



**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/RE-EXPORT OF LIVE CAPTIVE-HELD MARINE
MAMMALS 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

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 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)].
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.
Signature of applicant/Principal Officer for permit (No photocopied or stamped signatures) Date of signature (mm/dd/yyyy)	
Please continue to next page	

E. Export/Re-Export of Live Captive-Held Marine Mammals (CITES)**PURPOSE**

Use this application 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). Under the MMPA, marine mammals can only be exported for the purpose of public display, scientific research, or enhancing the survival or species of the stock.

This form should NOT be used for:

- The collection (take¹) of live marine mammals from the wild: To apply for these activities, use [form 3-200-43](#) for U.S. Fish and Wildlife Service-jurisdiction marine mammal species: sea otters, marine otter, polar bears, walrus, manatees, and dugong; see [the marine mammal policy fact sheet](#); OR for whales, dolphins, porpoises, seals, and sea lions, contact the [the National Marine Fisheries Service \(NMFS\)](#).
- To apply for a CITES permit to export or re-export parts or biological samples, use [Form 3-200-29](#); for import of parts of Appendix I animals, use [Form 3-200-37](#); and for introduction from the sea, use [Form 3-200-31](#). Provide a copy of your FWS or NOAA Fisheries permit or authorization with your CITES permit application.

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).

Please review the complete application carefully before beginning. Provide complete answers to all the questions on the application. If a question is not applicable, answer with "N/A". If needed, use additional sheets of paper. On all attachments or separate sheets you submit, indicate the application question number you are addressing. If you are applying to export/re-export multiple animals, be sure to indicate which animal you are addressing in each response.

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

¹ The term, "take," as defined by the MMPA means to harass, hunt, capture, or kill, or attempt to harass, hunt, capture, or kill any marine mammal.

3. Disqualification factor. A conviction, or entry of a plea of guilty or nolo contendere, for a felony violation of the Lacey Act, the Migratory Bird Treaty Act, or the Bald and Golden Eagle Protection Act disqualifies any such person from receiving or exercising the privileges of a permit, unless such disqualification has been expressly waived by the Service Director in response to a written petition. (50 CFR 13.21(c)) Have you or any of the owners of the business, if applying as a business, been convicted, or entered a plea of guilty or nolo contendere, forfeited collateral, or are currently under charges for any violations of the laws mentioned above?

No Yes

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

4. For what activity are you requesting authorization to carry out (check the appropriate box):

Export = \$100

Re-Export = \$75

5. What is the purpose of the export/re-export?

Commercial

Exhibition

Scientific

Breeding

6. 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.
7. For animals **previously taken from the wild or imported**, provide a copy of the Marine Mammal Protection Act (MMPA) permit or other authorization demonstrating that the specimens were legally obtained.
8. For **captive-born wildlife**, provide an ARKS/ZIMS report OR:
- a. If the animal was born at your facility, please provide a statement that includes:
- Birth date, sex, and identification number of each specimen;
 - Name and address of your facility where the animal was born;
 - Location and source (e.g., captive-born, wild-caught) of parental stock; and
 - Your signature and date.
- b. If the animal was born at another facility, provide a signed statement from the facility detailing the origin of the animal and records that include:
- The complete name and address of the facility where the animal was born;
 - Birth date, sex, and identification number of each specimen;
 - Location and source (e.g., captive-born, wild-caught) of parental stock; and
 - 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).
9. If the specimen is being re-exported (exporting a specimen that was previously imported into the United States) provide:
- A copy of the canceled CITES export or re-export document issued by the appropriate CITES office in the country from which the wildlife was imported (if applicable); **and**
 - A cleared copy of Form 3-177, wildlife Declaration for Import (hard copy or electronic release); **or**
 - 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.
10. 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:
11. 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.
12. 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.)
13. For whales, dolphins, porpoises, seals, and sea lions, provide either a copy of the NOAA Fisheries letter of authorization for export or evidence that NOAA Fisheries has been contacted.

Questions 14 through 19 apply only for the export or re-export of FWS species

14. For FWS-jurisdiction marine mammal species, provide either a copy of the FWS permit **OR** provide the appropriate information for questions 15, 16, or 17.
15. If the purpose of the export/re-export is for **Public Display**, provide certification from the importer's relevant foreign authority (e.g. provincial or national government) that:
- The foreign recipient maintains their facility for public display of marine mammals;
 - The facility is open to the public on a regularly scheduled basis;
 - Access to such facilities is not limited or restricted other than by charging an admission fee; and
 - 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).
16. If the purpose of the export/re-export is 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:
- Are likely to be accepted for publication in a referred scientific journal;
 - Are likely to contribute to the basic knowledge of marine mammal biology or ecology; or
 - Are likely to identify, evaluate, or resolve conservation problems.
17. If the purpose of the export/re-export is for **Enhancement**, provide an explanation of how the proposed activities:
- Will contribute significantly to maintaining or increasing distribution or numbers necessary to ensure the survival or recovery of the species or stock; and
 - Is consistent with any U.S. conservation or recovery plan or the factors that would be addressed in any such plan.
18. Provide a certification from the appropriate government agency of the importing country to show that:
- The laws and regulations of that government allow enforcement of the U.S. permit conditions;
 - Such conditions will be enforced;
 - The government will afford comity to the USFWS to amend, suspend or revoke the permit, if issued; and
 - The documents provided by and about the foreign facility are true and correct.
19. Provide a copy of the letter from the U.S. Department of Agriculture (USDA), Animal and Plant Health Inspection Service, confirming that the foreign recipient meets comparable standards under the Animal Welfare Act for maintenance and care of marine mammals.

For All Applicants

20. **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:
- The means and duration of transportation;
 - A description of the type, size, and construction of any shipping container;
 - The arrangements for watering or otherwise caring for the wildlife during transport,
 - The qualifications of the person(s) accompanying the wildlife;
 - 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).

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 3-200-53 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.