fax number             | 6.d. E-mail address                                  |

| B. Complete if applying on behalf of a business, corporation, public agency, Tribe, or institution |   |   |                              |
|--|---|---|------------------------------|
| 1.a. Name of business, agency, Tribe, or institution   |   | 1.b. Doing business as (dba)                |                              |
| 2. Tax identification no.  | 3. Description of business, agency, Tribe, or institution |   |                              |
| 4.a. Principal officer Last name   | 4.b. Principal officer First name                         | 4.c. Principal officer Middle name/ initial | 4.d. Suffix                  |
| 5. Principal officer title   |   | 6. Primary contact name                     |                              |
| 7.a. Business telephone number   | 7.b. Alternate telephone number                           | 7.c. Business fax number                    | 7.d. Business e-mail address |

| C. All applicants complete address information  |            |                            |                      |              |
|---|------------|----------------------------|----------------------|--------------|
| 1.a. Physical address (Street address; Apartment #, Suite #, or Room #; no P.O. Boxes)                          |            |                            |                      |              |
| 1.b. City   | 1.c. State | 1.d. Zip code/Postal code: | 1.e. County/Province | 1.f. Country |
| 2.a. Mailing Address (include if different than physical address; include name of contact person if applicable) |            |                            |                      |              |
| 2.b. City   | 2.c. State | 2.d. Zip code/Postal code: | 2.e. County/Province | 2.f. Country |

| D. All applicants MUST complete  |   |
|--|---|
| 1.   | Attach check or money order payable to the U.S. FISH AND WILDLIFE SERVICE in the amount indicated on page 2. Federal, Tribal, State, and local government agencies, and those acting on behalf of such agencies, are exempt from the processing fee – <i>attach documentation of fee exempt status as outlined in instructions.</i> (50 CFR 13.11(d))   |
| 2.   | Do you currently have or have you ever had any Federal Fish and Wildlife permits?<br>Yes      If yes, list the number of the most current permit you have held or that you are applying to renew/re-issue: _____ No   |
| 3.   | Certification: I hereby certify that I have read and am familiar with the regulations contained in <b>Title 50, Part 13 of the Code of Federal Regulations</b> and the other <b>applicable parts in subchapter B of Chapter I of Title 50</b> , and I certify that the information submitted in this application for a permit is complete and accurate to the best of my knowledge and belief. I understand that any false statement herein may subject me to the criminal penalties of 18 U.S.C. 1001. |
| <p>_____<br/>Signature (in blue ink) of applicant/person responsible for permit (No photocopied or stamped signatures)      Date of signature (mm/dd/yyyy)</p> |   |

Continue to next page

**E. Export of Caviar or Meat of Paddlefish or Sturgeon Removed from the Wild (CITES)**

**NOTE:** To ensure the most relevant application is being submitted, please review the following before completing this form. To request export of live specimens removed from the wild submit form 3-200-27; export of aquacultured specimens submit form 3-200-24; re-export of specimens submit form 3-200-73; or export or re-export of species listed under the U.S. Endangered Species Act submit form 3-200-37.

Complete all questions on the application. Mark questions that are not applicable with "N/A". If needed, use separate sheets of paper. On all attachments or separate sheets you submit, indicate the application question number you are addressing.

1. What type of authorizations are you requesting?

- Single shipment for export.** If approved, a single permit for a specific amount of caviar will be issued. The processing fee is **\$100 per application.**

Provide the name and address of person/facility receiving the shipment (if self, provide address abroad).

Name:

Address:

City:

State/Providence:

County, Postal Code:

- Multiple shipments of identical amounts.** For multiple shipments of identical amounts, the Service can establish a **master file**. If the master file is approved, you can obtain a number of single-use permits, valid for 6 months, for each export (50 CFR 13.11, see attached). **The processing fee is \$200.**

To obtain single use permits from the master file, complete below:

- i. Total weight of caviar you are requesting to be authorized: \_\_\_\_\_.
- ii. How many permits do you anticipate using in the next 6 months? \_\_\_\_\_. (Provide \$5 for each 6-month permit; you may provide this after the master file is approved).
- iii. Amount you are requesting on each permit: \_\_\_\_\_ (must be identical for each permit.)  
(EXAMPLE: TOTAL AMOUNT = 100 KG; 4 PERMITS; 25 KG EACH.)
- iv. Note, you may either fill in the recipient at the time of export or you may indicate a recipient that will appear on all permits issued:

- Do not include recipient name on the issued permits.

- Include the following name on each permit:

Name:

Address:

City:

State/Providence:

County, Postal Code:

2. For each product to be exported, provide:
  - a. Scientific name (genus, species, and if applicable, subspecies) and common name of the fish:
  
  - b. State(s) and water body of harvest of source specimens, if not found on State harvest report: \_  
\_\_\_\_\_
  - c. Product description (caviar or meat):
  - d. Weight (in metric and standard units):
  - e. Shipping containers to be used (e.g., jars, tins, buckets) and sizes (provide units):\_
  - f. Shipment will be fresh, frozen, pasteurized, or other (describe):
  - g. If caviar, provide list of labels (see enclosed [caviar](#) labeling requirements).
  - h. Current location of specimen(s): \_\_\_\_\_.

3. Does this application request authorization to export a portion of a product(s) that was authorized under a previous permit?
  - a. If no, continue to question 4.
  - b. If yes, complete c. and d. below and continue to questions 10-13.
  - c. Provide a copy of the original CITES export permit and cleared 3-177 declaration form obtained when you exported a portion of the previously authorized product, and complete and sign (in ink) the following statement:

I hereby certify that the product pertaining to this current application is a portion of product previously authorized for export under permit number \_\_\_\_\_.  
 (fill in permit number)

**Signature** \_\_\_\_\_ **and date** \_\_\_\_\_

Questions 4 through 9 must be answered for the entire quantity of product(s) listed in your application. By signing this application, you are certifying that all the information provided in support of this application is complete and accurate, including any and all information provided about suppliers, dealers, and fishers.

4. List ALL intermediary suppliers' and/or dealers' names, addresses, State permit numbers, type of product (i.e., meat or caviar), and weight of product obtained from each supplier (attach additional sheets of paper as necessary):

Name:  
Address:  
City:  
State/Providence:  
County, Postal Code:  
State permit number:  
Total weight of product supplied:

5. List ALL fishers' full names and addresses, type of product, and weight of product obtained from each (attach additional sheets of paper as necessary):

Name:  
Address:  
City:  
State/Providence:  
County, Postal Code:  
Total weight of product supplied:

**NOTE for questions 6, 7, 8, and 9: If you obtained product(s) from a supplier or dealer, you must obtain, and supply to us, all of the required information from the supplier. All supporting documentation must be submitted in an organized format; otherwise our review and processing time will be greatly affected and we may be unable to authorize the permit(s). We request that documentation is organized first by State of harvest (i.e., all documentation for fish harvested from a particular state are clipped together). Within each State packet, the documentation should be grouped by fisher (i.e., all invoices for a particular fisher are clipped together).**

6. Provide a copy of the appropriate commercial buyer's license(s).
7. For each fisher listed above, provide a copy of the current license(s), permit(s), or other documents issued by the State or local wildlife authorities approving the commercial fishing activities.
8. Provide copies of each fisher's State harvest report for the product(s) to be exported. The harvest report should include, at a minimum, the following information. If any of this information is not listed on the fisher's harvest report, the information must be provided separately for each fisher on an attached sheet of paper and signed by the fisher.
- Dates the fish were harvested;
  - Harvest location(s), including the State, county(ies), body of water, AND the nearest mile marker or boat ramp to each harvest location; and
  - Gear used to harvest the fish.

9. Provide copies of documentation showing the transfer of ownership (*e.g.*, dated sales receipts/invoices) of the product from each fisher or supplier to you. If you received the product from a supplier(s) or source other than the harvesters of the fish, provide documentation demonstrating the history of transactions (chain of ownership of the product) from the fisher(s) to you. You must be able to provide documentation for EACH change in ownership from the time of harvest until the time you purchased the product.

All applicants complete the following:

10. All international shipment(s) must be through a designated port. A list of designated ports (where an inspector is posted) is available from <http://www.fws.gov/le/designated-ports.html>. If you wish to use a port not listed, please contact the Office of Law Enforcement for a Designated Port Exemption Permit (form 3-200-2).

11. Name and address where you wish permit mailed, **if** different from page 1 (All permits will be mailed via the U.S. Postal Service, unless you identify an alternative means below):

12. If you wish the permit to be delivered by means other than USPS regular mail, provide an air bill, pre-paid envelope, or billing information. If you do not have a pre-paid envelope or air bill and wish to pay for a courier service with your credit card, please check the box below. Please **DO NOT** include credit card number or other information; you will be contacted for this information.

If a permit is issued, please send it via a courier service to the address on page 1 or question 11. I understand that you will contact me for my credit card information once the application has been processed.

13. Whom should we contact if we have questions about the application? (Include name, phone number, and email):

**14. Disqualification Factor.** A conviction, or entry of a plea of guilty or nolo contendere, for a felony violation of the Lacey Act, the Migratory Bird Treaty Act, or the Bald and Golden Eagle Protection Act disqualifies any such person from receiving or exercising the privileges of a permit, unless such disqualification has been expressly waived by the Service Director in response to a written petition. [50 CFR 13.21(c)]. Have you or any of the owners of the business, if applying as a business, been convicted, or entered a plea of guilty or nolo contendere, forfeited collateral, or are currently under charges for any violations of the laws mentioned above?

\_\_\_ Yes \_\_\_ No If you answered "Yes" provide: a) the individual's name, b) date of charge, c) charge(s), d) location of incident, e) court, and f) action taken for each violation.

## APPLICATION FORM INSTRUCTIONS

The following instructions pertain to an U.S. Fish and Wildlife Service (FWS) permit applications. The General Permit Procedures in [50 CFR 13](#) address the permitting process. For simplicity, all licenses, permits, registrations, and certificates are referred to as a permit.

### GENERAL INSTRUCTIONS:

- Complete all relevant questions in Sections A or B, C, D, and E.
- **An incomplete application may cause delays in processing or may be returned to the applicant. Be sure you are filling in the appropriate application form for the proposed activity.**
- Print clearly or type in the information. Illegible applications may cause delays.
- Sign the application in **blue** ink. Faxes or copies of the original signature will not be accepted.
- Mail the original application to the address at the top of page one of the applications or, if applicable, on the attached address list.
- **Keep a copy of your completed application.**
- **Please plan ahead. Allow at least 60 days for your application to be processed, however, some applications may take longer than 90 days to process (50 CFR 13.11).**
- Applications are processed in the order they are received.

### SECTION A OR SECTION B:

#### Section A. **Complete if applying as an individual [do not complete this section if applying for Import/Export License (3-200-3)]:**

- Enter the complete name of the responsible individual who will be the permittee if a permit is issued. Enter personal information that identifies the applicant. **Fax and e-mail, while helpful in processing, are not required.**
- If you are applying on behalf of a client, the personal information must pertain to the client, and a document evidencing **power of attorney** must be included with the application.
- **Affiliation/ Doing business as (dba):** business, agency, organizational, Tribe, or institutional affiliation *directly* related to the activity requested in the application (e.g., a taxidermist is an individual whose business can *directly* relate to the requested activity). The Division of Management Authority (DMA) and the Office of Law Enforcement (OLE) do **not** accept *doing business as* affiliations for individuals (complete Section B)..

#### Section B. **Complete if applying as a business, corporation, public agency, Tribe, or institution:**

- Enter the complete name of the business, agency, or institution that will be the permittee if a permit is issued. Give a brief description of the type of business the applicant is engaged in. Provide contact phone number(s) of the business. If you are applying on behalf of a client, a document evidencing power of attorney must be included with the application.
- **Principal Officer** is the person in charge of the listed business, corporation, public agency, Tribe, or institution. The principal officer is the person responsible for the application and any permitted activities. Often the principal officer is a Director or President. **Primary Contact** is the person at the business, corporation, public agency, or institution who will be available to answer questions about the application or permitted activities. Often this is the preparer of the application.

### ALL APPLICANTS COMPLETE SECTION C:

- For all applications submitted to the Division of Management Authority (DMA) and Office of Law Enforcement (OLE), a physical U.S. address is **required**. Province and Country blocks are provided for those USFWS programs that use foreign addresses and are not required by DMA.
- **Mailing address** is the address to which communications from USFWS should be mailed if different from applicant's physical address.

### ALL APPLICANTS COMPLETE SECTION D:

#### Section D.1 **Application processing fee:**

- An application processing fee is required at the time of application, unless exempted under 50 CFR13. The application processing fee is assessed to partially cover the cost of processing a request. **The fee does not guarantee the issuance of a permit, nor will fees be refunded for applications for which processing has begun.**
- **Documentation of fee exempt status is not required for applications submitted by Federal, Tribal, State, or local government agencies; but must be supplied by those applicants acting on behalf of such agencies.** Such applications must include a letter on agency letterhead and signed by the head of the unit of government for which the applicant is acting on behalf, confirming that the applicant will be carrying out the permitted activity for the agency.

#### Section D.2 **Federal Fish and Wildlife permits:**

- List the number(s) of your most recent issued USFWS permit. If applying for re-issuance of a CITES permit, the original permit must be returned with this application.

#### Section D.3 **CERTIFICATION:**

- **The individual identified in Section A, the principal officer named in Section B, or person with a valid power of attorney (documentation must be included in the application) must sign and date the application in blue ink.** This signature legally binds the applicant to the statement of certification. You are certifying that you have read and understand the regulations that apply to the permit. You are also certifying that all information included in the application is true to the best of your knowledge. Be sure to read the statement and re-read the application and your answers before signing.

**Please continue to next page. DO NOT RETURN THIS PAGE WITH THE APPLICATION**

## APPLICATION FOR A FEDERAL FISH AND WILDLIFE PERMIT

### Paperwork Reduction Act, Privacy Act, and Freedom of Information Act – Notices

In accordance with the Paperwork Reduction Act of 1995 (44 U.S.C. 3501, *et seq.*) and the Privacy Act of 1974 (5 U.S.C. 552a), please be advised:

1. The gathering of information on fish and wildlife is authorized by:  
(Authorizing statutes can be found at: <http://www.gpoaccess.gov/cfr/index.html> and <http://www.fws.gov/permits/ltr/ltr.html>)
  - a. Bald and Golden Eagle Protection Act (16 U.S.C. 668), 50 CFR 22;
  - b. Endangered Species Act of 1973 (16 U.S.C. 1531-1544), 50CFR 17;
  - c. Migratory Bird Treaty Act (16 U.S.C. 703-712), 50 CFR 21;
  - d. Marine Mammal Protection Act of 1972 (16 U.S.C. 1361, *et. seq.*), 50 CFR 18;
  - e. Wild Bird Conservation Act (16 U.S.C. 4901-4916), 50 CFR 15;
  - f. Lacey Act: Injurious Wildlife (18 U.S.C. 42), 50 CFR 16;
  - g. Convention on International Trade in Endangered Species of Wild Fauna and Flora (TIAS 8249), <http://www.cites.org/>, 50 CFR 23;
  - h. General Provisions, 50 CFR 10;
  - i. General Permit Procedures, 50 CFR 13; and
  - j. Wildlife Provisions (Import/export/transport), 50 CFR 14.
2. Information requested in this form is purely voluntary. However, submission of requested information is required in order to process applications for permits authorized under the above laws. Failure to provide all requested information may be sufficient cause for the U.S. Fish and Wildlife Service to deny the request. We may not conduct or sponsor and you are not required to respond to collection of information unless it displays a currently valid OMB control number.
3. Certain applications for permits authorized under the Endangered Species Act of 1973 (16 U.S.C. 1539) and the Marine Mammal Protection Act of 1972 (16 U.S.C. 1374) will be published in the **Federal Register** as required by the two laws.
4. Disclosures outside the Department of the Interior may be made without the consent of an individual under the routine uses listed below, if the disclosure is compatible with the purposes for which the record was collected. (Ref. 68 FR 52611, September 4, 2003)
  - a. Routine disclosure to subject matter experts, and Federal, Tribal, State, local, and foreign agencies, for the purpose of obtaining advice relevant to making a decision on an application for a permit or when necessary to accomplish a FWS function related to this system of records.
  - b. Routine disclosure to the public as a result of publishing **Federal Register** notices announcing the receipt of permit applications for public comment or notice of the decision on a permit application.
  - c. Routine disclosure to Federal, Tribal, State, local, or foreign wildlife and plant agencies for the exchange of information on permits granted or denied to assure compliance with all applicable permitting requirements.
  - d. Routine disclosure to Captive-bred Wildlife registrants under the Endangered Species Act for the exchange of authorized species, and to share information on the captive breeding of these species.
  - e. Routine disclosure to Federal, Tribal, State, and local authorities who need to know who is permitted to receive and rehabilitate sick, orphaned, and injured birds under the Migratory Bird Treaty Act and the Bald and Golden Eagle Protection Act; federally permitted rehabilitators; individuals seeking a permitted rehabilitator with whom to place a bird in need of care; and licensed veterinarians who receive, treat, or diagnose sick, orphaned, and injured birds.
  - f. Routine disclosure to the Department of Justice, or a court, adjudicative, or other administrative body or to a party in litigation before a court or adjudicative or administrative body, under certain circumstances.
  - g. Routine disclosure to the appropriate Federal, Tribal, State, local, or foreign governmental agency responsible for investigating, prosecuting, enforcing, or implementing statutes, rules, or licenses, when we become aware of a violation or potential violation of such statutes, rules, or licenses, or when we need to monitor activities associated with a permit or regulated use.
  - h. Routine disclosure to a congressional office in response to an inquiry to the office by the individual to whom the record pertains.
  - i. Routine disclosure to the Government Accountability Office or Congress when the information is required for the evaluation of the permit programs.
  - j. Routine disclosure to provide addresses obtained from the Internal Revenue Service to debt collection agencies for purposes of locating a debtor to collect or compromise a Federal claim against the debtor or to consumer reporting agencies to prepare a commercial credit report for use by the FWS.
5. For individuals, personal information such as home address and telephone number, financial data, and personal identifiers (social security number, birth date, etc.) will be removed prior to any release of the application.
6. The public reporting burden on the applicant for information collection varies depending on the activity for which a permit is requested. The relevant burden for an Export of Caviar or Meat of Paddlefish or Sturgeon Removed from the Wild (**CITES**) application is 3 hours. This burden estimate includes time for reviewing instructions, gathering and maintaining data and completing and reviewing the form. You may direct comments regarding the burden estimate or any other aspect of the form to the Service Information Clearance Officer, U.S. Fish and Wildlife Service, Mail Stop 2042-PDM, U.S. Department of the Interior, 1849 C Street, NW, Washington D.C. 20240.

### Freedom of Information Act – Notice

For organizations, businesses, or individuals operating as a business (i.e., permittees not covered by the Privacy Act), we request that you identify any information that should be considered privileged and confidential business information to allow the Service to meet its responsibilities under FOIA. Confidential business information must be clearly marked "Business Confidential" at the top of the letter or page and each succeeding page and must be accompanied by a non-confidential summary of the confidential information. The non-confidential summary and remaining documents may be made available to the public under FOIA [43 CFR 2.13(c)(4), 43 CFR 2.15(d)(1)(i)].

**DO NOT RETURN THIS PAGE WITH THE APPLICATION**