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(Acts whose publication is obligatory)

COMMISSION REGULATION (EC) No 865/2006

of 4 May 2006

laying down detailed rules concerning the implementation of Council Regulation (EC) No 338/97 on the protection of species of wild fauna and flora by regulating trade therein

THE COMMISSION OF THE EUROPEAN COMMUNITIES,

Having regard to the Treaty establishing the European Community,

Having regard to Council Regulation (EC) No 338/97 of 9 December 1996 on the protection of species of wild fauna and flora by regulating trade therein [1] and in particular Article 19 (1), (2) and (4) thereof,

Whereas:

(1) Provisions are required to implement Regulation (EC) No 338/97 and to ensure full compliance with the provisions of the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES), hereinafter 'the Convention'.

(2) In order to ensure the uniform implementation of Regulation (EC) No 338/97, it is necessary to lay down detailed conditions and criteria for the consideration of permit and certificate applications and for the issue, validity and use of such documents. It is therefore appropriate to lay down models to which those documents must correspond.

(3) It is further necessary to lay down detailed provisions relating to the conditions and criteria for the treatment of specimens of animal species that are born and bred in captivity and of specimens of plant species that are artificially propagated in order to ensure the common implementation of the derogations applicable to such specimens.

(4) The derogations for specimens that are personal and household effects provided for in Article 7(3) of Regulation (EC) No 338/97 require that provisions be specified to ensure compliance with paragraph 3 of Article VII of the Convention.

(5) In order to ensure that general derogations from the internal trade prohibitions contained in Article 8(1) of Regulation (EC) No 338/97 are uniformly applied, it is necessary to lay down conditions and criteria with regard to their definition.

(6) It is necessary to establish procedures for the marking of certain specimens of species in order to facilitate their identification and ensure enforcement of the provisions of Regulation (EC) No 338/97.

(7) Provisions should be laid down regarding the contents, form and submission of the periodic reports provided for in Regulation (EC) No 338/97.

(8) In order for future amendments to the Annexes to Regulation (EC) No 338/97 to be considered all relevant information should be available, particularly on the biological and trade status of species, their use and methods of controlling trade.

(9) At the 12th session of the Conference of the Parties to the Convention, held in Santiago (Chile) from 3 to 15 November 2002, a number of Resolutions were adopted concerning; *inter alia*; simplified procedures for the issue of permits and certificates, a special certificate to facilitate the movement of certain categories of specimens that are part of a travelling exhibition, additional derogations regarding personal effects, updated requirements regarding the labelling of containers of caviar, and other measures of a routine and technical nature, including the alteration of the codes used in permits and certificates and amendments to the list of standard references used for determining the names of species listed in the Appendices to the Convention, and it is therefore necessary to take those Resolutions into account.

(10) In view of the administrative burden entailed by the regulation of the export and import of live captive born and bred and personally owned animals and of personally

[1] OJ L 61, 3.3.1997, p. 1. Regulation as last amended by Commission Regulation (EC) No 1332/2005 (OJ L 215, 19.8.2005, p. 1).

owned animals introduced into the Community before Regulation (EC) No 338/97, Council Regulation (EEC) No 3626/82 of 3 December 1982 on the implementation in the Community of the Convention on international trade in endangered species of wild fauna and flora [1] or national legislation implementing the Convention became applicable, and of the fact that such exports and imports do not pose an obstacle to the protection of species of fauna in the wild, a special certificate should be created for those purposes.

(11) Commission Regulation (EC) No 1808/2001 of 30 August 2001 laying down detailed rules concerning the implementation of Council Regulation (EC) No 338/97 on the protection of species of wild fauna and flora by regulating trade therein [2] therefore needs to be substantially amended. In view of the scope of those amendments and in the interests of clarity, that Regulation should be replaced in its entirety.

(12) The measures provided for in this Regulation are in accordance with the opinion of the Committee on Trade in Wild Fauna and Flora,

HAS ADOPTED THIS REGULATION:

CHAPTER I

DEFINITIONS

Article 1

Definitions

For the purposes of this Regulation, in addition to the definitions laid down in Article 2 of Regulation (EC) No 338/97, the following definitions shall apply:

(1) 'date of acquisition' means the date on which a specimen was taken from the wild, born in captivity or artificially propagated;

(2) 'second-generation offspring (F2)' and 'subsequent generation offspring (F3, F4, and so on)' means specimens produced in a controlled environment from parents that were also produced in a controlled environment, as distinct from specimens produced in a controlled environment from parents at least one of which was conceived in or taken from the wild (first-generation offspring (F1));

(3) 'breeding stock' means all the animals in a breeding operation that are used for reproduction;

(4) 'controlled environment' means an environment that is manipulated for the purpose of producing animals of a particular species, that has boundaries designed to prevent animals, eggs or gametes of the species from entering or leaving, and the general characteristics of which may include but are not limited to artificial housing, waste removal, health care, protection from predators and the artificial supply of food;

(5) 'a person normally residing in the Community' means a person who lives in the Community for at least 185 days in each calendar year because of occupational ties, or, in the case of a person with no occupational ties, because of personal ties which show close links between that person and the place where he is living;

(6) 'travelling exhibition' means a sample collection, travelling circus, menagerie, or plant exhibition that is used for commercial display for the public;

(7) 'transaction-specific certificates' means certificates issued in accordance with Article 48 that are valid for specified transactions only within the territory of the issuing Member State;

(8) 'specimen-specific certificates' means certificates issued in accordance with Article 48, other than transaction-specific certificates.

CHAPTER II

FORMS AND TECHNICAL REQUIREMENTS

Article 2

Forms

1. The forms on which import permits, export permits, re-export certificates, personal ownership certificates and applications for such documents are drawn up shall conform, except as regards spaces reserved for national use, to the model set out in Annex I.

2. The forms on which import notifications are drawn up shall conform, except as regards spaces reserved for national use, to the model set out in Annex II. They may contain a serial number.

3. The forms on which travelling exhibition certificates and applications for such documents are drawn up shall conform, except as regards spaces reserved for national use, to the model set out in Annex III.

4. The forms on which continuation sheets for personal ownership certificates and for travelling exhibition certificates are drawn up shall conform to the model set out in Annex IV.

[1] OJ L 384, 31.12.1982, p. 1. Regulation as last amended by Commission Regulation (EC) No 2727/95 (OJ L 284, 28.11.1995, p. 3).

[2] OJ L 250, 19.9.2001, p. 1.

5. The forms on which the certificates provided for in Articles 5 (2)(b), 5(3), 5(4), 8(3) and 9(2)(b) of Regulation (EC) No 338/97 and applications for such certificates are drawn up shall conform, except as regards spaces reserved for national use, to the model set out in Annex V to this Regulation.

Member States may, however, provide that, instead of the pre-printed text, boxes 18 and 19 are to contain only the relevant certification and/or authorisation.

6. The form of the labels referred to in Article 7(4) of Regulation (EC) No 338/97 shall conform to the model set out in Annex VI to this Regulation.

Article 3

Technical specifications with regard to forms

1. The paper used for the forms referred to in Article 2 shall be free of mechanical pulp and dressed for writing purposes, and shall weigh at least 55 g/m^2.

2. The size of the forms referred to in Article 2(1) to (5) shall be 210 x 297 mm (A4) with a maximum tolerance as to length of 18 mm less and 8 mm more.

3. The colour of the paper used for the forms referred to in Article 2(1) shall be as follows:

(a) white for form 1, the original, with a guilloche pattern background, printed in grey on the front, so as to reveal any falsification by mechanical or chemical means;

(b) yellow for form 2, the copy for the holder;

(c) pale green for form 3, the copy for the exporting or re-exporting country in the case of an import permit, or the copy for return by customs to the issuing management authority in the case of an export permit or re-export certificate;

(d) pink for form 4, the copy for the issuing management authority;

(e) white for form 5, the application.

4. The colour of the paper used for the forms referred to in Article 2(2) shall be as follows:

(a) white for form 1, the original;

(b) yellow for form 2, the copy for the importer.

5. The colour of the paper used for the forms referred to in Article 2(3) and 2(5) shall be as follows:

(a) yellow for form 1, the original, with a guilloche pattern background, printed in grey on the front, so as to reveal any falsification by mechanical or chemical means;

(b) pink for form 2, the copy for the issuing management authority;

(c) white for form 3, the application.

6. The colour of the paper used for the continuation sheets and labels referred to in Article 2(4) and 2(6) respectively shall be white.

7. The forms referred to in Article 2 shall be printed and completed in one of the official Community languages as specified by the management authorities of each Member State. They shall, where necessary, contain a translation of their contents in one of the official working languages of the Convention.

8. Member States shall be responsible for the printing of the forms referred to in Article 2, which, in the case of the forms referred to in Article 2(1) to (5) may be part of a computerised permit/certificate issuing process.

Article 4

Completion of forms

1. Forms shall be completed in typescript.

However, applications for import and export permits, for re-export certificates, for the certificates provided for in Articles 5 (2)(b), 5(3), 5(4), 8(3) and 9(2)(b) of Regulation (EC) No 338/97, for personal ownership certificates and for travelling exhibition certificates, as well as import notifications, continuation sheets and labels, may be completed in manuscript, provided that this is done legibly, in ink and in block capitals.

2. Forms 1 to 4 of Annex I, forms 1 and 2 of Annex II, forms 1 and 2 of Annex III, forms 1 and 2 of Annex V, the continuation sheets referred to in Article 2(4) and the labels referred to in Article 2(6) may not contain any erasures or alterations, unless those erasures or alterations have been authenticated by the stamp and signature of the issuing management authority. In the case of the import notifications as referred to in Article 2(2) and the continuation sheets referred to in Article 2(4), erasures or alterations may also be authenticated by the stamp and signature of the customs office of introduction.

Article 5

Contents of permits, certificates and applications for the issue of such documents

Information and references in permits and certificates, as well as in applications for the issue of such documents, shall comply with the following requirements:

(1) the description of specimens must, where it is provided for, include one of the codes contained in Annex VII;

(2) for the indication of units of quantity and net mass, those contained in Annex VII must be used;

(3) the taxa to which the specimens belong must be indicated to species level except where the species is differentiated to subspecies level in accordance with the Annexes to Regulation (EC) No 338/97 or where the Conference of the Parties to the Convention has decided that differentiation to a higher taxonomic level is sufficient;

(4) the standard references for nomenclature contained in Annex VIII to this Regulation must be used to indicate the scientific names of taxa;

(5) where required, the purpose of a transaction must be indicated using one of the codes contained in point 1 of Annex IX to this Regulation;

(6) the source of specimens must be indicated using one of the codes contained in point 2 of Annex IX to this Regulation.

Where the use of the codes referred to in point (6) is subject to compliance with the criteria laid down in Regulation (EC) No 338/97 or in this Regulation, they must comply with those criteria.

Article 6

Annexes to forms

1. If an annex attached to any of the forms referred to in Article 2 is an integral part of that form, that fact and the number of pages shall be clearly indicated on the permit or certificate concerned and each page of the annex shall include the following:

(a) the number of the permit or certificate and its date of issue;

(b) the signature and the stamp or seal of the management authority which issued the permit or certificate.

2. Where the forms referred to in Article 2(1) are used for more than one species in a shipment, an annex shall be attached which, in addition to the information required under paragraph 1 of this Article, shall, for each species in the shipment, reproduce boxes 8 to 22 of the form concerned as well as the spaces contained in box 27 thereof for 'quantity/net mass actually imported or (re-)exported' and, where appropriate, 'number of animals dead on arrival'.

3. Where the forms referred to in Article 2(3) are used for more than one species, an annex shall be attached which, in addition to the information required under paragraph 1 of this Article, shall, for each species, reproduce boxes 8 to 18 of the form concerned.

4. Where the forms referred to in Article 2(5) are used for more than one species, an annex shall be attached which, in addition to the information required under paragraph 1 of this Article, shall, for each species, reproduce boxes 4 to 18 of the form concerned.

Article 7

Permits and certificates issued by third countries

1. Article 4(1) and (2), Article 5(3), (4) and (5) and Article 6 shall apply in the case of decisions on the acceptability of permits and certificates issued by third countries for specimens to be introduced into the Community.

2. Where the permits and certificates referred to in paragraph 1 concern specimens of species that are subject to voluntarily fixed export quotas or export quotas allocated by the Conference of the Parties to the Convention, they shall be accepted only if they specify the total number of specimens already exported in the current year, including those covered by the permit in question, and the quota for the species concerned.

3. Re-export certificates issued by third countries shall be accepted only if they specify the country of origin and the number and date of issue of the relevant export permit and, where applicable, the country of last re-export and the number and date of issue of the relevant re-export certificate, or if they contain a satisfactory justification for the omission of such information.

CHAPTER III

ISSUE, USE AND VALIDITY OF DOCUMENTS

Article 8

Issue and use of documents

1. Documents shall be issued and used in accordance with the provisions and under the conditions laid down in this Regulation and in Regulation (EC) No 338/97, and in particular in Article 11 (1) to (4) of the latter Regulation.

In order to ensure compliance with those Regulations and with the provisions of national law adopted for their implementation, the issuing management authority may impose stipulations, conditions and requirements, which shall be set out in the documents concerned.

2. The use of documents shall be without prejudice to any other formalities relating to the movement of goods within the Community, to the introduction of goods into the Community or to their export or re-export therefrom, or to the issue of the documents used for such formalities.

3. Management authorities shall decide on the issue of permits and certificates within one month of the date of submission of a complete application.

However, where the issuing management authority consults third parties, such a decision may be taken only after the satisfactory completion of such consultation. Applicants shall be notified of significant delays in processing their applications.

Article 9

Shipments of specimens

A separate import permit, import notification, export permit or re-export certificate shall be issued for each shipment of specimens shipped together as part of one load.

Article 10

Validity of import and export permits, re-export certificates, travelling exhibition certificates, and personal ownership certificates

1. The period of validity of import permits issued in accordance with Articles 20 and 21 shall not exceed 12 months. An import permit shall, however, not be valid in the absence of a valid corresponding document from the country of export or re-export.

2. The period of validity of export permits and re-export certificates issued in accordance with Article 26 shall not exceed six months.

3. The period of validity of the travelling exhibition certificates and personal ownership certificates issued in accordance with in Articles 30 and 37 respectively shall not exceed three years.

4. After their expiry, the permits and certificates referred to in paragraphs 1, 2 and 3 shall be considered as void.

5. Travelling exhibition certificates or personal ownership certificates shall cease to be valid if the specimen is sold, lost, destroyed or stolen, or if ownership of the specimen is otherwise transferred, or, in the case of a live specimen, if it has died, escaped or been released to the wild.

6. The holder shall, without undue delay, return to the issuing management authority the original and all copies of any import permit, export permit, re-export certificate, travelling exhibition certificate or personal ownership certificate which has expired or which is unused or no longer valid.

Article 11

Validity of used import permits and of the certificates referred to in Articles 47, 48, 49, 60 and 63

1. Copies for the holder of used import permits shall cease to be valid in the following cases:

(a) where live specimens referred to therein have died;

(b) where live animals referred to therein have escaped or have been released to the wild;

(c) where specimens referred to therein have been destroyed;

(d) where any of the entries in boxes 3, 6 or 8 no longer reflects the actual situation.

2. The certificates referred to in Articles 47, 48, 49 and 63 shall cease to be valid in the following cases:

(a) where live specimens referred to therein have died;

(b) where live animals referred to therein have escaped or have been released to the wild;

(c) where specimens referred to therein have been destroyed;

(d) where any of the entries in boxes 2 and 4 no longer reflects the actual situation.

3. Certificates issued in accordance with Articles 48 and 63 shall be transaction-specific unless the specimens covered by such certificates are uniquely and permanently marked.

The management authority of the Member State in which the specimen is located may also, in consultation with the relevant scientific authority, decide to issue transaction-specific certificates where it is considered that there are other factors relating to the conservation of the species that militate against the issuance of a specimen-specific certificate.

4. The certificates referred to in Article 48(1)(d) and Article 60 shall cease to be valid where the entry in box 1 no longer reflects the actual situation.

Such documents shall, without undue delay, be returned to the issuing management authority which, where appropriate, may issue a certificate reflecting the required changes in accordance with Article 51.

Article 12

Documents cancelled, lost, stolen, destroyed or expired

1. Where a permit or certificate is issued to replace a document that has been cancelled, lost, stolen or destroyed, or that, in the case of a permit or re-export certificate, has expired, the number of the replaced document and the reason for the replacement shall be indicated in the box for 'special conditions'.

2. Where an export permit or re-export certificate has been cancelled, lost, stolen or destroyed, the issuing management authority shall inform the management authority of the country of destination and the Secretariat of the Convention thereof.

Article 13

Time of application for import and (re)-export documents and assignation to a customs procedure

1. Import permits, export permits and re-export certificates shall, taking account of Article 8(3), be applied for in sufficient time to allow their issue prior to the introduction of specimens into or their export or re-export from the Community.

2. The assignation of specimens to a customs procedure shall not be authorised until after presentation of the requisite documents.

Article 14

Validity of documents from third countries

In the case of the introduction of specimens into the Community, the requisite documents from third countries shall be considered valid only where they have been issued for export or re-export from that country and used for that purpose prior to their last day of validity and are used for introduction of specimens into the Community no later than six months from their date of issue.

However, certificates of origin for specimens of species listed in Annex C to Regulation (EC) No 338/97 may be used for the introduction of specimens into the Community until 12 months from their date of issue and travelling exhibition certificates and personal ownership certificates may be used for the introduction of specimens into the Community and for the purpose of applying for respective certificates in accordance with Articles 30 and 37 of this Regulation until three years from their date of issue.

Article 15

Retrospective issue of certain documents

1. By way of derogation from Article 13(1) and Article 14 of this Regulation, and provided that the importer or (re-)exporter informs the competent management authority on arrival or before departure of the shipment of the reasons why the required documents are not available, documents for specimens of species listed in Annex B or C to Regulation (EC) No 338/97, as well as for specimens of species listed in Annex A to that Regulation and referred to in Article 4(5) thereof, may exceptionally be issued retrospectively.

2. The derogation provided for in paragraph 1 shall apply where the competent management authority of the Member State, in consultation with the competent authorities of a third country where appropriate, is satisfied that any irregularities which have occurred are not attributable to the importer or the (re-)exporter, and that the import or (re-)export of the specimens concerned is otherwise in compliance with Regulation (EC) No 338/97, the Convention and the relevant legislation of the third country.

3. Documents issued pursuant to paragraph 1 shall clearly indicate that they have been issued retrospectively and the reasons for such issue.

In the case of Community import permits, Community export permits and Community re-export certificates, that information shall be indicated in box 23.

4. The Secretariat of the Convention shall be notified of export permits and re-export certificates issued in accordance with paragraphs 1, 2 and 3.

Article 16

Specimens in transit through the Community

Articles 14 and 15 of this Regulation shall apply *mutatis mutandis* to specimens of species listed in Annexes A and B to Regulation (EC) No 338/97 which are in transit through the Community where that transit is otherwise in accordance with the latter Regulation.

Article 17

Phytosanitary certificates

1. In the case of artificially propagated plants of the species listed in Annexes B and C to Regulation (EC) No 338/97 and of artificially propagated hybrids produced from the unannotated species listed in Annex A thereto, the following shall apply:

(a) Member States may decide that a phytosanitary certificate is to be issued instead of an export permit;

(b) phytosanitary certificates issued by third countries shall be accepted instead of an export permit.

2. Where a phytosanitary certificate as referred to in paragraph 1 is issued, it shall include the scientific name at the species level or, if this is impossible for those taxa included by family in the Annexes to Regulation (EC) No 338/97, at the generic level.

However, artificially propagated orchids and cacti listed in Annex B to Regulation (EC) No 338/97 may be referred to as such.

Phytosanitary certificates shall also include the type and quantity of specimens and bear a stamp, seal or other specific indication stating that 'the specimens are artificially propagated as defined by CITES'.

Article 18

Simplified procedures with regard to certain trade in biological samples

1. In the case of trade that will have no impact on the conservation of the species concerned or only a negligible impact, simplified procedures on the basis of pre-issued permits and certificates may be used for biological samples of the type and size specified in Annex XI, where those samples are urgently required to be used in the manner specified in that Annex and provided that the following conditions are satisfied:

(a) each Member State must establish and maintain a register of the persons and bodies that may benefit from simplified procedures, hereinafter 'registered persons and bodies', as well as of the species that they may trade under such procedures, and must ensure that the register is reviewed by the management authority every five years;

(b) Member States must provide registered persons and bodies with partially completed permits and certificates;

(c) Member States must authorise registered persons or bodies to enter specific information on the face of the permit or certificate where the management authority of the relevant Member State has included the following items in box 23, or in an equivalent place, or in an annex to the permit or certificate:

(i) a list of the boxes that registered persons or bodies are authorised to complete for each shipment;

(ii) a place for the signature of the person who completed the document.

If the list referred to in point (c)(i) includes scientific names, the management authority shall include an inventory of approved species on the face of the permit or certificate or in an annex thereto.

2. Persons and bodies may be entered in the register for a particular species only after a competent scientific authority has advised in accordance with Articles 4(1)(a), 4(2)(a), 5(2)(a) and 5 (4) of Regulation (EC) No 338/97 that multiple transactions involving the biological samples listed in Annex XI to this Regulation will not have a harmful effect on the conservation status of the species in question.

3. The container in which biological samples referred to in paragraph 1 are shipped shall bear a label that specifies 'Muestras biológicas CITES', or 'CITES Biological Samples', or 'Échantillons biologiques CITES', as well as the number of the document issued in accordance with the Convention.

Article 19

Simplified procedures with regard to export or re-export of dead specimens

1. In the case of the export or re-export of dead specimens of species, including any parts or derivatives thereof, listed in Annexes B and C to Regulation (EC) No 338/97, Member States may provide for the use of simplified procedures on the basis of pre-issued export permits or re-export certificates, provided that the following conditions are satisfied:

(a) a competent scientific authority must advise that such export or re-export will have no detrimental impact on the conservation of the species concerned;

(b) each Member State must establish and maintain a register of the persons and bodies that may benefit from simplified procedures, hereinafter 'registered persons and bodies', as well as of the species that they may trade under such procedures, and must ensure that the register is reviewed by the management authority every five years;

(c) Member States must provide registered persons and bodies with partially completed export permits and re-export certificates;

(d) Member States must authorise registered persons or bodies to enter specific information in boxes 3, 5, 8 and 9 or 10 of the permit or certificate provided that they comply with the following requirements:

(i) they sign the completed permit or certificate in box 23;

(ii) they immediately send a copy of the permit or certificate to the issuing management authority;

(iii) they maintain a record which they produce to the competent management authority on request and which contains details of the specimens sold, including the species name, the type of specimen, the source of the specimen, the dates of sale and the names and addresses of the persons to whom they were sold.

2. The export or re-export referred to in paragraph 1 shall otherwise be in accordance with Article 5(4) and (5) of Regulation (EC) No 338/97.

CHAPTER IV

IMPORT PERMITS

Article 20

Applications

1. The applicant for an import permit shall, where appropriate, complete boxes 1, 3 to 6 and 8 to 23 of the application form and boxes 1, 3, 4, 5 and 8 to 22 of the original and all copies. Member States may, however, provide that only an application form is to be completed, in which case such an application may relate to more than one shipment.

2. The duly completed form shall be submitted to the management authority of the Member State of destination and shall contain the information and be accompanied by the documentary evidence that the authority deems necessary in order to enable it to determine whether, on the basis of Article 4 of Regulation (EC) No 338/97, a permit should be issued.

The omission of information from the application must be justified.

3. Where an application is made for an import permit relating to specimens for which such an application has previously been rejected, the applicant shall inform the management authority of that fact.

4. For import permits concerning the specimens referred to in Article 64(1)(a) to (f), the applicant shall satisfy the management authority that the marking requirements laid down in Article 66 have been fulfilled.

Article 21

Import permits issued for specimens of species included in Appendix I to the Convention and listed in Annex A to Regulation (EC) No 338/97

In the case of an import permit issued for specimens of species included in Appendix I to the Convention and listed in Annex A to Regulation (EC) No 338/97, the copy for the exporting or re-exporting country may be returned to the applicant for submission to the management authority of the country of export or re-export, for the purposes of the issue of an export permit or re-export certificate. The original of that import permit shall, in accordance with Article 4(1)(b)(ii) of that Regulation, be withheld pending presentation of the corresponding export permit or re-export certificate.

Where the copy for the exporting or re-exporting country is not returned to the applicant, the latter shall be given a written statement that an import permit will be issued and on what conditions.

Article 22

Documents to be surrendered by the importer to the customs office

Without prejudice to Article 53, the importer or his authorised representative shall surrender all the following documents to the border customs office at the point of introduction into the Community, designated in accordance with Article 12(1) of Regulation (EC) No 338/97:

(1) the original import permit (form 1);

(2) the 'copy for the holder' (form 2);

(3) where specified in the import permit, any documentation from the country of export or re-export.

Where appropriate, the importer or his authorised representative shall indicate in box 26 the number of the bill of lading or air waybill.

Article 23

Handling by the customs office

The customs office referred to in Article 22, or, where applicable, Article 53(1), shall, after completing box 27 of the original import permit (form 1) and the 'copy for the holder' (form 2), return the latter to the importer or to his authorised representative.

The original import permit (form 1) and any documentation from the country of export or re-export shall be forwarded in accordance with Article 45.

CHAPTER V

IMPORT NOTIFICATIONS

Article 24

Documents to be surrendered by the importer to the customs office

1. The importer or his authorised representative shall, where appropriate, complete boxes 1 to 13 of the original import notification (form 1) and the 'copy for the importer' (form 2) and, without prejudice to Article 25, surrender them together with any documentation from the country of export or re-export to the border customs office at the point of introduction into the Community designated in accordance with Article 12(1) of Regulation (EC) No 338/97.

2. In the case of import notifications that relate to specimens of species listed in Annex C to Regulation (EC) No 338/97, customs offices may, where necessary, retain such specimens pending verification of the validity of the accompanying documents referred to in Article 4(3)(a) and (b) of that Regulation.

Article 25

Handling by the customs office

The customs office referred to in Article 24, or, where applicable, Article 53(1), shall, after completing box 14 of the original import notification (form 1) and the 'copy for the importer' (form 2), return the latter to the importer or to his authorised representative.

The original import notification (form 1) and any documentation from the country of export or re-export shall be forwarded in accordance with Article 45.

CHAPTER VI

EXPORT PERMITS AND RE-EXPORT CERTIFICATES

Article 26

Applications

1. The applicant for an export permit or re-export certificate shall, where appropriate, complete boxes 1, 3, 4, 5 and 8 to 23 of the application form and boxes 1, 3, 4 and 5 and 8 to 22 of the original and all copies. Member States may, however, provide that only an application form is to be completed, in which case such an application may relate to more than one shipment.

2. The duly completed form shall be submitted to the management authority of the Member State in whose territory the specimens are located and shall contain the information and be accompanied by the documentary evidence that the authority deems necessary to enable it to determine whether, on the basis of Article 5 of Regulation (EC) No 338/97, a permit/certificate should be issued.

The omission of information from the application must be justified.

3. When an application is made for an export permit or a re-export certificate relating to specimens for which such an application has previously been rejected, the applicant shall inform the management authority of that fact.

4. For export permits and re-export certificates concerning specimens referred to in Article 65, the applicant shall satisfy the management authority that the marking requirements laid down in Article 66 have been fulfilled.

5. Where in support of an application for a re-export certificate, a 'copy for the holder' of an import permit, or a 'copy for the importer' of an import notification, or a certificate issued on the basis thereof is presented, such documents shall be returned to the applicant only after amendment of the number of specimens for which the document remains valid.

Such a document shall not be returned to the applicant if the re-export certificate is granted for the total number of specimens for which the document is valid, or where the document is replaced in accordance with Article 51.

6. The management authority shall establish the validity of any supporting documents, where necessary in consultation with a management authority of another Member State.

7. Paragraphs 5 and 6 shall apply where a certificate is presented in support of an application for an export permit.

8. Where, under the supervision of a management authority of a Member State, specimens have been individually marked so as to allow an easy reference to the documents referred to in paragraphs 5 and 7, those documents shall not be required to be physically presented together with the application, provided that their number is included in the application.

9. In the absence of the supporting evidence referred to in paragraphs 5 to 8, the management authority shall establish the legal introduction into or acquisition in the Community of the specimens to be (re-)exported, where necessary in consultation with a management authority of another Member State.

10. Where, for the purposes of paragraphs 3 to 9, a management authority consults a management authority of another Member State, the latter shall respond within a period of one week.

Article 27

Documents to be surrendered by the (re-)exporter to the customs office

The (re-)exporter or his authorised representative shall surrender the original export permit or re-export certificate (form 1), the copy for the holder (form 2) and the copy for return to the issuing management authority (form 3) to a customs office designated in accordance with Article 12(1) of Regulation (EC) No 338/97.

Where appropriate, the (re-)exporter or his authorised representative shall indicate in box 26 the number of the bill of lading or air waybill.

Article 28

Handling by the customs office

The customs office referred to in Article 27 shall, after completing box 27, return the original export permit or re-export certificate (form 1) and the copy for the holder (form 2) to the (re-)exporter or to his authorised representative.

The copy for return to the issuing management authority (form 3) of the export permit or re-export certificate shall be forwarded in accordance with Article 45.

Article 29

Pre-issued permits for nurseries

Where, in compliance with the guidelines adopted by the Conference of the Parties to the Convention, a Member State registers nurseries which export artificially propagated specimens of species included in Annex A to Regulation (EC) No 338/97, it may make pre-issued export permits for species listed in Annexes A or B to that Regulation available to the nurseries concerned.

In box 23 of those pre-issued export permits, the registration number of the nursery shall be indicated, as well as the following statement:

'Permit valid only for artificially propagated plants as defined by CITES Resolution Conf. 11.11 (Rev. CoP13). Valid only for the following taxa: …'.

CHAPTER VII

TRAVELLING EXHIBITION CERTIFICATES

Article 30

Issue

1. Member States may issue travelling exhibition certificates in respect of legally acquired specimens which form part of a travelling exhibition and which meet either of the following criteria:

(a) they were born and bred in captivity in accordance with Articles 54 and 55, or artificially propagated in accordance with Article 56;

(b) they were acquired in, or introduced into, the Community before the provisions relating to species listed in Appendices I, II or III to the Convention, or in Annex C to Regulation (EEC) No 3626/82, or in Annexes A, B and C to Regulation (EC) No 338/97 became applicable to them.

2. In the case of live animals, a travelling exhibition certificate shall cover only one specimen.

3. A continuation sheet shall be attached to the travelling exhibition certificate, for use in accordance with Article 35.

4. In the case of specimens other than live animals, the management authority shall attach to the travelling exhibition certificate an inventory sheet displaying, in respect of each specimen, all the information required by boxes 8 to 18 of the model form set out in Annex III.

Article 31

Use

A travelling exhibition certificate may be used as follows:

(1) as an import permit, in accordance with Article 4 of Regulation (EC) No 338/97;

(2) as an export permit or re-export certificate, in accordance with Article 5 of Regulation (EC) No 338/97;

(3) as a certificate, in accordance with Article 8(3) of Regulation (EC) No 338/97, for the sole purpose of allowing the specimens to be displayed to the public.

Article 32

Issuing authority

1. Where the travelling exhibition originates in the Community, the issuing authority for a travelling exhibition certificate shall be the management authority of the Member State in which the travelling exhibition originates.

2. Where the travelling exhibition originates in a third country, the issuing authority for a travelling exhibition certificate shall be the management authority of the Member State of first destination and the issue of that certificate shall be based on the provision of an equivalent certificate, issued by that third country.

3. Where, during a stay in a Member State, an animal covered by a travelling exhibition certificate gives birth, the management authority of that Member State shall be notified and shall issue a permit or certificate as appropriate.

Article 33

Requirement for specimens

1. Where a specimen is covered by a travelling exhibition certificate, all the following requirements shall be met:

(a) the specimen must be registered by the issuing management authority;

(b) the specimen must be returned to the Member State in which it is registered before the date of expiry of the certificate;

(c) the specimen must be uniquely and permanently marked, in accordance with Article 66 in the case of live animals, or otherwise identified in such a way that the authorities of each Member State into which the specimen enters can verify that the certificate corresponds to the specimen being imported or exported.

2. In the case of travelling exhibition certificates issued in accordance with Article 32(2), points (a) and (b) of paragraph 1 of this Article shall not apply. In such cases, the certificate shall include the following text in box 20:

'This certificate is not valid unless accompanied by an original travelling exhibition certificate issued by a third country.'

Article 34

Applications

1. The applicant for a travelling exhibition certificate shall, where appropriate, complete boxes 3 and 9 to 18 of the application form (form 3) and boxes 3 and 9 to 18 of the original and all copies.

Member States may, however, provide that only an application form is to be completed, in which case such an application may be for more than one certificate.

2. The duly completed form shall be submitted to the management authority of the Member State in which the specimens are located, or in the case referred to in Article 32(2), to the management authority of the Member State of first destination, together with the necessary information and the documentary evidence that that authority deems necessary so as to enable it to determine whether a certificate should be issued.

The omission of information from the application must be justified.

3. Where an application is made for a certificate relating to specimens for which such an application has previously been rejected, the applicant shall inform the management authority of that fact.

Article 35

Documents to be surrendered to the customs office by the holder

1. In the case of a travelling exhibition certificate issued in accordance with Article 32(1), the holder or his authorised representative shall, for verification purposes, surrender the original of that certificate (form 1), and the original and a copy of the continuation sheet, to a customs office designated in accordance with Article 12(1) of Regulation (EC) No 338/97.

The customs office shall, after completing the continuation sheet, return the original documents to the holder or his authorised representative, endorse the copy of the continuation sheet and forward that endorsed copy to the relevant management authority in accordance with Article 45.

2. In the case of a travelling exhibition certificate issued in accordance with Article 32(2), paragraph 1 of this Article shall apply, except that the holder or his authorised representative shall also submit the original certificate and the continuation sheet issued by the third country for verification purposes.

The customs office shall, after completing both continuation sheets, return the original travelling exhibition certificates and continuation sheets to the importer or his authorised representative and forward an endorsed copy of the continuation sheet of the certificate issued by the Member State's management authority to that authority in accordance with Article 45.

Article 36

Replacement

A travelling exhibition certificate that has been lost, stolen or destroyed may be replaced only by the authority which issued it.

The replacement shall bear the same number, if possible, and the same date of validity as the original document, and shall include, in box 20, the following statement:

'This certificate is a true copy of the original.'

CHAPTER VIII

PERSONAL OWNERSHIP CERTIFICATE

Article 37

Issue

1. Member States may issue personal ownership certificates to the legal owner of legally acquired live animals, held for personal non-commercial purposes, which meet either of the following criteria:

(a) they were born and bred in captivity in accordance with Articles 54 and 55;

(b) they were acquired in, or introduced into, the Community before the provisions relating to species listed in Appendices I, II or III to the Convention, or in Annex C to Regulation (EEC) No 3626/82, or in Annexes A, B and C to Regulation (EC) No 338/97 became applicable to them.

2. A personal ownership certificate shall cover only one specimen.

3. A continuation sheet shall be attached to the certificate for use in accordance with Article 42.

Article 38

Use

Provided that the specimen covered by a personal ownership certificate is accompanied by its legal owner, the certificate may be used as follows:

(1) as an import permit in accordance with Article 4 of Regulation (EC) No 338/97;

(2) as an export permit or re-export certificate in accordance with Article 5 of Regulation (EC) No 338/97, where the country of destination so agrees.

Article 39

Issuing authority

1. Where the specimen originates within the Community, the issuing authority for a personal ownership certificate shall be the management authority of the Member State in whose territory the specimen is located.

2. Where the specimen is introduced from a third country, the issuing authority for a personal ownership certificate shall be the management authority of the Member State of first destination and the issue of that certificate shall be based on the provision of an equivalent document, issued by that third country.

3. The personal ownership certificate shall include the following text in box 23 or in an appropriate annex to the certificate:

'Valid for multiple cross-border movements where the specimen is accompanied by its owner. Legal owner to retain original form.

The specimen covered by this certificate may not be sold or otherwise transferred except in accordance with Article 43 of Commission Regulation (EC) No 865/2006. This certificate is non-transferable. If the specimen dies, is stolen, destroyed or lost, or if it is sold or if ownership of the specimen is otherwise transferred, this certificate must be immediately returned to the issuing management authority.

This certificate is not valid unless accompanied by a continuation sheet, which must be stamped and signed by a customs official at each border crossing.

This certificate shall in no way affect the right to adopt stricter national measures regarding restrictions or conditions for the holding/keeping of live animals.'

4. Where, during a stay in a Member State, an animal covered by a personal ownership certificate gives birth, the management authority of that State shall be notified and shall issue a permit or certificate as appropriate.

Article 40

Requirements for specimens

1. Where a specimen is covered by a personal ownership certificate, the following requirements shall be met:

(a) the specimen must be registered by the management authority of the Member State in which the owner has his usual residence;

(b) the specimen must be returned to the Member State in which it is registered before the date of expiry of the certificate;

(c) the specimen may not be used for commercial purposes except subject to the conditions provided for in Article 43;

(d) the specimen must be uniquely and permanently marked in accordance with Article 66.

2. In the case of personal ownership certificates issued in accordance with Article 39(2), points (a) and (b) of paragraph 1 of this Article shall not apply.

In such cases, the certificate shall include the following text in box 23:

'This certificate is not valid unless accompanied by an original personal ownership certificate issued by a third country and unless the specimen to which it relates is accompanied by its owner.'

Article 41

Applications

1. The applicant for a personal ownership certificate shall, where appropriate, complete boxes 1, 4 and 6 to 23 of the application form and boxes 1, 4 and 6 to 22 of the original and all copies.

Member States may, however, provide that only an application form is to be completed, in which case such an application may be for more than one certificate.

2. The duly completed form shall be submitted to a management authority of the Member State in which the specimens are located, or in the case referred to in Article 39(2), to the management authority of the Member State of first destination, together with the necessary information and the documentary evidence that that authority deems necessary so as to enable it to determine whether a certificate should be issued.

The omission of information from the application must be justified.

Where an application is made for a certificate relating to specimens for which such an application has previously been rejected, the applicant shall inform the management authority of that fact.

Article 42

Documents to be surrendered by the holder to the customs office

1. In the case of the import, export or re-export of a specimen covered by a personal ownership certificate issued in accordance with Article 39(1), the holder of the certificate shall, for verification purposes, surrender the original of that certificate (form 1) and the original and a copy of the continuation sheet to a customs office designated in accordance with Article 12(1) of Regulation (EC) No 338/97.

The customs office shall, after completing the continuation sheet, return the original documents to the holder, endorse the copy of the continuation sheet and forward that endorsed copy to the relevant management authority in accordance with Article 45 of this Regulation.

2. In the case of a personal ownership certificate issued in accordance with Article 39(2), paragraph 1 of this Article shall apply, except that the holder shall also submit for verification purposes the original certificate issued by the third country.

The customs office shall, after completing both continuation sheets, return the original documents to the holder and forward an endorsed copy of the continuation sheet of the certificate issued by the Member State's management authority to that authority in accordance with Article 45.

Article 43

Sales of specimens covered

Where the holder of a personal ownership certificate issued in accordance with Article 39(1) of this Regulation wishes to sell the specimen, he shall first surrender the certificate to the issuing management authority and, where the specimen belongs to a species listed in Annex A to Regulation (EC) No 338/97, shall apply to the competent authority for a certificate in accordance with Article 8(3) of that Regulation.

Article 44

Replacement

A personal ownership certificate that has been lost, stolen or destroyed may be replaced only by the authority which issued it.

The replacement shall bear the same number, if possible, and the same date of validity as the original document, and shall include, in box 20, the following statement:

'This certificate is a true copy of the original.'

CHAPTER IX

CUSTOMS PROCEDURE

Article 45

Forwarding of documents presented to customs offices

1. Customs offices shall without delay forward to the relevant management authority of their Member State all documents which have been presented to them in accordance with Regulation (EC) No 338/97 and this Regulation.

Management authorities receiving such documents shall without delay forward those issued by other Member States to the relevant management authorities, together with any supporting documents issued in accordance with the Convention.

2. By way of derogation from paragraph 1, customs offices may confirm the presentation of documents issued by the management authority of their Member State in electronic form.

CHAPTER X

CERTIFICATES PROVIDED FOR IN ARTICLES 5(2)(b), 5(3), 5(4), 8(3) AND 9(2)(b) OF REGULATION (EC) No 338/97

Article 46

Issuing authority

Certificates provided for in Articles 5(2)(b), 5(3), 5(4), 8(3) and 9 (2)(b) of Regulation (EC) No 338/97 may be issued by the management authority of the Member State in which the specimens are located, on receiving an application in accordance with Article 50 of this Regulation.

Article 47

Certificates provided for in Article 5(2)(b), (3) and (4) of Regulation (EC) No 338/97 (certificates required for export or re-export)

The certificates provided for in Article 5(2)(b), (3) and (4) of Regulation (EC) No 338/97 shall indicate which of the following statements apply in the case of the specimens covered:

(1) they were taken from the wild in accordance with the legislation of the Member State of origin;

(2) they were abandoned or had escaped and were recovered in accordance with the legislation of the Member State where the recovery took place;

(3) they were acquired in, or introduced into the Community, in accordance with Regulation (EC) No 338/97;

(4) they were acquired in, or introduced into the Community, before 1 June 1997 in accordance with Regulation (EEC) No 3626/82;

(5) they were acquired in, or introduced into, the Community before 1 January 1984 in accordance with the Convention;

(6) they were acquired in, or introduced into, the territory of a Member State before the Regulations referred to in points (3) or (4) or the Convention became applicable to them, or became applicable in that Member State.

Article 48

Certificate provided for in Article 8(3) of Regulation (EC) No 338/97 (certificate for commercial use)

1. A certificate for the purposes of Article 8(3) of Regulation (EC) No 338/97 shall state that specimens of species listed in Annex A thereto are exempted from one or more of the prohibitions laid down in Article 8(1) of that Regulation for any of the following reasons:

(a) they were acquired in, or introduced into, the Community before the provisions relating to species listed in Annex A to Regulation (EC) No 338/97, or in Appendix I to the Convention, or in Annex C1 to Regulation (EEC) No 3626/82 became applicable to them;

(b) they originate in a Member State and were taken from the wild in accordance with the legislation of that Member State;

(c) they are, or are parts of, or are derived from animals born and bred in captivity;

(d) they are authorised to be used for one of the purposes referred to in Article 8(3)(c) and (e) to (g) of Regulation (EC) No 338/97.

2. The competent management authority of a Member State may deem an import permit acceptable as a certificate for the purposes of Article 8(3) of Regulation (EC) No 338/97 upon presentation of, the 'copy for the holder' (form 2), if that form states that, as provided for in Article 8(3) thereof, the specimens are exempted from one or more of the prohibitions laid down in Article 8(1) of that Regulation.

Article 49

Certificate provided for in Article 9(2)(b) of Regulation (EC) No 338/97 (certificate for movement of live specimens)

A certificate for the purposes of Article 9(2)(b) of Regulation (EC) No 338/97 shall state that the movement of live specimens of a species listed in Annex A thereto, from the prescribed location indicated in the import permit, or in a previously issued certificate, is authorised.

Article 50

Application for the certificates provided for in Articles 5(2)(b), 5(3), 5(4), 8(3) and 9(2)(b) of Regulation (EC) No 338/97

1. The applicant for the certificates provided for in Articles 5(2)(b), 5(3), 5(4), 8(3) and 9(2)(b) of Regulation (EC) No 338/97 shall, where appropriate, complete boxes 1, 2 and 4 to 19 of the application form and boxes 1 and 4 to 18 of the original and all copies.

Member States may, however, provide that only an application form is to be completed, in which case such an application may be for more than one certificate.

2. The duly completed form shall be submitted to a management authority of the Member State in which the specimens are located, together with the necessary information and the documentary evidence that that authority deems necessary so as to enable it to determine whether a certificate should be issued.

The omission of information from the application must be justified.

Where an application is made for a certificate relating to specimens for which such an application has previously been rejected, the applicant shall inform the management authority of that fact.

Article 51

Amendments to permits, notifications and certificates

1. Where a shipment, covered by a 'copy for the holder' (form 2) of an import permit, or a 'copy for the importer' (form 2) of an import notification, or a certificate, is split or where, for other reasons, the entries in those documents no longer reflect the actual situation, the management authority may take either of the following actions:

(a) it may make the necessary amendments to those documents in accordance with Article 4(2).

(b) it may issue one or more corresponding certificates for the purposes referred to in Articles 47 and 48.

For the purposes of point (b), the management authority must first establish the validity of the document to be replaced, where necessary in consultation with the management authority of another Member State.

2. Where certificates are issued to replace a 'copy for the holder' (form 2) of an import permit, or a 'copy for the importer' (form 2) of an import notification, or a previously issued certificate, that document shall be retained by the management authority issuing the certificate.

3. A permit, notification or certificate that has been lost, stolen or destroyed may be replaced only by the authority which issued it.

4. Where, for the purposes of paragraph 1, a management authority consults a management authority of another Member State, the latter shall respond within a period of one week.

CHAPTER XI

LABELS

Article 52

Use of labels

1. The labels referred to in Article 2(6) shall be used only for the movement between duly registered scientists and scientific institutions of non-commercial loans, donations and exchanges of herbarium specimens, preserved, dried or embedded museum specimens and live plant material for scientific study.

2. A registration number shall be attributed to the scientists and scientific institutions referred to in paragraph 1 by the management authority of the Member State in which they are located.

That registration number shall contain five digits, the first two of which shall be the two-letter ISO country code for the Member State concerned and the last three a unique number assigned to each institution by the competent management authority.

3. The scientists and scientific institutions concerned shall complete boxes 1 to 5 of the label and, by the return of the part of the label provided for that purpose, immediately inform the management authority with which they are registered of all details about the use of every label.

CHAPTER XII

DEROGATIONS FROM CUSTOMS PROCEDURES AS REFERRED TO IN ARTICLE 4(7) OF REGULATION (EC) No 338/97

Article 53

Customs offices other than the border customs office at the point of introduction

1. Where a shipment to be introduced into the Community arrives at a border customs office by sea, air or rail for dispatch by the same mode of transport, and without intermediate storage, to another customs office in the Community designated in accordance with Article 12(1) of Regulation (EC) No 338/97, the completion of checks and the presentation of import documents shall take place at the latter.

2. Where a shipment has been checked at a customs office designated in accordance with Article 12(1) of Regulation (EC) No 338/97 and is dispatched to another customs office for any subsequent customs procedure, the latter shall require presentation of the 'copy for the holder' (form 2) of an import permit, completed in accordance with Article 23 of this Regulation, or the 'copy for the importer' (form 2) of an import notification, completed in accordance with Article 24 of this Regulation, and may carry out any checks it deems necessary in order to establish compliance with Regulation (EC) No 338/97 and this Regulation.

CHAPTER XIII

SPECIMENS BORN AND BRED IN CAPTIVITY AND ARTIFICIALLY PROPAGATED SPECIMENS

Article 54

Specimens born and bred in captivity of animal species

Without prejudice to Article 55, a specimen of an animal species shall be considered to be born and bred in captivity only if a competent management authority, in consultation with a competent scientific authority of the Member State concerned, is satisfied that the following criteria are met:

(1) the specimen is, or is derived from, the offspring born or otherwise produced in a controlled environment of either of the following:

(a) parents that mated or had gametes otherwise transferred in a controlled environment, if reproduction is sexual;

(b) parents that were in a controlled environment when development of the offspring began, if reproduction is asexual;

(2) the breeding stock was established in accordance with the legal provisions applicable to it at the time of acquisition and in a manner not detrimental to the survival of the species concerned in the wild;

(3) the breeding stock is maintained without the introduction of specimens from the wild, except for the occasional addition, in accordance with the legal provisions applicable and in a manner not detrimental to the survival of the species concerned in the wild, of animals, eggs or gametes exclusively for one or more of the following purposes:

(a) to prevent or alleviate deleterious inbreeding, the magnitude of such addition being determined by the need for new genetic material;

(b) to dispose of confiscated animals in accordance with Article 16(3) of Regulation (EC) No 338/97;

(c) exceptionally, for use as breeding stock;

(4) the breeding stock has itself produced second or subsequent generation offspring (F2, F3 and so on) in a controlled environment, or is managed in a manner that has been demonstrated to be capable of reliably producing second-generation offspring in a controlled environment.

Article 55

Establishment of ancestry

Where, for the purposes of Articles 54, 62(1) or 63(1), a competent authority considers it necessary to establish the ancestry of an animal through the analysis of blood or other tissue, such analysis or the necessary samples shall be made available in a manner established by that authority.

Article 56

Artificially propagated specimens of plant species

1. A specimen of a plant species shall be considered to be artificially propagated only if a competent management authority, in consultation with a competent scientific authority of the Member State concerned, is satisfied that the following criteria are met:

(a) the specimen is, or is derived from, plants grown from seeds, cuttings, divisions, callus tissues or other plant tissues, spores or other propagules under controlled conditions;

(b) the cultivated parental stock was established in accordance with the legal provisions applicable to it on the date of acquisition and is maintained in a manner not detrimental to the survival of the species in the wild;

(c) the cultivated parental stock is managed in such a way that its long-term maintenance is guaranteed;

(d) in the case of grafted plants, both the root stock and the graft have been artificially propagated in accordance with points (a), (b) and (c).

For the purposes of point (a), controlled conditions refers to a non-natural environment that is intensively manipulated by human intervention, which may include but is not limited to tillage, fertilisation, weed control, irrigation, or nursery operations such as potting, bedding and protecting from weather.

2. Timber taken from trees grown in monospecific plantations shall be considered to be artificially propagated in accordance with paragraph 1.

CHAPTER XIV

PERSONAL AND HOUSEHOLD EFFECTS

Article 57

Introduction and reintroduction into the Community of personal and household effects

1. The derogation from Article 4 of Regulation (EC) No 338/97 for personal or household effects, provided for in Article 7(3) of that Regulation, shall not apply to specimens used for commercial gain, sold, displayed for commercial purposes, kept for sale, offered for sale or transported for sale.

That derogation shall only apply to specimens, including hunting trophies, if they meet one of the following conditions:

(a) they are contained in the personal luggage of travellers coming from a third country;

(b) they are contained in the personal property of a natural person transferring his normal place of residence from a third country to the Community;

(c) they are hunting trophies taken by a traveller and imported at a later date.

2. The derogation from Article 4 of Regulation (EC) No 338/97 for personal or household effects, provided for in Article 7(3) of that Regulation, shall not apply to specimens of species listed in Annex A thereto where they are introduced into the Community for the first time by a person normally residing in, or taking up residence in, the Community.

3. The first introduction into the Community of personal or household effects, including hunting trophies, by a person normally residing in the Community and involving specimens of species listed in Annex B to Regulation (EC) No 338/97 shall not require the presentation to customs of an import permit, provided that the original of a (re-)export document and a copy thereof are presented.

Customs shall forward the original in accordance with Article 45 of this Regulation and return the stamped copy to the holder.

4. The reintroduction into the Community, by a person normally residing in the Community, of personal or household effects, including hunting trophies, that are specimens of species listed in Annex A or B to Regulation (EC) No 338/97 shall not require the presentation to customs of an import permit, provided that one of the following is presented:

(a) the customs-endorsed 'copy for the holder' (form 2) of a previously used Community import or export permit;

(b) the copy of the (re-)export document referred to in paragraph 3;

(c) proof that the specimens were acquired within the Community.

5. By way of derogation from paragraphs 3 and 4, the introduction or re-introduction into the Community of the following items listed in Annex B to Regulation (EC) No 338/97 shall not require the presentation of a (re-)export document or an import permit:

(a) caviar of sturgeon species (*Acipenseriformes* spp.), up to a maximum of 250 grams per person;

(b) rainsticks of *Cactaceae* spp., up to three per person;

(c) dead worked specimens of *Crocodylia* spp., excluding meat and hunting trophies, up to four per person;

(d) shells of *Strombus gigas*, up to three per person.

Article 58

Export and re-export from the Community of personal and household effects

1. The derogation from Article 5 of Regulation (EC) No 338/97 for personal or household effects, provided for in Article 7(3) of that Regulation, shall not apply to specimens used for commercial gain, sold, displayed for commercial purposes, kept for sale, offered for sale or transported for sale.

That derogation shall apply to specimens only if they meet one of the following conditions:

(a) they are contained in the personal luggage of travellers going to a third country;

(b) they are contained in the personal property of a natural person transferring his normal place of residence from the Community to a third country.

2. In the case of export, the derogation from Article 5 of Regulation (EC) No 338/97 for personal or household effects, provided for in Article 7(3) of that Regulation, shall not apply to specimens of species listed in Annexes A or B to that Regulation.

3. The re-export, by a person normally residing in the Community, of personal or household effects, including personal hunting trophies, that are specimens of species listed in Annexes A or B to Regulation (EC) No 338/97 shall not require the presentation to customs of a re-export certificate, provided that one of the following is presented:

(a) the customs-endorsed 'copy for the holder' (form 2) of a previously used Community import or export permit;

(b) the copy of the (re-)export document referred to in Article 57(3) of this Regulation;

(c) proof that the specimens were acquired within the Community.

4. By way of derogation from paragraphs 2 and 3, the export or re-export of the items listed in points (a) to (d) of Article 57(5) shall not require the presentation of a (re-)export document.

CHAPTER XV

EXEMPTIONS AND DEROGATIONS

Article 59

Exemptions from Article 8(1) of Regulation (EC) No 338/97 as provided for in Article 8(3) thereof

1. The exemption for specimens referred to in Article 8(3)(a), (b) and (c) of Regulation (EC) No 338/97 shall be granted only if the applicant has satisfied the competent management authority that the conditions referred to therein and in Article 48 of this Regulation are met.

2. The exemption for specimens referred to in Article 8(3)(d) of Regulation (EC) No 338/97 shall be granted only if the applicant has satisfied the competent management authority, the latter having consulted a competent scientific authority, that the conditions referred to in Article 48 of this Regulation are met and that the specimens concerned were born and bred in captivity or artificially propagated in accordance with Articles 54, 55 and 56 of this Regulation.

3. The exemption for specimens referred to in Article 8(3)(e), (f) and (g) of Regulation (EC) No 338/97 shall be granted only if the applicant has satisfied the competent management authority, the latter having consulted with a competent scientific authority, that the conditions referred to therein and in Article 48 of this Regulation are met.

4. The exemption for specimens referred to in Article 8(3)(h) of Regulation (EC) No 338/97 shall be granted only if the applicant has satisfied the competent management authority that the specimens concerned were taken from the wild in a Member State in compliance with its legislation.

5. An exemption provided for in Article 8(3) of Regulation (EC) No 338/97 shall be granted with regard to live vertebrates only if the applicant has satisfied the competent management authority that the relevant provisions of Article 66 of this Regulation have been met.

Article 60

Derogation from Article 8(1) of Regulation (EC) No 338/97 for the benefit of scientific institutions

Without prejudice to Article 9 of Regulation (EC) No 338/97 a derogation from the prohibition laid down in Article 8(1) thereof may be granted to scientific institutions, approved by a management authority in consultation with a scientific authority, by the issue of a certificate covering all specimens in their collection of species listed in Annex A to that Regulation, that are intended for either of the following:

(1) captive breeding or artificial propagation from which conservation benefits will accrue to the species concerned;

(2) research or education aimed at the preservation or conservation of the species concerned.

Any sale of specimens covered by such a certificate may be made only to other scientific institutions holding such a certificate.

Article 61

Exemptions from Article 8(1) and (3) of Regulation (EC) No 338/97

Without prejudice to Article 9 of Regulation (EC) No 338/97, neither the prohibition laid down in Article 8(1) thereof of the purchase, offer of purchase, or acquisition of specimens of species listed in Annex A thereto for commercial purposes nor the provision laid down in Article 8(3) thereof, to the effect that exemptions from those prohibitions are to be granted by the issue of a certificate on a case-by-case basis, shall apply where the specimens involved meet either of the following criteria:

(1) they are covered by one of the specimen-specific certificates provided for in Article 48 of this Regulation;

(2) they are covered by one of the general exemptions provided for in Article 62 of this Regulation.

Article 62

General exemptions from Article 8(1) and (3) of Regulation (EC) No 338/97

The provision laid down in Article 8(3) of Regulation (EC) No 338/97, to the effect that exemptions from the prohibitions in Article 8(1) are to be granted by the issue of a certificate on a case-by-case basis, shall not apply to, and no certificate shall be required for, the following:

(1) specimens of captive born and bred animals of the species listed in Annex X to this Regulation, and hybrids thereof, provided that specimens of annotated species are marked in accordance with Article 66(1) of this Regulation;

(2) artificially propagated specimens of plant species;

(3) worked specimens that were acquired more than 50 years previously as defined in Article 2(w) of Regulation (EC) No 338/97.

Article 63

Pre-issued certificates under Article 8(3) of Regulation (EC) No 338/97

1. For the purposes of Article 8(3)(d) of Regulation (EC) No 338/97, a Member State may make pre-issued certificates available to breeders approved for that purpose by a management authority, provided that they maintain breeding records and that they produce those records, on request, to the competent management authority.

Such certificates shall, in box 20, include the following statement:

'Certificate only valid for the following taxon/taxa: …'

2. For the purposes of Article 8(3)(d) and (h) of Regulation (EC) No 338/97, a Member State may make pre-issued certificates available to persons who have been approved by a management authority to sell on the basis of such certificates dead captive-bred specimens and/or small numbers of dead specimens legally taken from the wild within the Community, provided that any such person meets the following requirements:

(a) he maintains a record, which is produced on request to the competent management authority and which contains details of specimens/species sold, the cause of death if known, the persons from whom specimens were acquired and the persons to whom they were sold;

(b) he submits an annual report to the competent management authority which contains details of sales during that year, the type and number of specimens, the species concerned and how the specimens were acquired.

CHAPTER XVI

MARKING REQUIREMENTS

Article 64

Marking of specimens for the purpose of imports and commercial activities within the Community

1. Import permits for the following items shall be issued only if the applicant has satisfied the competent management authority that the specimens have been individually marked in accordance with Article 66(6):

(a) specimens that derive from a captive breeding operation that was approved by the Conference of the Parties to the Convention;

(b) specimens that derive from a ranching operation that was approved by the Conference of the Parties to the Convention;

(c) specimens from a population of a species listed in Appendix I to the Convention for which an export quota has been approved by the Conference of the Parties to the Convention;

(d) raw tusks of African elephant and cut pieces thereof that are both 20 cm or more in length and 1 kg or more in weight;

(e) raw, tanned and/or finished crocodilian skins, flanks, tails, throats, feet, backstrips and other parts thereof that are exported to the Community, and entire raw, tanned, or finished crocodilian skins and flanks that are re-exported to the Community;

(f) live vertebrates of species listed in Annex A to Regulation (EC) No 338/97 that belong to a travelling exhibition;

(g) any container of caviar of *Acipenseriformes* spp., including tins, jars or boxes into which such caviar is directly packed.

2. For the purposes of Article 8(5) of Regulation (EC) No 338/97, all containers of caviar as specified in point (g) of paragraph 1 of this Article shall be marked in accordance with Article 66(6) of this Regulation, subject to the additional requirements set out in Article 66(7) thereof.

Article 65

Marking of specimens for the purpose of export and re-export

1. Re-export certificates for specimens referred to in Article 64 (1)(a) to (d) and (f) that were not substantially modified shall be issued only if the applicant has satisfied the management authority that the original marks are intact.

2. Re-export certificates for entire raw, tanned, and/or finished crocodilian skins and flanks shall be issued only if the applicant has satisfied the management authority that the original tags are intact or, where the original tags have been lost or removed, the specimens have been marked with a re-export tag.

3. Export permits and re-export certificates for any container of caviar as specified in point (g) of Article 64(1) shall be issued only if the container is marked in accordance with Article 66(6).

4. Export permits shall be issued with regard to live vertebrates of species listed in Annex A to Regulation (EC) No 338/97 only if the applicant has satisfied the competent management authority that the relevant requirements laid down in Article 66 of this Regulation have been met.

Article 66

Marking methods

1. For the purposes of Articles 33(1), 40(1), 59(5), and 65(4), paragraphs 2 and 3 of this Article shall apply.

2. Captive born and bred birds shall be marked in accordance with paragraph 8, or, where the competent management authority is satisfied that this method is not appropriate because of the physical or behavioural properties of the animal, by means of a uniquely numbered, unalterable microchip transponder conforming to ISO Standards 11784: 1996 (E) and 11785: 1996 (E).

3. Live vertebrates other than captive born and bred birds shall be marked by means of a uniquely numbered unalterable microchip transponder conforming to ISO Standards 11784: 1996 (E) and 11785: 1996 (E), or, where the competent management authority is satisfied that this method is not appropriate because of the physical or behavioural properties of the specimen/species, the specimens concerned shall be marked by means of uniquely numbered rings, bands, tags, tattoos or similar means, or be made identifiable by any other appropriate means.

4. Articles 33(1), 40(1), 48(2), 59(5) and 65(4) shall not apply where the competent management authority is satisfied that, at the time of issue of the relevant certificate, the physical properties of the specimens involved do not allow the safe application of any marking method.

Where that is the case, the management authority concerned shall issue a transaction-specific certificate and shall record that fact in box 20 of the certificate, or, where a marking method can be safely applied at a later date, shall include the appropriate stipulations therein.

Specimen-specific certificates, travelling exhibition certificates and personal ownership certificates shall not be issued in respect of such specimens.

5. Specimens marked by means of a microchip transponder other than one conforming to ISO Standards 11784: 1996 (E) and 11785: 1996 (E) before 1 January 2002, or by means of one of the methods referred to in paragraph 3 before 1 June 1997, or in compliance with paragraph 6 before their introduction into the Community, shall be deemed to have been marked in compliance with paragraphs 2 and 3.

6. The specimens referred to in Articles 64(1) and 65 shall be marked in accordance with the method approved or recommended by the Conference of the Parties to the Convention for the specimens concerned and, in particular, the containers of caviar referred to in Article 64(1)(g), 64(2) and 65(3) shall be individually marked by means of non-reusable labels affixed to each primary container.

7. Only those (re-)packaging plants that are licensed by the management authority of a Member State shall be entitled to process and package or re-package caviar for export, re-export or intra-Community trade.

Licensed (re-)packaging plants shall be required to maintain adequate records of the quantities of caviar imported, exported, re-exported, produced in situ or stored, as appropriate. These records must be available for inspection by the management authority in the relevant Member State.

A unique registration code shall be attributed to each such (re-)packaging plant by that management authority.

8. Captive born and bred birds, as well as other birds born in a controlled environment shall be marked by means of a uniquely marked seamlessly closed leg-ring.

A seamlessly closed leg-ring refers to a ring or band in a continuous circle, without any break or join, which has not been tampered with in any way, of a size which cannot be removed from the bird when its leg is fully grown after having been applied in the first days of the bird's life and which has been commercially manufactured for that purpose.

Article 67

Humane marking methods

Where, in the territory of the Community, the marking of live animals requires the attachment of a tag, band, ring or other device, or the marking of a part of the animal's anatomy, or the implantation of microchip transponders, this shall be undertaken with due regard to humane care, well-being and natural behaviour of the specimen concerned.

Article 68

Mutual recognition of marking methods

1. The competent authorities of the Member States shall recognise marking methods approved by the competent authorities of other Member States that comply with Article 66.

2. Where a permit or certificate is required pursuant to this Regulation, full details of the marking of the specimen shall be provided on such a document.

CHAPTER XVII

REPORTS AND INFORMATION

Article 69

Reports on imports, exports and re-exports

1. Member States shall collect data on imports into and exports and re-exports from the Community that have taken place on the basis of permits and certificates issued by their management authorities, irrespective of the actual place of introduction or (re-)export.

Member States shall, in compliance with Article 15(4)(a) of Regulation (EC) No 338/97, report that information to the Commission, relating to a calendar year, in accordance with the time schedule set out in paragraph 4 of this Article, for species listed in Annexes A, B and C to that Regulation, in a computerised form and in accordance with the Guidelines for the preparation and submission of CITES annual reports issued by the Secretariat of the Convention.

The reports shall include information on seized and confiscated shipments.

2. The information referred to in paragraph 1 shall be presented in two separate parts, as follows:

(a) a part on imports, exports and re-exports of specimens of species listed in the Appendices to the Convention;

(b) a part on imports, exports and re-exports of specimens of other species listed in Annexes A, B and C to Regulation (EC) No 338/97 and on the introduction into the Community of specimens of species listed in Annex D thereto.

3. With regard to imports of shipments containing live animals, Member States shall, where possible, maintain records of the percentage of specimens of species listed in Annexes A and B to Regulation (EC) No 338/97 which were dead at the time of introduction into the Community.

4. The information referred to in paragraphs 1, 2 and 3 shall be communicated to the Commission for each calendar year before 15 June of the following year on a species-by-species basis and per country of (re-)export.

5. The information referred to in Article 15(4)(c) of Regulation (EC) No 338/97 shall include details on legislative, regulatory and administrative measures taken to implement and enforce the provisions of Regulation (EC) No 338/97 and of this Regulation.

In addition, Member States shall report on the following aspects:

(a) persons and bodies registered in accordance with Articles 18 and 19 of this Regulation;

(b) scientific institutions registered in accordance with Article 60 of this Regulation;

(c) breeders approved in accordance with Article 63 of this Regulation;

(d) caviar (re-)packaging plants licensed in accordance with Article 66(7) of this Regulation;

(e) their use of phytosanitary certificates in accordance with Article 17 of this Regulation.

Article 70

Amendments to the Annexes to Regulation (EC) No 338/97

1. With a view to the preparation of amendments to Regulation (EC) No 338/97 pursuant to Article 15(5) of that Regulation, Member States shall, with regard to species already listed in the Annexes to that Regulation and those that may be eligible for listing, forward all relevant information to the Commission relating to the following aspects:

(a) their biological and trade status;

(b) the uses to which specimens of such species are put;

(c) methods of controlling specimens in trade.

2. Any draft amendments to Annexes B or D to Regulation (EC) No 338/97 pursuant to Article 3(2)(c) or (d), or Article 3(4)(a) of that Regulation shall be submitted by the Commission to the Scientific Review Group, referred to in Article 17 of that Regulation, for advice before they are submitted to the Committee.

CHAPTER XVIII

FINAL PROVISIONS

Article 71

Rejection of applications for import permits

1. Immediately on the establishment of a restriction in accordance with Article 4(6) of Regulation (EC) No 338/97 and until such time as it is lifted, Member States shall reject applications for import permits concerning specimens exported from the affected country or countries of origin.

2. By way of derogation from paragraph 1, an import permit may be issued where an application for an import permit was submitted prior to the establishment of the restriction, and the competent management authority of the Member State is satisfied that a contract or order exists for which payment has been made or as a result of which the specimens have already been shipped.

3. The period of validity of an import permit issued under paragraph 2 shall not exceed one month.

4. Save where otherwise provided, the restrictions referred to in paragraph 1 shall not apply to the following specimens:

(a) specimens born and bred in captivity in accordance with Articles 54 and 55, or artificially propagated in accordance with Article 56;

(b) specimens being imported for the purposes specified in Article 8(3)(e), (f) or (g) of Regulation (EC) No 338/97;

(c) specimens, alive or dead, that are part of the household possessions of persons moving into the Community to take up residence there.

Article 72

Transitional measures

1. Certificates issued in accordance with Article 11 of Regulation (EEC) No 3626/82 and Article 22 of Commission Regulation (EEC) No 3418/83 ([1]) may continue to be used for the purposes of Articles 5(2)(b), 5(3)(b), (c) and (d), Article 5(4), and Article 8(3)(a) and (d) to (h) of Regulation (EC) No 338/97.

2. Exemptions granted from the prohibitions laid down in Article 6(1) of Regulation (EEC) No 3626/82 shall remain valid until their last day of validity, where specified.

3. Member States may continue to issue import and export permits, re-export certificates, travelling exhibition and personal ownership certificates in the form laid out in Annex I to Regulation (EC) No 1808/2001 for one year after the entry into force of this Regulation.

Article 73

Notification of implementing provisions

Each Member State shall notify to the Commission and the Secretariat to the Convention the provisions which it adopts specifically for the application of this Regulation and all legal instruments used and measures taken for the application and enforcement thereof. The Commission shall communicate this information to the other Member States.

Article 74

Repeal

Regulation (EC) No 1808/2001 is repealed.

References to the repealed Regulation shall be construed as references to this Regulation and shall be read in accordance with the correlation table in Annex XII.

Article 75

Entry into force

This Regulation shall enter into force on the 20th day following its publication in the *Official Journal of the European Union*.

This Regulation shall be binding in its entirety and directly applicable in all Member States.

Done at Brussels, 4 May 2006.

For the Commission
Stavros DIMAS
Member of the Commission

([1]) OJ L 344, 7.12.1983, p. 1.

ANNEX I

EUROPEAN COMMUNITY

1

ORIGINAL

1

1. Exporter/re-exporter

PERMIT/CERTIFICATE

☐ IMPORT
☐ EXPORT
☐ RE-EXPORT
☐ OTHER:

No

2. Last day of validity:

Convention on International Trade in Endangered Species of Wild Fauna and Flora

3. Importer

4. Country of (re-)export

5. Country of import

6. Authorised location for live specimens of Annex A species

7. Issuing management authority

8. Description of specimens (incl. marks, sex/date of birth for live animals)

9. Net mass (kg)

10. Quantity

11. CITES Appendix

12. EC Annex

13. Source

14. Purpose

15. Country of origin

16. Permit No

17. Date of issue

18. Country of last re-export

19. Certificate No

20. Date of issue

21. Scientific name of species

22. Common name of species

23. Special conditions

This permit/certificate is only valid if live animals are transported in compliance with the CITES Guidelines for the Transport and Preparation for Shipment of Live Wild Animals or, in the case of air transport, the Live Animals Regulations published by the International Air Transport Association (IATA)

24. The (re-)export documentation from the country of (re-)export
☐ has been surrendered to the issuing authority
☐ has to be surrendered to the border customs office of introduction

25. The ☐ importation ☐ exportation ☐ re-exportation of the goods described above is hereby permitted.
Signature and official stamp:

Name of issuing official:

26. Bill of lading/Air waybill No:

Place and date of issue:

27. For customs use only

Quantity/net mass (kg) actually imported or (re)-exported	Number of animals dead on arrival

Customs document
Type:

Number:

Date:

Signature and official stamp:

Instructions and explanations

1. Full name and address of the actual (re-)exporter, not of an agent. In the case of a personal ownership certificate, the full name and address of the legal owner.

2. The period of validity of an export permit or re-export certificate shall not exceed six months and of an import permit 12 months. The period of validity of a Personal Ownership Certificate shall not exceed three years. After its last day of validity, this document is void and the original and all copies must be returned by the holder to the issuing management authority without undue delay. An import permit is not valid where the corresponding CITES document from the (re-) exporting country was used for (re-)export after its last day of validity or if the date of introduction into the Community is more than six months from its date of issue.

3. Full name and address of the actual importer, not of an agent. To be left blank in the case of a personal ownership certificate.

5. To be left blank in the case of a personal ownership certificate.

6. For live specimens of Annex A species other than captive bred or artificially propagated specimens, the issuing authority may prescribe the location at which they are to be kept by including details thereof in this box. Any movement, except for urgent veterinary treatment and provided the specimens are returned directly to their authorised location, then requires prior authorisation from the competent management authority.

8. Description must be as precise as possible and include a three-letter code in accordance with Annex VII to Regulation (EC) No 865/2006 [laying down detailed rules concerning the implementation of Council Regulation (EC) No 338/97 on the protection of species of wild fauna and flora by regulating trade therein].

9/10. Use the units of quantity and/or net mass in accordance with those contained in Annex VII to Regulation (EC) No 865/2006.

11. Enter the number of the CITES Appendix (I, II or III) in which the species is listed at the date of issue of the permit/certificate.

12. Enter the letter of the Annex to Regulation (EC) No 338/97 (A, B or C) in which the species is listed at the date of issue of the permit/certificate.

13. Use one of the following codes to indicate the source:

W Specimens taken from the wild

R Specimens originating from a ranching operation

D Annex A animals bred in captivity for commercial purposes and Annex A plants artificially propagated for commercial purposes in accordance with Chapter XIII of Regulation (EC) No 865/2006, as well as parts and derivatives thereof

A Annex A plants artificially propagated for non-commercial purposes and Annexes B and C plants artificially propagated in accordance with Chapter XIII of Regulation (EC) No 865/2006, as well as parts and derivatives thereof

C Annex A animals bred in captivity for non-commercial purposes and Annexes B and C animals bred in captivity in accordance with Chapter XIII of Regulation (EC) No 865/2006, as well as parts and derivatives thereof

F Animals born in captivity, but for which the criteria of Chapter XIII of Regulation (EC) No 865/2006 are not met, as well as parts and derivatives thereof

I Confiscated or seized specimens ([1])

O Pre-convention ([1])

U Source unknown (must be justified)

14. Use one of the following codes to indicate the purpose for which the specimens are to be (re-)exported/imported:

B Breeding in captivity or artificial propagation

E Educational

G Botanical gardens

H Hunting trophies

L Law enforcement/judicial/forensic

M Medical (including bio-medical research)

N Reintroduction or introduction into the wild

P Personal

Q Circuses and travelling exhibitions

S Scientific

T Commercial

Z Zoos

15 to 17. The country of origin is the country where the specimens were taken from the wild, born and bred in captivity or artificially propagated. Where this is a third country, boxes 16 and 17 must contain details of the relevant permit. Where specimens originating in a Member State of the Community are exported from another, only the name of the Member State of origin must be mentioned in box 15.

18 to 20. The country of last re-export is, in the case of a re-export certificate, the re-exporting third country from which the specimens were imported before being re-exported from the Community. In the case of an import permit, it is the re-exporting third country from which the specimens are to be imported. Boxes 19 and 20 must contain details of the relevant re-export certificate.

21. The scientific name must be in accordance with the standard references for nomenclature referred to in Annex VIII to Regulation (EC) No 865/2006.

23 to 25. For official use only.

26. The importer/(re)exporter or his agent must, where appropriate, indicate the number of the bill of lading or air waybill.

27. To be completed by the customs office of introduction into the Community or that of (re-)export as appropriate. In the case of introduction, the original (form 1) must be returned to the management authority of the Member State concerned and the copy for the holder (form 2) to the importer In the case of (re-)export, the copy for return by customs to the issuing authority (form 3) must be returned to the management authority of the Member State concerned and the original (form 1) and the copy for the holder (form 2) to the (re-)exporter.

([1]) To be used only in conjunction with another source code.

EUROPEAN COMMUNITY

2

COPY for the holder

2

1. Exporter/re-exporter

PERMIT/CERTIFICATE

☐ IMPORT

☐ EXPORT

☐ RE-EXPORT

☐ OTHER:

No

Convention on International Trade in Endangered Species of Wild Fauna and Flora

3. Importer

4. Country of (re-)export

5. Country of import

6. Authorised location for live specimens of Annex A species

7. Issuing management authority

8. Description of specimens (incl. marks, sex/date of birth for live animals)

9. Net mass (kg)

10. Quantity

11. CITES Appendix

12. EC Annex

13. Source

14. Purpose

15. Country of origin

16. Permit No

17. Date of issue

18. Country of last re-export

19. Certificate No

20. Date of issue

21. Scientific name of species

22. Common name of species

23. Special conditions

This permit/certificate is only valid if live animals are transported in compliance with the CITES Guidelines for the Transport and Preparation for Shipment of Live Wild Animals or, in the case of air transport, the Live Animals Regulations published by the International Air Transport Association (IATA)

24. The (re-)export documentation from the country of (re-)export

☐ has been surrendered to the issuing authority

☐ has to be surrendered to the border customs office of introduction

25. The ☐ importation ☐ exportation ☐ re-exportation of the goods described above is hereby permitted.

Signature and official stamp:

Name of issuing official:

26. Bill of lading/Air waybill No:

Place and date of issue:

27. For customs purposes only

Quantity/net mass (kg) actually imported or (re)-exported	Number of animals dead on arrival

Customs document

Type:

Number:

Date:

Signature and official stamp:

Instructions and explanations

1. Full name and address of the actual (re-)exporter, not of an agent. In the case of a personal ownership certificate, the full name and address of the legal owner.

2. The period of validity of an export permit or re-export certificate shall not exceed six months and of an import permit 12 months. The period of validity of a personal ownership certificate shall not exceed three years. After its last day of validity, this document is void and the original and all copies must be returned by the holder to the issuing management authority without undue delay. An import permit is not valid where the corresponding CITES document from the (re-) exporting country was used for (re-)export after its last day of validity or if the date of introduction into the Community is more than six months from its date of issue.

3. Full name and address of the actual importer, not of an agent. To be left blank in the case of a personal ownership certificate.

5. To be left blank in the case of a personal ownership certificate.

6. For live specimens of Annex A species other than captive bred or artificially propagated specimens, the issuing authority may prescribe the location at which they are to be kept by including details thereof in this box. Any movement, except for urgent veterinary treatment and provided the specimens are returned directly to their authorised location, then requires prior authorisation from the competent management authority.

8. Description must be as precise as possible and include a three-letter code in accordance with Annex VII to Regulation (EC) No 865/2006 [laying down detailed rules concerning the implementation of Council Regulation (EC) No 338/97 on the protection of species of wild fauna and flora by regulating trade therein].

9/10. Use the units of quantity and/or net mass in accordance with those contained in Annex VII to Regulation (EC) No 865/2006.

11. Enter the number of the CITES Appendix (I, II or III) in which the species is listed at the date of issue of the permit/certificate.

12. Enter the letter of the Annex to Regulation (EC) No 338/97 (A, B or C) in which the species is listed at the date of issue of the permit/certificate.

13. Use one of the following codes to indicate the source:

W Specimens taken from the wild

R Specimens originating from a ranching operation

D Annex A animals bred in captivity for commercial purposes and Annex A plants artificially propagated for commercial purposes in accordance with Chapter XIII of Regulation (EC) No 865/2006, as well as parts and derivatives thereof

A Annex A plants artificially propagated for non-commercial purposes and Annexes B and C plants artificially propagated in accordance with Chapter XIII of Regulation (EC) No 865/2006, as well as parts and derivatives thereof

C Annex A animals bred in captivity for non-commercial purposes and Annexes B and C animals bred in captivity in accordance with Chapter XIII of Regulation (EC) No 865/2006, as well as parts and derivatives thereof

F Animals born in captivity, but for which the criteria of Chapter XIII of Regulation (EC) No 865/2006 are not met, as well as parts and derivatives thereof

I Confiscated or seized specimens ([1])

O Pre-convention ([1])

U Source unknown (must be justified)

14. Use one of the following codes to indicate the purpose for which the specimens are to be (re-)exported/imported:

B Breeding in captivity or artificial propagation

E Educational

G Botanical gardens

H Hunting trophies

L Law enforcement/judicial/forensic

M Medical (including bio-medical research)

N Reintroduction or introduction into the wild

P Personal

Q Circuses and travelling exhibitions

S Scientific

T Commercial

Z Zoos

15 to 17. The country of origin is the country where the specimens were taken from the wild, born and bred in captivity or artificially propagated. Where this is a third country, boxes 16 and 17 must contain details of the relevant permit. Where specimens originating in a Member State of the Community are exported from another, only the name of the Member State of origin must be mentioned in box 15.

18 to 20. The country of last re-export is, in the case of a re-export certificate, the re-exporting third country from which the specimens were imported before being re-exported from the Community. In the case of an import permit, it is the re-exporting third country from which the specimens are to be imported. Boxes 19 and 20 must contain details of the relevant re-export certificate.

21. The scientific name must be in accordance with the standard references for nomenclature referred to in Annex VIII to Regulation (EC) No 865/2006.

23 to 25. For official use only.

26. The importer/(re)exporter or his agent must, where appropriate, indicate the number of the bill of lading or air waybill.

27. To be completed by the customs office of introduction into the Community or that of (re-)export as appropriate. In the case of introduction, the original (form 1) must be returned to the management authority of the Member State concerned and the copy for the holder (form 2) to the importer In the case of (re-)export, the copy for return by customs to the issuing authority (form 3) must be returned to the management authority of the Member State concerned and the original (form 1) and the copy for the holder (form 2) to the (re-)exporter.

([1]) To be used only in conjunction with another source code.

EUROPEAN COMMUNITY

3

COPY for return by customs to the issuing authority*

3

1. Exporter/re-exporter

PERMIT/CERTIFICATE

☐ IMPORT
☐ EXPORT
☐ RE-EXPORT
☐ OTHER:

No

2. Last day of validity:

Convention on International Trade in Endangered Species of Wild Fauna and Flora

3. Importer

4. Country of (re-)export

5. Country of import

6. Authorised location for live specimens of Annex A species

7. Issuing management authority

8. Description of specimens (incl. marks, sex/date of birth for live animals)

9. Net mass (kg)

10. Quantity

11. CITES Appendix

12. EC Annex

13. Source

14. Purpose

15. Country of origin

16. Permit No

17. Date of issue

18. Country of last re-export

19. Certificate No

20. Date of issue

21. Scientific name of species

22. Common name of species

23. Special conditions

This permit/certificate is only valid if live animals are transported in compliance with the CITES Guidelines for the Transport and Preparation for Shipment of Live Wild Animals or, in the case of air transport, the Live Animals Regulations published by the International Air Transport Association (IATA)

24. The (re-)export documentation from the country of (re-)export
☐ has been surrendered to the issuing authority
☐ has to be surrendered to the border customs office of introduction

25. The ☐ importation ☐ exportation ☐ re-exportation of the goods described above is hereby permitted.
Signature and official stamp:

Name of issuing official:

Place and date of issue:

26. Bill of lading/Air waybill No:

27. For customs purposes only

Quantity/net mass (kg) actually imported or (re)-exported	Number of animals dead on arrival

Customs document
Type:

Number:

Date:

Signature and official stamp:

* In the case of an import permit for specimens of CITES Appendix I species, this copy may be returned to the applicant for submission to the MA of the (re-)exporting

Instructions and explanations

1. Full name and address of the actual (re-)exporter, not of an agent. In the case of a personal ownership certificate, the full name and address of the legal owner.

2. The period of validity of an export permit or re-export certificate shall not exceed six months and of an import permit 12 months. The period of validity of a personal ownership certificate shall not exceed three years. After its last day of validity, this document is void and the original and all copies must be returned by the holder to the issuing management authority without undue delay. An import permit is not valid where the corresponding CITES document from the (re-) exporting country was used for (re-)export after its last day of validity or if the date of introduction into the Community is more than six months from its date of issue.

3. Full name and address of the actual importer, not of an agent. To be left blank in the case of a personal ownership certificate.

5. To be left blank in the case of a personal ownership certificate.

6. For live specimens of Annex A species other than captive bred or artificially propagated specimens, the issuing authority may prescribe the location at which they are to be kept by including details thereof in this box. Any movement, except for urgent veterinary treatment and provided the specimens are returned directly to their authorised location, then requires prior authorisation from the competent management authority.

8. Description must be as precise as possible and include a three-letter code in accordance with Annex VII to Regulation (EC) No 865/2006 [laying down detailed rules concerning the implementation of Council Regulation (EC) No 338/97 on the protection of species of wild fauna and flora by regulating trade therein].

9/10. Use the units of quantity and/or net mass in accordance with those contained in Annex VII to Regulation (EC) No 865/2006.

11. Enter the number of the CITES Appendix (I, II or III) in which the species is listed at the date of issue of the permit/certificate.

12. Enter the letter of the Annex to Regulation (EC) No 338/97 (A, B or C) in which the species is listed at the date of issue of the permit/certificate.

13. Use one of the following codes to indicate the source:

W Specimens taken from the wild

R Specimens originating from a ranching operation

D Annex A animals bred in captivity for commercial purposes and Annex A plants artificially propagated for commercial purposes in accordance with Chapter XIII of Regulation (EC) No 865/2006, as well as parts and derivatives thereof

A Annex A plants artificially propagated for non-commercial purposes and Annexes B and C plants artificially propagated in accordance with Chapter XIII of Regulation (EC) No 865/2006, as well as parts and derivatives thereof

C Annex A animals bred in captivity for non-commercial purposes and Annexes B and C animals bred in captivity in accordance with Chapter XIII of Regulation (EC) No 865/2006, as well as parts and derivatives thereof

F Animals born in captivity, but for which the criteria of Chapter XIII of Regulation (EC) No 865/2006 are not met, as well as parts and derivatives thereof

I Confiscated or seized specimens ([1])

O Pre-convention ([1])

U Source unknown (must be justified)

14. Use one of the following codes to indicate the purpose for which the specimens are to be (re-)exported/imported:

B Breeding in captivity or artificial propagation

E Educational

G Botanical gardens

H Hunting trophies

L Law enforcement/judicial/forensic

M Medical (including bio-medical research)

N Reintroduction or introduction into the wild

P Personal

Q Circuses and travelling exhibitions

S Scientific

T Commercial

Z Zoos

15 to 17. The country of origin is the country where the specimens were taken from the wild, born and bred in captivity or artificially propagated. Where this is a third country, boxes 16 and 17 must contain details of the relevant permit. Where specimens originating in a Member State of the Community are exported from another, only the name of the Member State of origin must be mentioned in box 15.

18 to 20. The country of last re-export is, in the case of a re-export certificate, the re-exporting third country from which the specimens were imported before being re-exported from the Community. In the case of an import permit, it is the re-exporting third country from which the specimens are to be imported. Boxes 19 and 20 must contain details of the relevant re-export certificate.

21. The scientific name must be in accordance with the standard references for nomenclature referred to in Annex VIII to Regulation (EC) No 865/2006.

23 to 25. For official use only.

26. The importer/(re)exporter or his agent must, where appropriate, indicate the number of the bill of lading or air waybill.

27. To be completed by the customs office of introduction into the Community or that of (re-)export as appropriate. In the case of introduction, the original (form 1) must be returned to the management authority of the Member State concerned and the copy for the holder (form 2) to the importer In the case of (re-)export, the copy for return by customs to the issuing authority (form 3) must be returned to the management authority of the Member State concerned and the original (form 1) and the copy for the holder (form 2) to the (re-)exporter.

([1]) To be used only in conjunction with another source code.

EUROPEAN COMMUNITY

4

COPY for the issuing authority

4

1. Exporter/re-exporter

PERMIT/CERTIFICATE

☐ IMPORT
☐ EXPORT
☐ RE-EXPORT
☐ OTHER:

No

2. Last day of validity:

Convention on International Trade in Endangered Species of Wild Fauna and Flora

3. Importer

4. Country of (re-)export

5. Country of import

6. Authorised location for live specimens of Annex A species

7. Issuing management authority

8. Description of specimens (incl. marks, sex/date of birth for live animals)

9. Net mass (kg)

10. Quantity

11. CITES Appendix

12. EC Annex

13. Source

14. Purpose

15. Country of origin

16. Permit No

17. Date of issue

18. Country of last re-export

19. Certificate No

20. Date of issue

21. Scientific name of species

22. Common name of species

23. Special conditions

This permit/certificate is only valid if live animals are transported in compliance with the CITES Guidelines for the Transport and Preparation for Shipment of Live Wild Animals or, in the case of air transport, the Live Animals Regulations published by the International Air Transport Association (IATA)

24. The (re-)export documentation from the country of (re-)export
☐ has been surrendered to the issuing authority
☐ has to be surrendered to the border customs office of introduction

25. The ☐ importation ☐ exportation ☐ re-exportation of the goods described above is hereby permitted.
Signature and official stamp:

Name of issuing official:

Place and date of issue:

26. Bill of lading/Air waybill No:

27. For customs purposes only

Quantity/net mass (kg) actually imported or (re)-exported	Number of animals dead on arrival

Customs document
Type:

Number:

Date:

Signature and official stamp:

EUROPEAN COMMUNITY

5

APPLICATION

5

1. Exporter/re-exporter

PERMIT/CERTIFICATE

- ☐ IMPORT
- ☐ EXPORT
- ☐ RE-EXPORT
- ☐ OTHER:

Convention on International Trade in Endangered Species of Wild Fauna and Flora

3. Importer

4. Country of (re-)export

5. Country of import

6. Location at which live specimens of Annex A species will be kept

7. Issuing management authority

8. Description of specimens (incl. marks, sex/date of birth for live animals)

9. Net mass (kg)		10. Quantity	
11. CITES Appendix	12. EC Annex	13. Source	14. Purpose
15. Country of origin			
16. Permit No		17. Date of issue	
18. Country of last re-export			
19. Certificate No		20. Date of issue	

21. Scientific name of species

22. Common name of species

23. I hereby apply for the permit/certificate indicated above.

Remarks (e.g. on purpose of introduction, details of accommodation for live specimens, etc.)

I attach the necessary documentary evidence and declare that all the particulars provided are to the best of my knowledge and belief correct.
I declare that an application for a permit/certificate for the above specimens was not previously rejected.

Signature

Name of applicant

Place and date

Live animals will be transported in compliance with the CITES Guidelines for the Transport and Preparation for Shipment of Live Wild Animals or, in the case of air transport, the Live Animals Regulations published by the International Air Transport Association (IATA)

Instructions and explanations

1. Full name and address of the actual (re-)exporter, not of an agent. In the case of a personal ownership certificate, the full name and address of the legal owner.

2. Not applicable.

3. Full name and address of the actual importer, not of an agent. To be left blank in the case of a personal ownership certificate.

5. To be left blank in the case of a personal ownership certificate.

6. To be completed only on the application form in the case of live specimens of Annex A species other than captive bred or artificially propagated specimens.

8. Description must be as precise as possible and include a 3-letter code in accordance with Annex VII to Regulation (EC) No 865/2006 [laying down detailed rules concerning the implementation of Council Regulation (EC) No 338/97 on the protection of species of wild fauna and flora by regulating trade therein].

9/10. Use the units of quantity and/or net mass in accordance with those contained in Annex VII to Regulation (EC) No 865/2006.

11. Enter the number of the CITES appendix (I, II or III) in which the species is listed at the date of issue of the permit/certificate.

12. Enter the letter of the Annex to Regulation (EC) No 338/97 (A, B or C) in which the species is listed at the date of application.

13. Use one of the following codes to indicate the source:

W	Specimens taken from the wild
R	Specimens originating from a ranching operation
D	Annex A animals bred in captivity for commercial purposes and Annex A plants artificially propagated for commercial purposes in accordance with Chapter XIII of Regulation (EC) No 865/2006, as well as parts and derivatives thereof
A	Annex A plants artificially propagated for non-commercial purposes and Annexes B and C plants artificially propagated in accordance with Chapter XIII of Regulation (EC) No 865/2006, as well as parts and derivatives thereof
C	Annex A animals bred in captivity for non-commercial purposes and Annexes B and C animals bred in captivity in accordance with Chapter XIII of Regulation (EC) No 865/2006, as well as parts and derivatives thereof
F	Animals born in captivity, but for which the criteria of Chapter XIII of Regulation (EC) No 865/2006 are not met, as well as parts and derivatives thereof
I	Confiscated or seized specimens ([1])
O	Pre-convention ([1])
U	Source unknown (must be justified)

14. Use one of the following codes to indicate the purpose for which the specimens are to be (re-)exported/imported:

B	Breeding in captivity or artificial propagation
E	Educational
G	Botanical gardens
H	Hunting trophies
L	Law enforcement/judicial/forensic
M	Medical (including bio-medical research)
N	Reintroduction or introduction into the wild
P	Personal
Q	Circuses and travelling exhibitions
S	Scientific
T	Commercial
Z	Zoos

15 to 17. The country of origin is the country where the specimens were taken form the wild, born and bred in captivity or artificially propagated. Where this is a third country, boxes 16 and 17 must contain details of the relevant permit. Where specimens originating in a Member State of the Community are exported from another, only the name of the Member State of origin must be mentioned in box 15.

18 to 20. The country of last re-export is, in the case of a re-export certificate, the re-exporting third country from which the specimens were imported before being re-exported from the Community. In the case of an import permit, it is the re-exporting third country from which the specimens are to be imported. Boxes 19 and 20 must contain details of the relevant re-export certificate.

21. The scientific name must be in accordance with the standard references for nomenclature referred to in Annex VIII to Regulation (EC) No 865/2006.

23. Provide as many details as possible and justify any omissions to the information required above.

([1]) To be used only in conjunction with another source code.

ANNEX II

EUROPEAN COMMUNITY

1

ORIGINAL

1

1. Importer	**IMPORT NOTIFICATION**	
	Council Regulation (EC) No 338/97 and Commission Regulation (EC) No 865/2006 on the protection of species of wild fauna and flora by regulating trade therein	
2. Member State of import	3. Date of import	
4. Country of origin	5. Country of (re)-export	
A — 6. Description of specimens (incl. (re-)export document number for CITES Appendix III species)	7. Net mass (kg)	8. Quantity
	9. Scientific name of species	10. CITES Appendix
	11. Common name of species	12. EC Annex
B — 6. Description of specimens (incl. (re-)export document number for CITES Appendix III species)	7. Net mass (kg)	8. Quantity
	9. Scientific name of species	10. CITES Appendix
	11. Common name of species	12. EC Annex
C — 6. Description of specimens (incl. (re-)export document number for CITES Appendix III species)	7. Net mass (kg)	8. Quantity
	9. Scientific name of species	10. CITES Appendix
	11. Common name of species	12. EC Annex
D — 6. Description of specimens (incl. (re-)export document number for CITES Appendix III species)	7. Net mass (kg)	8. Quantity
	9. Scientific name of species	10. CITES Appendix
	11. Common name of species	12. EC Annex
E — 6. Description of specimens (incl. (re-)export document number for CITES Appendix III species)	7. Net mass (kg)	8. Quantity
	9. Scientific name of species	10. CITES Appendix
	11. Common name of species	12. EC Annex
F — 6. Description of specimens (incl. (re-)export document number for CITES Appendix III species)	7. Net mass (kg)	8. Quantity
	9. Scientific name of species	10. CITES Appendix
	11. Common name of species	12. EC Annex
13. For specimens above which are of species listed in Appendix III to CITES, I attach the necessary documents from the (re-)exporting country. Signature of importer or his authorised representative	14. Official stamp of border customs office:	

Instructions and explanations

1. Enter full name and address of importer or authorised representative.

4. The country of origin is the country where the specimens were taken from the wild, born and bred in captivity or artificially propagated.

5. Only applies where the country from which the specimens are imported is not the country of origin.

6. Description must be as precise as possible.

9. The scientific name must be the name used in Annex C or D to Regulation (EC) No 338/97.

10. Enter III for species listed in Appendix III to CITES.

12. Enter the letter (C or D) of the Annex to Regulation (EC) No 338/97 in which the species is listed.

13. The importer has to submit the signed original (form 1) and 'copy for the importer' (form 2), where appropriate together with CITES Appendix III documents from the (re-)exporting country to the customs office of introduction into the Community.

14. The customs office shall send the stamped original (form 1) to the management authority of his country and return the stamped 'copy for the importer' (form 2) to the importer or his authorised representative.

EUROPEAN COMMUNITY

2

COPY for the importer

2

1. Importer	**IMPORT NOTIFICATION** **Council Regulation (EC) No 338/97 and Commission Regulation (EC) No 865/2006 on the protection of species of wild fauna and flora by regulating trade therein**
2. Member State of import	3. Date of import
4. Country of origin	5. Country of (re)-export

A	6. Description of specimens (incl. (re-)export document number for CITES Appendix III species)	7. Net mass (kg)	8. Quantity	
		9. Scientific name of species		10. CITES Appendix
		11. Common name of species		12. EC Annex
B	6. Description of specimens (incl. (re-)export document number for CITES Appendix III species)	7. Net mass (kg)	8. Quantity	
		9. Scientific name of species		10. CITES Appendix
		11. Common name of species		12. EC Annex
C	6. Description of specimens (incl. (re-)export document number for CITES Appendix III species)	7. Net mass (kg)	8. Quantity	
		9. Scientific name of species		10. CITES Appendix
		11. Common name of species		12. EC Annex
D	6. Description of specimens (incl. (re-)export document number for CITES Appendix III species)	7. Net mass (kg)	8. Quantity	
		9. Scientific name of species		10. CITES Appendix
		11. Common name of species		12. EC Annex
E	6. Description of specimens (incl. (re-)export document number for CITES Appendix III species)	7. Net mass (kg)	8. Quantity	
		9. Scientific name of species		10. CITES Appendix
		11. Common name of species		12. EC Annex
F	6. Description of specimens (incl. (re-)export document number for CITES Appendix III species)	7. Net mass (kg)	8. Quantity	
		9. Scientific name of species		10. CITES Appendix
		11. Common name of species		12. EC Annex

13. For specimens above which are of species listed in Appendix III to CITES, I attach the necessary documents from the (re-)exporting country. Signature of importer or his authorised representative	14. Official stamp of border customs office:

Instructions and explanations

1. Enter full name and address of importer or authorised representative.

4. The country of origin is the country where the specimens were taken from the wild, born and bred in captivity or artificially propagated.

5. Only applies where the country from which the specimens are imported is not the country of origin.

6. Description must be as precise as possible.

9. The scientific name must be the name used in Annex C or D to Regulation (EC) No 338/97.

10. Enter III for species listed in Appendix III to CITES.

12. Enter the letter (C or D) of the Annex to Regulation (EC) No 338/97 in which the species is listed.

13. The importer has to submit the signed original (form 1) and 'copy for the importer' (form 2), where appropriate together with CITES Appendix III documents from the (re-)exporting country to the customs office of introduction into the Community.

14. The customs office shall send the stamped original (form 1) to the management authority of his country and return the stamped 'copy for the importer' (form 2) to the importer or his authorised representative.

EUROPEAN COMMUNITY **CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA**	**TRAVELLING-EXHIBITION CERTIFICATE** **Original** 1. Certificate No 2. Valid until
3. Owner of specimen(s) (name, permanent address and country of registration) Signature of owner	4. Issuing management authority

5. Special conditions:

(a) Valid for multiple cross-border movements and allowing the specimens to be displayed to the public in accordance with Article 8(3) Regulation (EC) No 338/97. Owner to retain original form.

(b) The specimen(s) covered by this certificate may not be sold or otherwise transferred, in compliance with the provisions of Regulation (EC) No 338/97, in any State other than the State in which the exhibition is based and registered. This certificate is non-transferable. If the specimen(s) dies, is stolen, destroyed, lost, sold or otherwise transferred, this certificate must be immediately returned by the owner to the issuing Management Authority.

(c) This certificate is not valid unless accompanied by a continuation sheet

(d) The certificate shall in no way affect the right of States to adopt stricter domestic measures regarding restrictions or conditions for the certified specimens, especially the holding/keeping of live animals.

This certificate is valid only if the transport conditions conform to the Guidelines for Transport of Live Animals or, in the case of air transport, to the IATA Live Animal Regulations

6. Country of import **Various**	7. Purpose of the transaction **Q**	8. Security stamp No
9. Scientific name (genus and species) and common name of species	10. Description of specimen/s, including identifying marks or numbers, age, sex	11. Quantity
12. CITES Appendix	13. EC Annex	14. Source

15. Country of origin	16. Permit No and date	17. Exhibition registration number	18. Date of acquisition (if specimen originated in a Member State of the Community)

19. This certificate is issued by:

Place | Date | Signature and official seal

20. Additional conditions

21. Customs endorsement (see continuation sheet)

Instructions and explanations

1. A unique number should be generated by the issuing management authority for the certificate.

2. The date of expiry of the document may not be more than three years after the date of issuance. Where the travelling exhibition originates from a third country the expiry date shall be no later than that indicated on the equivalent certificate from that country.

3. Complete the full name, permanent address and country of the owner of the specimen covered by the certificate. Absence of the signature of the owner renders the certificate invalid.

4. The name, address and country of the issuing management authority should already be pre-printed on the form.

5. This block has been pre-printed to indicate the validity of the certificate for multiple cross-border movements of the specimen with its exhibition for exhibition purposes only, allowing the specimens to be displayed to the public in accordance with Article 8(3) of Regulation (EC) No 338/97 and to clarify that the certificate is not to be collected but is to remain with the specimen/owner. This block also can be used to justify the omission of certain information.

6. This block has been pre-printed to indicate that cross-border movement is permitted to any country accepting this certificate as a matter of national law.

7. This block has been pre-printed with the code Q for circuses and travelling exhibitions.

8. Where appropriate, indicate the number of the security stamp affixed in block 19.

9. The scientific name must be in accordance with the standard references for nomenclature referred to in Annex VIII to Regulation 865/2006 [laying down detailed rules concerning the implementation of Council Regulation (EC) No 338/97 on the protection of species of wild fauna and flora by regulating trade therein].

10. Describe, as precisely as possible, the specimen covered by the certificate, including identifying marks (tags, rings, unique markings, etc.) sufficient to permit the authorities of the country into which the exhibition enters to verify that the certificate corresponds to the specimen covered. The sex and age, at the time of the issuance of the certificate, should be recorded, where possible.

11. Indicate the total number of specimens. In the case of live animals it should normally be one. If more than one specimen, state 'see attached inventory'.

12. Enter the number of the Appendix to the Convention (I, II or III) in which the species is listed at the time of issuance of the permit or certificate.

13. Enter the letter of the Annex to Regulation (EC) No. 338/97 (A, B or C) in which the species is listed at the time of issuance of the permit or certificate.

14. Use the codes below to indicate the source. This certificate may not be used for specimens with source code W, R, F or U unless they were acquired in, or were introduced into, the Community before the provisions relating to species listed in Appendices I, II or III to the Convention or Annex C to Regulation (EEC) No. 3626/82 or Annexes A, B and C to Regulation (EC) No. 338/97 became applicable to them and the code O is also used.

W	Specimens taken from the wild
R	Specimens originating from a ranching operation
A	Annex A plants artificially propagated for non-commercial purposes and Annexes B and C plants artificially propagated in accordance with Chapter XIII of Regulation (EC) No 865/2006, as well as parts and derivatives thereof
C	Annex A animals bred in captivity for non-commercial purposes and Annexes B and C animals bred in captivity in accordance with Chapter XIII of Regulation (EC) No 865/2006, as well as parts and derivatives thereof
F	Animals born in captivity, but for which the criteria of Chapter XIII of Regulation (EC) No 865/2006 are not met, as well as parts and derivatives thereof
U	Source unknown (must be justified)
O	Pre-Convention (may be used in conjunction with any other code).

15/16. The country of origin is the country where the specimens were taken from the wild, born and bred in captivity or artificially propagated. Where this is a third country, box 16 must contain details of the relevant permit. Where specimens originating in a Member State of the Community are exported from another, only the name of the Member State of origin must be mentioned in box 15.

17. This block must contain the exhibition registration number.

18. Enter the date of acquisition only for specimens which were acquired in or were introduced into, the Community before the provisions relating to species listed in Appendices I, II or III to the Convention or Annex C to Regulation (EEC) No 3626/82 or Annexes A, B and C to Regulation (EC) No 338/97 applied to them.

19. To be completed by the official who issues the certificate. A certificate may only be issued by the management authority of the country where an exhibition is based and only when the owner of the exhibition has registered full details of the specimen with that management authority. In the case of an exhibition originating in a third country, a certificate may only be issued by the management authority of the country of first destination. The name of the issuing official must be written in full. The seal, signature and, where appropriate, security stamp number, should be clearly legible.

20. This block may be used to refer to national legislation or additional special conditions placed on the cross-border movement by the issuing management authority.

21. This block has been pre-printed to refer to the attached continuation sheet, which should indicate all cross-border movements.

Subject to point 5, upon expiration, this document must be returned to the issuing management authority.

The holder or his authorised representative shall surrender the original of this certificate (form 1) — and, where applicable, the travelling exhibition certificate issued by a third country — for verification purposes and submit the accompanying continuation sheet or (where the certificate is issued on the basis of an equivalent certificate from a third country) the two continuation sheets and copies thereof to a customs office designated in accordance with Article 12(1) of Regulation (EC) No 338/97. The customs office shall, after completing the continuation sheet or sheets, return the original of this certificate (form 1), the original certificate issued by a third country (where applicable) — and the continuation sheet or sheets — to the holder or to his authorised representative and forward an endorsed copy of the continuation sheet of the certificate issued by Member State's management authority to the relevant management authority in accordance with Article 23 of Regulation 865/2006.

EUROPEAN COMMUNITY

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

TRAVELLING-EXHIBITION CERTIFICATE

Copy for the Issuing Authority

1. Certificate No	2. Valid until

3. Owner of specimen(s) (name, permanent address and country of registration) Signature of owner	4. Issuing management authority

5. Special conditions:

(a) Valid for multiple cross-border movements and allowing the specimens to be displayed to the public in accordance with Article 8(3) Regulation (EC) No 338/97. Owner to retain original form.

(b) The specimen(s) covered by this certificate may not be sold or otherwise transferred, in compliance with the provisions of Regulation (EC) No 338/97, in any State other than the State in which the exhibition is based and registered. This certificate is non-transferable. If the specimen(s) dies, is stolen, destroyed, lost, sold or otherwise transferred, this certificate must be immediately returned by the owner to the issuing Management Authority.

(c) This certificate is not valid unless accompanied by a continuation sheet

(d) The certificate shall in no way affect the right of States to adopt stricter domestic measures regarding restrictions or conditions for the certified specimens, especially the holding/keeping of live animals.

This certificate is valid only if the transport conditions conform to the Guidelines for Transport of Live Animals or, in the case of air transport, to the IATA Live Animal Regulations

6. Country of import **Various**	7. Purpose of the transaction **Q**	8. Security stamp No
9. Scientific name (genus and species) and common name of species	10. Description of specimen/s, including identifying marks or numbers, age, sex	11. Quantity
12. CITES Appendix	13. EC Annex	14. Source

15. Country of origin	16. Permit No and date	17. Exhibition registration number	18. Date of acquisition (if specimen originated in a Member State of the Community)

19. This certificate is issued by:

Place	Date	Signature and official seal

20. Additional conditions

21. Customs endorsement (see continuation sheet)

EUROPEAN COMMUNITY CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA	TRAVELLING-EXHIBITION CERTIFICATE APPLICATION
3. Owner of specimen(s) (name, permanent address and country of registration) Signature of owner	4. Issuing management authority

6. Country of import **Various**	7. Purpose of the transaction **Q**	8. Security stamp No
9. Scientific name (genus and species) and common name of species	10. Description of specimen/s, including identifying marks or numbers, age, sex	11. Quantity
12. CITES Appendix	13. EC Annex	14. Source

15. Country of origin	16. Permit No and date	17. Exhibition registration number	18. Date of acquisition (if specimen originated in a Member State of the Community)

19. I hereby apply for the certificate indicated above.

Remarks

I attach the necessary documentary evidence and declare that all the particulars provided are to the best of my knowledge and belief correct.

I declare that an application for a certificate for the above specimens was not previously rejected.

Signature

Name of Applicant

Place and date

Live animals will be transported in compliance with the CITES Guidelines for the Transport and Preparation for Shipment of Live Wild Animals or, in the case of air transport, the Live Animals Regulations published by the International Air Transport Association (IATA)

Instructions and explanations

3. Complete the full name, permanent address and country of the owner of the specimen covered by the certificate (not of an agent). Absence of the signature of the owner renders the certificate invalid.

8. Where appropriate, indicate the number of the security stamp affixed in block 19.

9. The scientific name must be in accordance with the standard references for nomenclature referred to in Annex VIII to Regulation 865/2006 [laying down detailed rules concerning the implementation of Council Regulation (EC) No 338/97 on the protection of species of wild fauna and flora by regulating trade therein].

10. Describe, as precisely as possible, the specimen covered by the certificate, including identifying marks (tags, rings, unique markings, etc.) sufficient to permit the authorities of the country into which the exhibition enters to verify that the certificate corresponds to the specimen covered. The sex and age, at the time of the issuance of the certificate, should be recorded, where possible.

11. Indicate the total number of specimens. In the case of live animals it should normally be one. If more than one specimen, state 'see attached inventory'.

12. Enter the number of the Appendix to the Convention (I, II or III) in which the species is listed at the time of application.

13. Enter the letter of the Annex to Regulation (EC) No. 338/97 (A, B or C) in which the species is listed at the time of application.

14. Use the codes below to indicate the source. This certificate may not be used for specimens with source code W, R, F or U unless they were acquired in, or were introduced into, the Community before the provisions relating to species listed in Appendices I, II or III to the Convention or Annex C to Regulation (EEC) No. 3626/82 or Annexes A, B and C to Regulation (EC) No. 338/97 became applicable to them and the code O is also used.

W Specimens taken from the wild

R Specimens originating from a ranching operation

A Annex A plants artificially propagated for non-commercial purposes and Annexes B and C plants artificially propagated in accordance with Chapter XIII of Regulation (EC) No 865/2006, as well as parts and derivatives thereof

C Annex A animals bred in captivity for non-commercial purposes and Annexes B and C animals bred in captivity in accordance with Chapter XIII of Regulation (EC) No 865/2006, as well as parts and derivatives thereof

F Animals born in captivity, but for which the criteria of Chapter XIII of Regulation (EC) No 865/2006 are not met, as well as parts and derivatives thereof

U Source unknown (must be justified)

O Pre-Convention (may be used in conjunction with any other code).

15/16. The country of origin is the country where the specimens were taken from the wild, born and bred in captivity, or artificially propagated. Where this is a third country (i.e. a non-EU country), box 16 must contain details of the relevant permit. Where specimens originating in a Member State of the Community are exported from another, only the name of the Member State of origin must be mentioned in box 15.

17. This block must contain the exhibition registration number.

18. Enter the date of acquisition only for specimens which were acquired in, or were introduced into, the Community before the provisions relating to species listed in Appendices I, II or III to the Convention or Annex C to Regulation (EEC) No. 3626/82 or Annexes A, B and C to Regulation (EC) No. 338/97 applied to them.

19. Provide as many details as possible and justify any omissions to the information required above.

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

TRAVELLING-EXHIBITION CERTIFICATE
PERSONAL OWNERSHIP CERTIFICATE

CONTINUATION SHEET

Page _____ of _____

1. Original certificate No

4. Issuing management authority

8. Security stamp No

3. Owner of specimen(s) (name, permanent address and country of registration)

Customs office of import	Date	Signature	Official stamp	Customs office of (re-)export	Date	Signature	Official stamp

ANNEX V

EUROPEAN COMMUNITY

1

ORIGINAL

1

1. Holder

CERTIFICATE

Not for use outside the European Community

No

Council Regulation (EC) No 338/97 and Commission Regulation (EC) No 865/2006 on the protection of species of wild fauna and flora by regulating trade therein

2. Authorised location for live specimens of Annex A species

3. Issuing management authority

4. Description of specimens (incl. marks, sex/date of birth for live animals)

5. Net mass (kg)

6. Quantity

7. CITES Appendix

8. EC Annex

9. Source

10. Country of origin

11. Permit No

12. Date of issue

16. Scientific name of species

13. Member State of import

17. Common name of species

14. Document No

15. Date of issue

18. It is hereby certified that the specimens described above:

- ☐ were taken from the wild in accordance with the legislation in force in the issuing Member State
- ☐ are abandoned or escaped specimens that were recovered in accordance with the legislation in force in the issuing Member State
- ☐ are captive born-and-bred or artificially propagated specimens
- ☐ were acquired in or introduced into the Community in compliance with the provisions of Council Regulation (EC) No 338/97.
- ☐ were acquired in or introduced into the Community before 1 June 1997 in accordance with Council Regulation (EEC) No 3626/82.
- ☐ were acquired in or introduced into the Community before 1 January 1984 in compliance with the provisions of CITES
- ☐ were acquired in or introduced into the issuing Member State before the provisions of Regulations (EC) No 338/97 or 3626/82 or of CITES became applicable in this territory
- ☐ are to be used for the advancement of science/breeding or propagation/research or education or other non-detrimental purposes

19. This document is issued for the purpose of :

- ☐ confirming that a specimen to be (re-)exported has been acquired in accordance with the legislation in force on the protection of the species in question
- ☐ exempting Annex A specimens from the prohibitions relating to commercial activities listed in Article 8.1 of Regulation (EEC) No 338/97
- ☐ authorising the movement within the Community of a live Annex A specimen from the location indicated in the import permit or in any certificate

20. Special conditions

- ☐ certificate valid only for holder named in box 1 (issued under Article 48 (1) (d) of Regulation (EC) No 865/2006)

Name of issuing official | Place and date | Signature and stamp

Instructions and explanations

1. Full name and address of the holder of the certificate, not of an agent.

2. Only to be completed in case the import permit for the specimens concerned prescribes the location at which they are to be kept, or where specimens that were taken from the wild in a Member State shall be required to be kept at an authorised address.

Any movement, except for urgent veterinary treatment and provided the specimens are returned directly to their authorized location, from the location indicated shall then be subject to prior authorization from the competent management authority (see box 19).

4. Description must be as precise as possible and include a three-letter code in accordance with Annex VII to Regulation (EC) No 865/2006 [laying down detailed rules concerning the implementation of Council Regulation (EC) No 338/97 on the protection of species of wild fauna and flora by regulating trade therein].

5/6. Use the units of quantity and/or net mass in accordance with those contained in Annex VII to Regulation (EC) No 865/2006.

7. Enter the number of the CITES Appendix (I, II or III) in which the species is listed at the date of issue of the permit/certificate.

8. Enter the letter of the Annex to Regulation (EC) No 338/97 (A, B or C) in which the species is listed at the date of issue of the permit/certificate.

9. Use one of the following codes to indicate the source:

W Specimens taken from the wild

R Specimens originating from a ranching operation

D Annex A animals bred in captivity for commercial purposes and Annex A plants artificially propagated for commercial purposes in accordance with Chapter XIII of Regulation (EC) No 865/2006, as well as parts and derivatives thereof

A Annex A plants artificially propagated for non-commercial purposes and Annexes B and C plants artificially propagated in accordance with Chapter XIII of Regulation (EC) No 865/2006, as well as parts and derivatives thereof

C Annex A animals bred in captivity for non-commercial purposes and Annexes B and C animals bred in captivity in accordance with Chapter XIII of Regulation (EC) No 865/2006, as well as parts and derivatives thereof

F Animals born in captivity, but for which the criteria of Chapter XIII of Regulation (EC) No 865/2006 are not met, as well as parts and derivatives thereof

I Confiscated or seized specimens ([1])

O Pre-convention ([1])

U Source unknown (must be justified)

10 to 12. The country of origin is the country where the specimens were taken form the wild, born and bred in captivity, or artificially propagated.

13 to 15. The Member State of import is, where applicable, the Member State having issued the import permit for the specimens concerned.

16. The scientific name must be in accordance with the standard references for nomenclature referred to in Annex VIII to Regulation (EC) No 865/2006.

([1]) To be used only in conjunction with another source code.

EUROPEAN COMMUNITY

2

COPY for the issuing authority

2

1. Holder	CERTIFICATE *Not for use outside the European Community*		No
	Council Regulation (EC) No 338/97 and Commission Regulation (EC) No 865/2006 on the protection of species of fauna and flora by regulating trade therein		
2. Authorised location for live specimens of Annex A species	3. Issuing management authority		
4. Description of specimens (incl. marks, sex/date of birth for live animals)	5. Net mass (kg)		6. Quantity
	7. CITES Appendix	8. EC Annex	9. Source
	10. Country of origin		
	11. Permit No		12. Date of issue
16. Scientific name of species		13. Member State of import	
17. Common name of species	14. Document No		15. Date of issue

18. It is hereby certified that the specimens described above:

- ☐ were taken from the wild in accordance with the legislation in force in the issuing Member State
- ☐ are abandoned or escaped specimens that were recovered in accordance with the legislation in force in the issuing Member State
- ☐ are captive born-and-bred or artificially propagated specimens
- ☐ were acquired in or introduced into the Community in compliance with the provisions of Council Regulation (EC) No 338/97.
- ☐ were acquired in or introduced into the Community before 1 June 1997 in accordance with Council Regulation (EEC) No 3626/82.
- ☐ were acquired in or introduced into the Community before 1 January 1984 in compliance with the provisions of CITES
- ☐ were acquired in or introduced into the issuing Member State before the provisions of Regulations (EC) No 338/97 or (EEC) No 3626/82 or of CITES became applicable in this territory
- ☐ are to be used for the advancement of science/breeding or propagation/research or education or other non-detrimental purposes

19. This document is issued for the purpose of:

- ☐ confirming that a specimen to be (re-)exported has been acquired in accordance with the legislation in force on the protection of the species in question
- ☐ exempting Annex A specimens from the prohibitions relating to commercial activities listed in Article 8.1 of Regulation (EC) No 338/97
- ☐ authorising the movement within the Community of a live Annex A specimen from the location indicated in the import permit or in any certificate

20. Special conditions

- ☐ certificate valid only for holder named in box 1 (issued under Article 48(1)(d) of Regulation (EC) No 865/2006)

Name of issuing official | Place and date | Signature and stamp

EUROPEAN COMMUNITY

3

APPLICATION

1. Applicant	CERTIFICATE *Not for use outside the European Community*	No
	Council Regulation (EC) No 338/97 and Commission Regulation (EC) No 865/2006 on the protection of species of fauna and flora by regulating trade therein	
2. Authorised location for live specimens of Annex A species	3. Issuing management authority	
4. Description of specimens (incl. marks, sex/date of birth for live animals)	5. Net mass (kg)	6. Quantity
	7. CITES Appendix / 8. EC Annex	9. Source
	10. Country of origin	
	11. Permit No	12. Date of issue
16. Scientific name of species		13. Member State of import
17. Common name of species	14. Document No	15. Date of issue

3

18. I hereby certify that the specimens described above:

- ☐ were taken from the wild in accordance with the legislation in force in the issuing Member State
- ☐ are abandoned or escaped specimens that were recovered in accordance with the legislation in force in the issuing Member State
- ☐ are captive born-and-bred or artificially propagated specimens
- ☐ were acquired in or introduced into the Community in compliance with the provisions of Council Regulation (EC) No 338/97
- ☐ were acquired in or introduced into the Community before 1 June 1997 in accordance with Council Regulation (EEC) No 3626/82
- ☐ were acquired in or introduced into the Community before 1 January 1984 in compliance with the provisions of CITES
- ☐ were acquired in or introduced into the issuing Member State before the provisions of Regulations (EC) No 338/97 or (EEC) No 3626/82 or of CITES became applicable in this territory
- ☐ are to be used for the advancement of science/breeding or propagation/research or education or other non-detrimental purposes

19. I request a document for the purpose of :

- ☐ confirming that a specimen to be (re-) exported has been acquired in accordance with the legislation in force on the protection of the species in question
- ☐ exempting Annex A specimens from the prohibitions relating to commercial activities listed in Article 8.1 of Regulation (EC) No 338/97
- ☐ authorising the movement within the Community of a live Annex A specimen from the location indicated in the import permit or in any certificate

20. Remarks

I attach the necessary documentary evidence and declare that all the particulars provided are to the best of my knowledge and belief correct.

I declare that an application for a permit/certificate for the above specimens was not previously rejected.

Name of applicant | Signature | Place and date

Instructions and explanations

1. Full name and address of the applicant for the certificate, not of an agent.

2. To be completed only on the application form in the case of live specimens of Annex A species other than captive bred or artificially propagated specimens.

4. Description must be as precise as possible and include a three-letter code in accordance with Annex VII to Regulation (EC) No 865/2006 [laying down detailed rules concerning the implementation of Council Regulation (EC) No 338/97 on the protection of species of wild fauna and flora by regulating trade therein].

5/6. Use the units of quantity and/or net mass in accordance with those contained in Annex VII to Regulation (EC) No 865/2006.

7. Enter the number of the CITES Appendix (I, II or III) in which the species is listed at the date of application.

8. Enter the letter of the Annex to Regulation (EC) No 338/97 (A, B or C) in which the species is listed at the date application.

9. Use one of the following codes to indicate the source:

W Specimens taken from the wild

R Specimens originating from a ranching operation

D Annex A animals bred in captivity for commercial purposes and Annex A plants artificially propagated for commercial purposes in accordance with Chapter XIII of Regulation (EC) No 865/2006, as well as parts and derivatives thereof

A Annex A plants artificially propagated for non-commercial purposes and Annexes B and C plants artificially propagated in accordance with Chapter XIII of Regulation (EC) No 865/2006, as well as parts and derivatives thereof

C Annex A animals bred in captivity for non-commercial purposes and Annexes B and C animals bred in captivity in accordance with Chapter XIII of Regulation (EC) No 865/2006, as well as parts and derivatives thereof

F Animals born in captivity, but for which the criteria of Chapter XIII of Regulation (EC) No 865/2006 are not met, as well as parts and derivatives thereof

I Confiscated or seized specimens ([1])

O Pre-convention ([1])

U Source unknown (must be justified)

10 to 12. The country of origin is the country where the specimens were taken from the wild, born and bred in captivity, or artificially propagated.

13 to 15. The Member State of import is, where applicable, the Member State having issued the import permit for the specimens concerned.

16. The scientific name must be in accordance with the standard references for nomenclature referred to in Annex VII to Regulation (EC) No 865/2006.

18. Provide as many details as possible and justify any omissions to the information required above.

([1]) To be used only in conjunction with another source code.

Convention on International Trade in Endangered Species of Wild Fauna and Flora

Article VII(6)

SCIENTIFIC MATERIAL

1. Contents:

2. From (full name and address):

3. Registration No: ☐☐☐☐☐

4. To (full name and address):

5. Registration No: ☐☐☐☐☐

Label No:

This part to be returned to the management authority immediately after use

Registration No of sender ☐☐☐☐☐

Registration No of recipient ☐☐☐☐☐

Contents:

Label No:

ANNEX VII

Codes to be included in the description of specimens and units of measure to be used in permits and certificates pursuant to Article 5(1) and (2)

Description	Code	Preferred units	Alternative units	Explanation
Bark	BAR	kg		Tree bark (raw, dried or powdered; unprocessed)
Body	BOD	Number	kg	Substantially whole dead animals, including fresh or processed fish, stuffed turtles, preserved butterflies, reptiles in alcohol, whole stuffed hunting trophies, etc.
Bone	BON	kg	Number	Bones, including jaws
Calipee	CAL	kg		Calipee or calipash (turtle cartilage for soup)
Carapace	CAP	Number	kg	Raw or unworked whole shells of *Testudinata* species
Carving	CAR	kg	m^3	Carvings (including wood, and including finished wood products such as furniture, musical instruments and handicrafts). NB: there are some species from which more than one type of product may be carved (e.g. horn and bone); where necessary, the description should therefore indicate the type of product (e.g. horn carving)
Caviar	CAV	kg		Unfertilised dead processed eggs from all species of *Acipenseriformes*; also known as roe
Chips	CHP	kg		Chips of timber, especially *Aquilaria malaccensis* and *Pterocarpus santalinus*
Claw	CLA	Number	kg	Claws — e.g. of *Felidae*, *Ursidae* or *Crocodylia* (NB: 'turtle claws' are usually scales and not real claws)
Cloth	CLO	m^2	kg	Cloth — If the cloth is not made entirely from the hair of a CITES species, the weight of hair of the species concerned should instead, if possible, be recorded under 'HAI'
Coral (raw)	COR	kg	Number	Dead coral and coral rock, NB: the trade should be recorded by number of pieces only if the coral specimens are transported in water.
Culture	CUL	Number of flasks, etc.		Cultures of artificially propagated plants
Derivatives	DER	kg/l		Derivatives (other than those included elsewhere in this table)
Dried plant	DPL	Number		Dried plants — e.g. herbarium specimens
Ear	EAR	Number		Ears — Usually elephant
Egg	EGG	Number	kg	Whole dead or blown eggs, (see also caviar)

Description	Code	Preferred units	Alternative units	Explanation
Egg (live)	EGL	Number	kg	Live eggs — usually birds and reptiles but includes fish and invertebrates
Eggshell	SHE	g/kg		Raw or unworked eggshell except whole eggs
Extract	EXT	kg	L	Extract — usually plant extracts
Feather	FEA	kg/Number of wings	Number	Feathers — in the case of objects (e.g. pictures) made of feathers, record the number of objects
Fibre	FIB	kg	M	Fibres — e.g. plant fibre but includes strings of tennis rackets
Fin	FIN	kg		Fresh, frozen or dried fins and parts of fins
Fingerlings	FIG	kg	Number	Juvenile fish of one or two years of age for the aquarium trade, hatcheries or for release operations
Flower	FLO	kg		Flowers
Flower pot	FPT	Number		Flower pots made from parts of a plant, e.g. treefern fibres (NB: live plants traded in so-called 'community pots' should be recorded as 'live plants', not as flower pots)
Frogs' legs	LEG	kg		Frog legs
Fruit	FRU	kg		Fruit
Foot	FOO	Number		Feet — e.g. elephant, rhinoceros, hippopotamus, lion, crocodile, etc.
Gall	GAL	kg		Gall
Gall bladder	GAB	Number	kg	Gall bladder
Garment	GAR	Number		Garments — including gloves and hats but not shoes. Includes trimming or decoration on garments
Genitalia	GEN	kg	Number	Castrates and dried penes
Graft rootstock	GRS	Number		Graft rootstocks (without the grafts)
Hair	HAI	kg	G	Hair — includes all animal hair, e.g. of elephant, yak, vicuña, guanaco
Horn	HOR	Number	kg	Horns — includes antlers
Leather product (small)	LPS	Number		Small manufactured products of leather, e.g. belts, braces, bicycle saddles, cheque book or credit card holders, earrings, handbags, key fobs, notebooks, purses, shoes tobacco pouches, wallets, watch-straps
Leather product (large)	LPL	Number		Large manufactured products of leather — e.g. briefcases, furniture, suitcases, travel trunks
Live	LIV	Number		Live animals and plants. Specimens of live coral transported in water should be recorded by number of pieces only.

Description	Code	Preferred units	Alternative units	Explanation
Leaf	LVS	Number	kg	Leaves
Logs	LOG	m^3		All wood in the rough, whether or not stripped of bark or sapwood, or roughly squared, for processing notably into sawn wood, pulpwood or veneer sheets. NB: trade in logs of special purpose timbers traded by weight (e.g. lignum vitae, *Guaiacum* spp.) should be recorded in kg.
Meat	MEA	kg		Meat, includes flesh of fish if not whole, (see 'body')
Medicine	MED	kg/l		Medicine
Musk	MUS	g		Musk
Oil	OIL	kg	L	Oil — e.g. from turtles, seals, whales, fish, various plants
Piece — bone	BOP	kg		Pieces of bone, not manufactured
Piece — horn	HOP	kg		Pieces of horn, not manufactured — includes scrap
Piece — ivory	IVP	kg		Ivory pieces, not manufactured — includes scrap
Plate	PLA	m^2		Plates of fur-skins — includes rugs if made of several skins
Powder	POW	kg		Powder
Root	ROO	Number	kg	Roots, bulbs, corms or tubers
Sawn wood	SAW	m^3		Wood simply sawn lengthwise or produced by a profile-chipping process; normally exceeds 6 mm in thickness. NB: trade in sawn wood of special purpose timbers traded by weight (e.g. lignum vitae, *Guaiacum* spp.) should be recorded in kg.
Scale	SCA	kg		Scale — e.g. of turtle, other reptiles, fish, pangolins
Seed	SEE	kg		Seeds
Shell	SHE	Number	kg	Raw or unworked shell of molluscs
Side	SID	Number		Sides or flanks of skins; does not include crocodilian Tinga frames (see under 'skin')
Skeleton	SKE	Number		Substantially whole skeletons
Skin	SKI	Number		Substantially whole skins, raw or tanned, including crocodilian Tinga frames
Skin piece	SKP	Number		Skin pieces — includes scraps, raw or tanned
Skull	SKU	Number		Skulls
Soup	SOU	kg	L	Soup — e.g. of turtle

Description	Code	Preferred units	Alternative units	Explanation
Specimen (scientific)	SPE	kg/l/ml		Scientific specimens — includes blood, tissue, (e.g. kidney, spleen, etc.) histological preparations, etc.
Stem	STE	Number	kg	Plant stems
Swim bladder	SWI	kg		Hydrostatic organ, including isinglass/sturgeon glue
Tail	TAI	Number	kg	Tails — e.g. of caiman (for leather) or fox (for garment trimming, collars, boas, etc.)
Tooth	TEE	Number	kg	Teeth — e.g. of whale, lion, hippopotamus, crocodile, etc.
Timber	TIM	m^3	kg	Raw timber except saw-logs and sawn wood
Trophy	TRO	Number		Trophy — all the trophy parts of one animal if they are exported together: e.g. horns (2), skull, cape, backskin, tail and feet (i.e. 10 specimens) constitute one trophy. But if, for example, the skull and horns are the only specimens of an animal that are exported, then these items together should be recorded as one trophy. Otherwise the items should be recorded separately. A whole stuffed body is recorded under 'BOD'. A skin alone is recorded under 'SKI'.
Tusk	TUS	Number	kg	Substantially whole tusks, whether or not worked. Includes tusks of elephant, hippopotamus, walrus, narwhal, but not other teeth.
Veneer sheets — rotary veneer — slices veneer	VEN	m^3, m^2	kg	Thin layers or sheets of wood of uniform thickness, usually 6 mm or less in thickness, usually peeled (rotary veneer) or sliced (sliced veneer), for use in making plywood, for veneering furniture, veneer containers, etc.
Wax	WAX	kg		Wax, includes ambergris
Whole	WHO	kg	Number	Entire animal or plant (dead or alive)

Key to units (equivalent non-metric measurements may be used)

g = grams
kg = kilograms
l = litres
cm^3 = cubic centimetres
ml = millilitres
m = metres
m^2 = square metres
m^3 = cubic metres
Number = number of specimens

ANNEX VIII

Standard references for nomenclature to be used pursuant to Article 5(4) to indicate scientific names of species in permits and certificates

(a) Mammalia

Wilson, D. E and Reeder, D. M. 1993. Mammal *Species of the World: a Taxonomic* and *Geographic Reference*. Second edition. Smithsonian Institution Press, Washington. [for all mammals — with the exception of the recognition of the following names for wild forms of species (in preference to names for domestic forms): *Bos gaurus, Bos mutus, Bubalus arnee, Equus africanus, Equus przewalskii, Ovis orientalis ophion*]

Alperin, R. 1993. *Callithrix argentata* (Linnaeus, 1771): taxonomic observations and description of a new subspecies. *Boletim do Museu Paraense Emilio Goeldi*, Serie Zoologia 9: 317-328. [for *Callithrix marcai*]

Dalebout, M. L., Mead, J. G., Baker, C. S., Baker, A. N. and van Helden, A. L. 2002. A new species of beaked whale *Mesoplodon perrini* sp. n. (Cetacea: Ziphiidae) discovered through phylogenetic analyses of mitochondrial DNA sequences. *Marine Mammal Science* 18: 577-608. [for *Mesoplodon perrini*]

Ferrari, S. F. and Lopes, M. A. 1992. A new species of marmoset, genus *Callithrix* Erxleben 1777 (Callitrichidae, Primates) from western Brazilian Amazonia. *Goeldiana Zoologia* 12: 1-13. [for *Callithrix nigriceps*]

Flannery, T. F. and Groves, C. P. 1998. A revision of the genus *Zaglossus* (Monotremata, Tachyglossidae), with description of new species and subspecies. Mammalia 62: 367-396. [for *Zaglossus attenboroughi*]

Groves, C. P. 2000. The genus *Cheirogaleus*: unrecognised biodiversity in dwarf lemurs. *International Journal of* Primatology 21: 943-962. [for *Cheirogaleus minusculus* & *Cheirogaleus ravus*]

van Helden, A. L., Baker, A. N., Dalebout, M. L., Reyes, J. C., van Waerebeek, K. and Baker, C. S. 2002. Resurrection of *Mesoplodon traversii* (Gray, 1874), senior synonym of *M. bahamondi* Reyes, van Waerebeek, Cárdenas and Yáñez, 1995 (Cetacea: Ziphiidae). *Marine Mammal Science* 18: 609-621. [for *Mesoplodon traversii*]

Honess, P. E. and Bearder, S. K. 1997. Descriptions of the dwarf galago species of Tanzania. *African Primates* 2: 75-79. [for *Galagoides rondoensis* & *Galagoides udzungwensis*]

Kingdon, J. 1997. *The Kingdon fieldguide to African mammals*. London, Academic Press. [for *Miopithecus ogouensis*]

Kobayashi, S. and Langguth, A. 1999. A new species of titi monkey, *Callicebus* Thomas, from north-eastern Brazil (Primates, Cebidae). *Revista Brasileira de Zoologia* 16: 531-551. [for *Callicebus coimbrai*]

Mittermeier, R. A., Schwarz, M. and Ayres, J. M. 1992. A new species of marmoset, genus *Callithrix* Erxleben, 1777 (Callitrichidae, Primates) from the Rio Maues Region, State of Amazonas, central Brazilian Amazonia. *Goeldiana Zoologia* 14: 1-17. [for *Callithrix mauesi*]

Rasoloarison, R. M., Goodman, S. M. and Ganzhorn, J. U. 2000. Taxonomic revision of mouse lemurs (*Microcebus*) in the western portions of Madagascar. *International Journal of Primatology* 21: 963-1019. [for *Microcebus berthae, Microcebus sambiranensis* & *Microcebus tavaratra*]

Rice, D. W. 1998. *Marine Mammals* of the *World. Systematics and distribution*. Special Publication Number 4: i-ix, 1-231. The Society for Marine Mammals. [for *Balaenoptera*]

Richards, G. C. and Hall, L. S. 2002. A new flying-fox of the genus *Pteropus* (Chiroptera: Pteropodidae) from Torres Strait, Australia. *Australian Zoologist* 32: 69-75. [for *Pteropus banakrisi*]

van Roosmalen, M. G. M., van Roosmalen, T., Mittermeier, R. A. and Rylands, A. B. 2000. Two new species of marmoset, genus *Callithrix* Erxleben, 1777 (Callitrichidae, Primates), from the Tapajós/Madeira interfluvium, south Central Amazonia, Brazil. *Neotropical Primates* 10 (Suppl.): 2-18. [for *Callicebus bernhardi* & *Callicebus stephennashi*]

van Roosmalen, M. G. M, van Roosmalen, T., Mittermeier, R. A. and da Fonseca, G. A. B. 1998. A new and distinctive species of marmoset (Callitrichidae, Primates) from the lower Rio Aripuana, State of Amazonas, central Brazilian Amazonia. *Goeldiana Zoologia* 22: 1-27. [for *Callithrix humilis*]

van Roosmalen, M. G. M., van Roosmalen, T., Mittermeier, R. A. and Rylands, A. B. 2000. Two new species of marmoset, genus *Callithrix* Erxleben, 1777 (Callitrichidae, Primates), from the Tapajós/Madeira interfluvium, south Central Amazonia, Brazil. *Neotropical Primates* 8: 2-18. [for *Callithrix acariensis* & *Callithrix manicorensis*]

Schwartz, J. H. 1996. *Pseudopotto martini*: a new genus and species of extant lorisiform primate. *Anthropological Papers of the American Museum of Natural History* 78: 1-14. [for *Pseudopotto martini*]

Silva Jr, J. and Noronha, M. 1996. Discovery of a new species of marmoset in the Brazilian Amazon. *Neotropical Primates* 4: 58-59. [for *Callithrix saterei*]

Thalmann, U. and Geissmann, T. 2000. Distributions and geographic variation in the western woolly lemur (Avahi occidentalis) with description of a new species (A. unicolor). *International Journal of Primatology* 21: 915-941. [for *Avahi unicolor*]

Wang, J. Y., Chou, L.-S. & White, B. N. 1999. *Molecular Ecology* 8: 1603-1612. [for *Tursiops aduncus*]

Zimmerman, E., Cepok, S., Rakotoarison, N., Zietemann, V. and Radespiel, U. 1998. Sympatric mouse lemurs in north west Madagascar: a new rufous mouse lemur species (*Microcebus ravelobensis*). Folia Primatologica 69: 106-114. [for *Microcebus ravelobensis*]

(b) Aves

Morony, J. J., Bock, W. J. and Farrand, J., Jr. 1975. *A Reference List of the Birds of the World*. American Museum of Natural History. [for order- and family-level names for birds]

Sibley, C. G. and Monroe, B. L., Jr. 1990. *Distribution and Taxonomy of Birds of the World*. Yale University Press, New Haven. Sibley, C. G. and Monroe, B. L., Jr. 1993. *Supplement to the Distribution and Taxonomy of Birds of* the *World*. Yale University Press, New Haven. [for bird species, except for Psittaciformes & Trochilidae]

Collar, N. J. 1997. Family Psittacidae (Parrots). Pp. 280-477 in del Hoyo, J., Elliot, A. and Sargatal, J. eds. *Handbook of the Birds of the World*. Vol. 4. Sandgrouse to Cuckoos. Lynx Edicions, Barcelona. [for Psittacidae]

Gaban-Lima, R., Raposo, M. A. and Hofling, E. 2002. Description of a new species of Pionopsitta (Aves: Psittacidae) endemic to Brazil. *Auk* 119: 815-819. [for *Pionopsitta aurantiocephala*]

Howell, S. N. G. and Robbins, M. B. 1995. Species limits of the Least Pygmy-Owl (*Glaucidium minutissimum*) complex. Wilson Bulletin 107: 7-25. [for *Glaucidium parkeri*]

Lafontaine, R. M. and Moulaert, N. 1998. A new species of scops owl (Otus: Aves): taxonomy and conservation status. *Journal of African Zoology* 112: 163-169. [for *Otus moheliensis*]

Lambert, F. R. and Rasmussen, P. C. 1998. A new scops owl from Sangihe Island, Indonesia. *Bulletin of the British Ornithologists' Club* 204-217. [for *Otus collari*]

Olsen, J., Wink, M., Sauer-Gürth, H. and Trost, S. 2002. A new *Ninox* owl from Sumba, Indonesia. *Emu* 102: 223-231. [for *Ninoxsumbaensis*]

Rasmussen, P. C. 1998. A new scops-owl from Great Nicobar Island. *Bulletin of the British Ornithologists' Club* 118: 141-153. [for *Otus alius*]

Rasmussen, P. C. 1999. A new species of hawk-owl Ninox from North Sulawesi, Indonesia. *Wilson Bulletin* 111: 457-464. [for *Ninox ios*]

Robbins, M. B. and Stiles, F. G. 1999. A new species of pygmy-owl (Strigidae: *Glaucidium*) from the Pacific slope of the northern Andes. Auk 116: 305-315. [for *Glaucidium nubicola*]

Rowley, I. 1997. Family Cacatuidae (Cockatoos). Pp. 246-279 in del Hoyo, J., Elliot, A. and Sargatal, J. eds. *Handbook of the Birds of the World*. Vol. 4. Sandgrouse to Cuckoos. Lynx Edicions, Barcelona. [for Cacatuidae=Psittacidae]

Schuchmann, K. L. 1999. Family Trochilidae (Hummingbirds). Pp. 468-680 in del Hoyo, J., Elliot, A. and Sargatal, J. eds. *Handbook of the Birds of the World*. Vol. 5. Barn-owls to Hummingbirds. Lynx Edicions, Barcelona. [for Trochilidae]

da Silva, J. M. C., Coelho, G. and Gonzaga, P. 2002. Discovered on the brink of extinction: a new species of pygmy-owl (Strigidae: Glaucidium) from Atlantic forest of northeastern Brazil. *Ararajuba* 10 (2): 123-130 [for *Glaucidium mooreorum*]

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FLORA

The Plant-Book, second edition, [D. J. Mabberley, 1997, Cambridge University Press (reprinted with corrections 1998) [for the generic names of all plants included in the Appendices to the Convention, unless they are superseded by standard checklists adopted by the Conference of the Parties].

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CITES Bulb Checklist (A. P. Davis *et al*., 1999, compiled by the Royal Botanic Gardens, Kew, United Kingdom of Great Britain and Northern Ireland) and its updates accepted by the Nomenclature Committee, as a guideline when making reference to the names of species of Cyclamen (Primulaceae) & Galanthus & Sternbergia (Liliaceae).

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CITES Aloe and Pachypodium Checklist (U. Eggli *et al*., 2001, compiled by Städtische Sukkulenten-Sammlung, Zurich, Switzerland, in collaboration with Royal Botanic Gardens, Kew, United Kingdom of Great Britain and Northern Ireland) and its updates accepted by the Nomenclature Committee, as a guideline when making reference to the names of species *of Aloe* & *Pachypodium*.

World Checklist and Bibliography of Conifers (A. Farjon, 2001) and the updates accepted by the Nomenclature Committee, as a guideline when making reference to the names of species of *Taxus*.

CITES Orchid Checklist, (compiled by the Royal Botanic Gardens, Kew, United Kingdom of Great Britain and Northern Ireland) and the updates accepted by the Nomenclature Committee, as a guideline when making reference to the names of species of *Cattleya, Cypripedium, Laelia, Paphiopedilum, Phalaenopsis, Phragmipedium, Pleione* and *Sophronitis* (Volume 1, 1995); *Cymbidium, Dendrobium, Disa, Dracula* & *Encyclia* (Volume 2, 1997); & *Aerangis, Angraecum, Ascocentrum, Bletilla, Brassavola, Calanthe, Catasetum, Miltonia, Miltonioides* & *Miltoniopsis, Renanthera, Renantherella, Rhynchostylis, Rossioglossum, Vanda* & *Vandopsis* (Volume 3, 2001).

The CITES Checklist of *Succulent Euphorbia Taxa (Euphorbiaceae), Second edition* (S. Carter and U. Eggli, 2003, published by the Federal Agency for Nature Conservation, Bonn, Germany) following notification of its publication and comments from the Parties, and the updates accepted by the Nomenclature Committee, as a guideline when making reference to the names of species of succulent euphorbias.

Dicksonia species of the Americas (2003, compiled by Bonn Botanic Garden and the Federal Agency for Nature Conservation, Bonn, Germany) following notification of its publication and comments from the Parties and the updates accepted by the Nomenclature Committee, as a guideline when making reference to the names of species of *Dicksonia*.

The *Checklist of CITES species* (2005 and its updates) published by UNEP -WCMC may be used as an informal overview of the scientific names that were adopted by the Conference of the Parties for the animal species that are listed in the Appendices to the Convention, and as an informal summary of information contained in the standard references that were adopted for CITES nomenclature.

ANNEX IX

1. Codes for the indication in permits and certificates of the purpose of a transaction, referred to in Article 5(5)

B Breeding in captivity or artificial propagation

E Educational

G Botanical gardens

H Hunting trophies

L Law enforcement/judicial/forensic

M Medical (including bio-medical research)

N Reintroduction or introduction into the wild

P Personal

Q Circuses and travelling exhibitions

S Scientific

T Commercial

Z Zoos

2. Codes for the indication in permits and certificates of the source of specimens, referred to in Article 5(6)

W Specimens taken from the wild

R Specimens originating from a ranching operation

D Annex A animals bred in captivity for commercial purposes and Annex A plants artificially propagated for commercial purposes in accordance with Chapter XIII of Regulation (EC) No 865/2006, as well as parts and derivatives thereof

A Annex A plants artificially propagated for non-commercial purposes and Annexes B and C plants artificially propagated in accordance with Chapter XIII of Regulation (EC) No 865/2006, as well as parts and derivatives thereof

C Annex A animals bred in captivity for non-commercial purposes and Annexes B and C animals bred in captivity in accordance with Chapter XIII of Regulation (EC) No 865/2006, as well as parts and derivatives thereof

F Animals born in captivity, but for which the criteria of Chapter XIII of Regulation (EC) No 865/2006 are not met, as well as parts and derivatives thereof

I Confiscated or seized specimens [1]

O Pre-Convention [1]

U Source unknown (must be justified)

[1] To be used only in conjunction with another source code.

ANNEX X

ANIMAL SPECIES REFERRED TO IN ARTICLE 62(1)

Aves

ANSERIFORMES

Anatidae

Anas laysanensis

Anas querquedula

Aythya nyroca

Branta ruficollis

Branta sandvicensis

Oxyura leucocephala

GALLIFORMES

Phasianidae

Catreus wallichi

Colinus virginianus ridgwayi

Crossoptilon crossoptilon

Crossoptilon mantchuricum

Lophophurus impejanus

Lophura edwardsi

Lophura swinhoii

Polyplectron emphanum

Syrmaticus ellioti

Syrmaticus humiae

Syrmaticus mikado

COLUMBIFORMES

Columbidae

Columba livia

PSITTACIFORMES

Psittacidae

Cyanoramphus novaezelandiae

Psephotus dissimilis

PASSERIFORMES

Fringillidae

Carduelis cucullata

ANNEX XI

Types of biological samples referred to in Article 18 and their use

Type of sample	Typical size of sample	Use of sample
Blood, liquid	Drops or 5 ml of whole blood in a tube with anticoagulant; may deteriorate in 36 hours	Haematology and standard biochemical tests to diagnose disease; taxonomic research; biomedical research
Blood, dry (smear)	A drop of blood spread on a microscope slide, usually fixed with chemical fixative	Blood counts and screening for disease parasites
Blood, clotted (serum)	5 ml of blood in tube with or without a blood clot	Serology and detection of antibodies for evidence of disease; biomedical research
Tissues, fixed	5 mm^3 pieces of tissues in a fixative	Histology and electron microscopy to detect signs of disease; taxonomic research; biomedical research
Tissues, fresh (excluding ova, sperm and embryos)	5 mm^3 pieces of tissues, sometimes frozen	Microbiology and toxicology to detect organisms and poisons; taxonomic research; biomedical research
Swabs	Tiny pieces of tissue in a tube on a swab	Growing bacteria, fungi, etc. to diagnose disease
Hair, skin, feathers, scales	Small, sometimes tiny pieces of skin surface in a tube (up to 10 ml in volume) with or without fixative	Genetic and forensic tests and detection of parasites and pathogens and other tests
Cell lines and tissue cultures	No limitation of sample size	Cell lines are artificial products cultured either as primary or continuous cell lines that are used extensively in testing the production of vaccines or other medical products and taxonomic research (e.g. chromosome studies and extraction of DNA)
DNA	Small amounts of blood (up to 5 ml), hair, feather follicle, muscle and organ tissue (e.g. liver, heart, etc.), purified DNA, etc.	Sex determination; identification; forensic investigations; taxonomic research; biomedical research
Secretions, (saliva, venom, milk)	1-5 ml in vials	Phylogenetic research, production of antivenom, biomedical research

ANNEX XII

Correlation Table

Regulation (EC) No 1808/2001	This Regulation
Article 1 (a) and (b)	Article 1 (1) and (2)
Article 1 (c)	—
Article 1 (d), (e) and (f)	Article 1 (3), (4) and (5)
—	Article 1 (6), (7) and (8)
Article 2(1) and (2)	Article 2(1) and (2)
—	Article 2(3) and (4)
Article 2(3) and (4)	Article 2(5) and (6)
Article 3	Article 3
Article 4(1) and (2)	Article 4(1) and (2)
Article 4(3) (a) and (b)	Article 5, first paragraph, (1) and (2)
—	Article 5, first paragraph, (3)
Article 4(3) (c), (d) and (e)	Article 5, first paragraph, (4), (5) and (6)
Article 4(4)	Article 6
Article 4(5)	Article 7
Article 5	Article 8
Article 6	Article 9
Article 7(1)	Article 10
Article 7(2)	Article 11
Article 7(3) and (4)	Article 12
Article 8(1)	Article 13
Article 8(2)	Article 14
Article 8(3)	Article 15(1) and (2)
Article 8(4)	Article 15(3) and (4)
Article 8(5)	Article 16
Article 8(6) and (7)	Article 17
—	Article 18-19
Article 9	Article 20
Article 10	Article 21
Article 11	Article 22
Article 12	Article 23
Article 13	Article 24

Regulation (EC) No 1808/2001	This Regulation
Article 14	Article 25
Article 15	Article 26
Article 16	Article 27
Article 17	Article 28
Article 18	Article 29
—	Articles 30-44
Article 19	Article 45
Article 20(1)	Article 46
Article 20(2)	Article 47
Article 20(3) (a) and (b)	Article 48(1) (a) and (b)
Article 20(3) (c)	—
Article 20(3) (d) and (e)	Article 48(1) (c) and (d)
Article 20(4)	Article 49
Article 20(5) and (6)	Article 50(1) and (2)
Article 21	Article 51
Article 22	Article 52
Article 23	Article 53
Article 24	Article 54
Article 25	Article 55
Article 26	Article 56
Article 27(1) first and second indents and subsequent text	Article 57(1) (a), (b) and (c)
Article 27(2), (3) and (4)	Article 57(2), (3) and (4)
Article 27(5) (a) and (b)	Article 57(5) (a) and (b)
—	Article 57(5) (c) and (d)
Article 28(1), first and second indents	Article 58(1) (a) and (b)
Article 28(2) and (3)	Article 58(2) and (3)
Article 28(4) (a) and (b)	Article 58(4)
Article 29	Article 59
Article 30	Article 60
Article 31	Article 61
Article 32	Article 62
Article 33	Article 63
Article 34(1)	—

Regulation (EC) No 1808/2001	This Regulation
Article 34(2) (a) to (f)	Article 64(1) (a) to (f)
Article 34(2) (g) and (h)	Article 64(2)
Article 35(1) and (2)	Article 65(1) and (2)
Article 35(3) (a) and (b)	Article 65(3)
—	Article 65(4)
Article 36(1)	Article 66(1), (2) and (3)
Article 36(2)	Article 66(4)
Article 36(3) and (4)	Article 66(5) and (6)
—	Article 66(7)
Article 36(5)	Article 66(8)
Article 37	Article 67
Article 38	Article 68
Article 39	Article 69
Article 40	Article 70
Article 41	Article 71
Article 42	Article 74
Article 43	Article 72
Article 44	Article 73
Article 45	Article 75
Annex I	Annex I
Annex II	Annex II
—	Annex III
—	Annex IV
Annex III	Annex V
Annex IV	Annex VI
Annex V	Annex VII
Annex VI	Annex VIII
Annex VII	Annex IX
Annex VIII	Annex X
—	Annex XI
—	Annex XII