



**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 OF CAVIAR OR MEAT OF PADDLEFISH OR STURGEON REMOVED FROM THE WILD under the Convention on International Trade in Endangered Species (CITES)

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 identified on page 2 or 3. 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 of Caviar or Meat of Paddlefish or Sturgeon Removed from the Wild (CITES)

NOTE: To ensure the most relevant application is being submitted, please review the following before completing this form. To request export of live specimens removed from the wild submit form [3-200-27](#); export of aquacultured specimens submit form [3-200-24](#); re-export of specimens submit form [3-200-73](#); or export or re-export of species listed under the U.S. Endangered Species Act submit form [3-200-37](#).

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.

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. 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.

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.

4. What type of authorizations are you requesting?

Single shipment for export. If approved, a single permit for a specific amount of caviar will be issued. The processing fee is **\$100 per application**.

Provide the name and address of person/facility receiving the shipment (if self, provide address abroad).

Name:

Address:

City:

State/Province:

County, Postal Code:

Multiple shipments of identical amounts. For multiple shipments of identical amounts, the Service can establish a [master file](#). If the master file is approved, you can obtain a number of single-use permits, valid for 6 months, for each export (50 CFR 13.11, see attached). **The processing fee is \$200.**

To obtain single use permits from the master file, complete below:

- i. Total weight of caviar you are requesting to be authorized: _____.
- ii. How many permits do you anticipate using in the next 6 months? _____. (Provide \$5 for each 6-month permit; you may provide this after the master file is approved).
- iii. Amount you are requesting on each permit: _____(must be identical for each permit.)
(EXAMPLE: TOTAL AMOUNT = 100 KG; 4 PERMITS; 25 KG EACH.)
- iv. Note, you may either fill in the recipient at the time of export or you may indicate a recipient that will appear on all permits issued:

Do not include recipient name on the issued permits.

Include the following name on each permit:

Name:

Address:

City:

State/Province:

County, Postal Code:

5. For **EACH** product to be exported, provide:

- a. Scientific name (genus, species, and if applicable, subspecies) and common name of the fish:

- b. State(s) and water body of harvest of source specimens, if not found on State harvest report:

- c. Product description (caviar or meat):

- d. Weight (in metric and standard units):

- e. Shipping containers to be used (e.g., jars, tins, buckets) and sizes (provide units):
- f. Shipment will be fresh, frozen, pasteurized, or other (describe):
- g. If caviar, provide list of labels (see [caviar labeling](#) requirements) in CITES universal labeling system format.
- h. Current location of specimen(s):
6. Does this application request authorization to export a portion of a product(s) that was authorized under a previous permit?
- No. If no, continue to question 9.
- Yes. If yes, complete a. below and continue to questions 9-12.
- a. Provide a copy of the original CITES export permit and cleared 3-177 declaration form obtained when you exported a portion of the previously authorized product, and complete and sign (in ink) the following statement: I hereby certify that the product pertaining to this current application is a portion of product previously authorized for export under permit number _____.

(fill in permit number)

Signature _____ **Date** _____

Questions 7 through 12 must be answered for the **ENTIRE** quantity of product(s) listed in your application. By signing this application, you are certifying that all the information provided in support of this application is complete and accurate, including any and all information provided about suppliers, dealers, and fishers.

7. List **ALL** intermediary suppliers' and/or dealers' names, addresses, State permit numbers, type of product (i.e., meat or caviar), and weight of product obtained from each supplier (attach additional sheets of paper as necessary):
- Name:
Address:
City:
State/Province:
County, Postal Code:
State permit number:
Total weight of product supplied:

8. List ALL fishers' full names and addresses, type of product, and weight of product obtained from each (attach additional sheets of paper as necessary):
- Name:
Address:
City:
State/Province:
County, Postal Code:
Total weight of product supplied:

Note: for questions 9, 10, 11, and 12, if you obtained product(s) from a supplier or dealer, you must obtain, and supply to us, all of the required information from the supplier. All supporting documentation must be submitted in an organized format; otherwise our review and processing time will be greatly affected and we may be unable to authorize the permit(s). We request that documentation is organized first by State of harvest (i.e., all documentation for fish harvested from a particular state are clipped together). Within each State packet, the documentation should be grouped by fisher (i.e., all invoices for a particular fisher are clipped together).

9. Provide a copy of the appropriate commercial buyer's license(s).
10. For each fisher listed above, provide a copy of the current license(s), permit(s), or other documents issued by the State or local wildlife authorities approving the commercial fishing activities.
11. Provide copies of each fisher's State harvest report for the product(s) to be exported. The harvest report should include, at a minimum, the following information. If any of this information is not listed on the fisher's harvest report, the information must be provided separately for each fisher on an attached sheet of paper and signed by the fisher.
- Dates the fish were harvested;
 - Harvest location(s), including the State, county(ies), body of water, AND the nearest mile marker or boat ramp to each harvest location; and
 - Gear used to harvest the fish.
12. Provide copies of documentation showing the transfer of ownership (e.g., dated sales receipts/invoices) of the product from each fisher or supplier to you. If you received the product from a supplier(s) or source other than the harvesters of the fish, provide documentation demonstrating the history of transactions (chain of ownership of the product) from the fisher(s) to you. You must be able to provide documentation for EACH change in ownership from the time of harvest until the time you purchased the product.

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 3-200-76 is 180 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.