



**Department of Interior
U.S. Fish and Wildlife Service
Federal Fish and Wildlife Permit Application Form**

U.S. Fish and Wildlife Service
Division of Management Authority
Branch of Permits, MS: IA
5275 Leesburg Pike
Falls Church, VA 22041-3803
1-800-358-2104 or 703-358-2104

Type of Activity

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

Complete Sections A or B, and C, D, and E of this application. U.S. address may be required in Section C, see instructions for details.
Instructions on how to make your application complete and help avoid unnecessary delays are attached.

Section A: Complete if applying as an individual

1.a. Last Name		1.b. First Name		1.c. Middle Name/Initial		1.d. Suffix	
2. Date of Birth (mm/dd/yyyy)		3. Telephone Number		3.a. Alternate Telephone Number		4. E-mail address	

Section B: Complete if applying on behalf of a business, corporation, public agency, Tribe, or institution

1.a. Name of business, agency, Tribe, or institution			1.b. Doing business as (DBA)				
2. Tax identification no.			3. Description of business, agency, Tribe, or institution				
4.a. Principal officer Last name		4.b. Principal officer First Name		4.c. Principal officer Middle name/initial		4.d. Suffix	
5. Principal officer title			6. Primary contact name				
7.a. Business telephone number		7.b. Alternate telephone number		7.c. Business fax number		7.d. Business e-mail address	

Section C: All applicants complete address information

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

Section D: All applicants MUST complete

<p>1. Attach the nonrefundable application processing fee in the form of a check or money order payable to the U.S. FISH AND WILDLIFE SERVICE in the amount of \$75. Federal, Tribal, State, and local government agencies, and those acting on behalf of such agencies, are exempt from the processing fee – <i>attach documentation of fee exempt status as outlined in instructions</i> [50 CFR 13.11(d)].</p>	
<p>2. 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.</p>	
<p>Signature of applicant/Principal Officer for permit (No photocopied or stamped signatures) Date of signature (mm/dd/yyyy)</p>	
<p>Please continue to next page</p>	

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

Description	Applicable Date
pre-Convention (CITES)	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 http://www.cites.org .
pre-Act (ESA)	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.
Antique (ESA)	Specimen is not less than 100 years old ago, 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 ¹ designated for the import of ESA antiques <u>or</u> b) there is documented proof that the specimen was in the United States prior to September 22, 1982.
pre-MMPA	Specimen was taken prior to December 21, 1972.

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

MMPA – Marine Mammal Protection Act

Act or ESA – Endangered Species 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, such as *Dalbergia latifolia* (Indian rosewood) require CITES documents. If you want to export furniture or other finished products containing CITES-listed wood, please contact the Division of Management Authority to determine if a CITES document is required.

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

Note 4: African elephant ivory: Raw ivory cannot be re-exported. Worked ivory that qualifies as an ESA antique may be exported for commercial and non-commercial purposes. In addition, pre-Convention worked ivory that was removed from the wild before February 26, 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, 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.

Electronic submission of inventories, photographs, and receipts: Some applications contain extensive inventories and/or a large number of photographs or receipts. You may provide electronic versions of the documents. Such a submission will assist in expediting the processing of your application since it may reduce data entry by the U.S. Fish and Wildlife Service. If you wish to provide information electronically, once you have received an application number via the e-mailed acknowledgment letter, e-mail your information to Permits@fws.gov. Be sure to include the application number provided in the acknowledgment e-mail that will be sent to you when we receive your application.

¹ 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.

1. Name and address where you wish the permit to be mailed, **if different from page 1**. If you would like expedited shipping, please enclose a self-addressed, pre-paid, computer-generated, courier service airway bill. If unspecified, all documents will be mailed via regular mail through the U.S. Postal Service.

2. Who should we contact if we have questions about the application (name, phone number, and e-mail)?

3. Disqualification factor. A conviction, or entry of 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 disqualifies any such person from receiving or exercising the privileges of a permit, unless such disqualification has been expressly waived by the Service Director in response to a written petition. (50 CFR 13.21(c)) Have you or any of the owners of the business, if applying as a business, been convicted, or entered a plea of guilty or nolo contendere, forfeited collateral, or are currently under charges for any violations 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. For **EACH** specimen being exported/re-exported, please provide the following:

a. Scientific name (genus, species, and, if applicable, subspecies)	b. Common name	c. Quantity	d. Description of Item (e.g., published description from a catalog or art book)	e. Size (dimension in metric units)	f. Date of Manufacture	g. Date of acquisition (e.g., bill of sale, U.S. Customs or Wildlife import declaration)

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

Name:

Address:

City:

State/Province:

Country, Postal Code:

6. What is the purpose of the export?

Commercial Personal Other (specify) _____
 Scientific Exhibition

7. Name and address of foreign recipient

Name:

Address:

City:

State/ Province:

Country, Postal Code:

8. If protected under **CITES**, provide documents, signed statements, or other evidence that the specimen(s) was/were obtained or manufactured prior to the date CITES applied to the items (see **pre-Convention** definition above).9. For specimen(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 **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 showing that the ivory used in the specimen was removed from the wild before February 26, 1976 (this may consist of a statement from a qualified appraiser or family member); **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 other 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?

- i. If Yes, you must complete form [3-200-37](#)
- ii. If 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 that qualify under question 9(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: _____

10. If the specimen is protected under the **Marine Mammal Protection Act (MMPA)**, provide an affidavit and supporting documentation that the item was taken prior to December 21, 1972, as outlined in [50 CFR 18.14](#). For cetaceans (whales) and pinnipeds (seals and sea lions; not walrus), provide either a copy of NOAA Fisheries letter of authorization or evidence that NOAA Fisheries has been contacted.
11. If **Re-export** provide:
- A copy of the canceled CITES export or re-export document issued by the appropriate CITES office in the country from which the wildlife was imported; **AND**
 - Cleared Wildlife Declaration for Import form 3-177, animal/animal products only.
12. 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 _____
13. For **live animals**, the transport conditions must comply with the CITES Guidelines for Transport of Live Animals or, in the case of air transport, with the International Air Transport Association (IATA) live animal regulations (contact airline for information). As such, describe:
- The type, size, and construction of any shipping container; and,
 - The arrangements for watering or otherwise caring for the wildlife during transport.

All international shipments must be through a designated port. [A list of designated ports](#) (where an inspector is posted) is available. If you wish to use a port not listed, please contact the Office of Law Enforcement for a Designated Port Exemption Permit (form 3-200-2).

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.

GENERAL INSTRUCTIONS:

- Complete all relevant questions in Sections A or B, C, D, and E.
- **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.**
- 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.
- Mail the original application to the address at the top of page one of the application or, if applicable, on the attached address list.
- **Keep a copy of your completed application.**
- **Please plan ahead. 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).**
- Applications are processed in the order they are received.

SECTION A OR SECTION B:

Section A. Complete if applying as an individual [do not complete if importing/exporting under an Import/Export License.]:

- Enter the complete name of the responsible individual who will be the permittee if a permit is issued. Enter personal information that identifies the applicant. **Fax and e-mail, while helpful in processing, are not required.**
- If you are applying on behalf of a client, the personal information must pertain to the client, and a document evidencing **power of attorney** must be included with the application.
- **Affiliation/ Doing business as (dba):** business, agency, Tribe, organizational, or institutional affiliation directly related to the activity requested in the application (e.g., a taxidermist is an individual whose business can directly relate to the requested activity). The Division of Management Authority (DMA) and the Office of Law Enforcement (OLE) do **not** accept doing business as affiliations for individuals (complete Section B).

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

- Enter the complete name of the business, agency, or institution that will be the permittee if a permit is issued. Give a brief description of the type of business the applicant is engaged in. Provide contact phone number(s) of the business. 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. **Primary 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.

ALL APPLICANTS COMPLETE SECTION C:

- For all applications submitted to the Division of Management Authority (DMA), a physical U.S. address is **required**.
- **Mailing address** is the address to which communications from USFWS should be mailed if different from applicant's physical address.

ALL APPLICANTS COMPLETE SECTION D:

Section D.1 **Application processing fee:**

- An application processing fee is required at the time of application, unless exempted under 50 CFR13. 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.**
- **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.

Section D.2 **CERTIFICATION:**

- **The individual identified in Section A, the principal officer named in Section B, 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 SECTION E

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

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

Public reporting for this collection of information varies depending on the activity for which a permit is requested. The relevant burden for FWS Form 3-200-23 is 45 minutes 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: BPHC, Falls Church, VA 22041-3803. Please do not send your completed application to this address.