



## Export of Artificially Propagated Live Plants or Plant Parts (CITES) (Single and Multiple Commercial Shipments)

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

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

## EXPORT OF ARTIFICIALLY PROPAGATED LIVE PLANTS OR PLANT PARTS (CITES)

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. To determine whether a plant species is regulated under CITES, when the species was listed, and whether exemptions apply to the species or specimens you are requesting and would therefore not require a CITES permit, see the [CITES Checklist of Species](#). If you have any questions regarding your export, contact the Division of Management Authority at [managementauthority@fws.gov](mailto:managementauthority@fws.gov).

### This form should NOT be used to:

- Request authorization to re-export artificially propagated plants; or to export/re-export wild-collected plants or plant parts or plants produced through assisted production; or to export /re-export plant products (e.g., extracts, powders, wood products). For such exports, 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](#).

### Use this form to: (check one)

- Request a single-use permit for commercial export of artificially propagated plants or plant parts** 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:** Authorization of a Master File with an approved plant list is valid for up to 3 years from the date of issuance. Once approved, you may obtain partially completed certificates to export approved plants or plant parts. Partially completed certificates are valid for 6 months (see the [fee schedule](#)). 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 changes to the species or supplier information authorized in your current 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, 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 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.

### Complete the following sections of this application form as it relates to your shipment:

All applicants complete "General Information" and "Part IV, Supplier Information"; and complete the following, as applicable:

- Part I, 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 II, to export other plants produced at your facility.
- Part III, to export plants purchased and produced at different facility.

### GENERAL INFORMATION (TO BE COMPLETED BY ALL APPLICANTS)

If more space is needed to respond to any questions in this application, attach separate sheets and cross-reference any separate pages by numbering them according to the question you are responding to. You may upload inventories, photographs, or receipts/invoices electronically with your application.

1. Provide the Master File or permit number of any current or previously established CITES Master Files or permits you have held.
2. Describe your business operation, including how long you have been in business; and the number, location(s), size(s), and type(s) of growing facilities. Briefly explain the methods you use and how long you have (a) propagated, (b) grown, and/or (c) purchased the plants or plant parts to be shipped and your annual production capacity for each species.
3. Provide current photographs of your growing facilities, parental stock, and plants to be exported, with descriptions for each photo. 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).
4. 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.
  - 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 or other documentation from suppliers (persons or businesses) of the plants or plant parts to be shipped under this permit, or plants or plant parts used to establish parental stock at your facility. Invoices should show the name and address, a telephone number or e-mail address of the supplier(s) (persons or businesses) for purchases of any of the plants or plant parts to be shipped or used to establish the parental stock at your facility. Be sure to list these suppliers in Part IV of this application form. If a receipt is not available, provide a signed and dated statement that includes the following information:
    - i. Propagator's contact information (name, telephone number or e-mail, and business, if applicable);
    - ii. Recipient's and, if different from the applicant, contact information (name, telephone number or e-mail, and business, if applicable);
    - iii. Species, quantity, and what plant parts were sold;
    - iv. Location and quantity of parental stock plants;
    - v. Year the parental stock was established at above location;
    - vi. Whether the parental stock is wild or cultivated;
    - vii. Date of purchase; and
    - viii. Signature of seller and date signed.
5. For goldenseal (*Hydrastis canadensis*), provide documentation to trace back to the original collector, reflecting full chain of custody. Include receipts or propagator or collector's statements with information outlined in question 4.e, above.
6. Describe the type of shipping containers and the arrangements for LIVE plant care during shipment.





**Part II. Plants propagated and grown at applicant's facilities** (excluding hybrids in Part I): Refer to the Codes below Table 2; if "other," explain your answer. **For goldenseal (*Hydrastis canadensis*)**, provide information to trace back to the original collector and provide full chain of custody, and see footnote <sup>1</sup>.

**Table 2. DESCRIBE YOUR PROPAGATION METHODS AND SOURCE OF PARENT PLANTS. Provide supplier or collector contact details in Part IV.**

Information about the plants to be exported					Information about the Parental Stock							
Item No.	a. Scientific & Common Names (If hybrid, parental species & hybrid names)	b. Description specify code	c. Setting specify code	d. Propagation Method specify code	e. No. of Parent Plants	f. Setting specify code	g. Origin of Parental Stock		h. Dates acquired	i. Quantity obtained	j. Description specify code	k. Purchase or collection frequency
							Supplier Name	If wild, specify country and see footnote <sup>1</sup>				

**Codes to use in table above:**

- b. Description** (Plant or plant parts to be shipped): 1=Seedling; 2=Juvenile; 3=Mature/flowering; 4=Cutting/division; 5=Root/rhizome; 6= Other (*specify*)
- c. Setting** (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. Setting** (Growing environment of plants): 1=Greenhouse; 2=Shadehouse; 3=Lab; 4=Field; 5=Other (*specify*)
- j. Description** (Plant part obtained): 1=Seeds; 2=Flasks; 3=Seedlings; 4=Juvenile size; 5=Mature/flowering size; 6=Cuttings/divisions; 7=Roots/rhizomes; 8=Other (*specify*).
- k. Frequency** = How often additional parent stock is purchased or collected.

<sup>1</sup> For planting stock collected/harvested from the wild in the United States, provide additional information with your application to include: 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.





## 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:

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 (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).