



## Export or Re-Export of Pre-Convention, Pre-Act, or Antique Specimens (CITES/MMPA/ESA)

New  Reissue/Renew  Amendment



### APPLICATION FORM INSTRUCTIONS

The following instructions pertain to 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.

If you are an individual, who would be named on the face of the permit, you need to complete the **Individual Applicant** section of this application.

If you are an individual seeking permits issued to yourself for activities not associated with your business or institution, you need to complete the **Individual Applicant** section as an individual permittee.

If you are an individual associated with a business or institution, and the business or institution's name would appear on the face of the permit, you need to complete the **Business Applicant** section of this application.

If you are a business applying on behalf of an individual, you need to complete the **Business Applicant** section of this application and include a limited power of attorney from the person for whom you represent.

A person/entity is qualified to obtain a U.S. Fish and Wildlife Service permit or license when they are "subject to the jurisdiction of the United States", per 16 USC 1532(13). A foreign person/entity with no permanent physical presence in the United States only qualifies for an import/export license when they physically enter or exit the U.S. with the wildlife items. The foreign entity is required to designate a U.S. agent for purposes of record keeping.

### GENERAL INSTRUCTIONS:

- 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. Items marked with an asterisk (\*) are required fields.
- Print clearly or type in the information. Illegible applications may cause delays.
- Sign the application. Faxes or copies of the original signature will not be accepted.
- If you choose to mail your submission, mail the original application to the address listed below or, if applicable, on the attached address list. We encourage electronic filing in the ePermits system.
- Keep a copy of your completed application.
- Please plan ahead. Unless otherwise indicated, 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). Longer processing times will be noted on those applications.
- Applications are processed in the order they are received.

### Individual or Business Applicants:

Individual Applicant. **Complete if applying as an individual** [do not complete this application if applying for Import/Export License (3-200-3) or a Designated Port Exception Permit (3-200-2)]:

- Enter the information requested. Required fields must be completed. This is used to create your profile and consumer information in the ePermits system. **If you do not have an email address, enter not applicable.**
- **Doing business as (dba) / Affiliation:** The Division of Management Authority (DMA) and the Office of Law Enforcement (OLE) do **not** accept *doing business as* affiliations for individuals seeking permits on behalf of themselves. "Doing business as" affiliations apply to individuals seeking permits for a business, agency, Tribe, organizational, or institutional affiliation *directly* related to the activity requested in the application. For example, a taxidermist is an individual whose business can *directly* relate to the requested activity of exporting taxidermy (dba relevant permit); however, said taxidermist should not apply as a business for permits to non-business related travel with their pet exotic parrot (dba is **not** relevant to the permit; **complete the Business Applicant** section).

**Business Applicant. Complete if applying as a business, corporation, public agency, Tribe, or institution:**

- Enter the information requested. Required fields must be completed. This is used to create your contact and account information in the ePermits system. **If you do not have an email address, enter not applicable.**
- 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.
- **The 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. Each person that is associated with the business that would need to access the business account needs to create their own contact in the ePermits system.

**Application processing fee:**

- An application processing fee is required at the time of application, unless exempted under 50 CFR 13. 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. Checks or money orders must be for the exact amount for each application submitted. If you are making more than one request, you must submit a separate payment for each request, otherwise your application will be returned.**
- **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.

**CERTIFICATION:**

- The individual identified in the Individual Applicant Section, the principal officer named in the Business Applicant Section, or person with a valid power of attorney (documentation must be included in the application) must sign and date the application. 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.

**ALL APPLICANTS COMPLETE THE QUESTIONS ASSOCIATED WITH YOUR APPLICATION**

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

Mail applications to: U.S. Fish and Wildlife Service; Division of Management Authority; Branch of Permits, MS:IA; 5275 Leesburg Pike; Falls Church, Virginia 22041-3803 or as directed by specific applications.

If you would like expedited mailing, 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.

Please refer to the [fee schedule](#) for the appropriate fees for the activity you are requesting.

**If you are making more than one request, you must submit a separate payment for each request, otherwise your application will be returned.**

## INDIVIDUAL APPLICANTS

*First Name	Middle Name	*Last Name

*Email Address	Telephone Number

*Street Address	*City

*State/Province	*Zip or Postal Code	*Country

If you wish to have your permit mailed to a different address, complete the following:

*Street Address	*City

*State/Province	*Zip or Postal Code	*Country

If you would like expedited mailing, 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.

Have you or your client (if a broker applying on behalf of your client), 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", 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.

## Certification Statement

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.

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Signature and date

Include a check or money order, payable to the U.S. FISH AND WILDLIFE SERVICE, as **a nonrefundable processing fee [50 CFR 13.11(d)(4)]** (see instructions above). Federal, Tribal, State, and local government agencies, and those acting on behalf of such agencies, are exempt from the processing fee – ***attach documentation of fee exempt status as outlined in instructions.*** (50 CFR 13.11(d))

**\*Required fields. Applications without this information are subject to delays or returns.**

## BUSINESS APPLICANTS

<b>*Business Name</b>	<b>doing business as (dba)</b>

\*Indicate your business type:

Business or other for profit    
  Small business    
  Government (Federal/State/Local/Tribal)  
 Farm    
  Not-for-profit institution

<b>Name that will appear on the permit if you are applying on behalf of an individual/business</b>

<b>*Primary Contact Name</b>	<b>*Primary Contact Email Address</b>
<b>*Business Email Address</b>	<b>*Preferred Contact Method</b> (e.g. phone, email)

<b>*Principal Officer Name</b>	<b>*Principal Officer Title</b>	<b>*Principal Officer Email</b>
<b>Tax ID Number</b>	<b>*Business Phone</b>	<b>Alternate Phone</b>

<b>*Street Address</b>	<b>*City</b>

<b>*State/Province</b>	<b>*Zip or Postal Code</b>	<b>*Country</b>

If you wish to have your permit mailed to a different address, complete the following:

<b>*Street Address</b>	<b>*City</b>

<b>*State/Province</b>	<b>*Zip or Postal Code</b>	<b>*Country</b>

If you would like expedited mailing, 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.

Have you or your client (if a broker applying on behalf of your client), 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

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**\*Required fields. Applications without this information are subject to delays or returns.**

## EXPORT OR RE-EXPORT OF PRE-CONVENTION, PRE-ACT, OR ANTIQUE SPECIMENS (CITES/MMPA/ESA)

Description	Applicable Date
<b>pre-Convention (CITES)</b>	Specimen was acquired (removed from the wild or born or propagated in a controlled environment) before the date CITES applied to it. The CITES listing date can be found at <a href="http://www.cites.org">http://www.cites.org</a> .
<b>pre-Act (ESA)</b>	Specimen was held in a controlled environment on or before (a) December 28, 1973 or the date when the species was listed under the ESA, and (b) the holding or use was not in the course of a commercial activity (e.g., it has not been bought, sold, or offered for sale by you or anyone else) since December 28, 1973, or the date when listed under the ESA.
<b>Antique (ESA)</b>	Specimen is not less than 100 years old, has not been repaired or modified on or after December 28, 1973 with any part of any species protected by ESA and a) has entered at a port designated for the import of ESA antiques or b) there is documented proof that the specimen was in the United States prior to September 22, 1982.
<b>pre-MMPA</b>	Specimen was taken prior to December 21, 1972.

*CITES - Convention on International Trade in Endangered Species of Wild Fauna and Flora*

*ESA – Endangered Species Act*

*MMPA – Marine Mammal Protection Act*

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

**Note 1:** For shipment of Brazilian rosewood (*Dalbergia nigra*), submit form [3-200-32](#).

**Note 2:** Finished products of some timber species, such as big leaf mahogany, are not covered under CITES (only logs, sawn timber, and veneer), while other finished products of species require CITES documents. If you want to export furniture or other finished products containing CITES-listed wood, please contact the Division of Management Authority or visit the CITES page at [www.cites.org](http://www.cites.org) to determine if a CITES document is required.

**Note 3:** For the export of Pre-Convention, Pre-Act, or antique musical instruments/traveling orchestras intended for multiple border crossings for non-commercial purposes (e.g., the instrument is not being offered for sale or being sold while outside the United State), submit application [3-200-88](#).

**Note 4:** For fossilized walrus ivory removed from the wild after 1972, please use form [3-200-27](#).

**Note 5:** African elephant ivory: Raw ivory cannot be re-exported. Worked ivory that qualifies as an antique may be exported. For non-commercial exports, antique worked ivory may also be exported. In addition, worked ivory that was removed from the wild before February 4, 1976, and is part of either a household move or an inheritance could qualify to be exported. (For export of worked African elephant ivory that is contained in a musical instrument and traveling orchestras, please use form [3-200-88](#); for worked African elephant ivory that is part of a traveling exhibition, please use form [3-200-30](#)). Please review our webpage "[What Can I Do With My Ivory?](#)" for important guidance and reminders.

<sup>1</sup> U.S. Customs and Border Protection (CBP) designated 13 ports for the entry of antiques made of ESA-listed species on September 22, 1982 (19 C.F.R. 12.26). The following ports are authorized: Boston, Massachusetts; New York, New York; Baltimore, Maryland; Philadelphia, Pennsylvania; Miami, Florida; San Juan, Puerto Rico; New Orleans, Louisiana; Houston, Texas; Los Angeles, California; San Francisco, California; Anchorage, Alaska; Honolulu, Hawaii; and Chicago, Illinois.

This application is for (choose all that apply):

- A new permit
- Renewal of permit # \_\_\_\_\_
- Amendment of permit # \_\_\_\_\_

1. For EACH specimen being exported/re-exported, please provide the following: (You may submit as a separate document, as long as the information is provided as outlined in the table.)

Scientific name (genus, species, and, if applicable, subspecies)	Common Name	Qty	Description of Item (e.g., published description from a catalog or art book)	Size (include unit of measurement)	Date of Manufacture	Date of acquisition (e.g., bill of sale, U.S. Customs import declaration, transferred document)

2. Type of Activity:

- Export
- Re-export (e.g., exporting a specimen that was previously imported into the United States)

3. What is the purpose of the export?

- Commercial    Personal    Scientific    Exhibition
- Other (specify) \_\_\_\_\_

4. Provide the current location of specimen(s) (address and country)

Name:  
 Address:  
 City:  
 State/Province:  
 County, Postal Code:

5. Name and address of foreign recipient

Name:  
 Address:  
 City:  
 State/Province:  
 County, Postal Code:

6. If protected under **CITES**, provide documents, signed statement, or other evidence that the specimen(s) was obtained or manufactured prior to the date CITES applied to the item (see **pre-Convention** definition above).



7. For specimens(s) protected under the **U.S. Endangered Species Act (ESA)**, provide one of the following:
- a. For **Antiques** (see definition above):
    - i. Provide documentation which shows the age of the item OR a statement from a qualified appraiser attesting to the age;
    - ii. Signed statement that the item has not been repaired or modified on or after December 28, 1973 with any part of any species protected by ESA, AND
    - iii. Documentation showing that the specimen either was imported through a designated antiques port or was in the United States before September 22, 1982 (the date the antiques ports were established).
  - b. For the non-commercial export of worked African elephant ivory that is part of a household move or inheritance and is not an antique, please provide the following:
    - i. Documentation that shows that the ivory used in the specimen was removed from the wild before February 4, 1976 (this may consist of a statement from a qualified appraiser or family documentation), and
    - ii. If the export is part of a household move, documentation on when the specimen was acquired and how long the specimen has been in your possession OR
    - iii. If the export is part of an inheritance, documentation on the inheritance, such as a will or legal documents.
  - c. For the export of all other items that are less than 100 years old (see **pre-Act** definition above) and that are **not African elephant ivory**:

Has this item entered into commerce (e.g., been bought, sold, or offered for sale by you or anyone else) since December 28, 1973?

Yes, you must complete form [3-200-37d](#).

No, sign the following certification:

### **CERTIFICATION STATEMENT original signature is required**

I certify to the best of my knowledge and belief that each of the items identified in Question 1 AND Question 7.c. was 1) held in captivity or in a controlled environment on December 28, 1973, or the species listing date, if later; 2) that the purposes of such holding were not contrary to the purposes of the Act; and 3) that the wildlife was not held in the course of a commercial activity (if you have questions about this certification statement, please contact the Division of Management Authority).

Applicant's signature: \_\_\_\_\_ Date: \_\_\_\_\_

8. If the specimen is protected under the **Marine Mammal Protection Act**, provide an affidavit and supporting documentation that the item was taken prior to December 21, 1972, as outlined in [50 CFR 18.14](#). For cetacean (whales) and pinniped (seals and sea lions; not walrus) specimens, provide either a copy of NOAA Fisheries letter of authorization or evidence that NOAA Fisheries has been contacted.
9. If **Re-export** provide:
- a. A copy of canceled CITES export or re-export document issued by the appropriate CITES office in the country from which the wildlife was imported; and
  - b. Cleared FWS Wildlife Declaration for Import (Form 3-177) (applies to animal specimens only).

10. Is this shipment a sample collection being exported for temporary exhibition or display purposes and accompanied by a valid ATA carnet?

No       Yes, provide ATA carnet document number: \_\_\_\_\_

**Be aware that there may be additional permitting or approval requirements by your local or state government, as well as required by other Federal agencies or foreign government to conduct your proposed activity. While the FWS will attempt to assist you, it is your responsibility to obtain such approval.**

**All international shipment(s) must be through a designated port.** A [list of designated ports](#) (where a wildlife 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 (PRA; 44 U.S.C. 3501 *et seq.*) 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 PRA, 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 36 minutes (electronically) to 45 minutes (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 (JAO/3W), 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.

Questions regarding permits from Management Authority should be sent to [managementauthority@fws.gov](mailto:managementauthority@fws.gov).