

*This document was created to assist U.S. fishers and dealers who plan to export oceanic whitetip shark, three species of hammerhead sharks (scalloped, great, and smooth), porbeagle shark, manta rays, devil rays, thresher sharks, silky sharks, basking sharks, great white sharks, and whale sharks that were **taken in U.S. Atlantic waters.***

Guidance for U.S. Fishers and Dealers: Applying for CITES Export Permits

CITES documents are required for international trade of certain species of sharks, including:

- thresher sharks and silky sharks (effective October 4, 2017);
- devil rays (effective April 4, 2017);
- oceanic whitetip shark, scalloped hammerhead, great hammerhead, smooth hammerhead, porbeagle shark, and manta rays (effective September 14, 2014);
- whale sharks (effective February 13, 2003);
- great white sharks (effective October 29, 2001); and
- basking sharks (effective September 13, 2000).

Application form 3-200-27 should be used to apply to the U.S. Fish and Wildlife Service (USFWS) for CITES export permits, which would allow you to export specimens of these species taken in U.S. waters. Each shipment of CITES specimens must be accompanied by a CITES document. The current version of form 3-200-27 (available from <http://www.fws.gov/forms/3-200-27.pdf>), "Export of Wildlife Removed from the Wild," is designed to evaluate an individual shipment and issue a single CITES export permit that includes all required information on the face of the permit, including the importer and quantity.

Currently, form 3-200-27 does not take into account situations where an exporter wishes to send multiple shipments from their existing stock to future buyers that have not yet been identified. To address this need, in accordance with CITES Resolution Conf.12.3 (Rev. CoP16), section XII, on simplified permitting processes, the Service has established a "master file" system where exporters can request evaluation of their entire existing inventory and, if approved, receive multiple, partially completed CITES permits to allow multiple shipments from that inventory within a year. Each partially completed CITES permit can be used to export one shipment and identifies the exporter's name, the species being exported, and includes a description of the wildlife or product. The importer's name and the quantity of specimens within the shipment would be added by the exporter and verified by the USFWS Wildlife Inspector upon inspection and clearance at the port.

The current form 3-200-27 does not request all of the information the Service needs to establish a master file. The form also includes questions that are not relevant to U.S. fishers and fish dealers or the master file process. Therefore, until the Service has developed and received approval for a revised application form, we have prepared this document to provide guidance to U.S. fishers and fish dealers who are completing the current application form 3-200-27. We encourage you to contact the USFWS Division of Management Authority with your questions or concerns about this process at managementauthority@fws.gov.

Please mail the completed application form along with the application processing fee to:

U.S. Fish and Wildlife Service
Division of Management Authority
Mail Stop: IA, Attn: Permits
5275 Leesburg Pike
Falls Church, VA 22041

The following is guidance for completing Federal Fish and Wildlife Permit Application form 3-200-27, available at <http://www.fws.gov/forms/3-200-27.pdf>:

Please include a cover letter with your application package containing the following information:

- What is the activity you wish to conduct?
 - Exporting sharks (indicate species) taken in U.S. waters
- Are you requesting a single export permit or a master file?
- If you are requesting a master file, how many partially completed permits do you anticipate needing in the next 6 months?
 - Since export permits are only valid for 6 months, we recommend that you consider how many exports you would typically make in a 6-month period and request that number of partially completed permits.
 - Following issuance of a master file, additional permits can be requested by submitting form 3-200-74, available at <http://www.fws.gov/forms/3-200-74.pdf>, and including the master file number.

Page One, Sections A - D

This is the standardized first page of all USFWS applications. Please complete Sections B, C, and D.

The Service charges a non-refundable application processing fee for all applications. At this time we are unable to accept credit card payments or online applications. Please submit a check or money order with a hard copy of your application. Keep a copy of your application and processing fee for reference purposes.

- If you are applying for a single export permit, provide the fee requested in question D.1. A single export permit is valid for 6 months.
- If you are applying for a master file as well as partially completed export permits, the fee for establishing a master file is \$200.00. For each partially completed export permit, please submit \$5.00.
 - For example: you would need to submit \$300.00 to establish a master file and obtain 20 partially completed export permits.
 - A master file is valid for one year, and each partially completed export permit is valid for six months.
 - The expiration date on partially completed permits cannot be extended.
 - Partially completed permits cannot be returned for refund or credit.
 - If you have remaining inventory after the first six months, apply for additional partially completed permits by submitting form 3-200-74, available at <http://www.fws.gov/forms/3-200-74.pdf>. Be sure to include the master file number.

- If your permit or master file is nearing expiration and you are applying for a reissuance to extend the period of time to ship your remaining inventory, the application processing fee is \$100.00, plus \$5.00 for each additional partially completed export permit.

You must sign and date the application at the bottom of the page under question D.3. We require an original signature in order to process an application.

Page Two, Section E: Export of Wildlife Removed from the Wild (Live/Samples/Parts/Products) CITES

Question 1: Provide the information requested, or write “N/A” if not applicable.

Question 2: Provide the scientific name of the species for part a. If you are applying for a master file, you do not need to answer parts b - e.

Question 3: Provide the information requested.

Question 4: The purpose of your application is to commercially export landed fish or parts of landed fish. Therefore please check the box marked “Commercial.”

Question 5:

- Provide the information requested if available. The dealer you are working with should have this information for species that are harvested in the Atlantic.
- Provide the information requested if available. The dealer you are working with should have this information for species that are harvested in the Atlantic.
- Write “commercial fishing”
- d-g. The information requested here includes copies of permits, licenses and other documents required to remove the specimen(s) from the wild. We use this information to confirm that the catch was legally harvested and sold. You’ll need to obtain and include copies of documentation from the Highly Migratory Species shark dealers as well as copies of authorizations listed below as applicable.

Please submit copies of:

- From the Atlantic Highly Migratory Species (HMS) shark Dealers:
 - NOAA International Fisheries Trade Permit for shark fins
 - NOAA Federal Dealer Shark Permit
 - Printouts of federal dealer reports/trip tickets (dealers should record shark fins by species, i.e., they should not be lumped in with “unclassified” shark fins)
- From the exporter:
 - An itemized invoice indicating the original dealer and dealer report number where each product (listed by species and associated weight in pounds (lbs.)) was originally reported by an HMS shark dealer for species harvested in the Atlantic
 - Shark fins should be recorded by species and weight on the receipt/ invoice
- State license (if required to fish in state waters)
- Receipts or invoices documenting sale (if the catch changes hands)

Question 6: This question is not relevant to the activities you are proposing to carry out, therefore please respond “NO.”

Question 7: Provide the information requested. If applying for a master file, you can leave this question blank. If approved, you will be able to fill in the name of the importer on each partially completed export permit at the time of export.

Questions 8-11: If these questions are not relevant to the activities you are proposing to carry out, please respond with “N/A.”

Question 12: All exports of CITES-listed sharks and shark products must be through a USFWS designated port. A list of designated ports is available from <http://www.fws.gov/le/designated-ports.html>. If you wish to use a port other than those listed, please contact the USFWS Office of Law Enforcement to apply for a Designated Port Exemption Permit (form 3-200-2, available from <http://www.fws.gov/forms/3-200-2.pdf>).

Questions 13-16: Provide the information requested.

Pages 5 and 6: These two pages contain standardized language about the application, Privacy Act, Paperwork Reduction Act, and the Freedom of Information Act. We encourage you to read this information.

We encourage you to contact the USFWS Division of Management Authority with any questions about this process at managementauthority@fws.gov.