



**NOTIFICATION FOR AND TRANSFER/TRANSPORT OF CAPTIVE-HELD MARINE MAMMALS UNDER THE MARINE MAMMAL PROTECTION ACT (MMPA)**



New     Reissue/Renew     Amendment

Complete Sections **A or B**, and C, D, and E of this application. U.S. address may be required in Section C.\*\*

<b>A. Complete if applying as an individual</b>				
1.a. Last name		1.b. First name	1.c. Middle name or initial	1.d. Suffix
2. Date of birth (mm/dd/yyyy)	5.a. Telephone number	5.b. Alternate telephone number	6. E-mail address	

<b>B. Complete if applying on behalf of a business, corporation, public agency, Tribe, or institution</b>			
1.a. Name of business, agency, Tribe, or institution		1.b. Doing business as (dba)	
2. Tax identification no.	3.a. Description of business, agency, Tribe, or institution		3.b. Website URL (if applicable)
4.a. Principal officer (P.O.) last name	4.b. P.O. first name	4.c. P.O. middle initial	4.b. P.O. Title
5. Primary contact name		6. Primary e-mail address	
7.a. Business telephone number		7.b. Alternate phone no.	8.a. Primary contact telephone no.

<b>C. All applicants complete address information</b>				
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

<b>D. All applicants MUST complete</b>
1. Include a check or money order, payable to the U.S. FISH AND WILDLIFE SERVICE, a <b>nonrefundable processing fee (see the fee schedule)</b> . Federal, Tribal, State, and local government agencies, and those acting on behalf of such agencies, are exempt from the processing fee – <b>attach documentation of fee exempt status as outlined in instructions.</b> (50 CFR 13.11(d))
2. If you are requesting a reissue/renew/amendment, what is your permit/file number?
3. Certification: I hereby certify that I have read and am familiar with the regulations contained in Title 50, Part 13 of the Code of Federal Regulations and the other applicable parts in subchapter B of Chapter I of Title 50, 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.
The individual/principal officer of the business must print and sign the application. (No photocopied or stamped signatures)      Date (mm/dd/yyyy)

\*\* Click here for additional instructions on completing the above form ([link to instruction page](#)). See the last page for information on the Privacy Act, Paperwork Reduction Act, Estimated Burden, and Freedom of Information Act aspects of this application form.

Mail your application(s) to Division of Management Authority, Branch of Permits, MS:IA 5275 Leesburg Pike, Falls Church, VA 22041-3803.

## E. Notification for and Transfer/Transport of Captive-held Marine Mammals under the Marine Mammal Protection Act (MMPA)

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### PURPOSE

Use this application for the domestic transfer of live captive-held marine mammals under the [jurisdiction of the U.S. Fish & Wildlife Service](#) (sea otters, marine otter, polar bears, walrus, manatees, and dugong). This application can also be used for the domestic **transfer of dead specimens** of these species for purposes of public display or scientific research.

For transfer of live animals, the current holder of the animal should use this application to EITHER: (1) provide **NOTIFICATION** of transfer/transport and/or sale/purchase of an animal that qualifies as public display under the MMPA; OR (2) request a **LETTER OF AUTHORIZATION (LOA)** to transfer/transport an animal that was originally stranded and needs long-term care at another facility.

For the transfer of dead marine mammal specimens to be used for public display or scientific research, the recipient of the specimens should use this application to request a **LETTER OF AUTHORIZATION** for the transfer of the specimens to his/her institution/facility. The recipient should complete the application and provide a letter of agreement from the current holder of the dead animal or specimen.

#### This form should NOT be used for:

- A permit for activities involving marine mammals under [jurisdiction of the National Marine Fisheries Service \(NMFS\)](#) (i.e., whales, dolphins, porpoises, seals, and sea lions).
- A permit for Take<sup>1</sup>/Import/Export of FWS-jurisdiction marine mammals for public display, scientific research, enhancement, or rescue/rehabilitation/release activities complete [Form 3-200-43](#).
- A permit for activities involving photography in the wild for educational or commercial purposes, use [Form 3-200-86](#).

**Please review the complete application carefully before beginning. Provide complete answers to all the questions on the application.** If a question is not applicable, answer with "N/A". If needed, use additional pieces of paper. On all attachments or separate sheets you submit, indicate the application question number you are addressing. If you are applying for more than one animal or specimen, be sure to answer all relevant questions for each specimen.

Electronic submission of inventories, photographs, and receipts/invoices: If you wish to provide information electronically, please include a flash drive containing your information with your physical application.

1. Name and address where you wish the permit to be mailed, **if different from page 1**. If you would like expedited shipping, please enclose a self-addressed, pre-paid, computer-generated, courier service airway bill. If unspecified, all documents will be mailed via the U.S. Postal Service.
2. Who should we contact if we have questions about the application (name, phone number, and e-mail)?
3. Have you or any of the owners of the business (if applying as a business, corporation, or institution), been assessed a civil penalty or convicted of any criminal provision of any statute or regulation relating to the activity for which the application is filed; been convicted, or entered 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; forfeited

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<sup>1</sup> The term, "take," as defined by the MMPA means to harass, hunt, capture, or kill, or attempt to harass, hunt, capture, or kill any marine mammal.

collateral; OR are currently under charges for any violation of the laws mentioned above?

No      Yes

If you answered "Yes" to Question 3, 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. Please be aware that a "Yes" response does not automatically disqualify you from getting a permit.

4. Type of activity requested (check appropriate box):

**Notification** (must be provided at least 15 days prior to any proposed transfer/transport, sale, or purchase)

- a. Provide a copy of the original permit and/or the most recent DMA transfer/transport confirmation letter (if not available, provide information about the animal's lineage); and
- b. Indicate the purpose of the proposed activity (public display, scientific research, or enhancement).

**Letter of Authorization** (For non-emergency placements of live animals or transfer of dead specimens, please allow a minimum of 30 days to process your request)

- a. Provide the estimated date of the proposed activity.
  
- b. Provide the following for the subject animal/specimen:
  - i. Live animal or dead specimen?
  
  - ii. Scientific name (genus, species, and, if applicable, subspecies) and common name;
  
  - iii. Name and sex of the marine mammal;
  
  - iv. Other identification (e.g., I.D. #, tattoo #, microchip # (provide manufacturer and location of microchip), distinguishing marks/features); and
  
  - v. Estimated or actual birth date of the marine mammal and place of birth or location of take from the wild.

5. Provide the name and address of the receiving facility for live animals **or** the sending facility for dead specimens **and** the primary contact's name, title, and information (phone, fax, and e-mail).

Name of \_\_\_Receiving or \_\_\_Sending (check one) facility:

Address:

Primary Contact and Title:

Phone/Fax:

E-mail address:

6. If the animal/specimen will be **under public display**, provide a letter from the receiving facility that contains the following information:
- The marine mammal will be used in a conservation and/or education program based on professionally recognized standards of the public display community. Please identify which standards are followed: AZA, Alliance, or other professionally recognized standards;
  - The exhibitor's USDA license/registration number issued under the Animal Welfare Act and expiration date; and
  - The facility is open to the public on a regularly scheduled basis and access to the facility is not limited or restricted other than by charging an admission fee.
7. If the animal/specimen will be used for **scientific research** provide either the FWS scientific research permit number or the following information. [For research that will be done in an invasive manner on live animals please submit form [3-200-43](#)]:
- Explain how the research meets the MMPA definition of "bona fide research," i.e., scientific research on marine mammals, the results of which: (i) are likely to be accepted for publication in a referred scientific journal; (ii) are likely to contribute to the basic knowledge of marine mammal biology or ecology; or (iii) are likely to identify, evaluate, or resolve conservation problems.
  - Attach a copy of the formal research proposal or a detailed description of the proposed project, including objectives, hypotheses, associated methodology, and disposition of the animal or remaining specimen material once your project is complete.
  - Provide the expected research schedule (clearly specify the proposed start and end date(s) of your research and overall duration of the project).
  - Provide a statement with the names and qualifications of the researcher(s) (curricula vitae may be submitted).



- iii. If this is a subsequent placement, provide a copy of the LOA that placed the animal at your current holding facility.
  
- b. Provide a draft transport plan that documents compliance with USDA regulations for transport and care of live marine mammals (7 U.S.C. 2131-2159; 9 CFR 3, Part E) and includes a description of:
  - i. the means and duration of the transportation used to move the animal;
  
  - ii. the type, size, and construction of all shipping containers used to transport the animal;
  
  - iii. the arrangements for watering or otherwise caring for the animal during transport;
  
  - iv. the transport contingency plan; and
  
  - v. the qualifications of each person and their responsibilities while accompanying the animal that demonstrates their ability to address the specimen's needs during transport.

## NOTICES

### PRIVACY ACT STATEMENT

**Authority:** The information requested is authorized by the following: the Bald and Golden Eagle Protection Act (16 U.S.C. 668), 50 CFR 22; the Endangered Species Act (16 U.S.C. 1531-1544), 50 CFR 17; the Migratory Bird Treaty Act (16 U.S.C. 703-712), 50 CFR 21; the Marine Mammal Protection Act (16 U.S.C. 1361, et seq.), 50 CFR 18; the Wild Bird Conservation Act (16 U.S.C. 4901-4916), 50 CFR 15; the Lacey Act: Injurious Wildlife (18 U.S.C. 42), 50 CFR 16; Convention on International Trade in Endangered Species of Wild Fauna and Flora (TIAS 8249), 50 CFR 23; General Provisions, 50 CFR 10; General Permit Procedures, 50 CFR 13; and Wildlife Provisions (Import/export/transport), 50 CFR 14.

**Purpose:** The collection of contact information is to verify the individual has an eligible permit to conduct activities which affect protected species. This helps FWS monitor and report on protected species and assess the impact of permitted activities on the conservation and management of species and their habitats.

**Routine Uses:** The collected information may be used to verify an applicant's eligibility for a permit to conduct activities with protected wildlife; to provide the public and the permittees with permit related information; to monitor activities under a permit; to analyze data and produce reports to monitor the use of protected wildlife; to assess the impact of permitted activities on the conservation and management of protected species and their habitats; and to evaluate the effectiveness of the permit programs. More information about routine uses can be found in the System of Records Notice, Permits System, FWS-21.

**Disclosure:** The information requested in this form is voluntary. However, submission of requested information is required to process applications for permits authorized under the listed authorities. Failure to provide the requested information may be sufficient cause for the U.S. Fish & Wildlife Service to deny the request.

### PAPERWORK REDUCTION ACT STATEMENT

We are collecting this information subject to the Paperwork Reduction Act (44 U.S.C. 3501) in order provide the U.S. Fish and Wildlife Service the information necessary, under the applicable laws governing the requested activity, for which a permit is requested. 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 applicable laws. Failure to provide all requested information may be sufficient cause for the U.S. Fish and Wildlife Service to deny the request. According to the Paperwork Reduction Act of 1995, an agency may not conduct or sponsor, and a person is not required to respond to a collection of information unless it displays a currently valid OMB control number. OMB has approved this collection of information and assigned Control No. 1018-0093.

### ESTIMATED BURDEN STATEMENT

We estimate public reporting for this collection of information averages 45 minutes (electronically) to 1 hour (paper-based), including time for reviewing instructions, gathering and maintaining data and completing and reviewing the form. Direct comments regarding the burden estimate or any other aspect of the form to the Service Information Clearance Officer, Fish and Wildlife Service, U.S. Department of the Interior, 5275 Leesburg Pike, MS: PRB/PERMA (JAO), Falls Church, VA 22041-3803, or via email at [Info\\_Coll@fws.gov](mailto:Info_Coll@fws.gov). Please do not send your completed form to this address.