



**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 PLANTS AND PLANT PRODUCTS
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

<p>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 pages 2 and 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)].</p>	
<p>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.</p>	
<p>Signature of applicant/Principal Officer for permit (No photocopied or stamped signatures) Date of signature (mm/dd/yyyy)</p>	
<p>Please continue to next page</p>	

E. EXPORT/RE-EXPORT OF PLANTS (CITES)

This application covers a wide range of CITES-listed plant specimens, whether live or dead and including any readily recognizable parts, products, or derivatives unless otherwise noted in the Appendices. To determine whether a plant species is regulated under CITES, when the species was listed, and whether exemptions apply to your requested activity and would then not require a CITES permit, see [CITES listed species](#). If you have any questions regarding your export, contact the Division of Management Authority at 800-358-2104.

Please review our webpages [Wood & Other Tree Products](#), [Musical Instruments](#), and if relevant, [What Can I Do With My Ivory?](#), for important guidance and reminders.

Use this application form for exports or re-exports of:

- wild plants/plant products
- non-commercial shipments of cultivated plants/plant products
- pre-Convention¹ plants/plant products (including commercial shipments of musical instruments)
- commercial shipments of finished products or lumber
- re-exports under an ATA Carnet
- non-commercial shipments as part of a household move or plant society exhibition

This form should NOT be used to:

- Request authorization for commercial exports of live plants that are artificially propagated in the United States. For such exports, applicants should complete form [3-200-33](#).
- Request authorization for the import of wild-collected CITES Appendix I plants. For such imports, applicants should complete form [3-200-35](#)
- Request authorization for plants listed in the Endangered Species Act. For such exports, applicants should complete form [3-200-36](#).

PERMIT TYPES AND PROCESSING FEES

Single-use Permit: A single-use permit 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:

\$100 for export: A one-time export of CITES-listed plants or plant products.

\$100 for re-export: A one-time export of plants or plant products that were previously imported under a CITES permit.

\$75 for pre-Convention specimens: A one-time export of plants or plant products that were obtained before the species was listed under CITES. NOTE: No CITES import permit is required for an Appendix-I specimen that qualifies as pre-Convention.

\$50 for personal/household plants: A one-time export of personally-owned, live potted plants or plant products that are not intended for commercial sale.

Master File: This application form allows you set up a [Master File](#), valid for up to 3 years and is renewable, for exports or re-exports of wild, commercial artificially propagated plant parts or products, or pre-Convention specimens. Once the Master File is approved, you must also obtain partially completed permits, valid for 6 months, for each export (50 CFR 13.11).

\$200 to establish a new Master File

\$100 to amend an established Master File: Allows you to amend a currently valid Master File. **You must complete the relevant sections within the application (3-200-52 may not be used to amend or renew this**

¹ Specimen was acquired (removed from the wild or held in captivity or a controlled environment) before the date CITES applied to it. The listing date is found at [CITES species list](#). 50 CFR 23.45(b)(1).

Master File), providing information on any changes to your facility, operations, species, or suppliers for the plant specimens that you wish to export.

\$100 to reissue, or amend and reissue an established Master File: Allows you to renew your Master File that has or will soon expire. **You must complete relevant sections within the application (3-200-52 may not be used to amend or reissue this Master File)**, including providing information on any changes to the quantity, your facility, operations, species, or suppliers for the plant specimens that you wish to export.

AND

\$5 each for required partially completed permits to accompany each shipment under a Master File: Once the Master File is approved, you must also obtain partially-completed permits to accompany each export (50 CFR 13.11). The partially-completed permits will be valid for 6 months and can be requested using this form when establishing or renewing a Master File. For future shipments, additional permits may be requested using FWS Form [3-200-74](#).

GENERAL INFORMATION

Review this application carefully and provide complete answers to all of the questions in the sections relevant to the activity for which you are requesting authorization. If you are applying for multiple species, be sure to indicate which species you are addressing in each response. If a question is not applicable, answer with "N/A". **If more space is needed, attach a separate sheet with your responses numbered according to the questions.**

To accommodate the different purposes of this application, please complete the sections that are applicable to your request as laid out below:

- | | |
|-----------------|---|
| Part I | All applicants must complete (questions 1-4). |
| Part II | Wild plants collected and/or originating in the United States (questions II.5-II.13). |
| Part III | Timber, lumber, or live plants (questions III.5-III.13). |
| Part IV | Medicinals and extract-based products (questions IV.5-IV.10). |
| Part V | Manufactured products (rosewood guitars, etc.) (questions V.5-V.15). |
| Part VI | Exhibition at plant society or trade shows (non-commercial) (questions VI.5-VI.11). |
| Part VII | Personal household plants (non-commercial) (questions VII.5-VII.8). |

For commercial shipments of live plants, timber, sawn wood, veneer, lumber, or plant products, you will be required to have a current state nursery license and/or current U.S. Department of Agriculture (USDA) Protected Plant Permit (formerly known as General Permit). For products that contain both plants and animal species, you will also need an FWS [Import/Export license](#).

PART I**ALL APPLICANTS MUST COMPLETE****Activity for which you are applying:**

- Request for a single-use permit for an export or re-export (\$100)
- Request for a single-use permit for pre-Convention specimens (\$75)
- Request for a single-use permit for personal/household plants (\$50)
- Establish a new Master File (\$200)
- Amend an existing Master File; PRT # _____ (\$100)
- Renew an expired/soon to be expired Master File; PRT # _____ (\$100)
- Amend and Renew an expired or soon to be expired Master File; PRT # _____ (\$100)

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). Considering that partially completed permits are only valid for a 6-month period, please specify the number you are requesting at this time.

_____ (Provide an additional \$5 per requested permit).

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 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. 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. If requesting a **single-use permit**, provide the name and address of foreign recipient (if shipping to yourself, include your foreign address):

Name:

Business Name:

Address:

City:

State/Province:

Country, Postal Code:

PART II

WILD PLANTS COLLECTED AND/OR ORIGINATING IN THE UNITED STATES

For **each species** to be shipped provide:

5. Scientific name (genus, species or subspecies) and common name.
6. Number and age class of specimens collected (e.g., 100 seedling; 50 mature).
7. Specific location and date of collection for each specimen.
8. Who (name and address) collected the specimens.
9. Copies of documents that indicate that the plants were legally collected (e.g., collection permits or licenses, landowner's permission). Be sure to correlate each document to the corresponding plant.
10. Collection methodology.

11. Estimate the number of plants collected, and the number of plants at the location (e.g., whether the specimens were removed from an area of few to several patches of plants, percentage of specimens removed).

 12. If you purchased the plants and/or seeds, provide the invoice or other document that shows the name, address, and telephone number, of the person from whom you purchased the plants and the date of purchase for each specimen (such documentation should trace back to the original collector).

 13. For **wild-collected Appendix I plants or plant parts**, provide a copy of the CITES import permit issued by the Management Authority of the country to which you plan to export the plant(s) or plant specimen(s).
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PART III
TIMBER, LUMBER, OR LIVE PLANTS

For **each specimen** to be shipped provide:

5. Scientific name (genus, species, and if applicable, hybrid, cultivar, or subspecies) and common name.

6. General description, quantity, and size of specimen(s) to be exported/re-exported.

7. Form of product (e.g., live, plywood).

8. Unit description (in metric units), including volume of specimen(s) (if applicable).

9. Country where the plant or specimens were acquired.

10. Source of the specimen (e.g., removed from the wild or cultivated).

11. Receipts documenting your acquisition of the specimens to be exported/re-exported.

12. If the product (or CITES-list components) were previously imported into the United States, provide copies of validated CITES documents issued by the country of export. The copies must be endorsed by the foreign country at the time of export, **AND** validated by Customs and Border Protection or USDA Animal and Plant Health Inspection Service (APHIS) at the time of import; **AND**
- If you were not the original importer, provide a copy of the invoice or other documentation that shows how you acquired the product from the original importer. **Be sure to correlate each document (CITES permit # and issuance date) to the corresponding product.**
 - Date of import for each product (of CITES-listed component).
13. **For lumber, timber, or plants acquired prior to the date it was listed in CITES** provide documentation, a signed statement, or other evidence that the specimen was harvested and/or imported prior to its CITES listing date (e.g., bill of sale, USDA or foreign phytosanitary certificate). To check dates species were listed in CITES, please visit [CITES species list](#).

PART IV MEDICINALS AND EXTRACT-BASED PRODUCTS

5. For **each specimen** to be shipped provide, a description in **tabular or spreadsheet form** of the following information:
- Scientific Name
 - Product Name
 - Product Description (e.g.: extract, tablet, capsules, powder, etc.)
 - Individual Packaging Unit (e.g.: bottles, box)*Include size if applicable.
 - Amount of Product Per Packaging Unit
 - Number of Packing Units
 - Total Amount of Product to be Shipped
6. Country where the specimens were harvested.
7. Country where the specimens were acquired.
8. Receipts documenting the acquisition of the specimens to be exported/re-exported (e.g., bills-of-sale documenting history of transactions).
9. If the product was previously imported into the United States, provide copies of validated CITES documents issued by the country of export. The copies must be endorsed by the foreign country at the time of export, **AND** validated by Customs and Border Protection or USDA Animal and Plant Health Inspection Service (APHIS) at the time of import; **AND**
- If you were not the original importer, provide a copy of the invoice or other documentation that shows how you acquired the specimen(s) from the original importer. **Be sure to correlate each document (CITES permit # and issuance date) to the corresponding specimen requested in question 7.**
 - Date of import for each specimen.
10. **For specimens acquired prior to the date it was listed in CITES** provide documents, a signed statement, or other evidence that shows the specimen(s) was harvested and/or imported prior to its CITES listing date (e.g., bill of sale, USDA or foreign phytosanitary certificate). To check dates species were listed in CITES, please visit [CITES species list](#).

PART V**MANUFACTURED PRODUCTS (ROSEWOOD GUITARS, ETC.)**

5. Please provide a brief overview of your business practices (supply chain, how often you obtain additional stock, how often you export, and who you typically ship to).

6. Do you mix multiple CITES-listed species in your product? No Yes

If no, for each species provide the quantity in number of products (as requested in Question 8, below).

If yes, for each species, provide the quantity in cubic meters (as requested in Question 9, below).

For **each species** to be shipped provide:

7. Scientific name (genus, species, and if applicable, subspecies) and common name.
8. General description of the product to be exported/re-exported (e.g., finished guitar, guitar parts).
9. Quantity and size (in metric units) of product(s) (e.g., 1 table, 220 x 84 cm, etc.).
10. Country and approximate year that the wood was harvested.
11. Country where you acquired the specimen/product.
12. Provide receipts documenting your acquisition of the wood to be exported/re-exported (e.g., bills-of-sale documenting history of transactions).
13. If the product(s) or CITES-listed components(s) were previously imported into the United States, provide copies of validated CITES documents issued by the country of export. The copies must be endorsed by the foreign country at the time of export, **AND** validated by Customs and Border Protection or USDA Animal and Plant Health Inspection Service (APHIS) at the time at import; **AND**
- If you were not the original importer, provide a copy of the invoice or other document that shows how you acquired the product from the original importer. **Be sure to correlate each document (CITES permit # and issuance date) to the corresponding product.**
 - Date of import for each product (of CITES-listed component).

14. If requesting to export finished products manufactured prior to their listing date under CITES (as laid out below), attest to the following certification statement:

- Dalbergia nigra (Appendix I): June 11, 1992.
- Finished products of Appendix II Dalbergia spp, certain Guibourtia spp.,: January 2, 2017
- For the listing dates of additional species, please visit [CITES species list](#).

I certify that all the products to be exported under my Master File will have been manufactured from pre- Convention _____ (scientific name) wood, harvested prior to the date implemented in CITES _____ (date). The manufacture date of each product will be documented by a serial number. If requested by the U. S. Fish and Wildlife Service, I am willing to report on the number of products and their identification numbers that may be exported under my Master File when requesting additional partially completed CITES documents under my Master File.

Applicant's signature: _____ Date: _____

15. If requesting to export finished products manufactured **after** the date the species was listed in CITES, but manufactured with pre-Convention (acquired prior to the CITES listing date) wood, please provide a copy of the current inventory (a list of each product and the species contained in each product that is currently in your possession).

PART VI

EXHIBITION BY PLANT SOCIETY AND TRADE SHOWS (NON-COMMERCIAL)

For **each specimen** to be shipped provide:

5. Scientific name (genus, species, and if applicable, hybrid, cultivar, or subspecies) and common name.
6. A general description of specimens and quantity of each (e.g., 100 whole plants; 2,000 seeds; 5 instruments, etc.).
7. Provide documentation or a signed statement of how, from whom, and when the plants were acquired.
8. The names, dates, and countries of the shows/events you are participating in.
9. Approximate date of re-import into the United States.

10. Provide a signed statement certifying that none of the specimens being exported will be sold and all of the specimens will be returned to the United States through a CITES designated port upon conclusion of the show.

11. Is this shipment being exported for temporary exhibition or display purposes and accompanied by a valid ATA carnet (for single use permits only)?

____ No ____ Yes: provide ATA carnet document number: _____.

PART VII

PERSONAL, HOUSEHOLD PLANTS (NON-COMMERCIAL)

For **each specimen** to be shipped provide:

5. Scientific name (genus, species, and if applicable, hybrid, cultivar, or subspecies) and common name.

6. A general description of specimens and quantity of each (e.g., 100 whole plants; 2,000 seeds).

7. If known, provide the source of the specimen (e.g., removed from the wild or cultivated).

8. Receipts documenting your acquisition of the specimens to be exported **OR** a signed statement regarding the source of your plants, when you obtained them, and how and where you obtained them.

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 3-200-32 is 60 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.