



Department of the Interior  
U.S. Fish and Wildlife Service

OMB No. 1018-0093  
Expires 05/31/2017

## Federal Fish and Wildlife Permit Application Form

**Return to:** U.S. Fish and Wildlife Service  
Division of Management Authority (DMA)  
Branch of Permits, MS: IA  
5275 Leesburg Pike  
Falls Church, VA 22041-3803  
1-800-358-2104 or 703-358-2104

**Type of Activity:**  
**CAPTIVE-BRED WILDLIFE REGISTRATION (CBW)**  
**(U.S. Endangered Species Act)**  
\_\_\_\_ **New Application**  
\_\_\_\_ **Requesting Renewal/Amendment of Permit#** \_\_\_\_\_

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.  
**See attached instruction pages for information on how to make your application complete and help avoid unnecessary delays.**

| <b>A. Complete if applying as an individual</b> |                                 |                             |                                                      |
|-------------------------------------------------|---------------------------------|-----------------------------|------------------------------------------------------|
| 1.a. Last name                                  | 1.b. First name                 | 1.c. Middle name or initial | 1.d. Suffix                                          |
| 2. Date of birth (mm/dd/yyyy)                   | 3. Social Security No.          | 4. Occupation               | 5. Affiliation/ Doing business as (see instructions) |
| 6.a. Telephone number                           | 6.b. Alternate telephone number | 6.c. Fax number             | 6.d. E-mail address                                  |

| <b>B. Complete if applying on behalf of a business, corporation, public agency, Tribe or institution</b> |                                   |                                                           |                              |
|----------------------------------------------------------------------------------------------------------|-----------------------------------|-----------------------------------------------------------|------------------------------|
| 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 |

| <b>C. All applicants complete address information</b>                                                           |            |                            |                      |              |
|-----------------------------------------------------------------------------------------------------------------|------------|----------------------------|----------------------|--------------|
| 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 |

| <b>D. All applicants MUST complete</b>                                                                                                                        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1.                                                                                                                                                            | Attach check or money order payable to the U.S. FISH AND WILDLIFE SERVICE in the amount of \$200 nonrefundable fee. 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))                                                                                                                                            |
| 2.                                                                                                                                                            | Do you currently have or have you ever had any Federal Fish and Wildlife permits?<br>Yes <input type="checkbox"/> If yes, list the number of the most current permit you have held or that you are applying to renew/re-issue: _____ No <input type="checkbox"/>                                                                                                                                                                                                                                        |
| 3.                                                                                                                                                            | Certification: I hereby certify that I have read and am familiar with the regulations contained in <b>Title 50, Part 13 of the Code of Federal Regulations</b> and the other <b>applicable parts in subchapter B of Chapter I of Title 50</b> , 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. |
| Signature ( <b>in blue ink</b> ) of applicant/person responsible for permit (No photocopied or stamped signatures) _____ Date of signature (mm/dd/yyyy) _____ |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |

## E. CAPTIVE-BRED WILDLIFE REGISTRATION (*U.S. Endangered Species Act*)

Please use the following application for all CBW requests: new or renewals.

For New applications, complete Part 1 of the applications. CBW registration is valid for 5 years. You may renew your CBW once after 5 years, but after a CBW registration has been valid for 10 years, you must submit a complete new application responding to all questions.

If you are requesting to renew your CBW (it has been less than 10 years since you completed a completely new application), completed Part 2 of this application.

All applicants must complete Part 3 of the application.

Electronic submission of inventories, photographs, and receipts: Some applications contain long inventories and/or a large number of photographs or receipts. You may provide electronic versions of these documents. Such a submission may assist to expedite the processing of your application since it will eliminate the need for data entry by U.S. Fish and Wildlife Service. You may include a disk containing your information or, if applicable, please check the following:

### **Part 1: New Applications or the Renewal of CBW that are older than 10 years:**

Provide the following information. Complete all questions on the application. Signify that you have read each question by writing "N/A" if non applicable. If needed, use separate sheets of paper. On all attachments or separate sheets you submit, indicate the application question number you are addressing.

1. The scientific name (genus, species and, if applicable, subspecies) and common name of each species you are seeking to have covered by the registration.
2. The exact location (address) where the wildlife requested in this application will be maintained. If more than one location exists, list all that apply.  
NOTE: You must report any change in address to the Division of Management Authority within 10 days.
3. The name, address, and CBW registration number of the person(s) or institution(s) from whom you plan to acquire the wildlife.
4. Provide a current inventory, including those out on loan, of the ESA-listed species you are requesting to include in a CBW registration.
5. Provide a specific description of how your proposed activities are going to facilitate captive breeding for conservation purposes of the species identified above, **including your long-term goals and intended disposition of any progeny.**
6. Provide documentation showing how your captive population is being managed to maintain its genetic vitality. If you do not currently maintain sufficient specimens in each species request to maintain the genetic vitality of the species, you must participate in an organized breeding program, such as a Species Survival Plan. Please indicate this and provide documentation describing the objectives and goals of the program.
7. If your activities include the holding of surplus wildlife for an organized management program, document how your acquisition of such wildlife will relieve crowding at the locations from which the wildlife will be obtained, and thereby assist the breeding program for the species involved. If applicable, provide documentation that you are a participant in an organized management program where the holding of surplus wildlife has been identified as a necessary objective of the breeding program. If your only purpose is to hold surplus wildlife, provide a description of how you will restrict/control breeding at your facility.

8. If you conduct research directly related to maintaining and propagating the types of wildlife sought to be covered, provide a complete description of your research goals and methods as well as any related published papers you have written.
9. For each requested species, provide a description of your experience in maintaining and propagating the requested species or similar species, including:
  - a. The number of years you or the facility has/have maintained the requested species or similar species.
  - b. During the past five years, how many (by species, by year) successful births/hatches of each requested species or similar species have occurred at your facility? How many survived beyond 30 days?
  - c. How many mortalities of requested species or similar species, have occurred at your facility during the past five years? What were the causes? What measures have you taken to prevent future mortalities?
  - d. A brief resume for all senior animal care staff or personnel that will be working with or maintaining of each species requested.
10. Provide a detailed description, including size, construction materials, and protection from the elements, and photographs and detailed diagrams (no blueprints, please) clearly depicting your existing facilities where the wildlife will be maintained.
11. Provide a copy of your license or registration, if any, under the Animal Welfare Act regulations of the U.S. Department of Agriculture (9 CFR 2) and/or any State license or registration you may have.

**Part 2: Applications to Renew CBW registrations that are 5 years old or less:**

All CBW registrants are required to submit an annual report on activities conducted at the facility over the previous year, as well as a current inventory of all species covered under the registration. If you have already responded to the following questions in your annual report, please note that in your answer to the question.

12. Have there been any changes to your operation such as reconstruction or new construction, new facilities, or other physical changes? If yes, please describe them.
13. Have there been any changes to senior staff or personnel changes that would affect how your operation handles the species included in the registration? If yes, please describe these changes.
14. Have there been any changes to your inventory that has not been reflected in your annual reports or the current inventory list provided to the Service? If yes, please describe these changes.
15. Is there any additional information that believe the Service should be aware of in regards to your operation, facilities, inventory, or business model?

**Part 3: All Applicants Should Complete**

16. The Division of Management Authority annually distributes a list of Captive-Bred Wildlife (CBW) Registration permittees to all CBW registration holders. The list facilitates the exchange of parental stock among registered breeders; and includes permittees that operate as individuals, as well as those that are business entities. For businesses and other organizations holding CBW registrations, including sole proprietorships, the list includes name, permit number, address, and species held by each permittee. However, the records for individuals holding CBW registrations are contained in a Privacy Act (5 U.S.C. 552a) system of records. Therefore, only the name, species, permit number, and state of residence will automatically be included on the list. The complete address will be included only upon authorization from the individual permittees.

If you are **not** a business or organizational entity, and are applying for the CBW registration as an individual, please provide one of the following statements: (note that if you collect funds for any wildlife purpose, you are a business)

I, [your name] of [facility name] authorize the U.S. Fish and Wildlife Service to include my complete address in its CBW registration list and to release this information to other CBW holders or the public, if requested. I would also like the Service to use the following address on the CBW registration list:  
[indicated either your mailing address or facility address as identified in your application].

Signed \_\_\_\_\_ Date \_\_\_\_\_

OR

I, [your name] of [facility name] DO NOT authorize the U.S. Fish and Wildlife Service to include my complete address in its CBW registration list.

Signed \_\_\_\_\_ Date \_\_\_\_\_

17. Name and address where you wish the permit to be mailed (if different from page 1):

18. If you wish the permit to be delivered by means other than USPS regular mail, provide an air bill, pre-paid envelope, or billing information. If you do not have a pre-paid envelope or air bill and wish to pay for a courier service with your credit card, please check the box below. Please DO NOT include credit card number or other information; you will be contacted for this information.

☐ If a permit is issued, please send it via a courier service to the address on page 1 or question 20. I understand that you will contact me for my credit card information once the application has been processed. If you wish the permit to be delivered by means other than USPS regular mail, provide an air bill, pre-paid envelope, or billing information. If you wish for us to send the permit via FedEx where you pay with a credit card, please state this below (do NOT include credit card number or other information), you will be contacted for this information.

19. Who should we contact if we have questions about the application? (Include name, phone number, and email):

20. **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?

\_\_\_ Yes \_\_\_ No If you answered "Yes" 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.

## APPLICATION FORM INSTRUCTIONS

The following instructions pertain to an 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 in **blue** ink. 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 applications 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 this section if applying for Import/Export License (3-200-3)]:**

- 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) and Office of Law Enforcement (OLE), a physical U.S. address is **required**. Province and Country blocks are provided for those USFWS programs that use foreign addresses and are not required by DMA.
- **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 **Federal Fish and Wildlife permits:**

- List the number(s) of your most recent issued USFWS permit. If applying for re-issuance of a CITES permit, the original permit must be returned with this application.

#### Section D.3 **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 in blue ink.** 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.

**Please continue to next page. DO NOT RETURN THIS PAGE WITH THE APPLICATION**

**APPLICATION FOR A FEDERAL FISH AND WILDLIFE PERMIT**  
**Paperwork Reduction Act, Privacy Act, and Freedom of Information Act – Notices**

**In accordance with the Paperwork Reduction Act of 1995 (44 U.S.C. 3501, *et seq.*) and the Privacy Act of 1974 (5 U.S.C. 552a), please be advised:**

1. The gathering of information on fish and wildlife is authorized by:  
(Authorizing statutes can be found at: <http://www.gpoaccess.gov/cfr/index.html> and <http://www.fws.gov/permits/ltr/ltr.html>)
  - a. Bald and Golden Eagle Protection Act (16 U.S.C. 668), 50 CFR 22;
  - b. Endangered Species Act of 1973 (16 U.S.C. 1531-1544), 50 CFR 17;
  - c. Migratory Bird Treaty Act (16 U.S.C. 703-712), 50 CFR 21;
  - d. Marine Mammal Protection Act of 1972 (16 U.S.C. 1361, *et. seq.*), 50 CFR 18;
  - e. Wild Bird Conservation Act (16 U.S.C. 4901-4916), 50 CFR 15;
  - f. Lacey Act: Injurious Wildlife (18 U.S.C. 42), 50 CFR 16;
  - g. Convention on International Trade in Endangered Species of Wild Fauna and Flora (TIAS 8249), <http://www.cites.org/>, 50 CFR 23;
  - h. General Provisions, 50 CFR 10;
  - i. General Permit Procedures, 50 CFR 13; and
  - j. Wildlife Provisions (Import/export/transport), 50 CFR 14.
2. 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 above laws. Failure to provide all requested information may be sufficient cause for the U.S. Fish and Wildlife Service to deny the request. We may not conduct or sponsor and you are not required to respond to collection of information unless it displays a currently valid OMB control number.
3. Certain applications for 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. 1374) will be published in the **Federal Register** as required by the two laws.
4. Disclosures outside the Department of the Interior may be made without the consent of an individual under the routine uses listed below, if the disclosure is compatible with the purposes for which the record was collected. (Ref. 68 FR 52611, September 4, 2003)
  - a. Routine disclosure to subject matter experts, and Federal, Tribal, State, local, and foreign agencies, for the purpose of obtaining advice relevant to making a decision on an application for a permit or when necessary to accomplish a FWS function related to this system of records.
  - b. Routine disclosure to the public as a result of publishing **Federal Register** notices announcing the receipt of permit applications for public comment or notice of the decision on a permit application.
  - c. Routine disclosure to Federal, Tribal, State, local, or foreign wildlife and plant agencies for the exchange of information on permits granted or denied to assure compliance with all applicable permitting requirements.
  - d. Routine disclosure to Captive-bred Wildlife registrants under the Endangered Species Act for the exchange of authorized species, and to share information on the captive breeding of these species.
  - e. Routine disclosure to Federal, Tribal, State, and local authorities who need to know who is permitted to receive and rehabilitate sick, orphaned, and injured birds under the Migratory Bird Treaty Act and the Bald and Golden Eagle Protection Act; federally permitted rehabilitators; individuals seeking a permitted rehabilitator with whom to place a bird in need of care; and licensed veterinarians who receive, treat, or diagnose sick, orphaned, and injured birds.
  - f. Routine disclosure to the Department of Justice, or a court, adjudicative, or other administrative body or to a party in litigation before a court or adjudicative or administrative body, under certain circumstances.
  - g. Routine disclosure to the appropriate Federal, Tribal, State, local, or foreign governmental agency responsible for investigating, prosecuting, enforcing, or implementing statutes, rules, or licenses, when we become aware of a violation or potential violation of such statutes, rules, or licenses, or when we need to monitor activities associated with a permit or regulated use.
  - h. Routine disclosure to a congressional office in response to an inquiry to the office by the individual to whom the record pertains.
  - i. Routine disclosure to the Government Accountability Office or Congress when the information is required for the evaluation of the permit programs.
  - j. Routine disclosure to provide addresses obtained from the Internal Revenue Service to debt collection agencies for purposes of locating a debtor to collect or compromise a Federal claim against the debtor or to consumer reporting agencies to prepare a commercial credit report for use by the FWS.
5. For individuals, personal information such as home address and telephone number, financial data, and personal identifiers (social security number, birth date, etc.) will be removed prior to any release of the application.
6. The public reporting burden on the applicant for information collection varies depending on the activity for which a permit is requested. The relevant burden for an Import of Sport-hunted Trophies of Southern African Leopard, African Elephant, and Namibian Southern White Rhinoceros application is 20 minutes. This burden estimate includes time for reviewing instructions, gathering and maintaining data and completing and reviewing the form. You may direct comments regarding the burden estimate or any other aspect of the form to the Service Information Clearance Officer, U.S. Fish and Wildlife Service, Mail Stop 2042-PDM, U.S. Department of the Interior, 1849 C Street, NW, Washington D.C. 20240.

**Freedom of Information Act – Notice**

For organizations, businesses, or individuals operating as a business (i.e., permittees not covered by the Privacy Act), we request that you identify any information that should be considered privileged and confidential business information to allow the Service to meet its responsibilities under FOIA. Confidential business information must be clearly marked "Business Confidential" at the top of the letter or page and each succeeding page and must be accompanied by a non-confidential summary of the confidential information. The non-confidential summary and remaining documents may be made available to the public under FOIA [43 CFR 2.13(c)(4), 43 CFR 2.15(d)(1)(i)].

**DO NOT RETURN THIS PAGE WITH THE APPLICATION**