OMB Control No. 1018-0093
Expires 08/31/2023

EXPORT/RE-EXPORT OF WILDLIFE SAMPLES AND/OR BIOMEDICAL SAMPLES (CITES)

☐New ☐Reissue/Renew ☐Amendment

Complete Sections **A or B**, and C, D, and E of this application. U.S. address may be required in Section C.**

A. Complete if applying as an individual			
1.a. Last name	1.b. First name	1.c. Middle name or initial	1.d. Suffix

2 Date of birth (mm/dd/yyyy)	5.a. Telephone number	5.b. Alternate telephone number	6. E-mail address

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.a. Description of business, agency, Tribe, or institution		3.b. Website URL (if applicable)
4.a. Principal officer (P.O.) last name	4.b. P.O. first name	4.c. P.O. middle initial	4.b. P.O. Title
5. Primary contact name		6. Primary e-mail address	

7.a. Business telephone number	7.b. Alternate phone no.	8.a. Primary contact telephone no.

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

D. All applicants MUST complete

1. Include a check or money order, payable to the U.S. FISH AND WILDLIFE SERVICE, **a nonrefundable processing fee** [50 CFR 13.11(d)(4)]. Federal, Tribal, State, and local government agencies, and those acting on behalf of such agencies, are exempt from the processing fee – ***attach documentation of fee exempt status as outlined in instructions.*** (50 CFR 13.11(d))

2. If you are requesting a reissue/renew/amendment, what is your permit/file number?

3. 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.

The individual/principal officer of the business must print and sign the application. (No photocopied or stamped signatures) Date (mm/dd/yyyy)

** Further instructions for the above application may be found on our ePermits website. See the last page for information on the Privacy Act, Paperwork Reduction Act, Estimated Burden, and Freedom of Information Act aspects of this application form.

Mail your application(s) to Division of Management Authority, Branch of Permits, MS:IA 5275 Leesburg Pike, Falls Church, VA 22041-3803.

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E. EXPORT/RE-EXPORT OF WILDLIFE SAMPLES AND/OR BIOMEDICAL SAMPLES (CITES)

For the export/re-export of samples from species listed under the Endangered Species Act or CITES Appendix I species (50 CFR Part 17), use application form 3-200-37.

The U.S. FWS will not issue CITES documents for the commercial export of Appendix-I specimens unless the specimens were obtained from animals produced at a CITES-registered Appendix-I commercial breeding operation. For more information on registering an Appendix-I commercial breeding operation, contact the Division of Management Authority at managementauthority@fws.gov.

You may use this form if you are collecting in the open ocean on a U.S. registered vessel **and** transporting the specimens directly to a different country - your shipment would require a U.S. CITES export permit. In addition, if you are exporting Appendix-I specimens, an import permit issued by the country into which the specimens are transported would be required.

This application can be used to:

☐ **Request a single use permit for export of samples** that is valid for 6 months from the date of issuance. For re-issuance or amendment of a single use permit, the original permit must be returned with this completed application form.

☐ **Request a single use permit for re-export of samples [e.g., samples that were previously imported into the United States or taken from animals previously imported]** that is valid for 6 months from the date of issuance. For re-issuance or amendment of a single use permit, the original permit must be returned with this completed application form.

☐ **Establish a Master File**: A “Master File” can be valid for up to 3 years from the date of issuance. Once the Master File is approved, you must obtain partially completed certificates to export or re-export samples. Partially completed certificates are $5 each and are valid for 6 months. Certificates must be obtained prior to making any shipment and must accompany the shipment.

☐ **Amend an existing Master File**: A “Master File” must be **amended** when there have been any changes to the information provided in the original application for a master file. You need only provide the requested information for the changes that need have occurred. However, if you intend to renew your current Master File at the same time you are amending it, select below.

☐ **Renew (or Amend and Renew) a Master File**: To renew a Master File that has or will soon expire, **you must complete this entire application**, including providing all of the information requested in this form for all specimens to be included in your Master File and information on any changes to your facility, operations, species, or suppliers for the specimens that you wish to export.

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Provide the following information. 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. If you are applying for multiple specimens, be sure to indicate which specimen you are addressing in each response.

1. Name and address where you wish the permit to be mailed, **if different from physical address**. 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. Have you or your client (if a broker applying on behalf of your client), been assessed a civil penalty or convicted of any criminal provision of any statute or regulation relating to the activity for which the application is filed; been convicted, or entered 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; forfeited collateral; OR are currently under charges for any violation 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. If requesting a **single-use permit or master file with only one recipient**, provide the name and address of foreign recipient (if shipping to yourself, include your foreign address):

   NOTE: Providing a foreign recipient is *not* required if establishing a master file.

   Name:

   Business Name:

   Address:

   Address:

   City:

   State/Province:

   Country, Postal Code:

5. **Number of partially completed certificates requested at this time: _____ ($5 each)**

If requesting renewal, amendment, or establishment of a **Master File**, please be aware that partially completed permits must be issued from the master file in order to ship the requested specimen(s).

Partially completed certificates may additionally be requested by submitting form 3-200-74 from a valid Master File.

6. For EACH animal from which samples are to be shipped, provide the following (*You may use the attached corresponding inventory sheet*): **Please do NOT include Quarantine, Immunization or Health records *unless* they document transfer of ownership (see sample inventory page provided).**
   a. Scientific name (genus, species, and, if applicable, subspecies);
   b. Common name;
   c. Animal's microchip, tag, band, or other identification number or House name;
   d. Sex, if known;
   e. Birth/hatch date or age class;
   f. Source of specimen (Wild or Captive-Born);
   g. If animal or specimen was previously imported into the United States, foreign CITES export permit number and issuance date associated with that import;
   h. Type of sample (e.g., blood samples, cell cultures, tissue samples); and
   i. Quantity of samples & how packaged (*e.g.*, 10 1-ml flasks, paraffin blocks, slides).

   NOTE: Specific quantities are *not* required if establishing a master file.

7. What is the purpose of the export?
   ☐ Commercial ☐ Scientific
   ☐ Other (specify: _____)

8. Where is/are the specimen(s) currently located?
   Name:
   Address:
   City, State/Province:
   County, Postal Code:

9. For wildlife previously imported into the United States from another country, provide:
   a. All copies of canceled CITES export or re-export documents issued by the appropriate CITES office in the country from which the wildlife was exported,
   b. All copies of cleared wildlife Declaration for Import (Form 3-177),
   c. Copies of Inventory sheets that accompanied the original shipment showing original tattoo #'s, and
   d. If you did not make the original import, provide copies of the importer's documents outlined above and the invoices or other documents that shows you acquired the wildlife from the original importer or history of transactions (chain of ownership).

10. For samples collected from animals **born in the wild in the United States**, provide:
    a. Have the specimens been collected? If not, when will they be collected?

    b. Specific location of where, when and by whom (name and address) the animal/sample was removed from the wild,

c. A description of the method(s) of collection, including previous results using this methodology (e.g. mortality rate, adverse impacts). If mortality occurred, how was the methodology modified to reduce future incidences of injury or death? If the animal was removed from the wild and held for an extended period in captivity, describe the length of time the animal was held in captivity and, if still in captivity, the location and future disposition of the animal,

d. The qualifications of the individuals collecting the animal or samples,

e. A copy of any applicable local, Tribal, State, or Federal government authorization approving the activity, and

f. Documentation that the applicant legally acquired the animals/samples.

11. For samples collected from animals **born in captivity within the United States**:

a. Have the specimens been collected? If not, when will they be collected?

b. A description of the method(s) of collection, including previous results using this methodology (e.g. mortality rate, adverse impacts). If mortality occurred, how was the methodology modified to reduce future incidences of injury or death?

c. The qualifications of the individuals collecting the animal or samples,

d. A copy of any applicable local, Tribal, State, or Federal government authorization approving the activity.

12. **If you are the breeder**, please provide a dated statement that the animal was bred and born at your facility. This statement must include:

a. Name and address of the breeding facility;

b. Birth/hatch date, band/tag number, and sex of each specimen; and

c. Signature of the attending veterinarian or animal caretaker in charge of the breeding operation.

13. If you are NOT the breeder of the animals, provide copies of documentation showing that the specimens were legally acquired, such as documentation that demonstrates the history of transactions (e.g., chain of custody) and a dated signed statement from the breeder or breeder's record that includes:
    a. Complete name and address of the breeder's facility;
    b. Scientific name; birth/hatch date, sex, and, if applicable, band/tag number or other identifier of each specimen bred;
    c. Statement that the animal was bred and born at the breeder's facility;
    d. Location (name of holder, city, State, zip code) of parental stock;
    e. Whether the parental stock was captive-born or wild-caught; and
    f. Signature of the attending veterinarian, or animal caretaker in charge of the colony

14. **For marine mammals samples**, provide a copy of your FWS or NOAA Fisheries permit or authorization.

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).

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Please do not submit handwritten inventories with your application. You may re-create this form as long as it contains all the necessary information.

EXPORT/RE-EXPORT OF WILDLIFE SAMPLES (CITES)

INVENTORY PAGE

Scientific Name (Genus species)	**Original Animal #**	**Current Animal #**	**Gender**	**Birth Date mm/dd/yyyy**	**CITES export Permit #**	**Type of sample Quantity of samples & how packaged**
Ex: *Macaca fascicularis*	Rx7272-09		F	05/06/1992	VN010-1998	20 1ml vials containing 0.5 ml liver cell samples each
					Enter shipment totals for animals, sample quantity, and vials/flasks/slides, etc.*	Animals= Vials/slides= Sample Quantity=

*For master files, shipment totals for vials/flasks/slides and sample quantity may be left blank.

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

We estimate public reporting for this collection of information to average 2 hours and 30 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, or via email at Info_Coll@fws.gov.

Please do not send your completed form to this address.