



### INTRODUCTION FROM THE SEA (CITES)

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) <span style="float: right;">Date (mm/dd/yyyy)</span>

\*\* 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. INTRODUCTION FROM THE SEA (CITES)

**Note:** U.S. regulations define introduction from the sea as "transportation into a country of specimens of any species which were taken in the marine environment not under the jurisdiction of any country." CITES defines the marine environment not under the jurisdiction of any country as "those marine areas beyond the areas subject to the sovereignty or sovereign rights of a State consistent with international law, as reflected in the United Nations Convention on the Law of the Sea." Therefore, if you are collecting in the open ocean (i.e., in the marine environment outside of any country's territorial jurisdiction), using a U.S. registered vessel and returning directly to the U.S., you will need to obtain an "introduction from the sea" document. However, if you are collecting in the open ocean on a U.S. registered vessel **and** transporting the specimens directly to a different country, your shipment would require a U.S. CITES export permit use application form [3-200-29](#), and for Appendix I specimens, an import permit issued by the country into which the specimens are transported.

This application is for the "introduction from the sea" of marine specimens collected from the open ocean by a U.S. registered vessel returning directly to the United States. If your activities **also** involve the import of Appendix-I specimens collected from territorial waters of other countries, you may include those specimens on this application. However, if your activities are restricted to the import of Appendix-I specimens collected from other countries (including their territorial waters), please use application form [3-200-37](#)

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

Please provide the following information. Complete all pages of the application. If needed, use separate sheets of paper. On all attachments or separate sheets you submit, please indicate the number of the application question you are addressing. Mark questions that are not applicable with "N/A". If you are applying to introduce from the sea/import multiple specimens, be sure to indicate which specimen you are addressing in each response.

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 regular mail through 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 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. Provide the following for EACH animal/specimen:

a. Scientific name (genus, species, and, if applicable, subspecies) and common name;

b. Approximate age (e.g., juvenile, adult)

c. Sex, if known; and

d. Description of live animal or specimens (e.g., physical description of live animal; type of biological samples; number and size of samples/containers).

5. Provide information on the source of the specimen(s):

a. Specific location of where (e.g. ocean basin, geographical coordinates, specific stock/population), when, how, and by whom (name, address, and expertise) the specimen will be removed from the wild; and

b. The purpose of the removal.

6. What is the purpose of the introduction from the sea/import:

7. Provide evidence that you have permission to collect on the high seas (e.g., copies of your collecting permit, license,

contract, or agreement).

8. Provide the following details of the introduction from the sea/import activities:

- a. If you currently possess a permit or other authorization issued by the U.S. Fish and Wildlife Service or the National Marine Fisheries Service under the Endangered Species Act, Marine Mammal Protection Act, or the Migratory Bird Treaty Act to conduct relevant activities, please provide a copy.
- b. Describe the purpose of your proposed activity. If your purpose is for scientific research, attach a copy of your research proposal which outlines the purpose, objectives, methods (e.g., include specific information on survey/collection methods, sampling regime, equipment to be used), and whether similar work has already been done or is currently being done.
- c. Describe the technical expertise of each person as it relates to the proposed activities.
- d. Provide copies of contracts or agreements or other permits that identify persons involved in and dates of proposed activities.

9. If live wildlife will be held in captivity:

- a. Provide a detailed description (e.g., size, construction materials, protection from the elements) and photographs or diagrams (no blueprints, please) clearly depicting the existing facilities where the wildlife will be maintained. If the specimens will be housed at multiple facilities, either immediately or within the next year, provide a description for each facility. If you are unsure of which facilities may be receiving specimens (e.g., SSP has not made final decision), please indicate likely candidates and the mechanism that will be used to determine recipient facilities.
- b. A statement of the specific technical experience available to the recipient(s) for maintaining and propagating live specimens of the same or similar species, including:
  - i. The number of years each species has been maintained;
  - ii. A list of the number of successful births by year for each species for the last 5 years; and
  - iii. Mortalities resulting from your activities with these or similar species in the last 5 years, causes of such mortalities, and steps taken to avoid or decrease such mortalities.

10. For transporting living wildlife, the transport conditions must comply with the CITES Guidelines for Transport of Live Animals. If applicable, you must also meet USDA standards for Humane and Healthful Transport. As such, provide:

- a. A description of the type, size, and construction of any shipping container;
- b. The arrangements for caring for the wildlife during transport, and
- c. For marine mammals, documentation showing compliance with USDA regulations for transport and care (7 U.S.C. 2131-2159; 9 CFR 3, Part E).

11. For import of CITES Appendix-I species provide information to show the import is not for primarily commercial purposes as outlined in [Resolution Conf. 5.10](#).

**All exports must be through a designated port. A [list of designated ports](#) (where an inspector is posted) is available. 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](#)).**

## 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 1 hour 30 minutes (original submission - electronic) and 2 hours (original submission - paper-based) and 1 hour 15 minutes (amended submission) to 1 hour 45 minutes (amended submission - 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.