



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:  
Export/Re-Export of Live Captive-Held Marine Mammals (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.

|  |                        |                              |                   |                              |                            |
|--|------------------------|------------------------------|-------------------|------------------------------|----------------------------|
| <b>A. Complete if applying as an individual (Provide a U.S. address)</b>   |                        |                              |                   |                              |                            |
| 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>B. Complete if applying as a business, corporation, public agency or institution</b> |  |   |                              |                              |              |
| 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   |

|  |                       |
|--|-----------------------|
| <b>C. All applicants complete</b>  |                       |
| 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.)<br>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?<br>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 in the amount of \$ 25 [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. Export/Re-Export of Live Captive-Held Marine Mammals (CITES)**

Note: This application is for the export or re-export of captive-held LIVE marine mammals under the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES). This application is NOT for the collection (TAKE) of live animals from the wild; for these activities, use form 3-200-43 for U.S. Fish and Wildlife Service (FWS) species, or for whales, porpoises, and seals contact the National Marine Fisheries Service (NMFS), Office of Protected Resources, 1315 East-West Highway, Silver Spring, Maryland 20910 (phone: 301-713-2289; fax: 301-713-0376).

*Please provide the following information. 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". If you are applying to export/re-export multiple animals, be sure to indicate which animal you are addressing in each response.*

1. Provide the following for EACH animal you are applying:
  - a. Scientific name (genus, species, and if applicable, subspecies);
  - b. Common name;
  - c. Birth date/Age;
  - d. Sex (if known);
  - e. Description (e.g. I.D. #, ISIS #, tattoo #);
  - f. Country where the wildlife originated;
  - g. Indicate if the wildlife was originally taken from the wild or born in captivity; and
  - h. Current location of the specimen.
  
3. What is the purpose of the export/re-export?  

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4. For animals **previously taken from the wild, or imported** provide a copy of the Marine Mammal Protection Act (MMPA) authorization demonstrating that the specimens were legally obtained.
  
5. For **captive-born wildlife**, provide an International Species Inventory System (ISIS) report OR:
  - a. If the animal was born at your facility, please provide a statement that includes:
    - i. Birth date, sex, and identification number of each specimen;
    - ii. Name and address of your facility where the animal was born;
    - iii. Location of parental stock; and
    - iv. Your signature and date.
  - b. If the animal was born at another facility, provide a signed statement from the facility and records that include:
    - i. The complete name and address of the facility where the animal was born;
    - ii. Birth date, sex, and identification number of each specimen;
    - iii. Location of parental stock; and
    - iv. Copies of documentation showing that you acquired the animal from the facility or documentation demonstrating the history of transactions (chain of ownership of each animal).
  
6. For **re-export**, provide evidence the specimen was legally imported:
  - a. Copies of canceled CITES export or re-export documents issued by the appropriate CITES office in the country from which the wildlife was exported and cleared wildlife Declaration for Importation (Form 3-177); AND
  - b. If you did not make the original import, provide copies of the invoice or other document that shows you obtained the wildlife from the original importer or a history of transactions (chain of ownership). *Be sure to indicate which document refers to which specimen.*
  
7. Provide the name and address of the person receiving the shipment in the foreign country (if self, provide address abroad).

Name: \_\_\_\_\_  
Address \_\_\_\_\_  
City, Country, Postal Code \_\_\_\_\_

8. If the animal was obtained prior to the date **CITES** applied to it (“**pre-Convention**”), provide documents, signed statement, or other evidence to that effect. The listing date can be found in the booklet Appendices I, II, and III to CITES available from the Division of Management Authority (DMA).
9. For CITES Appendix-I species, provide a copy of the foreign CITES import permit, or evidence one will be issued by the Management Authority of the country to which you plan to export or re-export the wildlife. (In accordance with Article III of the CITES Treaty, it is required that import permits are issued before the corresponding export permit.)
10. For whales, porpoises, and seals, provide a copy of your NMFS permit or other authorization.

Questions 11 through 15 apply only for the export or re-export of FWS species

11. Provide a copy of the letter from the U.S. Department of Agriculture (USDA), Animal and Plant Health Inspection Service, confirming that the recipient meets comparable standards under the Animal Welfare Act for maintenance and care of marine mammals.
12. For **Public Display**, 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 (include copies of outreach/educational materials, photos of signage, etc., along with an English translation; and
  - e. the documents included in the application provided by the foreign facility are true and correct.
13. For **Scientific Research** provide information indicating that the export of the animal 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.
14. For **Enhancement**, explain the purpose of the export/re-export and provide a description of how the proposed activities will enhance or benefit the wild population (e.g., in-situ or ex-situ conservation; recovery plan.).
15. 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.
16. 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). You must also meet USDA standards for Humane and Healthful Transport of Marine Mammals. As such, provide:
  - a. A description of the type, size, and construction of any shipping container;
  - b. The arrangements for watering or otherwise caring for the wildlife during transport, and
  - c. Documentation showing compliance with USDA regulations for transport and care of live marine mammals (7 U.S.C. 2131-2159; 9 CFR 3, Part E).
16. Enter the U.S. port through which the export will occur. Port: \_\_\_\_\_. If no port is indicated, you must use a port designated for the export of wildlife (see enclosed list).

17. Address where you wish permit mailed (if different than page 1):

\_\_\_\_\_.

18. If you wish the permit to be mailed other than by regular mail, provide air bill, pre-paid envelope, or billing information

\_\_\_\_\_.

19. 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 **120 minutes**. 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 \$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.