



Transfer/Transport of Captive-held Marine Mammals (MMPA)

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.

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

*Business Name	doing business as (dba)

*Indicate your business type:

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

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

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

*Principal Officer Name	*Principal Officer Title	*Principal Officer Email
Tax ID Number	*Business Phone	Alternate Phone

*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.

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Transfer/Transport of Captive-held Marine Mammals (MMPA)

Use this application for the domestic transfer of live captive-held marine mammals under the jurisdiction of the FWS (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:

- provide NOTIFICATION of transfer/transport and/or sale/purchase of an animal that qualifies as public display under the MMPA; **OR**
- 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:

- Public display of marine mammals (use Form [3-200-43a](#)), including import for public display under the MMPA/ESA.
- Scientific research (use Form [3-200-43b](#)), including import/export under the MMPA/ESA for research purposes.
- Enhancement under the MMPA and/or ESA, including import/export under the MMPA/ESA for enhancement of the propagation or survival of the species (use Form [3-200-43c](#)).
- A letter of authorization (LOA) under MMPA Sections 109(h)/112(c) rescue, rehabilitation, and release of stranded marine mammals, including import of live animals and/or import, export, or re-export of samples for rescue-rehab purposes (use Form [3-200-43d](#)).
- Commercial or educational photography (use Form [3-200-86](#)).
- Domestic transfer of specimens (parts/samples), domestic live marine mammal transfers and non-releasability requests (use Form [3-200-87](#)).
- Activities involving marine mammals under jurisdiction of the National Marine Fisheries Service (NMFS) (whales, dolphins, porpoises, seals, and sea lions); please contact [NMFS](#).

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 you provide additional information as attachments, indicate the application question number you are addressing. If you are applying for multiple species and/or activities, be sure to indicate which species/activity(ies) you are addressing in each response.

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

Notification

- 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 wildlife's lineage); and
- b. Indicate the purpose of the proposed activity (public display or scientific research).

Letter of Authorization (For non-emergency placements of live wildlife 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 wildlife/specimen
 - i. Live wildlife or specimen? Yes No
 - 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.

2. 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):

Receiving or Sending facility (check one):

Name:

Address:

Primary Contact Name and Title:

Phone/Fax:

E-mail address:

3. If the animal animal/specimen will be on **public display**, provide a letter from the receiving facility that contains the following information:

- a. 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;
- b. The exhibitor's USDA license/registration number issued under the Animal Welfare Act and expiration date; and
- c. 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.

4. 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 **3-200-43b**):

- a. Explain how the research meets the MMPA definition of "bona fide research," (i.e., scientific research on marine mammals), the results of which are:
 - i. likely to be accepted for publication in a referred scientific journal;
 - ii. likely to contribute to the basic knowledge of marine mammal biology or ecology; or
 - iii. likely to identify, evaluate, or resolve conservation problems.

- b. 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;
 - c. Provide the expected research schedule (clearly specify the proposed start and end date(s) of your research and overall duration of the project);
 - d. Provide a statement with the names and qualifications of the researcher(s) (curricula vitae may be submitted).
5. If the wildlife will be used for the purpose of **enhancing the survival or recovery of the species**, provide the FWS permit number: _____.

For Letters of Authorization to Transfer Live Animals

6. For the transfer of LIVE animals where the species is new to the receiving facility, provide:
 - a. A complete description, including photographs and/or diagrams (no blueprints), of the area and facilities where the animal will be held (including the dimensions of pools and haul-out areas);
 - b. A statement (or attach curricula vitae) about the animal caretakers, which describes their specific experience in the care, handling, and maintenance of this species; and
 - c. A description of all deaths of FWS marine mammal species at the facility within the past five years and the steps taken to prevent or decrease similar mortality.
7. Provide the number of animals of this marine mammal (include age and sex) presently maintained at the receiving facility, and whether there is space for additional animals without exceeding USDA/APHIS standards.
8. For placement of a stranded animal at the receiving facility:
 - a. If this is the initial placement for long-term care and maintenance, provide:
 - i. A description of the circumstances regarding the animal's removal from the wild and the permit or authorization number for removal; and
 - ii. The information as specified in your permit/authorization if you are requesting the FWS determine the animal to be non-releasable.
 - 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 to average 1.25 hours (electronically) and 1.5 hours (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. Please do not send your completed form to this address.

Questions regarding permits from Management Authority should be sent to managementauthority@fws.gov.

