

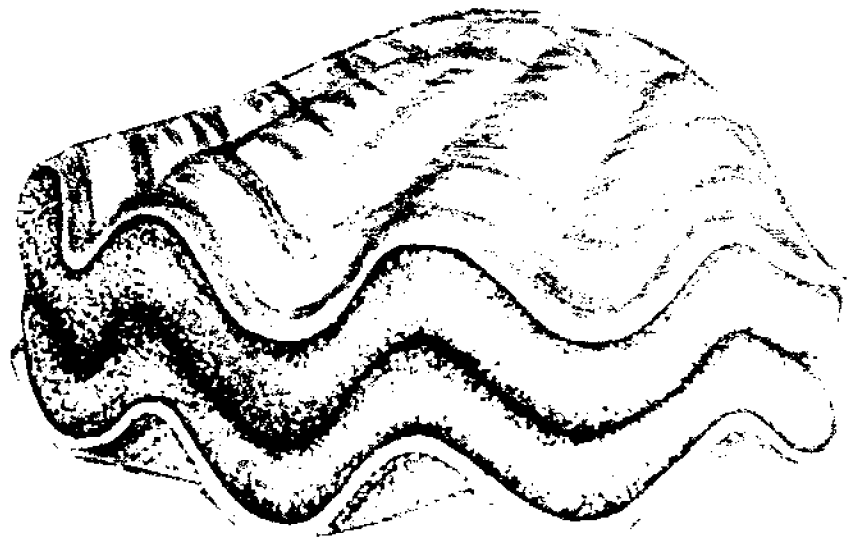
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# The Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES)

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Proceedings of a Workshop  
held for those involved in the trade of giant clams



Sponsored by  
The Center for Tropical and Subtropical Aquaculture  
The Pacific Aquaculture Development Program  
and  
The Pacific Aquaculture Association

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Center for Tropical and Subtropical Aquaculture Publication #108.



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# **The Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES)**

**Proceedings of a Workshop  
held for those involved in the trade of giant clams**

**April 14, 1992  
East-West Center  
Honolulu, Hawaii**

**Sponsored by  
The Center for Tropical and Subtropical Aquaculture  
The Pacific Aquaculture Development Program  
Pacific Aquaculture Association**

**Edited by Patti Killelea-Almonte**

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## Executive Summary

Preservation of the earth's precious resources is a worldwide concern. Species of plants and animals are vanishing at a rate unprecedented in history. Illegal trade in wildlife is a major factor in this tragedy, and has brought 100 plant species and 500 animal species to the brink of extinction. To stop the tide of destruction, the Convention on International Trade in Endangered Species of Wild Fauna and Flora was implemented in July 1975. Widely known as CITES, the convention regulates trade in imperiled species listed on three Appendices.

Included on Appendix II are all giant clams of the family Tridacnidae. Giant clams, native to the shallow, sunlit waters of the Indo-Pacific coral reefs, are popular for food and various other uses in Pacific Rim countries. Because the animals are easily accessible and highly valuable, they have been seriously over-fished in many areas. For example, *Hippopus hippopus*, once found in the Samoan Islands, has recently become locally extinct. In an attempt to protect the animals from extinction, in 1985 the Parties to CITES listed giant clams in Appendix II of CITES.

A decade of research into giant clam aquaculture has produced successful breeding and rearing methods, offering an excellent alternative to over-harvesting of wild stocks. Giant clam aquaculture farms and hatcheries are operating in a number of places in the U.S. Affiliated Pacific Islands, including the Republic of Belau, the Federated States of Micronesia, the Republic of the Marshall Islands and American Samoa. Plans are underway to start additional facilities.

In order to maximize the market potential for giant clams, aquaculturists must export the animals to foreign markets. Representatives of giant clam culture facilities, governments from the U.S. Affiliated Pacific Islands, and sea-life traders attended the workshop to obtain information about CITES, including permitting procedures and enforcement, that is important to the economic viability of their operations.

Information on CITES was provided by two representatives of the U.S. Fish and Wildlife Service, which is charged with regulating and enforcing CITES in this country. The process by which nations can become signatories to CITES was outlined.

The Convention's strictest controls are directed at species listed on Appendix I, which are threatened with extinction. All commercial trade in these species is prohibited, and other trade is highly restricted. Species listed on Appendix II are

not presently threatened with extinction, but they may become so unless their trade is regulated. Shipments of both Appendix I and Appendix II species must be accompanied by specific permits, which are issued only if the trade will not be detrimental to the species' survival. The process to obtain CITES permits was explained in detail.

Two of the giant clam aquaculturists said that complying with CITES regulations has had a detrimental effect on their business. The manager of the Micronesian Mariculture Demonstration Center cited a specific instance in which problems with inspection of a shipment caused the loss of a major Japanese account. He estimated that loss as costing his operation between \$20,000 and \$30,000 in the first four months of 1992.

Government officials from the Federated States of Micronesia and the Republic of the Marshall Islands provided updates on the status of CITES permitting in those countries.

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## Acknowledgments

A number of individuals contributed to both the workshop and the proceedings. The workshop was coordinated by Dr. Kevan L. Main, director of the Center for Tropical and Subtropical Aquaculture, and by Anne M. Orcutt of the Pacific Aquaculture Development Program.

Dr. Main and Ms. Orcutt would like to thank Mr. Gerald Heslinga, Mr. John Bungitak, Mr. Ramsey Reimers, Mr. Neal Skinner, Dr. John Riley, Mr. Flinn Curren and Mr. Lui Bell for their participation in the workshop. Special thanks go to Ms. Karen Rosa and Mr. Carroll Cox of the U.S. Fish and Wildlife Service, who provided invaluable information about the Convention on International Trade in Endangered Species and without whom this workshop would not have been possible.

Patti Killelea-Almonte wrote, designed and laid out these proceedings.



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# The Workshop

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## Introduction

The Convention on International Trade in Endangered Species of Wild Fauna and Flora, known as CITES, governs trade in an agreed list of currently endangered and threatened species between 115 signatory countries. All Tridacnidae species, including all species in genera *Hippopus* and *Tridacna*, are listed in Appendix II of CITES. The number of giant clam culture facilities is increasing throughout the U.S. Affiliated Pacific Islands, and knowledge about CITES could prove vital to their economic success.

The Center for Tropical and Subtropical Aquaculture, the Pacific Aquaculture Development Program and the Pacific Aquaculture Association sponsored this workshop to inform government representatives, commercial producers and giant clam traders about the origin and nature of CITES, its regulations and how to become a party to CITES.

Thirty-two representatives of U.S. Affiliated Pacific Island governments, researchers, extension agents, aquaculturists and those involved in animal trade (Attachment 1) attended the workshop. Participants from American Samoa, the Federated States of Micronesia, the Republic of the Marshall Islands and the Republic of Belau presented an overview of giant clam production in their locations. Representatives of the U.S. Fish and Wildlife Service gave an overview of CITES, the process to obtain CITES permits and enforcement of CITES. Finally, government representatives from the RMI and the FSM spoke on the status of CITES permitting in those locations.

Dr. Kevan L. Main, director of the Center for Tropical and Subtropical Aquaculture, and Anne M. Orcutt, of the Pacific Aquaculture Development Program, opened the workshop by explaining its purpose. Dr. Main then introduced the first speaker in the opening segment of the workshop.

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## An Overview of Giant Clam Production in the U.S. Affiliated Pacific Islands

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### The Republic of Belau

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Gerald Heslinga, manager of the Micronesian Mariculture Demonstration Center (MMDC) in the Republic of Belau, gave some background and information about the facility's current activities. In operation since 1973, the MMDC is the largest giant clam production facility currently operating. The MMDC has cultured all seven species of giant clams indigenous to Micronesia and produced second-generation specimens of all species but *Tridacna gigas*. Heslinga noted that MMDC uses no wild *Tridacna derasa* stocks but rather produces all animals of that species from F<sub>1</sub> and F<sub>2</sub> generation broodstock.

The MMDC markets clams both in Belau and internationally for food, for aquarium specimens and for seed. In addition, a small gift shop on the MMDC site sells clam shells fashioned into such things as wasabi bowls, soap dishes and candlestick holders.

For three years, MMDC had CITES export permits for its clams. Heslinga noted that he was required to apply to USFWS in Washington, D.C., for a permit renewal every six months. Each MMDC shipment to a foreign country must be inspected by a USFWS agent, the closest one of whom is stationed in Guam. Heslinga called the necessity of routing all MMDC shipments through Guam "difficult, time-consuming, expensive and quite frustrating." He estimated that MMDC had lost "between \$20,000 and \$30,000" in the first four months of 1992 because problems in the inspection process caused the loss of a major account in Okinawa. In addition, inspection of each shipment costs more than \$200 — 13 percent of each shipment's value. That expense makes the operation "marginal," he said. At the time of this workshop, MMDC had allowed its CITES permit to expire and had ceased shipments to Okinawa, the Philippines and Europe.

Heslinga stressed the difference between most threatened species and giant clams, "a marine invertebrate with vast powers of reproduction." He added, "MMDC alone is capable of producing over a million giant clams per year and has closed the life cycle of six of seven species." In addition, the facility has initiated a conservation program, donating seed and broodstock to each of the 16 states in Belau, making the threatened species classification "anachronistic," he said. He concluded by asking that the USFWS consider these factors and grant MMDC and other giant clam hatcheries in the Pacific an exemption to the permitting requirements.

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## The Republic of the Marshall Islands

**John Bungitak**, deputy director of Marshall Islands Marine Resources Authority, introduced two speakers who gave overviews of giant clam production in the Republic of the Marshall Islands.

The first was **Ramsey Reimers**, chief executive officer of Robert Reimers Enterprises, which owns Wau Island Clam Hatchery and Farm in the Marshall Islands. Begun in 1986, the facility does land-based and lagoon farming. Although some *Hippopus hippopus* and *Tridacna squamosa* are produced, it focuses on production of *Tridacna gigas* and *Tridacna maxima*. Reimers said that the farm sells clam meat and shells locally. Although he would like to market the meat and shell internationally and has "standing orders for *T. maxima* from U.S. aquarium markets," CITES and shipping problems prevent it.

He concluded by saying the Marshall Islands must take advantage of aquaculture technology to diversify its economy and preserve its pristine environment.

**Neal Skinner** owns Marshall Islands Aquaculture, which cultures *T. gigas*, *T. maxima* and *T. squamosa*. In September 1991, he sent some trial shipments to aquarium markets in Los Angeles.

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## The Federated States of Micronesia

### Kosrae

**Dr. John Riley**, manager of the Federated States of Micronesia National Aquaculture Center in Kosrae, was the next speaker. *H. hippopus*, *T. gigas* and *T. maxima* are indigenous to Kosrae; the first two species have been become locally extinct due to over-fishing. The National Aquaculture Center, in operation since 1991, was established to produce clams for reseeding the reefs in all four states of the FSM. Plans call for the hatchery to distribute 10,000 *T. derasa* seed clams to the other states during 1992. The FSM has no plans to use the hatchery to produce clams for commercial sales.

### Pohnpei

**Flinn Curren** of Pohnpei State Marine Resources Division briefly presented an overview on the Pohnpei state hatchery on Lenger Island. The hatchery is stocked with 90 *T. derasa* broodstock, 600 1-year-old *T. gigas* and 40,000 4-month-old *H. hippopus*. The first successful spawning of *T. derasa* at the hatchery, conducted early in 1992, resulted in 1,500 survivors that will be stocked in ocean nurseries later in the year. The hatchery's main focus is conservation. Five farms, run by private owners of local resorts on the barrier reef islands of Pohnpei, have been established to grow out *H. hippopus*. A Marine Resources Division survey showed that local residents are concerned about the disappearance of *H. hippopus* since commercial harvests of the species began in 1986. Local residents also

expressed a desire for conservation efforts and an interest in giant clam farming. In 1992, the Marine Resources Division plans to establish several clam sanctuaries with *H. hippopus* from the hatchery. Because of the interest in clam farming, the Marine Resources Division considers CITES important for conservation efforts and possible future commercial marketing efforts.

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## American Samoa

The next speaker was Lui Bell, manager of the American Samoa's Department of Marine and Wildlife Resources giant clam hatchery. Giant clam meat is a traditional delicacy to the Samoan people. Three species are native to Samoa: *T. squamosa*, *T. maxima* and *H. hippopus*, which is now locally extinct. Extensive reef surveys indicated that the two remaining species had been over-exploited and were unlikely to recover naturally. "In an effort to develop and enhance local reef resources by supplementing the native giant clam populations," raise production to meet local demand and develop a potential new industry for the private sector, the American Samoa Department of Marine and Wildlife Resources initiated a giant clam project. Under that project, which also receives funding from the Center for Tropical and Subtropical Aquaculture, the Pacific Aquaculture Development Program and the Pacific Island Network, *T. derasa*, *T. gigas* and *H. hippopus* are being cultured. The project's main goal is to establish local farms that will produce giant clam meat for the local market. That would have a two-fold effect: reducing fishing pressures on wild populations and diversifying the economy.

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## Summary

All the private and government giant clam aquaculturists considered CITES regulations regarding that species unfair. Although clam culture can produce millions of seed clams per year, CITES classifies all giant clams — whether wild or captive-bred — the same way and requires that breeders repeatedly go through the permitting process, which is time-consuming and costly.

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## An Overview of CITES

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### Background

In the next segment of the workshop, Karen Rosa, endangered species biologist with the U.S. Fish and Wildlife Service Pacific Island Office, presented an overview of the Convention on International Trade in Endangered Species of Wild Fauna and Flora. She explained that CITES, implemented in 1975, was in the forefront of conservation efforts. It helped create an awareness that natural resources can be harvested and utilized provided proper monitoring and conservation methods are employed to prevent extinction.

### Film

A film titled "CITES: Trade and Survival" drove home the point that humans are causing the extinction of species at an alarming rate. International wildlife smuggling, worth more than \$5 billion annually — second in value only to narcotics — is trading 100 species of plants and 500 species of animals to extinction. Poaching could cause the extinction of the black rhinoceros and African elephant by the end of this century. The Philippine coral reefs, "one of the finest treasure houses of marine life in the world," are being destroyed in pursuit of coral and reef animals. Two species of poisonous sea snakes, the skins of which are used for handbags and other leather goods, are already extinct.

"CITES is by far the most important international instrument that can lead to conservation of species because it is practical," said Jean LaPointe, secretary general of CITES. "The forum is tremendous, with more than 100 governments, more than several hundred national and international conservation groups, several hundred trade associations and users groups."

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### Scope of the Convention

More than 100 countries are parties to CITES (Attachment 2), an international agreement controlling trade in wildlife. Every two years, the member countries meet to determine which species are most in need of CITES' protection.

CITES lists 35,000 endangered plant species and 2,000 endangered animal species in three categories. All living or dead animals and plants listed in Appendix I, II or III, including all readily recognizable parts and derivatives thereof, are subject to the regulations of CITES.

However, the following Appendix II plants are excepted: "1) seeds, spores and pollen, including pollinia; 2) tissue cultures and flaked seedling cultures; 3) parts and derivatives, other than roots and readily recognizable parts thereof, of

*Panax quinquefolius*; 4) fruits and parts and derivatives thereof of naturalized or artificially propagated Cactaceae spp., and separate stem joints (pads) and parts and derivatives thereof of naturalized or artificially propagated species of *Opuntia* subgenus *Optunia*; 5) separate leaves and parts and derivatives thereof of artificially propagated *Aloe vera*; and 6) cut flowers of artificially propagated Orchidaceae spp., and fruits and parts and derivatives thereof of artificially propagated *Vanilla* spp.”

**Appendix I** The Convention's strictest controls are directed at species listed on Appendix I, which are threatened with extinction. For example, the gorilla (*Gorilla gorilla*), the humpback whale (*Megaptera novaeangliae*), the bald eagle (*Haliaeetus leucocephalus*) and the blue vanda orchid (*Vanda coerulea*) are all listed on Appendix I. All shipments of Appendix I species, including parts and products thereof, require two permits: one from the importing country, which must be obtained first; and a second from the exporting country. Import for primarily commercial purposes is prohibited. Permits are granted only when the import or export will not be detrimental to the survival of the species. **Introduction from the Sea permits** are required for the import of Appendix I specimens taken from a marine environment that is not under the jurisdiction of any country or state.

**Appendix II** Appendix II species are not presently threatened with extinction, but they may become so unless their trade is regulated. Appendix II species include the American black bear (*Ursus americanus*), the American alligator (*Alligator mississippiensis*), the snowy owl (*Nyctea scandiaca*), the triangle palm (*Neodypsis decaryi*) and all giant clams of the family Tridacnidae. **Import permits** are not needed for Appendix II species; however, an **export permit** or **re-export certificate** from the exporting country must accompany each shipment of Appendix II species. Appendix II **export permits** may be issued for any purpose as long as the export or re-export will not be detrimental to the survival of the species. **Re-export certificates** are required to export specimens that were previously imported, including items subsequently converted to manufactured goods. **Re-export certificates** may be issued when the applicant provides evidence that the species was originally imported legally. An **Introduction from the Sea permit** is required to import Appendix II specimens taken from a marine environment that is not under the jurisdiction of any country or state.

**Appendix III** Appendix III species are those that any Party regulates within its own country “for the purpose of preventing or restricting exploitation, and as needing the cooperation of other parties in control of trade.” Three types of CITES documents are issued for Appendix III species.

#### **Export Permits**

are issued for specimens that originated in a country that listed the species on Appendix III. Because the United States of America has not listed any

species on Appendix III, no U.S. export permit will be issued for the export of an Appendix III species;

### **Certificates of Origin**

are issued by any nation other than the listing country when the wildlife in question originated in that nation. For example, Nepal listed the blackbuck antelope, *Antelope cervicapra*, on Appendix III in November 1975. The U.S. Management Authority would therefore issue a U.S.-born blackbuck antelope a Certificate of Origin for export, rather than an export permit.

### **Re-export Certificates**

are issued for the export of Appendix III specimens that were previously imported into the United States.

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## **Jurisdiction of the Convention**

CITES requires each member country to establish both a management authority and a scientific authority. The management authority controls wildlife trade by writing regulations to implement CITES, issuing all import and export permits, and representing the country at meetings of the parties and in correspondence with other party nations and the secretariat. The scientific authority obtains, reviews and analyzes information to determine whether the country should propose or support listing a species under CITES. The scientific authority also advises the management authority whether an import or export will be detrimental to the survival of the species in the wild. In the United States, both the Management Authority and the Scientific Authority fall under the auspices of the Fish and Wildlife Service. The USFWS governance for CITES extends to the 50 states and the District of Columbia, the U.S. Virgin Islands, Puerto Rico, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands and the Republic of Belau.

The Federated States of Micronesia and the Republic of the Marshall Islands are not under U.S. jurisdiction for the purpose of CITES and are not themselves parties to CITES. Neither country has designated a management or scientific authority for the secretariat to allow trade of CITES-listed species. Non-member countries can trade with CITES Parties. However, Article X of the Convention states that non-members are required to have a "competent authority" to issue comparable documentation — including all the same information and statements of legality and non-detriment — to that required to obtain CITES permits and certificates. The documentation may be accepted in lieu of CITES permits and certificates by Party nations.

However, this process may be more difficult than it first appears. A resolution of the Eighth Meeting of the Conference of the Parties (Conf. 8.8) tightened controls over trade with non-member nations. It requires non-member countries to communicate to the CITES Secretariat:

- “details of the authorities competent to issue comparable documentation, within three months, and to confirm these details at least once every two years;
- “details of the scientific institutions capable of advising that an export is not detrimental to the survival of the species concerned, within three months, and to confirm these details at least once every two years; and
- “any changes in the competent authorities and scientific institutions within one month after such changes take place.”

The resolution directs the Secretariat to “compile, and communicate at regular intervals to the Parties, an updated list of competent authorities and scientific institutions containing only those authorities and institutions details of which were communicated by the State concerned less than two years previously.” It recommends that CITES Parties only accept documentation from non-member countries if their competent authorities and scientific institutions are included in the most recent updates list of the Secretariat or after consultation with the Secretariat. It further recommends that documentation issued by non-member countries for Appendix I or II species not be accepted by CITES Parties unless the documentation contains — in addition to all the usually required information — certification that the scientific institution has advised that the export will not be detrimental to the survival of the species.

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## Becoming a Party to the Convention

Any nation that wishes to become a party to CITES may do so by writing a letter, known as an **instrument of accession** (Attachment 3), and depositing it with the Swiss government, which is the Depository Government of the Convention. The **instrument of accession** must be signed by the acceding country’s head of state or government or by the minister of foreign affairs. It also must be accompanied by the name and address of the acceding country’s designated management authority. The **instrument of accession** should be deposited through the ordinary diplomatic channels described in the acceding country’s constitution or laws.



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## Measures to be taken by Parties to the Convention

CITES requires all member nations to designate both a management authority and a scientific authority. In addition, member nations must take appropriate measures to enforce the provisions of CITES and to prohibit wildlife trade that violates CITES. These measures shall include: penalizing trade in or possession of those species listed in CITES; and providing for confiscation or return of the specimens to the exporting country.

Member nations must also ensure that CITES-listed specimens pass through trade inspections with a minimum of delay. To facilitate swift passage, ports of entry and exit through which the specimens must pass may be designated. Member nations must also ensure that during transit, holding or shipments, living specimens are properly cared for so as to minimize the risk of injury, damage to health or cruel treatment.

Member nations must also maintain records of trade in CITES-listed species. The records must include:

- the names and addresses of exporters and importers;
- the number and type of permits and certificates granted;
- the States with which such trade occurred;
- the numbers or quantities and types of specimens;
- the names of species as included in Appendices I, II and III;
- and where applicable, the size and sex of the specimens.

Each member nation must also submit to the Secretariat of CITES both an annual report containing a summary of its CITES trade records and a biennial report on the legislative, regulatory and administrative measures it has taken to enforce CITES.

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## Permitting Requirements

CITES does not regulate trade within a country; it only regulates trade between members or between members and non-members. Several types of CITES permits and certificates can be issued:

**Import permits**

to import Appendix I species from another country;

**export permits**

to export Appendix I, Appendix II and Appendix III species. These must be issued prior to shipment by the country of the species origin. *Export permits are required to ship giant clams, a species listed on Appendix II,*

**re-export certificates**

to export Appendix I, Appendix II and Appendix III species that were previously imported into the exporting country. *Because giant clams are an Appendix II species, these certificates are required for their re-export from a country;*

**introduction from the sea permits**

— to transport into a country any Appendix I or Appendix II species that was taken from international waters (a marine environment not under the jurisdiction of any country). *Because giant clams are reef dwellers, this does not apply to them;*

**pre-convention certificates**

to export or re-export any Appendix I, Appendix II or Appendix III species that was obtained prior to the date it was listed under CITES. **Pre-convention certificates** can be obtained by submitting documentation that the specimen was obtained prior to listing in CITES. *Giant clams of the species Tridacna derasa and T. gigas were listed in CITES Appendix II on May 29, 1983; all remaining Tridacnidae species were listed in CITES Appendix II on August 1, 1985.*

**scientific exchange certificate**

to import and export Appendix I, Appendix II and Appendix III museum and herbarium specimens that are being loaned, donated or non-commercially exchanged between institutions that have been registered by their respective countries' management authorities with the CITES Secretariat;

**certificates of origin**

to export an Appendix III species from any country other than the country that listed the species in Appendix III. **Certificates of origin** are issued only in cases in which the specimen originated in the exporting country and was not imported into that country (see page 6 for an example);

**captive-bred certificate and certificate for artificially propagated plants**  
to export or re-export Appendix I or Appendix II specimens that meet the  
criteria for captive-bred or artificially propagated set forth in CITES Conf.  
2.12.

The criteria for captive-bred certificates are as follows:

- “bred in captivity” refers only to offspring — including eggs — born or otherwise produced in a controlled environment either of parents that mated or otherwise transferred gametes in a controlled environment in cases of sexual reproduction, or, in cases of asexual reproduction, of parents that were in a controlled environment when development of the offspring began;
- parental breeding stock must be established in a manner that is not detrimental to the survival of the species in the wild. Broodstock must be managed in a manner designed to maintain it indefinitely without additions from the wild. It shall be considered to be managed in that manner only if it has been demonstrated to be capable of reliably producing second-generation offspring in a controlled environment. Additional animals, eggs or gametes may be added from wild populations occasionally only to prevent injurious inbreeding;
- a controlled environment for animals is one that humans intensively manipulate in order to produce the species in question. Such an environment must have boundaries that prevent animals, eggs or gametes of the selected species from entering or leaving the controlled environment.

Theoretically, captive-bred certificates could be issued for giant clams, although to date this has not been done in the United States. Facilities interested in the captive-bred certificate should be sure to provide all information necessary to meet criteria of Conference 2.12 when they apply for their CITES permits.

A separate permit or certificate must be issued for each shipment of CITES-listed plants or animals. In general, a facility or trader cannot receive a blanket permit for all shipments, although a Pre-convention certificate or Captive-bred certificate may be used for multiple shipments if so stated by the Management Authority on the certificate.

CITES does not require import and export permits when a shipment is merely traveling through a country, as long as the wildlife remains under Customs bond. However, an individual country may have different regulations. To ensure compliance with all foreign laws, wildlife traders are well-advised to check with each country involved in the traders' shipments.

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#### **8 Workshop Proceedings**

One of the workshop participants suggested that the USFWS remove giant clams from CITES. However, species can be listed in or removed from CITES Appendices only with a two-thirds majority vote of all member nations. CITES protects not only whole specimens but also every part and derivative product of listed species.

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## Enforcement of CITES

**Carroll Cox**, special agent with the USFWS Division of Law Enforcement, presented information on CITES enforcement efforts in the United States and its territories and possessions. These efforts do not apply to the Republic of the Marshall Islands and the Federated States of Micronesia.

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### Applying for Permits

Applications for U.S. CITES permits or certificates have two parts: The Fish and Wildlife Service Standard Permit Application, Form 3-200; and specific information required by the Convention, which can be found on the back of the CITES application, Form 3-201A, provided by the Office of the Management Authority (all found in Attachment 4). Completed applications and the processing fee of \$25 must be submitted at least 60 days before the requested effective date.

All wildlife shipments must enter and leave the United States through Customs ports designated by the U.S. Fish and Wildlife Service (Attachment 5). All plant shipments must be made through ports designated by the U.S. Department of Agriculture and must comply with other U.S.D.A. requirements. More information about U.S.D.A. requirements may be obtained by contacting:

Permit Unit, U.S.D.A.  
Room 638 Federal Building  
Hyattsville, Maryland 20782  
(301) 436-8645

In addition, U.S. federal law requires those who import or export more than \$25,000 worth of wildlife per year to obtain a license from the USFWS. Application for an import/export license may be made by completing a Federal Fish and Wildlife License/Permit Application and Import/Export License Application Supplement form (Attachment 4). Applicants can submit both forms along with the \$125 annual fee in a money order or check payable to D.O.I./U.S. Fish and Wildlife Service to the following address:

U.S. Fish & Wildlife Service  
Division of Law Enforcement  
Import/Export Licenses  
911 N.E. Eleventh Ave.  
Portland, OR 97232-4181

At the time of import or export, a completed Declaration Form 3-177 (Attachment 7) must be submitted to the wildlife inspectors at the port the shipment is going through. The user fee is normally \$25; however, additional fees are charged for inspections that will take place outside normal business hours. Shipments that go through non-designated ports also require additional fees and an Exception to Designated Port permit, which can be obtained from the USFWS Division of Law Enforcement. Visa and MasterCard are accepted for payment of fees.

In summation, the USFWS requires the following documents with each shipment of CITES-listed species entering or leaving U.S. ports:

- CITES permits or certificates necessary for Appendix I, II and III wildlife;
- an original plus three copies of the USFWS Wildlife Declaration Form 3-177;
- a copy of the airway bill or bill of lading;
- a copy of the invoice (a pro-forma invoice if the shipment is non-commercial).

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### **Additional U.S. Laws on Endangered Species**

Some species listed on the CITES Appendices are also protected by additional U.S. laws, and permitting requirements under those U.S. laws may be more stringent. Stricter U.S. laws include the U.S. Endangered Species Act of 1973 (16 U.S.C. 1539), the Lacey Act (18 U.S.C. 42 & 44), the Marine Mammal Protection Act of 1973 (16 U.S.C. 1371-1383), the Migratory Bird Treaty Act (16 U.S.C. 703-711), the Bald Eagle Protection Act (16 U.S.C. 663a) and the African Elephant Conservation Act. Permit applicants must satisfy the requirements of all laws under which a particular species is protected. The Office of Management Authority can supply more information on these laws. In addition, most other countries also have their own stricter domestic measures regarding endangered species.

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## **The Status of CITES Permitting in the RMI and the FSM**

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### **The Republic of the Marshall Islands**

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**Senator Jorelik Tibon** of the Republic of the Marshall Islands commented on the status of CITES permitting there. Tibon, who is also board vice chairman of the RMI Environmental Protection Authority, noted that although the island nation is not a party to CITES, it has a strong interest in protecting its resources and wildlife. Other countries' poaching of wild giant clams and corals from the RMI has been a problem in the past. Currently, the RMI Resources and Development Ministry issues export permits for those endangered species governed under a "very broad and general act introduced in 1975."

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### **The Federated States of Micronesia**

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The final speaker was **Nancee Murray**, assistant attorney general for the Federated States of Micronesia. As a new member of the United Nations, the FSM is currently determining which U.N. conventions it will accede. The island nation is in the process of submitting to the United Nations a "Declaration on Treaties Formerly Applied." The Declaration, which expires in 1995, states that "The FSM voluntarily agrees, subject to the provisions of the FSM constitution, to continue to adhere to treaties formerly applied to the FSM as it was a trust territory" of the United States of America.

The FSM's executive branch has established a Treaty Review Committee. Under the process, executive agencies submit treaties that they believe the FSM should adopt to the committee, which reviews the document and reports to the president. The president then forwards the document with his recommendation to the congress for action. As of the date of the workshop, CITES had not been submitted to the Treaty Review Committee. Murray's goal in attending the workshop was to learn enough about CITES to begin a discussion within the attorney general's office about whether CITES would prove helpful or detrimental to the FSM.

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## Attachments



## Attachment 1

### Part A: Workshop Agenda

**Tuesday, April 14, 1992**

TIME	TOPIC	SPEAKER
8:30 - 8:40	Introduction to Workshop	<i>Kevan Main</i> Center for Tropical and Subtropical Aquaculture <i>Annie Orcutt</i> Pacific Aquaculture Program / Pacific Island Network
8:40 - 10:00	Overview of Giant Clam Production in the U.S. Affiliated Islands	<i>Gerald Heslinga</i> - Micronesian Mariculture Demonstration Center, Republic of Belau <i>John Bungitak</i> - Marshall Islands Marine Resources Authority, Republic of the Marshall Islands (RMI) <i>Ramsey Reimers</i> - Robert Reimers Enterprises, RMI <i>John Riley</i> - National Aquaculture Center, Federated States of Micronesia (FSM) <i>Lui Bell</i> - Department of Marine and Wildlife Resources, American Samoa
10:00-10:30	Overview of CITES	<i>Karen Rosa</i> - U.S. Fish & Wildlife Service (USFWS), Pacific Island Office, Honolulu, Hawaii

10:45-12:15	CITES Permitting Process	<i>Karen Rosa</i> , USFWS, Pacific Island Office
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1:15-1:45	Enforcement of CITES	<i>Carroll Cox</i> , USFWS, Division of Law Enforcement, Honolulu, Hawaii
1:45-2:00	Status of CITES Permitting in the RMI	<i>Senator Jorelik Tibon</i> , EPA Board Vice Chairman, RMI
2:00-2:15	Status of CITES Permitting in the FSM	<i>Nancee M. Murray</i> , Assistant Attorney General, FSM
2:15-3:00	Discussion	

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## **Attachment 1**

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### **Part B: Workshop Participants**

David Aldan, CNMI Department of Fish and Wildlife  
Richard Bailey, Sea Grant Extension Service, University of Hawaii  
Lui Bell, American Samoa Department of Marine and Wildlife Resources  
John Bungitak, Marshall Islands Marine Resources Authority  
Pam Butler, Marshall Islands Aquaculture  
Anne M. Orcutt, Sea Grant/Pacific Island Network, University of Hawaii  
Arnold Palacios, CNMI Department of Fish and Wildlife  
Ron Cannarella, Center for Development Studies, University of Hawaii  
Ray Clarke, National Marine Fisheries Service, Pacific Area Office  
Carroll E. Cox, USFWS Law Enforcement  
David Crisostomo, University of Guam  
Flinn Curren, Pohnpei State Marine Resources Division  
Dr. Jack Davidson, Sea Grant College Program, University of Hawaii  
Jerry Fagolimul, FSM National Aquaculture Center  
Bill FitzGerald, Guam Department of Commerce  
Wendy Fulks, The Oceanic Institute  
Pio Gaisoa, American Samoa Department of Marine and Wildlife Resources  
Gerald Heslinga, Micronesian Mariculture Demonstration Center  
David Idip, Republic of Palau Bureau of Resources and Development  
Kevin Izumi, Guaranteed Hawaiian Fish Inc.  
John Johnson, Guaranteed Hawaiian Fish Inc.  
Patti Killelea-Almonte, Center for Tropical and Subtropical Aquaculture  
Steve Lindsay, Center for Tropical and Subtropical Aquaculture  
Dr. Kevan L. Main, Center for Tropical and Subtropical Aquaculture  
Nancee Murray, FSM Office of the Attorney General  
Dr. Steve Nelson, University of Guam Marine Laboratory

**Paul Olin, Sea Grant Extension Service, University of Hawaii**

**Ramsey Reimers, Robert Reimers Enterprises**

**Dr. John Riley, FSM National Aquaculture Center**

**Karen Rosa, USFWS**

**Dr. Yung C. Shang, University of Hawaii**

**Neal Skinner, Marshall Islands Aquaculture**

**Jorelik Tibon, RMI Environmental Protection Agency**

**Ken Yates, Waikiki Aquarium**

**Dr. Leonard Young, State of Hawaii Aquaculture Development Program**

## Attachment 2

### Nations that are party to CITES (with date of entry)

115 as of 6/10/92

Afghanistan (1/28/86)	Denmark (10/24/77)
Algeria (2/21/84)	Djibouti (5/7/92)
Argentina (4/8/81)	Dominican Republic (3/17/87)
Australia (10/27/76)	Ecuador (7/1/75)
Austria (4/27/82)	Egypt (4/4/78)
Bahamas (9/18/79)	El Salvador (7/29/87)
Bangladesh (2/18/82)	Equatorial Guinea (6/10/92)
Belgium (1/1/84)	Ethiopia (7/4/89)
Belize (9/21/86)	Finland (8/8/76)
Benin (5/28/84)	France (8/9/78)
Bolivia (10/4/79)	Gabon (5/15/89)
Botswana (2/12/78)	Gambia (11/24/77)
Brazil (11/14/75)	Germany, Federal Republic of (6/20/76)
Brunei Darussalem (8/2/90)	Ghana (2/12/76)
Bulgaria (4/16/91)	Guatemala (2/15/80)
Burkina Faso (1/11/90)	Guinea (12/20/81)
Burundi (11/6/88)	Guinea-Bissau (8/14/90)
Cameroon, United Republic of (9/31/81)	Guyana (8/25/77)
Canada (7/9/75)	Honduras (6/13/85)
Central African Republic (11/25/80)	Hungary (8/27/85)
Chad (5/3/89)	India (10/18/76)
Chile (7/1/75)	Indonesia (3/28/79)
China, People's Republic of (4/8/81)	Iran (11/1/76)
Colombia (11/29/81)	Israel (3/17/80)
Congo (5/1/83)	Italy (12/31/79)
Costa Rica (9/28/75)	Japan (11/4/80)
Cuba (7/19/90)	Jordan (3/14/79)
Cyprus (7/1/75)	Kenya (3/13/79)
Czechoslovakia (5/28/92)	Liberia (6/9/81)
	Liechtenstein (2/28/80)

Luxembourg (3/12/84)	Saint Vincent and the Grenadines (2/28/89)
Madagascar (11/18/75)	Senegal (11/3/77)
Malawi (5/6/82)	Seychelles (5/9/77)
Malaysia (7/16/89)	Singapore (2/28/87)
Malta (7/16/89)	Somalia (3/2/86)
Mauritius (7/27/75)	South Africa, Republic of (10/13/75)
Mexico (9/30/91)	Spain (8/28/86)
Monaco (7/18/78)	Sri Lanka (8/2/79)
Morocco (1/14/76)	Sudan (1/24/83)
Mozambique (6/23/81)	Suriname (2/15/81)
Namibia (3/18/91)	Sweden (7/1/75)
Nepal (9/16/75)	Switzerland (7/1/75)
Netherlands (7/14/84)	Tanzania, United Republic of (2/27/80)
New Zealand (8/8/89)	Thailand (4/21/83)
Nicaragua (11/4/77)	Togo (1/21/79)
Niger (12/7/75)	Trinidad and Tobago (4/19/84)
Nigeria (7/1/75)	Tunisia (7/1/75)
Norway (10/25/76)	Uganda (10/16/91)
Pakistan (7/19/76)	United Arab Emirates (5/9/90)
Panama (11/15/78)	United Kingdom (10/31/76)
Papua New Guinea (3/11/76)	U.S.A. (7/1/75)
Paraguay (2/13/77)	Uruguay (7/1/75)
Peru (9/25/75)	Vanuatu (10/15/89)
Philippines (11/16/81)	Venezuela (1/22/78)
Poland (3/12/90)	Zaire (10/18/76)
Portugal (3/11/81)	Zambia (2/22/81)
Russia (12/8/76)	Zimbabwe (8/17/81)
Rwandese Republic (1/18/81)	
Saint Lucia (3/15/83)	

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## Attachment 3

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### Instrument of Accession

**ACCESSION  
OF THE REPUBLIC OF .....**

**TO THE CONVENTION ON INTERNATIONAL TRADE  
IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA**

President of the Republic of .....

(of Ministry of Foreign Affairs of .....) )

A Convention concerning the International Trade in Endangered Species of Wild Fauna and Flora having been concluded at Washington, D.C., U.S.A., on 3 March 1973;

After seeing and examining this Convention, we have approved it and we approve it in all and any of these parts;

According to the provisions it contains and in accordance with Article ..... of the Constitution,

We formally declare to accede to this Convention and promise it will be inviolably respected.

In witness whereof we made the presents bearing the Republic seals.

Made at ..... on .....

\_\_\_\_\_  
(signature)

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## **Attachment 4**

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### **Part A: CITES Permit Application (USFWS Form 3-201A)**

The following pages show a sample completed CITES permit application form (USFWS Form 3-201A) with a U.S. Management Authority stamp of approval.



CONVENTION ON  
INTERNATIONAL TRADE IN  
ENDANGERED SPECIES OF  
WILD FAUNA AND FLORA

☐ IMPORT PERMIT  
☒ EXPORT ☐ IT  
☐ RE-EXPORT CERTIFICATE  
☐ OTHER CERTIFICATES (See block 7)

Page 1 of 1

1. Original Permit/Certificate No.  
**US 757610**

2. Valid until  
**11/30/91**

3. Permitted (name and address, country)

BIRDS INC.  
12233 AVIARY LAND  
CANARY, IN 44455  
U.S.A.

4. Consignee (name and address, country)

ISLAND BIRDS  
555 SEA DRIVE  
OCEANA, BERMUDA

5. Special conditions

-MUST COMPLY WITH ATTACHED GENERAL  
PERMIT CONDITIONS.

6. U.S. Management Authority

OFFICE OF MANAGEMENT AUTHORITY  
U.S. FISH AND WILDLIFE SERVICE  
DEPARTMENT OF THE INTERIOR  
WASHINGTON, D.C. 20240  
UNITED STATES OF AMERICA

5/20/91

Issuing Date

United States Management Authority

AUTHORITY: Endangered Species Act of 1973 (16 USC 1531 et seq.)

7/8. Common Name and Scientific Name (genus and species)  
of Animal or Plant

9. Description of part or derivation,  
including identifying marks or numbers  
(size/sex if live)

10. Appendix  
No. and source  
(W, C, A or D)

11. Quantity, number of  
specimens, and/or  
net weight (kg. or lbs.)

A. COMMON NAME  
PEACH-FRONTED  
CONURE

SCIENTIFIC NAME  
ARATINGA  
AUREA

EXPORT:  
0.0.1; LIVE; HATCHED  
FEBRUARY 22, 1991; BAND  
# UA 026.

10. 2 C

11. 1

12. Country of origin  
U.S.A.

Country of origin permit/certificate no.  
US 757610

B. COMMON NAME  
SUN  
CONURE

SCIENTIFIC NAME  
ARATINGA  
SOLSTITIALIS

EXPORT:  
0.0.1; LIVE; HATCHED  
FEBRUARY 20, 1991; BAND  
# UA 021.

10. 2 C

11. 1

12. Country of origin  
U.S.A.

Country of origin permit/certificate no.  
US 757610

C. COMMON NAME  
NANDAY  
CONURE

SCIENTIFIC NAME  
NANDAYUS  
NENDAY

EXPORT:  
0.0.1; LIVE; HATCHED  
FEBRUARY 19, 1991; BAND  
# UA 007.

10. 2 C

11. 1

12. Country of origin  
U.S.A.

Country of origin permit/certificate no.  
US 757610

D. COMMON NAME  
WHITE  
COCKATOO

SCIENTIFIC NAME  
CACATUA  
ALBA

REEXPORT:  
0.0.1; LIVE; BAND #  
474 OEE.

10. 2 W

11. 1

12. Country of origin  
INDONESIA

Country of origin permit/certificate no.  
645B/VI/PA5/SIE/1990

13. Export/Re-export Endorsement:

The official who inspects shipment upon  
exportation/re-exportation must enter the  
actual quantities of specimens being  
exported/re-exported in this block.

See block 7	Quantity
A	
B	
C	
D	

14. Bill of Lading/Air Way-Bill Number

Port of Exportation/Re-exportation

Total No. of Shipping Containers

15. This document valid only with inspecting  
officer's ORIGINAL stamp, signature and date  
on this block.

Inspecting Official's Stamp, Signature and Date





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**Part B: Federal Fish and Wildlife License/Permit Application  
(USFWS Form 3-200)**

**plus Supplement  
and  
Credit Card Authorization**



**DEPARTMENT OF THE INTERIOR  
U.S. FISH AND WILDLIFE SERVICE**

**FEDERAL FISH AND WILDLIFE  
LICENSE/PERMIT APPLICATION**

**1. APPLICATION FOR (Indicate only one)**

☐

IMPORT OR EXPORT LICENSE

☐

PERMIT

**2. BRIEF DESCRIPTION OF ACTIVITY FOR WHICH REQUESTED LICENSE OR PERMIT IS NEEDED.**

**3. APPLICANT. (Name, complete address and phone number of individual, business, agency, or institution for which permit is requested)**

**4. IF "APPLICANT" IS AN INDIVIDUAL, COMPLETE THE FOLLOWING:**

<input type="checkbox"/> MRL <input type="checkbox"/> MRS. <input type="checkbox"/> MISS <input type="checkbox"/> MS.	WEIGHT	WEIGHT
DATE OF BIRTH	COLOR HAIR	COLOR EYES
PHONE NUMBER WHERE EMPLOYED	SOCIAL SECURITY NUMBER	
OCCUPATION		

ANY BUSINESS, AGENCY, OR INSTITUTIONAL AFFILIATION HAVING TO DO WITH THE WILDLIFE TO BE COVERED BY THIS LICENSE/PERMIT

**5. IF "APPLICANT" IS A BUSINESS, CORPORATION, PUBLIC AGENCY, OR INSTITUTION, COMPLETE THE FOLLOWING:**

EXPLAIN TYPE OR KIND OF BUSINESS, AGENCY, OR INSTITUTION

NAME, TITLE, AND PHONE NUMBER OF PRESIDENT, PRINCIPAL OFFICER, DIRECTOR, ETC.

IF "APPLICANT" IS A CORPORATION, INDICATE STATE IN WHICH INCORPORATED

**6. LOCATION WHERE PROPOSED ACTIVITY IS TO BE CONDUCTED**

**7. DO YOU HOLD ANY CURRENTLY VALID FEDERAL FISH AND WILDLIFE LICENSE OR PERMIT?** ☐ YES ☐ NO  
(If yes, list license or permit numbers)

**8. IF REQUIRED BY ANY STATE OR FOREIGN GOVERNMENT, DO YOU HAVE THEIR APPROVAL TO CONDUCT THE ACTIVITY YOU PROPOSE?** ☐ YES ☐ NO  
(If yes, list jurisdictions and type of documents)

**9. CERTIFIED CHECK OR MONEY ORDER (if applicable) PAYABLE TO THE U.S. FISH AND WILDLIFE SERVICE ENCLOSED IN AMOUNT OF**

\$

**10. DESIRED EFFECTIVE DATE**

**11. DURATION NEEDED**

**12. ATTACHMENTS. THE SPECIFIC INFORMATION REQUIRED FOR THE TYPE OF LICENSE/PERMIT REQUESTED (See 50 CFR 13.128) MUST BE ATTACHED. IT CONSTITUTES AN INTEGRAL PART OF THIS APPLICATION. LIST SECTIONS OF 50 CFR UNDER WHICH ATTACHMENTS ARE PROVIDED.**

**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 1 OF TITLE 50, AND I FURTHER CERTIFY THAT THE INFORMATION SUBMITTED IN THIS APPLICATION FOR A LICENSE/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 (in ink)

DATE

Application for Federal Fish and Wildlife License/Permit

NOTICE

In accordance with the Privacy Act of 1974 (PL 93-579), please be advised that:

1. The gathering of information on fish and wildlife is authorized by:  
(a) Bald Eagle Protection Act (16 U.S.C. 663a), (b) Endangered Species Act of 1973 (16 U.S.C. 1539), (c) Migratory Bird Treaty Act (16 U.S.C. 703-711), (d) Marine Mammal Protection Act of 1972 (16 U.S.C. 1371-1383), (e) Lacey Act (18 U.S.C. 42 & 44), (f) Tariff Classification Act of 1962 (19 U.S.C. 1202), and (g) Title 50, Part 13, of the Code of Federal Regulations.
2. The disclosure of the requested information is required in order to process applications for licenses or permits authorized under the above acts. With the exception of your social security number, failure to disclose all of the requested information may be sufficient cause for the U.S. Fish and Wildlife Service to deny you a permit.
3. Applications for licenses or permits authorized under the Endangered Species Act of 1973 (16 U.S.C. 1539) and the Marine Mammal Protection Act of 1972 (16 U.S.C. 1371-1383) will be published in the Federal Register as required by the two acts.
4. In the event there is indicated a violation of a statute, regulation, rule, order, or license, whether civil, criminal, or regulatory in nature, the requested information may be transferred to the appropriate Federal, State, local, or foreign agency charged with investigating or prosecuting such violations.
5. In the event of litigation involving the records or the subject matter of the records, the requested information may be transferred to the U.S. Department of Justice.

IMPORT/EXPORT LICENSE APPLICATION SUPPLEMENT

---

Name of Applicant:

---

Names and addresses of all partners and principal officers in the business desiring the Import/Export license.

---

The location(s) where the books or records concerning wildlife imports and exports are to be kept.

---

The location(s) where the wildlife inventories are to be stored.

---

The name, address and telephone number of the officer, manager or other person authorized to make the records on wildlife inventories available for examination by Service officials.

---

The anticipated dollar amount of wildlife you will import/export during a calendar year.

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**INSTRUCTIONS:** The license/permit application (Form 3-200) is a general purpose form for all Federal wildlife licenses or permits. Section 14.93(b) of Title 50, Code of Federal Regulations, requires additional information be provided on import/export license applications this form provides a format for that information, and must be completed and attached to your application.

Thank you.

U.S. FISH AND WILDLIFE SERVICE

CREDIT CARD AUTHORIZATION

\_\_\_\_\_  
(Name of Company)

I/we hereby authorize the U.S. Fish and Wildlife Service, Port of \_\_\_\_\_  
\_\_\_\_\_ to charge the following bank credit card number  
for payment of inspection/permit fees and related expenses.

VISA ☐ MasterCard ☐ Expiration date \_\_\_\_\_  
Card Number \_\_\_\_\_  
Card Holder Name \_\_\_\_\_  
Address \_\_\_\_\_  
City \_\_\_\_\_ State \_\_\_\_\_ Zip Code \_\_\_\_\_  
Telephone Number ( ) \_\_\_\_\_

This form, which will be maintained on file in the Service's Port Office,  
shall remain in effect until specifically revoked in writing by either party.  
It is the responsibility of the firm/company named herein to notify the  
Service (Port Office) of a change in the expiration date of the credit card of  
if a credit card has been cancelled or revoked.

Signature \_\_\_\_\_ Date \_\_\_\_\_  
Title \_\_\_\_\_

The checked box below provides our instruction to the Service on the  
disposition of the "customer copy" receipt for our credit card payment to the  
Service for inspection/permit or related fees:

☐ Mail "customer copy" to Card Holder at address shown above or following  
address:  
\_\_\_\_\_  
\_\_\_\_\_

☐ Release "customer copy" to application bearer.

☐ Other:

(explain) \_\_\_\_\_  
\_\_\_\_\_

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**Part C: Declaration for Importation or Exportation of Fish or  
Wildlife  
(USFWS Form 3-177)**

U.S. FISH AND WILDLIFE SERVICE



DECLARATION FOR IMPORTATION  
OR EXPORTATION OF  
FISH OR WILDLIFE

Name of Carrier:
Airway Bill or Bill of Lading No.:
Imported or Exported Via: <input type="checkbox"/> air cargo <input type="checkbox"/> ocean cargo <input type="checkbox"/> truck <input type="checkbox"/> rail <input type="checkbox"/> mail <input type="checkbox"/> personal baggage <input type="checkbox"/> automobile: License no. _____ state _____
Location where wildlife is available for inspection:
Package or Bale Marks and Nos.:

Indicate One: <input type="checkbox"/> import <input type="checkbox"/> export
Port of:
Date:
<input type="checkbox"/> Commercial <input type="checkbox"/> Non-commercial
Customs Identification No.:

Please Type or Print Legibly

(Indicate one)

☐ U.S. Importer of Record

☐ U.S. Exporter

Foreign Consignor  
or Consignee

Customs Broker  
or Agent

(name)

(address — street, city, state, zip code)

(name)

(address — street, city, country)

Shipping Agent or  
Freight Forwarder

Furnish All Information Below (invoices or lists providing required information may be attached)

QUANTITY	SCIENTIFIC NAME Genus      Species	COMMON NAME	DESCRIPTION If live, so state. If product, describe.	DOMESTIC VALUE	COUNTRY OF ORIGIN

U.S. License and/or Permit Nos.:

Foreign License and/or Permits:  
Country      No.

I certify the information contained herein is true and complete to the best of my knowledge and belief.

signature

date

FOR OFFICIAL USE ONLY

Action Taken: <input type="checkbox"/> cleared <input type="checkbox"/> clearance refused <input type="checkbox"/> seized	Date:
_____ % of Wildlife Inspected:	
Officer Signature and Badge No.:	

Control Number



## FILING INSTRUCTIONS

File original declaration only. Copies may be retained by importer or broker if desired. Print or type legibly. Provide all relevant information. Declared value need not be shown for scientific specimens, game, or game trophies not imported or exported for a commercial purpose.

"Country of Origin" means the country where the animal was taken from the wild or the country of natal origin of the animal.

### When And Where To File.

*At Designated Ports:* File with the U.S. Fish and Wildlife Service Office serving the designated port. For imports, file declarations when requesting wildlife clearance. For exports, file declaration in sufficient time in advance of actual departure of wildlife from U.S. to allow reasonable time for inspection.

*At Nondesignated Ports:* File with U.S. Customs. For imports, file declaration prior to removal of wildlife from Customs custody. For exports, file prior to departure of wildlife from U.S.

**Note To Customs Officers.** Mail all Forms 3-177 collected to Special Agent in Charge, U.S. Fish and Wildlife Service for your district at end of each month.

Regulations concerning the importation and exportation of wildlife may be found in 50 CFR Part 14. Specific regulations concerning the filing of declarations for the importation or exportation of wildlife may be found in 50 CFR 14.61-14.64.

Knowingly making a false statement in a Declaration for Importation or Exportation of Fish or Wildlife may subject the declarant to the penalty provided by 18 U.S.C. 1001.

## NOTICE

In accordance with the Privacy Act of 1974 (P.L. 93-579) and the Paperwork Reduction Act of 1980 (P.L. 93-511), please be advised that:

1. The gathering of information on the importation or exportation of wildlife, including any wild mammal, bird, fish, amphibian, reptile, mollusk, or crustacean, is authorized by the Endangered Species Act of 1973 (16 U.S.C. 1531-1543) and Title 50, Parts 14 and 17, of the Code of Federal Regulations.
2. The disclosure of the requested information is required to provide information about wildlife imports or exports, including products and parts, to facilitate enforcement of the act and to carry out the provisions of the Convention on International Trade in Endangered Species of Wild Fauna and Flora.
3. Failure to provide all of the requested information is sufficient cause for the U.S. Fish and Wildlife Service to deny you permission to import or export wildlife.
4. In the event there is indicated a violation of a statute, regulation, rule, order, or license, whether civil, criminal, or regulatory in nature, the requested information may be transferred to the appropriate Federal, State, local, or foreign agency charged with investigating or prosecuting such violations.
5. In the event of litigation involving the records or the subject matter of the records, the requested information may be transferred to the U.S. Department of Justice.
6. The requested information may be subject to disclosure under provisions of the Freedom of Information Act (5 U.S.C. 552).

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## **Attachment 5**

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### **U.S. Fish and Wildlife Service Designated Ports (50 CFR 14.12)**

#### **Chicago**

10600 Higgins Rd., Suite 200  
Rosemont IL 60018  
(312) 298-3250

#### **Dallas/Fort Worth**

Parkway Plaza Bldg  
DFW Airport  
Dallas TX 75261  
(214) 574-3254

#### **Honolulu**

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