



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

Type of Activity

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

**EXPORT/RE-EXPORT/IMPORT/INTERSTATE AND FOREIGN  
COMMERCE/TAKE OF ANIMALS (LIVE/ SAMPLES/PARTS/PRODUCTS)  
under the Convention on International Trade in Endangered Species  
(CITES) and/or the U.S. Endangered Species Act (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 <b>nonrefundable application processing fee</b> in the form of a check or money order payable to the U.S. FISH AND WILDLIFE SERVICE in the amount of <b>\$100</b>. 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 <b>Title 50 Part 13 of the Code of Federal Regulations</b> and the other <b>applicable parts in subchapter B of Chapter I of Title 50</b>, 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><b>Please continue to next page</b></p>	

**E. EXPORT/RE-EXPORT/IMPORT/INTERSTATE AND FOREIGN COMMERCE/TAKE OF ANIMALS (Live/samples/parts/products) (CITES and/or ESA)**

*Allow at least 90 days for the application to be processed. Applications for endangered species permits must be published in the Federal Register for a 30-day public comment period.*

Complete all questions on the application. Mark questions that are not applicable with "N/A". If needed, use separate sheets of paper. On all attachments or separate sheets you submit, indicate the application question number you are addressing. If you are applying for multiple specimens, be sure to indicate which specimen you are addressing in each response.

NOTE: The import of live southern white rhinoceros from South Africa and Swaziland must meet specific CITES criteria for an import permit to be issued. If you are requesting authorization for the import of these species, please ensure that you respond to question 14 below.

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 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](mailto: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.

I will be submitting documents electronically.

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. Have you or any of the owners of the business (if applying as a business, corporation, or institution), been assessed a civil penalty or convicted of any criminal provision of any statute or regulation relating to the activity for which the application is filed; been convicted, or entered a plea of guilty or nolo contendere, for a felony violation of the Lacey Act, the Migratory Bird Treaty Act, or the Bald and Golden Eagle Protection Act; forfeited collateral; OR are currently under charges for any violation of the laws mentioned above?

No            Yes

If you answered "Yes" to Question 3, provide: a) the individual's name; b) date of charge; c) charge(s); d) location of incident; e) court, and f) action taken for each violation. Please be aware that a "Yes" response does not automatically disqualify you from getting a permit.

4. What activity are you requesting authorization to carry out (Indicate appropriate activities):

EXPORT                      RE-EXPORT                      IMPORT                      TAKE (e.g., cull, lethal harvest)  
INTERSTATE COMMERCE                      FOREIGN COMMERCE

**Note:** Interstate Commerce permits authorize the sale of endangered and threatened species across State lines, but only for activities that will contribute to enhancing the propagation or survival of that species. Interstate commerce activities with wildlife require the buyer to obtain a permit prior to the sale or offer for sale.

5. For **EACH** animal/specimen involved in the proposed activity provide:

a. Scientific name (genus, species, and, if applicable, subspecies)	b. Common name	c. Birth/Hatch Date (mm/dd/yyyy) (approximate of actual unknown)	d. Wild or captive-born	e. Quantity	f. Gender (male or female, if known), if	g. Permanent markings, if alive (e.g., tattoo, ID #, microchip #, scars)	h. Type of sample or product (e.g., blood, tissue, DNA)
EXAMPLE: <i>Pan troglodytes</i>	Chimpanzee						

6. The current location of the specimen(s) (address and country):

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

7. Recipient/Sender:

- If **export**, provide name and address of the recipient in the foreign country.
- If **re-export**, provide the name and address of the recipient in the foreign country.
- If **import**, provide name and address of the exporter in the foreign country.
- If **interstate or foreign commerce**, provide name and address of the proposed seller/supplier.

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





12. If live specimens are to be held in captivity as part of the proposed activity:
- a. Provide a detailed description (e.g., size, construction materials, protection from the elements) and photographs or diagrams (no blueprints, please) clearly depicting the existing facilities **where the wildlife will be maintained**. If the specimens will be housed at multiple facilities, either immediately or within the next year, provide a full description of each facility. If you are unsure of which facilities may be receiving specimens (e.g., final decisions on placement have not been made), please indicate likely candidates and the mechanism that will be used to determine recipient facilities;
  - b. A statement of the specific technical experience of CV or resume available to the recipient(s) for maintaining and propagating live specimens of the same or similar species;
  - c. The number of years each species has been maintained at the facility;
  - d. The number of births by year for each species for the last 5 years; and
  - e. Mortalities at the facility with these or similar species in the last 5 years, causes of such mortalities, and steps taken to avoid or decrease such mortalities.

#### **IMPORTS, EXPORTS, OR RE-EXPORTS.**

13. For shipment of LIVE specimens, the transport conditions for animals 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:
- a. The type, size, and construction of any shipping container; and
  - b. The arrangements for watering or otherwise caring for the wildlife during transport.

14. For import of live southern white rhinoceroses from South Africa and Swaziland, a determination that the importing facility meets the CITES "appropriate and acceptable destination" annotation must be made. Therefore, provide written documentation demonstrating that the proposed activity would promote *in situ* conservation of the species. **Note: For any permit authorizing trade of live rhinoceroses under an "appropriate and acceptable destination" annotation, the rhinoceros horn from these animals may not enter commercial trade and the animal may not be sport hunted.**
15. **For import of LIVE CITES Appendix-I listed marine mammal species**, provide a copy of your FWS or NOAA Fisheries permit or authorization.
16. For import of CITES **Appendix-I listed species**, provide information to show the import is not for primarily commercial purposes as outlined in [Resolution Conf. 5.10](#) .
17. For export of CITES **Appendix-I listed species**, provide a copy of the CITES import permit, or evidence one will be issued by the Management Authority of the country to which you plan to export the specimen(s). In accordance with Article III of the CITES treaty, it is required that import permits are issued before the corresponding export permit.
18. If the specimen is being **re-exported** (e.g., exporting a specimen that was previously imported into the United States), provide:
  - a. 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 (if applicable); and
  - b. A cleared copy of Form 3-177, wildlife Declaration for Import (hard copy or electronic release); **OR**
  - c. If you did not make the original import, provide a copy of the importer's documents outlined above and the invoice or other documentation that shows you acquired the wildlife from the original importer or history of transactions which demonstrate chain of ownership.

**All international shipment(s) 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 3-200-37 is 120 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.