



## CITES EXPORT OF ARTIFICIALLY PROPAGATED LIVE PLANTS OR PLANT PARTS (Single and Multiple Commercial Shipments)



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.
<hr/> 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. CITES EXPORT OF ARTIFICIALLY PROPAGATED LIVE PLANTS OR PLANT PARTS

*This form should be used for the commercial export of cultivated specimens (i.e., species, hybrids, cultivars) of CITES-listed species that meet the criteria of 'artificially propagated', as defined by CITES Resolution Conf. 11.11 (Rev. CoP18; on Regulation of trade in plants). All plant scientific names must be published in a CITES nomenclature reference (Res Conf. 12.11 (Rev. CoP18)) on Standard nomenclature or a recognized scientific journal.*

### This form should NOT be used to:

- Request authorization to re-export artificially propagated plants; or for export or re-export of wild-collected plants or plant materials; or for exports or re-exports of plant products (e.g., extracts, powders). Applicants should complete application form [3-200-32](#).
- Request authorization for plants listed in the Endangered Species Act. For such export, applicants should complete form [3-200-36](#).
- Request authorization for the import of wild-collected CITES Appendix I plants. For such imports, applicants should complete form [3-200-35](#).
- Request additional partially completed certificates for artificially propagated plants under your existing Master File. Applicants should complete application form [3-200-74](#).

### This application may be used to:

- Request a single-use permit for commercial export of artificially propagated plants or plant materials** that is valid for 6 months from the date of issuance. For re-issuance or amendment of a single use permit, the original permit must be returned with completed application form.
- Establish a Master File:** A "Master File" with an approved plant list is valid for up to 3 years from the date of issuance. Once approved, you must obtain partially completed certificates to export approved plants or plant parts. Partially completed certificates are \$5 each and are valid for 6 months. Certificates must be obtained prior to making any shipment and must accompany the shipment.
- Amend an existing Master File:** A "Master File" must be **amended** when there have been any changes to the species or supplier information provided in your existing Master File. You need only provide the requested information for the species or suppliers to be amended (i.e., you do not need to provide information for all of the plants on your approved Master File plant list if it has not changed). However, if you intend to renew your current Master File at the same time you are amending it, see below.
- Renew (or Amend and Renew) a Master File:** To renew a Master File that has or will soon expire, **you must complete this entire application**, including providing all of the information requested in this form for all plants to be included in your Master File and information on any changes to your facility, operations, species, or suppliers for the plant specimens that you wish to export.

### Provide the file number of any previously established Master Files for artificially propagated plants.

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

**This section is divided into FIVE (5) parts:**

- All applicants should complete Parts I and V; and
  - Part II, to export interspecific and intergeneric hybrids of Appendix-II CATTLEYA, CYMBIDIUM, DENDROBIUM (*D. phalaenopsis* and *D. nobile* only), ONCIDIUM (non-native species only), PHALAENOPSIS, or VANDA, and
  - Part III, to export other plants produced at your facility.
  - Part IV, to export plants purchased and produced at different facility.
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**Part I: General information** (if more space is needed, attach separate sheets and cross-reference any separate pages by numbering them according to the question you are responding to).

1. Name and address where permit should be mailed, **if different from page 1**. If you want expedited shipping, please enclose a self-addressed, pre-paid, computer-generated, courier service airway bill. Otherwise, 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 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. Briefly describe your business operation, including how long you have been in business; and the number, location, size, and types of growing facilities. Are all of the plants or plant material intended for export propagated and grown at your facility? Do you have a single facility or multiple facilities? For plants/plant material purchased from other producers, are plants maintained for long periods of time or is stock turned over frequently? Do you only export plants/plant material obtained from other producers? If yes, do you purchase plants/plant material only when you have an order to fill or do you maintain plants/plant material at your facility until an order is submitted?
  
5. Provide labeled photographs of your growing facilities, parental stock, and plants to be exported. Clearly indicate which species/hybrids/cultivars are depicted in the photos. If you purchase from a different facility, please provide such photographs from that supplier(s).
  
6. Provide copies of the following documentation (cross-reference all document(s) by numbering them according to the question number or plant item number that the document responds to):

- a. Your current State nursery license.
  - b. Your current U.S. Department of Agriculture Protected Plant Permit (formerly known as General Permit).
  - c. Validated CITES import permits and Phytosanitary Certifications with inventory lists for **all plants or plant parts imported** to the United States (including imports used to establish parental stock).
  - d. Authorizations (e.g. collection permits, land-owner permission, salvage permits) for **any wild plants or plant parts** collected in the United States used to establish parental stock.
  - e. Invoices showing the name, address, and telephone number or e-mail address of the person/facility that you purchased the plants/specimens, and the date of purchase for any **plant part obtained from other suppliers** (including purchases you made to establish parental stock at your facility). If not available, provide a signed and dated notarized propagator's statement that includes the following information:
    - i. Propagator's contact information (name, telephone number or e-mail, and business, if applicable)
    - ii. Recipient's contact information (name, telephone number or e-mail, and business, if applicable)
    - iii. Year the parental stock was established
    - iv. Type of plant material and whether it was wild-collected or cultivated
    - v. Date of purchase
7. Describe the type of shipping containers and the arrangements for LIVE plant care during shipment.

**PART II. Hybrids of *Cattleya*, *Cymbidium*, *Dendrobium phalaenopsis* and *D. nobile* only, *Oncidium* (non-native species only), *Phalaenopsis*, and *Vanda* orchids.** Provide information requested in Table 1. All parents must be from these groups, including interspecific and intergeneric hybrids. Refer to Codes below for sections b-d and specify your answer in the space provided if you select "other". **For all other plants, including other orchid hybrids, proceed to Part III.**

**TABLE 1. HYBRIDS of CATTLEYA, CYMBIDIUM, DENDROBIUM phalaenopsis and D. nobile, ONCIDIUM (non-native), PHALAENOPSIS, or VANDA**

Item No.	a. Name of Hybrid (Include parental genera or grex)	b. Plant Description at the time of export <i>specify code</i>	c. Growing Environment <i>specify code</i>	d. Propagation Method(s) <i>specify code</i>	e. Name of Propagating Facility <i>(Provide complete address in Table 4)</i>

**CODES**

**b. Plant Description:** 1=Seedling; 2=Juvenile; 3=Mature/blooming; 4=Cutting/division; 5=Root/rhizome; 6= Other (*specify*)  
**c. Growing Environment:** 1 = Greenhouse; 2 = Shadehouse; 3 = Lab; 4 = Field; 5 = Other (*specify*).  
**d. Propagation Method** to produce the specimens to be exported: 1 = Seeds; 2 = Stem or root/rhizome cuttings/divisions; 3 = *In vitro*; 4 = Other (*specify*).

**PART III. Plants produced and grown at the applicant's facilities (excluding hybrids in Part II).** Provide the information requested in Table 2 for all plants or plant materials requested for export that were produced at your facilities. Refer to the Codes below for sections b, c, d, f, and j; and specify your answer in the space provided if you select "other".

**TABLE 2. PLANTS PRODUCED AT THE APPLICANT'S FACILITIES**

INFORMATION ABOUT THE PLANTS TO BE EXPORTED					INFORMATION ABOUT THE PARENTAL STOCK							
Item No.	a. Scientific Name & Common Name (If hybrid, list parental species & hybrid name)	b. Description <i>specify code</i>	c. Growing Environment <i>specify code</i>	d. Propagation Method <i>specify code</i>	e. No. of Parental Stock	f. Growing Environment <i>specify code</i>	For cultivated, provide supplier name <i>(provide complete address in Table 4)</i>	For wild origin, provide collection location <i>(specify country and see footnote)<sup>1</sup></i>	h. Date(s) acquired	i. Quantity obtained	j. Type of plant material obtained <i>specify code</i>	k. How often do you obtain additional stock? <i>(either wild or cultivated)</i>

**b. Specimen Plant Description:** 1=Seedling; 2=Juvenile; 3=Mature/blooming; 4=Cutting/division; 5=Root/rhizome; 6= Other (*specify*)  
**c. Growing Environment of Plants:** 1=Greenhouse; 2=Shadehouse; 3=Lab; 4=Field; 5=Other (*specify*)  
**d. Propagation Method** to produce the specimens to be exported: 1=Seeds; 2=Stem or root/rhizome cuttings/divisions; 3=*In vitro*; 4=Other (*specify*)  
**f. Growing Environment of Parental Stock:** 1=Greenhouse; 2=Shadehouse; 3=Lab; 4=Field; 5=Other (*specify*)  
**j. Plant part obtained:** 1=Seeds; 2=Flasks; 3=Seedlings; 4=Juvenile size; 5=Mature/blooming size; 6=Cuttings/divisions; 7=Roots/rhizomes; 8=Other (*specify*).

**CODES**

<sup>1</sup> For planting stock collected/harvested from the wild in the United States, provide the number and age class of specimens collected; the specific location (including city and county) and date(s) of collection for each specimen; the name, address, and phone number of the collector; collection/harvest methods; and the estimated number of plants and the proportion of plants collected/harvested at each location. If wild-origin planting stock is from non-U.S. origin, copies of the validated CITES documentation will be adequate.

**Part IV. Plants produced at facilities other than the applicant’s facilities (excluding hybrids in Part II).** Provide information requested in Table 3 for all plants or plant parts requested for export. Refer to the Codes below for sections b, c, d, f, and j; and specify your answer in the space provided if you select “other”. Use the same plant item number from Table 2 if the plant name is the same. If you obtain plants from more than one supplier, use the same item number, but separate lines for each supplier.

**Table 3. PLANTS PRODUCED AT DIFFERENT FACILITIES**

INFORMATION ABOUT THE PLANTS TO BE EXPORTED					INFORMATION ABOUT THE PARENTAL STOCK							
Item No.	a. Scientific Name & Common Name (If hybrid, list parental species & hybrid name)	b. Description at the time of export <i>specify code</i>	c. Growing Environment <i>specify code</i>	d. Propagation Method <i>specify code</i>	e. No. of Parental Stock maintained	f. Growing Environment <i>specify code</i>	g. Origin of Parental Stock		h. Date(s) acquired	i. Quantity obtained	j. Type of plant material obtained <i>specify code</i>	k. How often do you obtain additional stock? (either wild or cultivated)
							For cultivated, provide supplier name (provide complete address in Table 4)	For wild origin, provide collection location (specify country and see footnote) <sup>2</sup>				
CODES	b. Plant Description: 1=Seedling; 2=Juvenile; 3=Mature/blooming; 4=Cutting/division; 5=Root/rhizome; 6= Other ( <i>specify</i> )											
	c. Growing Environment of Plants: 1=Greenhouse; 2=Shadehouse; 3=Lab; 4=Field; 5=Other ( <i>specify</i> )											
d. Propagation Method to produce the specimens to be exported: 1=Seeds; 2=Stem or root/rhizome cuttings/divisions; 3= <i>In vitro</i> ; 4=Other ( <i>specify</i> )												
f. Growing Environment of Parental Stock: 1=Greenhouse; 2=Shadehouse; 3=Lab; 4=Field; 5=Other ( <i>specify</i> )												
j. Plant part obtained: 1=Seeds; 2=Flasks; 3=Seedlings; 4=Juvenile size; 5=Mature/blooming size; 6=Cuttings/divisions; 7=Roots/rhizomes; 8=Other ( <i>specify</i> ).												

<sup>2</sup> For planting stock collected/harvested from the wild in the United States, provide the number and age class of specimens collected; the specific location (including city and county) and date(s) of collection for each specimen; the name, address, and phone number of the collector; collection/harvest methods; and the estimated number of plants and the proportion of plants collected/harvested at each location. If wild-origin planting stock is from non-U.S. origin, copies of the validated CITES documentation will be adequate.

**PART V. Supplier Information (To be completed by all applicants).** Provide the information requested in Table 4. Use the same plant item number from Tables 1, 2, or 3, as applicable. If you obtain plants or plant parts from more than one supplier, use separate lines for each supplier.

**TABLE 4. SUPPLIER CONTACT DETAILS**

<b>Item number</b>	<b>Name of Supplier</b>	<b>Full Address</b> (street address, city, state, country, zip code)	<b>Telephone Number</b>	<b>Fax Number</b> (if available)	<b>E-Mail/website</b> (if available)



## 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:

Original submission - paper-based: 2 hours  
Amended submission - paper-based: 1 hour 45 minutes  
Original submission - electronic: 1 hour 45 minutes  
Amended submission - electronic: 1 hour 30 minutes

These estimates include 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.