



CERTIFICATE OF SCIENTIFIC EXCHANGE (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.

E. CERTIFICATE OF SCIENTIFIC EXCHANGE (CITES)

Note 1. A Certificate of Scientific Exchange (COSE) only authorizes the non-commercial loan, donation, or exchange between scientists or scientific institutions registered by a Management Authority of their country, of preserved, dried or embedded specimens, herbarium specimens and live plant material which includes a label issued or approved by a Management Authority. [All registered scientific institutions are listed on the CITES web site](#). If the specimens of a species are protected by other U.S. laws and/or treaties, such as the Endangered Species Act, Marine Mammal Protection Act, Migratory Bird Treaty Act, or Bald and Golden Eagle Protection Act, you are required to obtain additional authorizations prior to any export or re-import of those specimens.

Note 2. A COSE cannot be used with specimens collected by researchers unless such specimens are accessioned into the collection of a registered facility. For the import or export of specimens that are not part of a scientific institution collection, have not yet been collected, or accessioned into a collection, you will need to submit [Form 3-200-37](#). If you have questions, please contact the Division of Management Authority at managementauthority@fws.gov.

Note 3. A COSE cannot be used to transport specimens, or any material derived from specimens, for commercial purposes.

For re-issuance, include the original certificate and the annual report (see [Form 3-200-39a](#)). The report is a summary of all imports and exports conducted under the COSE for the past year; including information that appears on the COSE container label such as scientific name and common name, date sent, description of specimen, acquisition number, receiving institution, country, and COSE number.

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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 any one at your institution, 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 relevant information about the requesting institution or collection is available online, please provide the

URL: _____

5. Is the requesting institution (either in whole or in part) or the scientific collection an accredited scientific institution/collection, such as the Index Herbariorum or American Alliance of Museums or other accrediting entity:

☐ Yes. Indicate the organization(s) below and **attach supporting documentation**, such as a website, copy of accreditation, or other such evidence.

☐ No. Provide copies or other evidence of written policies related to the institution's standards for scientific integrity, record-keeping, accessibility to, and management of the collection.

Are the collections and associated data permanently housed and professionally curated? If yes, how long have the collections been permanently housed and professionally curated. Provide the physical address for the collection and the name and contact information for the curator.

☐ Yes ☐ No

6. Are all accessions in the scientific collection(s) to be exchanged via this COSE properly recorded in a permanent catalogue?

☐ Yes (If catalogue or collection is available online, please provide the applicable URL(s) (web addresses)

_____.

☐ No

7. As appropriate, ENTER approximate number of accessioned specimens:

☐ Mammals

☐ Birds

☐ Insects/Arachnids

☐ Other Invertebrates

☐ Reptiles/Amphibians

☐ Vascular Plants

☐ Fish

☐ Non-vascular Plants

☐ Other (provide description: _____)

8. Do you maintain any specimens of species protected under the Marine Mammal Protection Act?

☐ Yes ☐ No

a. If "yes," do you intend to import or export these specimens? _____

b. If "yes", provide a copy of your MMPA authorization for this activity.

9. Do you maintain or intend to obtain any specimens of species protected under the Endangered Species Act?

☐ Yes ☐ No

a. If "yes", do you intend to import or export these specimens? _____

b. If "yes", provide a copy of your ESA authorization for this activity.

10. Do you maintain or intend to obtain any specimens of species protected under the Migratory Bird Treaty Act?

☐ Yes ☐ No

a. If "yes", do you intend to import or export these specimens? _____

b. If "yes", provide a copy of your MBTA authorization for this activity.

11. Do you maintain any specimens of species protected under the Bald and Golden Eagle Protection Act?

☐ Yes ☐ No

a. If "yes", do you intend to import or export these specimens? _____

b. If "yes", provide a copy of your BGEPA authorization for this activity.

12. Are specimens accessible to qualified users from outside your institution?

☐ Yes ☐ No

ENTER approximate number	In the United States	Outside the United States
Loans last year		
Exchanges last year		
Donations last year		

13. Are permanent records maintained on specimens that are loaned or transferred?

☐ Yes ☐ No

14. Are specimens acquired primarily for the purpose of research, the results of which are to be reported in scientific publications?

☐ Yes ☐ No

15. Are specimens prepared and the collections arranged in a manner that ensures their accessibility?

☐ Yes ☐ No

16. Are data on specimen labels, permanent catalogues, and other records as accurate as possible?

☐ Yes ☐ No

17. To the best of your knowledge, were the specimens in the collection acquired legally under the relevant laws of the country where they were obtained and the United States (e.g., import permits, collection permits, take permits, landowner permission)?

☐ Yes ☐ No

18. Are all specimens of species included in Appendix-I of CITES permanently and centrally housed under direct control of the scientific institution as indicated in CITES [Resolution Conference 11.15](#) (Rev. CoP18) on *Non-commercial loan, donation or exchange of museum and herbarium specimens*?

☐ Yes ☐ No

19. Are Appendix-I specimens intended for exchange managed in such a manner to preclude their use solely as decorations or trophies, or for other purposes incompatible with CITES [Resolution Conference 11.15](#) (Rev. CoP18)?

☐ Yes ☐ No

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](#)).

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 1 hour, 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.