



Federal Fish and Wildlife Permit Application Form

Return to: Division of Management Authority (DMA)
U.S. Fish and Wildlife Service
4401 N. Fairfax Drive, Room 700
Arlington, VA 22203
1-800-358-2104 or 703-358-2104

Type of Activity:
Take/Import/Transport/Export of Marine Mammals or Amendment of Existing Permit (MMPA and/or ESA; CITES)

Complete sections A OR B, and C and D of this application. Note: if a field is "gray," no answer is required. Application will not be considered complete without all sections. See additional instructions on attached pages.

A. Complete if applying as an individual (Provide a U.S. address)				
1.a. Last name		1.b. First name		1.c. Middle name or initial
				1.d. Suffix
2.a. Street address (line 1)		2.b. Street address (line 2)		2.c. Street address (line 3)
3.a. City		3.b. Province	3.c. State	3.d. Zip code/Postal code:
				3.e. Country
4. Date of birth (mm/dd/yyyy)		5. Social Security No.		6. Occupation
				7.a. Home telephone number
7.b. Work telephone number		7.c. Fax number		8. E-mail address
				9. County
10. List any business, agency, organizational, or institutional affiliation associated with the wildlife or plants to be covered by this permit (see C.1.)				11. Doing business as (dba)

B. Complete if applying as a business, corporation, public agency or institution				
1.a. Name of business, agency, or institution			1.b. Doing business as (dba)	
2.a. Street address (line 1)		2.b. Street address (line 2)		2.c. Street address (line 3)
3.a. City		3.b. Province	3.c. State	3.d. Zip code
				3.e. Country
4. Tax identification no.		5. Describe the type of business, agency, or institution and provide state of incorporation		
6.a. Principal officer (President, director, etc) Last name		6.b. First name		6.c. Middle name or initial
				6.d. Suffix
7. Principal officer title:				8. Home telephone number
9. Work telephone number		10. Fax number		11. E-mail address
				12. County

C. All applicants complete	
1. Do you currently have or have you had any Federal Fish and Wildlife permits? (For simplification, all licenses, permits, registrations, and certificates will be referred to as a permit.) Yes <input type="checkbox"/> If yes, list the number of the most current permit you have held: _____ No <input type="checkbox"/>	
2. Have you obtained all required State, Federal, or foreign government approval(s) to conduct the activity you propose? Yes <input type="checkbox"/> If yes, provide a copy of the approval(s). Have applied <input type="checkbox"/> Not required <input type="checkbox"/>	
3. Enclose check or money order payable to the U.S. FISH AND WILDLIFE SERVICE for the amount indicated on page 2 [50 CFR 13.11(d)(4)]. Institutions which qualify under 50 CFR 13.11(d)(3) may be exempt from the application processing fee.	
4. 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.	
5. Signature (in blue ink) of applicant/person responsible for permit in Section A or B. (Photocopied signatures are not accepted.)	6. Date (mm/dd/yyyy):

D. Take/Import/Transport/Export of Marine Mammals or Amendment of Existing Permit (MMPA and/or ESA)

Note: This application is for the take, import, transport, export, or re-export of marine mammal species under the jurisdiction of the Fish & Wildlife Service (sea otters, marine otters, polar bears, walrus, manatees, and dugongs) and for the amendment of an existing permit. For CITES export/re-export of captive-held live animals, use Form 3-200-53. If you already have MMPA/ESA authorization and need a CITES permit, use Form 3-200-29 for import/export/re-export of previously acquired parts or biological samples, and use Form 3-200-31 for import/introduction from the sea.

Processing fees: Public Display = \$100, Scientific Research/Enhancement = \$100; Renewal/Amendment= \$25

Please provide the following information. If needed, use a separate sheet of paper. On all attachments or separate sheets you are submitting, please indicate the application question number you are addressing. Mark questions that are not applicable with "N/A". Also, if you are applying for multiple specimens, be sure to indicate which specimen you are addressing in each response.

1. Type of activity requested (circle all that apply): Take, Import, Transport, Export, or Amendment.
2. Purpose of activity (circle all that apply): Public Display, Scientific Research, or Enhancement.
3. If you are requesting **renewal or amendment** of an existing permit between reporting dates, include an update of any activity that has occurred under the permit since the last report.
4. List the scientific name (genus, species, and if applicable, subspecies), common name, and quantity (e.g., 2 animals; or 20 samples per year per animal from 2 animals) for each species you are applying.
5. Provide the following for each specimen of each species listed in question 4:
 - a. Birth date, age, or age class (i.e., juvenile, adult);
 - b. Sex (if known);
 - c. Description (e.g. I.D. #, ISIS #, tattoo #; or if biological samples, both the size and type of samples and containers);
 - d. Country where the wildlife originated;
 - e. Indicate if the wildlife was originally taken from the wild or born in captivity;
 - f. The current location of the specimen; and
 - g. Was the animal, if taken or to be taken from the wild, a lactating or pregnant near term adult, a nursing juvenile, or a juvenile less than eight months old.
6. Provide complete information on the **source of the marine mammals** including:
 - a. For **captive-born animals**, a breeder's statement, ARKS specimen report, or other information that documents the animal was born in captivity;
 - b. For **captive-held animals that were taken from the wild**, information (e.g. ARKS specimen report(s)) on the source of the animals. Include any permit number under which the animal was originally collected; or
 - c. For animals to be taken from the **wild**, provide:
 - i. a description of the efforts made to utilize captive animals or parts thereof, in lieu of taking animals from the wild; and
 - ii. a population estimate for the species (if known).
7. For activities involving **TAKE** of wild animals, harassment of wild animals, or sampling of captive-held animals, respond to the following:
 - a. Provide a description of the specific activities (e.g., capture, tag, radio tag, kill) to which each animal will be subjected and the number of times or frequency that each animal will be taken or harassed.
 - b. If this species is protected under the Endangered Species Act (ESA), attach a justification for taking an ESA-listed species, and explain why your activities are not appropriate for a similar non-ESA-listed species.
 - c. Provide a statement with the names and qualifications of collector(s) and other personnel involved in the collection (curricula vitae may be submitted).

- d. List your activities which will or may cause harassment either to target species or other Federally-protected species, and provide a written protocol that describes your activities. Please include:
 - i. the number of animals that may be harassed, the precautions that will be taken to minimize the likelihood that harassment will occur, and the actions that will be taken should harassment occur;
 - ii. a description of the method of capture and gear;
 - iii. the holding time required prior to transport or release;
 - iv. a description of the use of drugs, including the purpose of using the drug(s), method of application, kind and combination of drugs and dosage rates (ml/kg), the required holding time as well as provisions to minimize adverse reaction(s), minimize the chance that drugged animals will escape prior to complete immobilization, and to ensure that the animal is fully recovered prior to release; and
 - v. a description of marking/tagging, including the type of tag (including weight and size), the number of tags to be applied per animal, the number of animals to be tagged, methods and location of attachment, whether recapture will be necessary (if so, how many times), whether the mark/tag has been used previously on this species, the potential adverse effects, the means of monitoring new marks/tags for adverse effects, the actions to be taken in the event that the marking/tagging has significant adverse impact on the animal(s), and the method of animal release.
8. For activities involving **IMPORT**, provide:
 - a. the name of the exporter, the country of export, the age when taken from the wild, a description of the manner in which it was taken from the wild;
 - b. a copy of the foreign collecting authorization(s); and
 - c. For import of CITES Appendix-I species provide information to show the import is not for primarily commercial purposes as outlined in Resolution Conf. 5.10 (copy enclosed).
9. For activities involving **TRANSPORT** of live animals, state the means of transportation, provide the dimensions and construction of the container or cage, the qualifications of the person accompanying the animal, the duration of transit(s), arrangements for watering or otherwise caring for the wildlife during transport, and ATTACH a certification by a licensed veterinarian that the transportation plans are adequate.
10. For activities involving **EXPORT**, provide:
 - a. Name and address of person/facility receiving the shipment;
 - b. For **CITES Appendix I** species, a copy of the CITES Appendix-I import permit or evidence one will be issued by the Management Authority of the country of the recipient.
11. For **MAINTENANCE** of live animals provide:
 - a. A complete description, including photographs and/or diagrams (*no blueprints*), of the area and facilities where the animals will be held (including the dimensions of pools and haul-out areas), the number of animals of the same species (include age and sex) presently maintained at the facilities, and whether there is space for additional animals without exceeding USDA/APHIS standards.
 - b. A statement (or attach *curricula vitae*) about the animal caretakers, which describes their specific experience in the care, handling, and maintenance of marine mammals.
 - c. A list of all marine mammals maintained at the facility.
 - d. A description of all marine mammal deaths at the facility within the past five years and the steps taken to prevent or decrease similar mortalities.
 - e. For **domestic facilities**, a copy of your U.S. Department of Agriculture (USDA)/Animal and Plant Health Inspection Service (APHIS), Animal Welfare Act (AWA) license, or for **foreign facilities**, a copy of the letter from USDA/APHIS which confirms that the recipient meets comparable standards under the AWA for maintenance and care of marine mammals.
12. Additional requirements for **public display**:
 - a. For domestic facilities:
 - i. Provide information to show that the facility is open to the general public without limitations or restrictions (other than by the charging of an admission fee).

- ii. Provide information to show that the facility offers a program for education or conservation purposes that is based on professionally recognized standards of the public display community.
 - b. For foreign facilities:
 - i. Provide certification from the importer's relevant foreign authority (e.g. provincial or national government) that:
 - A. The foreign recipient maintains their facility for public display of marine mammals;
 - B. the facility is open to the public on a regularly scheduled basis;
 - C. access to such facilities is not limited or restricted other than by charging an admission fee;
 - D. the recipient offers a program for education or conservation purposes that is based on professionally recognized standards of the public display community; and
 - E. the documents included in the application provided by the foreign facility are true and correct.
 - ii. Provide a certification from the appropriate government agency of the importing country to show that:
 - A. The laws and regulations of that government allow enforcement of the U.S. permit conditions;
 - B. such conditions will be enforced; and
 - C. the government will afford comity to the USFWS to amend, suspend or revoke the permit, if issued.
13. Additional requirements for **scientific research**:
- a. Explain how the research meets the MMPA definition of "bona fide research," i.e., scientific research on marine mammals, the results of which—(A) likely would be accepted for publication in a referred scientific journal; (B) are likely to contribute to the basic knowledge of marine mammal biology or ecology; or (C) are 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, objectives, methods, anticipated results, disposition of specimen material or animals, and how the proposed project will enhance or benefit the wild population.
 - c. If the research involves incidental or intentional lethal takes of target animals, provide the number of deaths anticipated/requested, a justification as to why non-lethal alternatives are not feasible, and the steps to be taken to reduce the likelihood of the number of deaths.
 - d. Estimate the number of animals of each marine mammal species, both target and non-target, that may be unintentionally harassed during the research activities.
 - e. Attach a certification that you are registered, or for Federal facilities, compliant with applicable requirements for scientific research under the AWA, as well as a copy of your Institutional Animal Care and Use Committee (IACUC) approval of the proposed research. If your facility does/will not conduct activities requiring registration under the AWA, attach a letter from APHIS certifying registration is not required.
14. Additional requirements for **enhancement**:
- a. Provide information to show that the activity is likely to contribute significantly to maintaining or increasing the distribution or population numbers necessary to ensure the survival or recovery of the species or stock.
 - b. Provide information to show that the activity is consistent with any conservation plan or recovery plan for the species or stock, or if there are no plans available, that the activity is consistent with the actions required to enhance the survival or recovery of the species or stock that would be addressed in a conservation or recovery plan.
15. List the **U.S. port** through which the activity will occur. Port: _____ . If no port is indicated, the activity must be through a designated port for wildlife (see enclosed list).
16. Address where you wish permit mailed (if different than page 1):
_____.
17. If you wish the permit to be mailed other than by regular mail, provide air bill, pre-paid envelope, or billing information
_____.
18. Who should we contact if we have questions about the application? (Include name, phone number, and email):
_____.

PERMIT APPLICATION FORM INSTRUCTIONS

The following instructions pertain to the standard permit form 3-200 that must be completed as an application for a U.S. Fish and Wildlife Service or CITES permit. The General Permit Procedures in 50 CFR 13 address the permitting process. For simplification, all licenses, permits, registrations, and certificates will be referred to as a permit.

- Complete all appropriate blocks/lines/questions in Sections A OR B, and C and D. **Print clearly or type in the information.** An incomplete application may cause delays in processing or may be returned to the applicant. Note: if a field is "grayed in", no answer is required.
- Sign the application in blue ink and send the original to the address at the top of the application. Faxes or copies of the original signature will not be accepted.
- Please plan ahead. Allow at least 60 days for your application to be processed (50 CFR 13.11). However, some applications may take longer than 90 days to process. Applications are processed in the order they are received.
- Additional forms and instructions are available from <http://permits.fws.gov/>.

Most of the application form is self-explanatory, but the following provides some assistance for completing the form.

COMPLETE EITHER SECTION A OR SECTION B:

Section A. **"Complete if applying as an individual"** - 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. All blocks must be completed. **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.**

Section B. **"Complete if applying as a business, corporation, public agency, or institution"** - Enter the complete name and address 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, the name and phone number of the person in charge (i.e., principal officer), and if the company is incorporated, the State in which it is incorporated.

ALL APPLICANTS COMPLETE SECTION C:

Section C.1 **"Do you currently have or have you had any Federal Fish and Wildlife permits?"** List the number(s) of your most current FWS or CITES permit or the number of the most recent permit if none are currently valid. If applying for a renewal of a CITES permit, the original permit must be returned with this application.

Section C.2 **"Have you obtained all required State, Federal or foreign government approval to conduct the activity you propose?"** (Please be aware that there may be other requirements necessary to conduct this activity such as a hunting license, import permit, or collection permit.) If "yes," list the state, Federal or foreign countries involved and type of document required. Include a copy of these documents with the application. If you have applied for the documents, check the "have applied" box and list the state, Federal or foreign countries involved and type of documents required. If the proposed activity is not regulated check "not required."

Section C.3 **"Check or money order (if applicable)"** There is an application processing fee unless you are applying as a Federal, State or tribal government agency or you are an individual or institution under contract to such agency for the proposed activities. (See 50 CFR 13.11(d)(3) for fee schedule.) Proof of status as a Federal, State or tribal government agency or contractor to such agency should accompany your application. 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. It will not be refunded regardless of whether a permit is issued, abandoned, or denied. See the accompanying section APPLICATION PROCESSING FEE for the fee to process this application. Make your check or money order payable to the "U.S. Fish and Wildlife Service" and attach it to the application form.

Section C.4 **"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 in blue ink. This signature binds the applicant to the statement of certification. This means that you certify that you have read and understand the regulations that apply to the permit. You also certify that everything 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 D:

Provide any required additional information outlined in Section D. of the application form. Be as complete and descriptive as possible. If there is any doubt as to the information's relevance, include it with the application. Please do not send videotapes or DVDs.

APPLICATION FOR A FEDERAL FISH AND WILDLIFE PERMIT

Paperwork Reduction Act and the Privacy Act – Notices

In accordance with the Paperwork Reduction Act of 1995 (44 U.S.C. 3501, *et seq.*) and the Privacy Act of 1974 (5 U.S.C. 552a), please be advised that:

1. The gathering of information on fish and wildlife is authorized by:
 - a. Bald and Golden Eagle Protection Act (16 U.S.C. 668), Title 50 Part 22 of the Code of Federal Regulations (CFR);
 - b. Endangered Species Act of 1973 (16 U.S.C. 1531-1544), Title 50 CFR Part 17;
 - c. Migratory Bird Treaty Act (16 U.S.C. 703-712), Title 50 CFR Part 21;
 - d. Marine Mammal Protection Act of 1972 (16 U.S.C. 1361, *et. seq.*), Title 50 CFR Part 18;
 - e. Wild Bird Conservation Act (16 U.S.C. 4901-4916), Title 50 CFR Part 15;
 - f. Lacey Act (18 U.S.C. 42); Injurious Wildlife, Title 50 CFR Part 16;
 - g. Convention on International Trade in Endangered Species of Wild Fauna and Flora (TIAS 8249); Title 50 CFR Part 23.
 - h. General Provisions, Title 50 CFR Part 10;
 - i. General Permit Procedures, Title 50 CFR Part 13; and
 - j. Wildlife (Import/export/transport), Title 50 CFR Part 14.
2. 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 above laws. Failure to provide all requested information may be sufficient cause for the U.S. Fish and Wildlife Service to deny the request. Response is not required unless a currently valid Office of Management and Budget (OMB) control number is displayed.
3. Certain applications for permits authorized under the Endangered Species Act of 1973 (16 U.S.C. 1539) and the Marine Mammal Protection Act of 1972 (16 U.S.C. 1374) will be published in the **Federal Register** as required by the two laws.
4. Routine use disclosures outside the Department of the Interior may be made without the consent of an individual if the disclosure is compatible with the purposes for which the record was collected. (Ref. 68 FR 52611, September 4, 2003) Disclosures outside the DOI may be made under the routine uses listed below without the consent of the individual if the disclosure is compatible with the purposes for which the record was collected.
 - a. To subject matter experts, and State, Federal, local, and foreign agencies, for the purpose of obtaining advice relevant to making a decision on an application for a permit or when necessary to accomplish a FWS function related to this system of records.
 - b. To the public as a result of publishing Federal Register notices announcing the receipt of permit applications for public comment or notice of the decision on a permit application.
 - c. To Federal, State, local, or foreign wildlife and plant agencies for the exchange of information on permits granted or denied to assure compliance with all applicable permitting requirements.
 - d. To Captive-bred Wildlife registrants under the Endangered Species Act for the exchange of authorized species, and to share information on the captive breeding of these species.
 - e. To Federal, State, and local authorities who need to know who is permitted to receive and rehabilitate sick, orphaned, and injured birds under the Migratory Bird Treaty Act and the Bald and Golden Eagle Protection Act; federally permitted rehabilitators; individuals seeking a permitted rehabilitator with whom to place a sick, injured, or orphaned bird in need of care; and licensed veterinarians who receive, treat, or diagnose sick, orphaned, and injured birds.
 - f. To the Department of Justice (DOJ), or a court, adjudicative, or other administrative body or to a party in litigation before a court or adjudicative or administrative body, under certain circumstances;
 - g. To the appropriate Federal, State, tribal, local, or foreign governmental agency responsible for investigating, prosecuting, enforcing, or implementing statutes, rules, or licenses, when we become aware of a violation or potential violation of such statutes, rules, or licenses, or when we need to monitor activities associated with a permit or regulated use.
 - h. To a congressional office in response to an inquiry to the office by the individual to whom the record pertains.
 - i. To the General Accounting Office or Congress when the information is required for the evaluation of the permit programs.
 - j. To provide addresses obtained from the Internal Revenue Service to debt collection agencies for purposes of locating a debtor to collect or compromise a Federal claim against the debtor, or to consumer reporting agencies to prepare a commercial credit report for use by the FWS.
5. For individuals, personal information such as home address and telephone number, financial data, and personal identifiers (social security number, birth date, etc.) will be removed prior to any release of the application.
6. The public reporting burden on the applicant for this information collection varies depending on the activity for which a permit is requested. The relevant burden for this permit application is **4 hours for a public display permit or a scientific research permit, 45 minutes for renewal, and 30 minutes for an amendment**. This burden estimate includes time for reviewing instructions, gathering and maintaining data and completing and reviewing the form. You may direct comments regarding the burden estimate or any other aspect of the form to the Service Information Clearance Officer, U.S. Fish and Wildlife Service, Mail Stop 222, Arlington Square, U.S. Department of the Interior, 1849 C Street, NW, Washington D.C. 20240.

Freedom of Information Act – Notice

For organizations, businesses, or individuals operating as a business (i.e., permittees not covered by the Privacy Act), we request that you identify any information that should be considered privileged and confidential business information to allow the Service to meet its responsibilities under FOIA. Confidential business information must be clearly marked "Business Confidential" at the top of the letter or page and each succeeding page and must be accompanied by a non-confidential summary of the confidential information. The non-confidential summary and remaining documents may be made available to the public under FOIA [43 CFR 2.13(c)(4), 43 CFR 2.15(d)(1)(i)].

Application Processing Fee

The fee to process this application is Public Display = \$100, Scientific Research/Enhancement = \$100; Renewal /Amendment = \$25. Checks should be made payable to "U.S. Fish and Wildlife Service." Fees for renewals and amendments may vary; see fee schedule at 50 CFR 13.11(d)(4). The processing fee will not be refunded regardless of whether a permit is issued, abandoned, or denied. The fee schedule does not apply to any Federal, State, or tribal government agency or individual or institution under contract to such agency for the proposed activities.