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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

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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, and in particular Article 19(2), (3) 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 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 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 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, or, if such date is unknown, the earliest provable date on which it was possessed by any person;
- (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;
 - (4a) ‘cultivated parental stock’ means the ensemble of plants grown under controlled conditions that are used for reproduction, and which must have been, to the satisfaction of the competent management authority, in consultation with a competent scientific authority of the Member State concerned:
 - (i) established in accordance with the provisions of CITES and relevant national laws and in a manner not detrimental to the survival of the species in the wild; and
 - (ii) maintained in sufficient quantities for propagation so as to minimise or eliminate the need for augmentation from the wild, with such augmentation occurring only as an exception and limited to the amount necessary to maintain the vigour and productivity of the cultivated parental stock;
 - (4b) ‘hunting trophy’ means a whole animal, or a readily recognisable part or derivative of an animal, specified on any accompanying CITES permit or certificate that fulfils the following conditions:
 - (i) is raw, processed or manufactured;

- (ii) was legally obtained by the hunter through hunting for the hunter's personal use;
 - (iii) is being imported, exported or re-exported by or on behalf of the hunter, as part of the transfer from its country of origin, ultimately to the hunter's State of usual residence;
- (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, circus, menagerie, plant exhibition, orchestra or museums 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 only for one or more specified transactions;
 - (8) 'specimen-specific certificates' means certificates issued in accordance with Article 48, other than transaction-specific certificates;
 - (9) 'sample collection' means a collection of legally acquired dead specimens, parts and derivatives thereof, that are transported across borders for presentation purposes;
 - (10) 'pre-Convention specimen' means a specimen acquired before the species concerned was first included in the Appendices to the Convention.

CHAPTER II

FORMS AND TECHNICAL REQUIREMENTS

Article 2

Forms

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Article 3

Technical specifications with regard to forms

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Article 4

Completion of forms

1. Forms referred to in Article 2 of Commission Implementing Regulation (EU) No 792/2012 (1) 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, for sample collection certificates, for musical instrument certificates and for travelling exhibition

certificates as well as import notifications, continuation sheets and labels may be completed in manuscript, provided this is done legibly, in ink and in block capitals.

2. Forms 1 to 4 of Annex I provided for in Implementing Regulation (EU) No 792/2012, forms 1 and 2 of Annex II provided for in Implementing Regulation (EU) No 792/2012, forms 1 and 2 of Annex III provided for in Implementing Regulation (EU) No 792/2012, forms 1 and 2 of Annex V provided for in Implementing Regulation (EU) No 792/2012, the continuation sheets referred to in Article 2(4) of Implementing Regulation (EU) No 792/2012 and the labels referred to in Article 2(6) of Implementing Regulation (EU) No 792/2012 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) of Implementing Regulation (EU) No 792/2012 and the continuation sheets referred to in Article 2(4) of Implementing Regulation (EU) No 792/2012, 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 5a

Specific content of permits, certificates and applications for plant specimens

In case of plant specimens that cease to qualify for an exemption from the provisions of the Convention or Regulation (EC) No 338/97 in accordance with the 'Notes on the interpretation of Annexes A, B, C and D' in the Annex thereto, under which they were legally exported and imported, the country to be indicated in box 15 of the forms in Annexes I and III provided for in Implementing Regulation (EU) No 792/2012, box 4 of the forms in Annex II provided for in Implementing Regulation (EU) No 792/2012 and box 10 of the forms in Annex V provided for in Implementing Regulation (EU) No 792/2012 may be the country in which the specimens ceased to qualify for the exemption.

In those cases the box reserved for the entry of ‘ special conditions ’ in the permit or certificate shall include the statement ‘ Legally imported under exemption from the provisions of CITES ’ and shall specify to which exemption this refers.

Article 5b

Specific content of permits and certificates for live rhinoceros and live elephants

Permits and certificates issued under Article 4 or Article 5 of Regulation (EC) No 338/97 for import or re-export of live rhinoceroses or live elephants from populations included in Annex B to that Regulation shall contain a condition stating that horn or ivory from those animals or from their progeny may not enter commercial trade or commercial activities within the Union. In addition, live rhinoceroses or live elephants from those populations shall not be subject to trophy hunting outside of their historic range.

Article 6

Annexes to forms

1. If an annex attached to any of the forms referred to in Article 2 of Implementing Regulation (EU) No 792/2012 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) of Implementing Regulation (EU) No 792/2012 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) of Implementing Regulation (EU) No 792/2012 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) of Implementing Regulation (EU) No 792/2012 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.

4. Permits and certificates issued by third countries with source code ' O ' shall be accepted only if they cover specimens that conform to the definition of pre-Convention specimen set out in Article 1(10) and include either the date of acquisition of the specimens or a statement that the specimens were acquired before a specific date.

5. Export permits and re-export certificates shall be endorsed, with quantity, signature and stamp, by an official from the export or re-export country, in the export endorsement block of the document. If the export document has not been endorsed at the time of export, the management authority of the importing country should liaise with the exporting country's management authority, considering any extenuating circumstances or documents, to determine the acceptability of the document.

6. Export permits and re-export certificates issued by third countries shall be accepted only if the competent authority from the third country concerned provides, where requested to do so, satisfactory information that the specimens were obtained in accordance with the legislation on the protection of the species concerned.

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. Permits and certificates may be issued in paper format or in electronic format.

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

Without prejudice to Articles 31, 38, 44b, 44i and 44p, 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, personal ownership certificates, sample collection certificates and musical instrument 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.

As regards caviar of sturgeon species (*Acipenseriformes* spp.) from shared stocks subject to export quotas, which is covered by an export permit, import permits referred to in the first subparagraph shall not be valid beyond the last day of the quota year in which the caviar was harvested and processed or the last day of the 12-month period referred to in the first subparagraph, whichever is the earlier.

As regards caviar of sturgeon species (*Acipenseriformes* spp.) covered by a re-export certificate, import permits referred to in the first subparagraph shall not be valid beyond the last day of the period of 18 months after the date of issuance of the relevant original export permit or the last day of the 12-month period referred to in the first subparagraph, whichever is the earlier.

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

As regards caviar of sturgeon species (*Acipenseriformes* spp.) from shared stocks subject to export quotas, export permits referred to in the first subparagraph shall not be valid beyond the last day of the quota year in which the caviar was harvested and processed or the last day of the six-month period referred to in the first subparagraph, whichever is the earlier.

As regards caviar of sturgeon species (*Acipenseriformes* spp.), re-export certificates referred to in the first subparagraph shall not be valid beyond the last day of the period of 18 months after the date of issuance of the relevant original export permit or the last day of the six-month period referred to in the first subparagraph, whichever is the earlier.

2a. For the purpose of paragraph 1, second subparagraph and paragraph 2 second subparagraph, the quota year shall be that agreed by the Conference of the Parties to the Convention.

3. The period of validity of the travelling exhibition certificates, personal ownership certificates and musical instrument certificates issued in accordance with Articles 30, 37 and 44h respectively shall not exceed three years.

3a. The period of validity of sample collection certificates issued in accordance with Article 44a shall not exceed six months. The date of expiry of a sample collection certificate shall not be later than that of the ATA carnet accompanying it.

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

5. Travelling exhibition certificates, personal ownership certificates or musical instrument 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, personal ownership certificate, sample collection certificate or musical instrument 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 lost, destroyed or stolen;
- (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 lost, destroyed or stolen;
- (d) where any of the entries in boxes 2 and 4 no longer reflects the actual situation;
- (e) where any special conditions specified in box 20 are no longer fulfilled.

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 or, in the case of dead specimens which can not be marked, identified by other means.

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.

Where a transaction specific certificate is issued for the purpose of allowing several transactions, it shall be valid only within the territory of the issuing Member State. Where transaction specific certificates are to be used in a Member State other than the issuing Member State, they shall be issued for one transaction only and their validity shall be limited to that transaction. It shall be indicated in box 20 whether the certificate is for one or more transactions and the Member State(s) in whose territory it is valid.

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.

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5. Documents that cease to be valid in accordance with this Article 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 Union until 12 months from their date of issue and travelling exhibition certificates, personal ownership certificates and musical instrument certificates may be used for the introduction of specimens into the Union and for the purpose of applying for respective certificates in accordance with Articles 30, 37 and 44h 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.

As regards specimens imported or (re-)exported as personal and household effects, to which the provisions of Chapter XIV apply, and as regards personally owned live animals, which are legally acquired and held for personal non-commercial purposes, the derogation provided for in paragraph 1 shall also apply where the competent management authority of the Member State, in consultation with the relevant enforcement authority, is satisfied that there is evidence that a genuine error has been made and that there was no attempt to deceive and the import or (re-)export of the specimens concerned is in compliance with Regulation (EC) No 338/97, the Convention and the relevant legislation of a 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.

3a. For personally owned live animals, which are legally acquired and held for personal non-commercial purposes, for which an import permit is issued pursuant to the second subparagraph of paragraph 2, commercial activities, as laid down in Article 8(1) of Regulation (EC) No 338/97, shall be prohibited for two years from the date of issuance of the permit and no exemptions for specimens of Annex A species, as provided for in Article 8(3) of that Regulation, shall be granted during that period.

In the case of import permits issued pursuant to the second subparagraph of paragraph 2 for those personally owned live animals and for specimens of species listed in Annex A to Regulation (EC) No 338/97 and referred to in Article 4(5)(b) thereof, the stipulation ‘ by way of derogation to Article 8(3) or (5) of Regulation (EC) No 338/97, commercial activities, as laid down in Article 8(1) of that Regulation, shall be prohibited for at least two years from the date of issuance of this permit ’ shall be included 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 20a

Rejection of applications for import permits

Member States shall reject applications for import permits for caviar and meat of sturgeon species (*Acipenseriformes* spp.) from shared stocks unless export quotas have been set for the species in accordance with the procedure approved by the Conference of the Parties to the Convention.

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 26a

Rejection of applications for export permits

Member States shall reject applications for export permits for caviar and meat of sturgeon species (*Acipenseriformes* spp.) from shared stocks unless export quotas have been set for the species in accordance with the procedure approved by the Conference of the Parties to the Convention.

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 provided for in Implementing Regulation (EU) No 792/2012.

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 for commercial purposes.

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, one of the following statements:

‘This certificate is a true copy of the original ‘ This certificate cancels and replaces the original bearing the number xxxx issued on xx.xx.xxxx. ’ , or

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.
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 23, one of the following statements:

‘This certificate is a true copy of the original. ‘ This certificate cancels and replaces the original bearing the number xxxx issued on xx.xx.xxxx. ’ , or

CHAPTER VIIIa

SAMPLE COLLECTION CERTIFICATES

Article 44a

Issue

Member States may issue sample collection certificates in respect of sample collections, provided the collection is covered by a valid ATA carnet and includes specimens, parts or derivatives of species listed in Annexes A, B or C of Regulation (EC) No 338/97.

For the purposes of the first paragraph, specimens, parts or derivatives of species listed in Annex A must comply with Chapter XIII of this Regulation.

Article 44b

Use

Provided that a sample collection covered by a sample collection certificate is accompanied by a valid ATA carnet, a certificate, issued in accordance with Article 44a, 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 recognises and allows the use of ATA carnets;
- (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 for commercial purposes.

Article 44c

Issuing authority

1. Where the sample collection originates within the Community the issuing authority for a sample collection certificate shall be the management authority of the Member State in which the sample collection originates.
2. Where the sample collection originates in a third country, the issuing authority for a sample collection certificate shall be the management authority of the Member State of first destination and the issuance of that certificate shall be based on the provision of an equivalent document, issued by that third country.

Article 44d

Requirements

1. A sample collection covered by a sample collection certificate must be re-imported into the Community before the date of expiry of the certificate.
2. The specimens covered by a sample collection certificate may not be sold or otherwise transferred whilst outside the territory of the State that issued the certificate.
3. A sample collection certificate shall not be transferable. If the specimens covered by a sample collection certificate are stolen, destroyed, or lost, the issuing management authority and the management authority of the country in which this occurred shall be immediately informed.
4. A sample collection certificate shall indicate that the document is for ‘ other: Sample Collection ’ and shall include the number of the accompanying ATA carnet in box 23.

The following text shall be included in box 23 or in an appropriate annex to the certificate:

‘For sample collection accompanied by ATA carnet No: xxx

This certificate covers a sample collection and is not valid unless accompanied by a valid ATA carnet. This certificate is not transferable. The specimens covered by this certificate may not be sold or otherwise transferred whilst outside the territory of the State that issued this document. This certificate may be used for (re-)export from [indicate the country of (re-)export] via [indicate the countries to be visited] for presentation purposes and import back to [indicate the country of (re-)export].’

5. In the case of sample collection certificates issued in accordance with Article 44c(2), paragraphs 1 and 4 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 CITES document issued by a third country in accordance with the provisions established by the Conference of the Parties to the Convention.’

Article 44e

Applications

1. The applicant for a sample collection certificate shall, where appropriate, complete boxes 1, 3, 4 and 7 to 23 of the application form and boxes 1, 3, 4 and 7 to 22 of the original and all copies. The entries in box 1 and 3 must be identical. The list of countries to be visited must be indicated in box 23.

Member States may, however, provide that only an application form is to be completed.

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 44c(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 allow 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 44f

Documents to be surrendered by the holder to the customs office

1. In the case of a sample collection certificate issued in accordance with Article 44c(1), the holder or his authorised representative shall, for verification purposes, surrender the original (form 1) and a copy of that certificate, and where appropriate the copy for the holder (form 2) and the copy for return to the issuing management authority (form 3), as well as the original of the valid ATA carnet to a customs office designated in accordance with Article 12(1) of Regulation (EC) No 338/97.

The customs office shall, after processing the ATA carnet in accordance with the customs rules contained in Regulation (EC) No 2454/93, and, if necessary, entering the number of the accompanying ATA carnet into the original and copy of the sample collection certificate, return the original documents to the holder or his authorised representative, endorse the copy of the sample collection certificate and forward that endorsed copy to the relevant management authority in accordance with Article 45.

However, at the time of the first export from the Community, the customs office shall, after completing box 27, return the original sample collection certificate (form 1) and the copy for the holder (form 2) to the holder or his authorised representative, and forward the copy for return to the issuing management authority (form

3) in accordance with Article 45.

2. In the case of a sample collection certificate issued in accordance with Article 44c(2), paragraph (1) of this Article shall apply, except that the holder or his authorised representative shall also submit, for verification purposes, the original certificate issued by the third country.

Article 44g

Replacement

A sample collection 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 23, one of the following statements:

‘This certificate is a true copy of the original ‘ This certificate cancels and replaces the original bearing the number xxxx issued on xx/xx/xxxx ’.’, or

CHAPTER VIIIb

MUSICAL INSTRUMENT CERTIFICATE

Article 44h

Issue

1. Member States may issue a musical instrument certificate for non-commercial cross-border movement of musical instruments for purposes including, but not limited to, personal use, performance, production (recordings), broadcast, teaching, display or competition, where such instruments meet all of the following requirements:

- (a) they are derived from species listed in Annexes A, B or C of Regulation (EC) No 338/97, other than specimens of species listed in Annex A of Regulation (EC) No 338/97 acquired after the species was included in Appendices to the Convention;
- (b) the specimen used in the manufacture of the musical instrument has been legally acquired;
- (c) the musical instrument is appropriately identified.

2. A continuation sheet shall be attached to the certificate for use in accordance with Article 44m.

Article 44i

Use

The certificate may be used in either of the following ways:

- (a) as an import permit in accordance with Article 4 of Regulation (EC) No 338/97;
- (b) as an export permit or re-export certificate in accordance with Article 5 of Regulation (EC) No 338/97.

Article 44j

Issuing authority

1. The management authority of the State of usual residence of the applicant shall be the issuing authority for a musical instrument certificate.

2. The musical instrument certificate shall include the following text in box 23 or in an appropriate annex to the certificate:

‘Valid for multiple cross-border movements. Original to be retained by holder.

The musical instrument covered by this certificate, which permits multiple cross-border movements, is for non-commercial use for purposes including, but not limited to, personal use, performance, production (recordings), broadcast, teaching, display or competition. The musical instrument covered by this certificate may not be sold or possession of it transferred whilst it is outside the State in which the certificate was issued.

This certificate must be returned to the management authority of the State which issued the certificate before the expiration of the certificate.

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.’

Article 44k

Requirements for specimens

Where a specimen is covered by a musical instrument certificate, the following requirements shall be met:

- (a) the musical instrument must be registered by the issuing management authority;
- (b) the musical instrument 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 sold or possession of it transferred whilst outside the applicant's State of usual residence except subject to the conditions provided for in Article 44n;
- (d) the musical instrument must be appropriately identified.

Article 44l

Applications

1. An applicant for a musical instrument certificate shall provide information as set out in Articles 44h and 44k and, where appropriate, complete boxes 1, 4 and 7 to 23 of the application form and boxes 1, 4 and 7 to 22 of the original and all copies of the certificate.

Member States may 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 application form shall be submitted to a management authority of the Member State of usual residence of the applicant together with the necessary information and the documentary evidence that that authority deems necessary in order for it to determine whether a certificate should be issued.

Any omission of information from the application must be justified.

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

Article 44m

Documents to be surrendered by the holder to the customs office

In the case of the introduction into the Union, export or re-export of a specimen covered by a musical instrument certificate issued in accordance with Article 44j, the holder of the certificate shall, for verification purposes, surrender the original of that certificate 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 the endorsed copy to the relevant management authority in accordance with Article 45.

Article 44n

Sales of specimens covered

Where the holder of a musical instrument certificate issued in accordance with Article 44j 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 44o

Replacement

A musical instrument 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 23, one of the following statements:

‘ This certificate is a true copy of the original. ’ , or ‘ This certificate cancels and replaces the original bearing the number xxxx issued on xx/xx/xxxx. ’

Article 44p

Introduction of musical instruments into the Union with certificates issued by third countries

The introduction into the Union of a musical instrument shall not require the presentation of an export document or an import permit provided that it is covered by a musical instrument certificate issued by a third

country under similar conditions to those set out in Articles 44h and 44j. Re-export of that musical instrument shall not require the presentation of a re-export certificate.

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. For reporting purposes, original import notifications shall also be forwarded to the management authorities of the country of import, when it is different from the country where the specimen was introduced into the Union.

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) of Implementing Regulation (EU) No 792/2012 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 is established and maintained in accordance with the definition set out in Article 1(4a);
- (c)
- (d) in the case of grafted plants, both the root stock and the graft have been artificially propagated in accordance with points (a) and (b).

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. For agarwood producing taxa, which are grown from seeds, cuttings, grafting, marcoting-air-layering, divisions, callus

tissues or other plant tissues, spores or other propagules ' under controlled conditions ' refers to a tree plantation, including other non-natural environment that is manipulated by human intervention for the purpose of producing plants or plant's parts and derivatives.

2. Timber and other parts or derivatives of trees taken from trees grown in monospecific plantations shall be considered to be artificially propagated in accordance with paragraph 1.

3. Trees of agarwood producing taxa grown in cultivation such as:

- (a) gardens (home and/or community garden);
- (b) state, private or community production plantation, either monospecific or mixed species,

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.

3a. By way of derogation from paragraph 3, the first introduction into the Union of hunting trophies of specimens of species or populations listed in Annex B to Regulation (EC) No 338/97 and in Annex XIII to this Regulation shall be subject to Article 4 of Regulation (EC) No 338/97.

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 125 grams per person, in containers that are individually marked in accordance with Article 66(6);
- (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;
- (e) *Hippocampus* spp. up to four dead specimens per person;
- (f) shells of *Tridacnidae* spp. up to three specimens per person not exceeding three kg in total, where a specimen may be one intact shell or two matching halves;
- (g) specimens of agarwood (*Aquilaria* spp. and *Gyrinops* spp.) — up to 1 kg woodchips, 24 ml oil, and two sets of beads or prayer beads (or two necklaces or bracelets) 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.

The provisions in the previous subparagraph do not apply to re-export of rhino horn or elephant ivory contained in personal or household effects; for these specimens the presentation to customs of a re-export certificate shall be required.

3a. The re-export by a person not normally residing in the Union of personal or household effects acquired outside his/her State of usual residence, including personal hunting trophies, that are specimens of species listed in Annex A to Regulation (EC) No 338/97, shall be subject to the presentation to customs of a re-export certificate. The same requirement applies to the re-export as personal or household effects of rhino horn or elephant ivory from specimens from populations listed in Annex B to Regulation (EC) No 338/97.

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

Article 58a

Commercial use of personal and household effects within the Union

1. Commercial activities for specimens of species listed in Annex B to Regulation (EC) No 338/97 which are introduced into the Union in accordance with Article 7(3) of Regulation (EC) No 338/97 may be authorised by a management authority of a Member State only under the following conditions:

- (a) the applicant needs to demonstrate that the specimen has been introduced into the Union at least two years before it can be used for commercial purpose; and
- (b) the management authority of the Member State concerned has verified that the specimen in question could have been imported for commercial purposes in accordance with Article 4(2) of Regulation (EC) No 338/97 at the time when it was introduced into the Union.

Once those conditions are fulfilled, the management authority shall deliver a written statement attesting that the specimen can be used for commercial purposes.

2. Commercial activities shall be prohibited for specimens of species listed in Annex A to Regulation (EC) No 338/97 which were introduced into the Union in accordance with Article 7(3) of Regulation (EC) No 338/97, or for specimens of species listed in Appendix I to the Convention or in Annex C1 to Regulation (EEC) No 3626/82 and introduced into the Union as personal and household effects.

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.

1a. The exemption for specimens referred to in Article 8(3) of Regulation (EC) No 338/97 shall be granted only if the applicant has satisfied the competent management authority that the specimens concerned have been acquired in accordance with the legislation in force for the conservation of wild fauna and flora.

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;
- (4) dead specimens of *Crocodylia* species included in Annex A with source code D, provided that they are marked or identified via other means in accordance with this Regulation;
- (5) caviar of *Acipenser brevirostrum* and its hybrids, with source code D, provided that it is contained in a container marked in accordance with this Regulation.

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.

3. Pre-issued certificates shall only be valid once they have been completed and a copy of the certificate is transmitted to the issuing management authority by the applicant.

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 crocodylian skins, flanks, tails, throats, feet, backstrips and other parts thereof that are exported to the Community, and entire raw, tanned, or finished crocodylian 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 crocodylian 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. This does not apply to specimens of species listed in Annex X to this Regulation unless an annotation in Annex X prescribes marking.

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 live specimens covered by this paragraph.

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 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 Articles 57(5)(a), 64(1)(g), 64(2) and 65(3) shall be individually marked by means of non-reusable labels affixed to each primary container. Where the non-reusable label does not seal the primary container, the caviar shall be packaged in such a manner as to permit visual evidence of any opening of the container.

Caviar from different *Acipenseriformes* species shall not be mixed into a primary container, except in the case of pressed caviar (i.e. caviar composed of unfertilized eggs (roe) of one or more sturgeon or paddlefish species, remaining after the processing and preparation of higher quality caviar).

7. Only those processing plants and (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 processing and (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 processing or (re-)packaging plant by that management authority.

The list of facilities licensed in accordance with this paragraph, as well as any changes thereto, shall be notified to the Secretariat of the Convention and to the Commission.

For the purpose of this paragraph processing plants shall include caviar producing aquaculture operations.

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;
- (f) cases where export permits and re-export certificates were issued retrospectively in accordance with Article 15 of the Regulation.

6. The information referred to in paragraph 5 shall be submitted in a computerised form and in accordance with the 'Biennial Report Format' issued by the Secretariat of the Convention and as amended by the Commission, before 15 June each second year and shall correspond to the two-year period ending on 31st December of the previous year.

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 following the establishment of restrictions

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(2) 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 forms laid out in Annexes I, III and IV, import notifications in the form laid out in Annex II and EU certificates in the form laid out in Annex V to Implementing Regulation (EU) No 792/2012 for one year after the entry into force of Commission Implementing Regulation (EU) 2015/57 (3).

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.

ANNEX I

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ANNEX III

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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.

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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.

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ANNEX IV

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ANNEX V

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Instructions and explanations

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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.

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

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

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- 13 to 15.
- 16.
- 18.

ANNEX VI

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	Trade term code	Preferred unit	Alternative unit	Explanation
baleen	BAL	kg	no.	whalebone
bark	BAR	kg		tree bark (raw, dried or powdered; unprocessed)
body	BOD	no.	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	no.	bones, including jaws
calipee	CAL	kg		calipee or calipash (turtle cartilage for soup)
carapace	CAP	no.	kg	raw or unworked whole shells of Testudines species

carving	CAR	kg	no.	carved products other than ivory, bone or horn — for example coral and wood (including handicrafts). N.B: Ivory carvings should be specified as such (see below - ‘ IVC ’). Also, for species from which more than one type of product may be carved (e.g. horn and bone), the trade term code should indicate the type of product in trade (e.g. bone carving ‘ BOC ’ or horn carving - ‘ HOC ’), where possible.
carving — bone	BOC	kg	no.	bone carving
carving — horn	HOC	kg	no.	horn carving
carving — ivory	IVC	kg	no.	ivory carvings, including e.g. smaller worked pieces of ivory (knife handles, chess sets, mahjong sets etc.). NB: Whole carved tusk should be reported as tusks (see ‘ TUS ’ below). Jewellery made from carved ivory should be reported as ‘ jewellery — ivory ’ (see IJW below).
caviar	CAV	kg		unfertilized dead processed eggs from all species of Acipenseriformes; also known as roe
chips	CHP	kg		chips of timber, especially <i>Aquilaria</i> spp., <i>Gyrinops</i> spp. and <i>Pterocarpus santalinus</i>
claw	CLA	no.	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	no.	kg	raw or unworked coral and coral rock (also live rock and substrate) [as defined in Resolution Conf. 11.10 (Rev. CoP15)]. Coral rock should be recorded as ‘ <i>Scleractinia</i> spp.’ NB: the trade should be recorded by number of pieces only if the coral specimens are transported in water. Live rock (transported moist in boxes) should be reported in kg; coral substrate should be reported as number of pieces (since these are transported in water as the substrate to which non-CITES corals are attached).
cosmetics	COS	g	ml	cosmetics which include extracts of CITES- listed species. The quantity should reflect the amount of CITES-listed species present.

culture	CUL	no. of flasks, etc.		cultures of artificially propagated plants
derivatives	DER	kg/l		derivatives (other than those included elsewhere in this table)
dried plant	DPL	no.		dried plants — e.g. herbarium specimens
ear	EAR	no.		ears — usually elephant
egg	EGG	no.	kg	whole dead or blown eggs (see also ‘ caviar ’)
egg (live)	EGL	no.	kg	live fertilized eggs — usually birds and reptiles but includes fish and invertebrates
eggshell	ESH	g/kg		raw or unworked eggshell except whole eggs
extract	EXT	kg	l	extract — usually plant extracts
feather	FEA	kg/no. of wings	no.	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 (including flippers)
fingerlings	FIG	kg	no.	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	no.		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)
frog legs	LEG	kg		frog legs
fruit	FRU	kg		fruit
foot	FOO	no.		feet — e.g. of elephant, rhinoceros, hippopotamus, lion, crocodile, etc.
fur products (large)	FPL	no.		large manufactured products of fur — e.g. bear or lynx fur blankets or other fur products of a substantial size.
fur product (small)	FPS	no.		small manufactured products of fur- including handbags, key fobs, purses, pillows, trim, etc.
gall	GAL	kg		gall
gall bladder	GAB	no.	kg	gall bladder
garment	GAR	no.		garments — including gloves and hats but not shoes. Includes trimming or decoration on garments
genitalia	GEN	kg	no.	castrates and dried penes

gill plates	GIL	no.		gill plates (e.g. for sharks)
graft rootstock	GRS	no.		graft rootstocks (without the grafts)
hair	HAI	kg	g	hair — includes all animal hair, e.g. of elephant, yak, vicuña, guanaco
hair products	HAP	no.	g	products made of hair (e.g. elephant hair bracelets)
horn	HOR	no.	kg	horns — includes antlers
jewellery	JWL	no.	g	jewellery — including bracelets, necklaces, and other items of jewellery from products other than ivory (e.g. wood, coral, etc.)
jewellery — ivory	IJW	no.	g	jewellery made of ivory
leather product (large)	LPL	no.		large manufactured products of leather — e.g. briefcases, furniture, suitcases, travel trunks
leather product (small)	LPS	no.		small manufactured products of leather — e.g. belts, braces, bicycle saddles, cheque book or credit card holders, handbags, key fobs, notebooks, purses, shoes, tobacco pouches, wallets, watch-straps and trim
live	LIV	no.	kg	live animals and plants
leaf	LVS	kg	no.	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. <i>lignum vitae</i> , <i>Guaiacum</i> spp.) should be recorded in kg
meat	MEA	kg		meat, including flesh of fish if not whole (see ‘ body ’), fresh or unprocessed meat as well as processed meat (e.g. smoked, raw, dried, frozen or tinned)
medicine	MED	kg/l		medicine
musk	MUS	g		musk
oil	OIL	kg	l	oil — e.g. from turtles, seals, whales, fish, various plants
pearl	PRL	no.		pearl (e.g. for <i>Strombus gigas</i>)
piano keys	KEY	no.		ivory piano keys (e.g. one standard piano would be 52 ivory piano keys)
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
plywood	PLY	m 2	m 3	material consisting of three or more sheets of wood glued and pressed one on the other and generally disposed so that the grains of successive layers are at an angle
powder	POW	kg		powder
pupae	PUP	no.		butterfly pupae
root	ROO	no.	kg	roots, bulbs, corms or tubers NB: For the agarwood-producing taxa <i>Aquilaria</i> spp. and <i>Gyrinops</i> spp., the preferred unit is ‘kilograms’. The alternative unit is ‘number’.
rug	RUG	no.		rugs
sawfish rostrum	ROS	no.	kg	sawfish rostrum
sawn wood	SAW	m 3		wood simply sawn lengthwise or produced by a profile-chipping process; normally exceeds 6mm in thickness. NB: trade in sawn wood of special purpose timbers traded by weight (e.g. lignum vitae, <i>Guaiacum</i> spp.) should be recorded in kg
scale	SCA	kg		scales — e.g. of turtle, other reptiles, fish, pangolin
seed	SEE	kg		seeds
shell	SHE	no.	kg	raw or unworked shell of molluscs
side	SID	no.		sides or flanks of skins; does not include crocodilian Tinga frames (see under ‘skin’)
skeleton	SKE	no.		substantially whole skeletons
skin	SKI	no.		substantially whole skins, raw or tanned, including crocodilian Tinga frames, external body lining, with or without scales
skin piece	SKP	kg		skin pieces — including scraps, raw or tanned
skull	SKU	no.		skulls
soup	SOU	kg	l	soup — e.g. of turtle
specimen (scientific)	SPE	kg/l/ml/no.		scientific specimens — includes blood, tissue (e.g. kidney, spleen, etc.), histological preparations, preserved museum specimens, etc.

stem	STE	no.	kg	plant stems NB: For the agarwood-producing taxa <i>Aquilaria</i> spp. and <i>Gyrinops</i> spp., the preferred unit is 'kilograms'. The alternative unit is 'number'.
swim bladder	SWI	kg		hydrostatic organ, including isinglass/sturgeon glue
tail	TAI	no.	kg	tails — e.g. of caiman (for leather) or fox (for garment trimming, collars, boas, etc.), also includes flukes of cetaceans.
tooth	TEE	no.	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	no.		trophy — all the trophy parts of one animal if they are exported together: e.g. horns (2), skull, cape, back skin, tail and feet (i.e. ten 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'. Trade in 'full mount', 'shoulder mount' and 'half mount', along with any corresponding parts of the same animal exported together on the same permit, should be reported as '1 TRO'
trunk	TRU	no.	kg	elephant trunk. NB: An elephant trunk exported with other trophy items from the same animal on the same permit as part of a hunting trophy should be reported as 'TRO'.
tusk	TUS	no.	kg	substantially whole tusks, whether or not worked. Includes tusks of elephant, hippopotamus, walrus, narwhal, but not other teeth
veneer sheets				
• rotary veneer	VEN	m ³	kg	thin layers or sheets of wood of uniform thickness, usually 6mm or less in thickness, usually peeled (rotary veneer) or sliced (sliced veneer), for use in making plywood, for veneering furniture, veneer containers, etc.
• sliced veneer	VEN	m ²	kg	

wax	WAX	kg		Wax
wood product	WPR	no.	kg	manufactured wood products, including finished wood products such as furniture and musical instruments.

Key to units of measure

Unit of measure	Unit code
grams	g
kilograms	kg
liters	l
cubic centimeters	cm ³
milliliters	ml
meters	m
square meters	m ²
cubic meters	m ³
number of specimens	no.

NB. If no unit of measure is specified, the unit will be assumed to be number (e.g. of live animals).

ANNEX VIII

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

FAUNA

		Taxon concerned	Taxonomic reference
MAMMALIA			

		<p>all MAMMALIA taxa</p> <ul style="list-style-type: none"> with the exception of the recognition of the following names for wild forms of species (in preference to names for domestic forms): <p><i>Bos gaurus</i> , <i>Bos mutus</i> , <i>Bubalus arnee</i>, <i>Equus africanus</i>, <i>Equus przewalskii</i> , and</p> <ul style="list-style-type: none"> with the exception of the taxa noted under the different Mammalia orders below 	<p>Wilson, D. E. & Reeder, D. M. (ed.) (2005): <i>Mammal Species of the World</i> and Geographic Reference. Third edition, Vol. 1. Hopkins University Press).</p>
ARTIODACTYLA	Camelidae	<i>Lama guanicoe</i>	Wilson, D. E. & Reeder, D. M. (1993): <i>Mammal Species of the World</i> and Geographic Reference. Second edition. xviii + 631 pp. (Johns Hopkins University Press).
CETACEA	Balaenopteridae	<i>Balaenoptera omurai</i>	Wada, S., Oishi, M. & Yamada, T. K. (2003): A new species of minke whale. - <i>Nature</i> , 426 : 278-281.
	Delphinidae	<i>Orcaella heinsohni</i>	Beasley, I., Robertson, K. M. & Arnold, P. W. (2003): A new species of Australian Snubfin Dolphin, <i>Orcaella heinsohni</i> . <i>Mammal Science</i> , 21 (3): 365-400.

	Delphinidae	<i>Sotalia fluviatilis</i> <i>Sotalia guianensis</i>	Caballero, S., Trujillo, F., Vianna, J. A., Barrio Pedreros, S., Marmontel, M., Santos, M. C., et al. (2014): Taxonomic status of the genus <i>Sotalia</i> : species <i>fluviatilis</i> and 'costero' (<i>Sotalia guianensis</i>) 358-386.
	Delphinidae	<i>Sousa plumbea</i> <i>Sousa sahulensis</i>	Jefferson, T. A. & Rosenbaum, H. C. (2014): Taxonomy of dolphins (<i>Sousa</i> spp.), and description of a new species from the Pacific Ocean. <i>Marine Biology</i> , 167(12): 1494-1541.
	Delphinidae	<i>Tursiops australis</i>	Charlton-Robb, K., Gershwin, L.-A., Thompson, C. E., et al. (2011): A new dolphin species, the Burrnun Dolphin, from southern Australian coastal waters. - <i>PLoS ONE</i> 6(12): e28111.
	Iniidae	<i>Inia araguaiaensis</i>	Hrbek, T., da Silva, V. M. F., Dutra, N., Gravenor, P. B. (2014): A new species of river dolphin from Brazil. <i>PLoS ONE</i> 9(12): e115233.
	Phocoenidae	<i>Neophocaena asiaeorientalis</i>	Jefferson, T. A. & Wang, J. Y. (2011): Revision of the genus <i>Neophocaena</i> : The existence of two species. <i>Marine Biology</i> , 158(1): 3-16.
	Physeteridae	<i>Physeter macrocephalus</i>	Rice, D. W., (1998): <i>Marine Mammals of the World: A Field Guide</i> . Society of Marine Mammalogy Special Publication 4. Mammalogy, Lawrence, Kansas.
	Platanistidae	<i>Platanista gangetica</i>	Rice, D. W., (1998): <i>Marine Mammals of the World: A Field Guide</i> . Society of Marine Mammalogy Special Publication 4. Mammalogy, Lawrence, Kansas.
	Ziphiidae	<i>Mesoplodon hotaula</i>	Dalebout, M. L., Scott Baker, C., Steel, D., Thompson, C. E., Perrin, W. F., Goonatilake, M., Anderson, C. L., Jupiter, D. and Yamada, T. K. (2014): Resurrection of <i>Mesoplodon hotaula</i> Deraniyagala 1963: A new species of beaked whale. <i>Marine Mammal Science</i> , 30 (3): 1081-1108.
PRIMATES	Atelidae	<i>Ateles geoffroyi</i>	Rylands, A. B., Groves, C. P., Mittermeier, R. A. M., et al. (2014): Taxonomy and distributions of Mesoamerican primates. In: P. Pavelka and L. Luecke (eds), <i>New Perspectives on the Distribution, Ecology, Behavior and Conservation of Neotropical Primates</i> . CITES.
	Aotidae	<i>Aotus jorgehernandezi</i>	Defler, T. R. & Bueno, M. L. (2007): <i>Aotus jorgehernandezi</i> . <i>Conservation Biology</i> , 22: 55-70.
	Cebidae	<i>Callithrix manicorensis</i>	Garbino, T. & Siniciato, G. (2014): The taxonomy of <i>Callithrix manicorensis</i> (van Roosmalen et al. 2008) from Southwestern Brazilian Amazonia. - <i>International Journal of Primatology</i> (for <i>Mico marcai</i> lumped with <i>Mico manicorensis</i>) CITES]
	Cebidae	<i>Cebus flavius</i>	Oliveira, M. M. de & Langguth, A. (2006): Re-evaluation and designation of a neotype for <i>Simia flava</i> (Cebidae). <i>Boletim do Museu Nacional do Rio de Janeiro</i> , 64(1): 1-10.
	Cebidae	<i>Mico rondoni</i>	Ferrari, S. F., Sena, L., Schneider, M. P. C. & J. M. B. (2014): <i>Mico rondoni</i> sp. n., from southwestern Brazil. <i>Primates</i> , 31 : 693-714.

	Cebidae	<i>Saguinus ursulus</i>	Gregorin, R. & de Vivo, M. (2013): Revalidation (Primates: Cebidae: Callitrichinae). - Zootaxa,
	Cebidae	<i>Saimiri collinsi</i>	Merces, M. P., Alfaro, J. W. L., Ferreira, W. A. Morphology and mitochondrial phylogenetics of eastern squirrel monkey species: <i>Saimiri sciurinus</i> . Phylogenetics and Evolution, 82 : 426-435.
	Cercopithecidae	<i>Cercopithecus lomamiensis</i>	Hart, J.A., Detwiler, K.M., Gilbert, C.C., Burrell, T.B., Vosper, A., Sargis, E.J. & Tosi, A.J. (2011): <i>Cercopithecus</i> monkey endemic to the Democratic Republic of Congo's Central Basin. - PLoS ONE, 6 (12): e28111. doi: 10.1371/journal.pone.0028111
	Cercopithecidae	<i>Macaca munzala</i>	Sinha, A., Datta, A., Madhusudan, M. D. & Mishra, S. (2011): A new species of macaque from western Arunachal Pradesh, north-east India. - Primate, 26 (4): 977-989: doi: 10.1007/s12575-011-0001-1
	Cercopithecidae	<i>Rhinopithecus strykeri</i>	Geismann, T., Lwin, N., Aung, S. S., Aung, T., Moberg, F. (2011): A new species of snub-nosed monkey, <i>Rhinopithecus strykeri</i> (Primates, Colobinae), from Northern Myanmar. - Amer. J. Primatology, 73 : 96-103.
	Cercopithecidae	<i>Rungwecebus kipunji</i>	Davenport, T. R. b., Stanley, W. t., Sargis, E. j., S. J. & Olson, L. E. (2006): A new genus of African monkey. - Journal of Morphology, ecology, and molecular phylogenetics, 267 : 103-114.
	Cercopithecidae	<i>Trachypithecus villosus</i>	Brandon-Jones, d., Eudey, A. A., Geissmann, t., C., Shekelle, M. & Steward, C.-B. (2004): Asian langur <i>Trachypithecus villosus</i> . - Journal of Primatology, 25 : 97-163.
	Cercopithecidae	<i>Cheirogaleus lavasoensis</i>	Thiele, d., Razafimahatratra, E. & Hapke, A. (2009): Molecular diversity in mouse lemurs and dwarf lemurs (Primates: Lemninae). - Molecular Phylogenetics and Evolution, 69 : 103-114.
	Cercopithecidae	<i>Microcebus gerpi</i>	Radespiel, U., Ratsimbazafy, J. H., Rasoloharijaona, N., Rakotondravony, R., Randrianarison, R. M. (2011): Molecular evidence for a new mouse lemur species from Madagascar. - Primate, 26 (1): 170.
	Cercopithecidae	<i>Microcebus marohita</i> <i>Microcebus tanosi</i>	Rasoloarison, R. M., Weisrock, D. W., Yoder, J. C., M. [2013]: Two new species of mouse lemurs (Primates: Lemninae) from Eastern Madagascar. - International Journal of Primatology, 34 : 1-12.
	Hylobatidae	<i>Nomascus annamensis</i>	Van Ngoc Thinh, Mootnick, A. R., Vu Ngoc Thinh, T. (2011): A new species of crested gibbon from the central Annamite mountains, Vietnam. - Journal of Primatology, 42 : 1-12.
	Lorisidae	<i>Nycticebus kayan</i>	Munds, R.A., Nekaris, K.A.I. & Ford, S.M. (2011): A new species of loris, <i>Nycticebus kayan</i> (Primates: Lorisidae). - Journal of Primatology, 75 : 46-56.
	Pitheciidae	<i>Cacajao melanocephalus</i> <i>Cacajao oukary</i>	Ferrari, S. F., Guedes, P. G., Figueiredo-Ready, J. (2011): Reconsidering the taxonomy of the Black-faced titi monkey (<i>Cacajao melanocephalus</i> (Mammalia: Pitheciidae), from the northern Amazon basin. - Primate, 26 (3): 370.

	Pitheciidae	<i>Callicebus aureipalatii</i>	Wallace, R. B., Gómez, H., Felton, A. & Felton, R. (2000): Golden-headed titi monkey, genus <i>Callicebus</i> Thomas (Primates). - Preliminary notes on distribution and abundance. - <i>Conservation Biology</i> , 14 : 1-9.
	Pitheciidae	<i>Callicebus caquetensis</i>	Defler, T. R., Bueno, M. L. & García, J. (2010): A new species of titi monkey from southern Colombia. - <i>Conservation Biology</i> , 25 : 1-9.
	Pitheciidae	<i>Callicebus vieira</i>	Gualda-Barros, J., Nascimento, F. O. & Amara, J. (2000): A new species of titi monkey, <i>Callicebus</i> Thomas, 1903 (Primates, Pitheciidae) from the state of Pará, Brazil. - <i>Papéis Avulsos de Zoologia</i> (São Paulo), 44 : 1-9.
	Pitheciidae	<i>Callicebus miltoni</i>	Dalponte, J. C., Silva, F. E. & Silva Júnior, J. S. (2000): A new species of titi monkey, <i>Callicebus</i> Thomas, 1903 (Primates, Pitheciidae) from the state of Pará, Brazil. - <i>Papéis Avulsos de Zoologia</i> , São Paulo, 44 : 1-9.
	Pitheciidae	<i>Pithecia cazuzai</i> <i>Pithecia chrysocephala</i> <i>Pithecia hirsuta</i> <i>Pithecia inusta</i> <i>Pithecia isabela</i> <i>Pithecia milleri</i> <i>Pithecia mittermeieri</i> <i>Pithecia napensis</i> <i>Pithecia pissinattii</i> <i>Pithecia rylandsi</i> <i>Pithecia vanzolinii</i>	Marsh, L.K. (2014): A taxonomic revision of the genus <i>Pithecia</i> (Primates: Pitheciidae) since 1804. - <i>Neotropical Primates</i> , 21 : 1-163.
	Tarsiidae	<i>Tarsius lariang</i>	Merker, S. & Groves, C.P. (2006): <i>Tarsius lariang</i> sp. nov. (Primates: Tarsiidae) from Western Central Sulawesi. - <i>International Journal of Primatology</i> , 27 : 1-10.
	Tarsiidae	<i>Tarsius tumpara</i>	Shekelle, m., Groves, C., Merker, S. & Supriatna, D. (2006): A new tarsier species from Siau Island, North Sulawesi. - <i>International Journal of Primatology</i> , 27 : 1-10.
PROBOSCIDEA	Elephantidae	<i>Loxodonta africana</i>	Wilson, D. E. & Reeder, D. m. (1993): <i>Mammal Species of the World</i> . Geographic Reference. Second edition. xviii + 2175 pp. (Smithsonian Institution Press).
SCANDENTIA	Tupaiaidae	<i>Tupaia everetti</i>	Roberts, T. E., Lanier, H. C., Sargis, E. J. & Oldfield, J. W. (2000): Molecular phylogenetics of tree shrews (Mammalia: Scandentia) and the timing of their divergence from Asia. - <i>Molecular Phylogenetics and Evolution</i> , 15 : 1-10.

	Tupaiaidae	<i>Tupaia palawanensis</i>	Sargis, E. J., Campbell, K. K. & Olson, L. E. (2002): Cranial variation in the tree shrews (Scand. region). - Journal of Mammalian Evolution, 21
AVES			
APODIFORMES		order- and family-level names for birds	Morony, J. J., Bock, W. J. & Farrand, J., Jr. (1992): World. American Museum of Natural History.
		all bird species — with the exception of the taxa mentioned below	Dickinson, E.C. (ed.) (2003): The Howard and Moore Checklist of the Birds of the World. Revised and enlarged 3rd Edition. 1-2000. in combination with Dickinson, E.C. (2005): Corrigenda 4 (02.06.2005) http://www.naturalis.nl/sites/naturalis.en/content/view/full/100000 (available on the CITES website)
	Trochilidae	<i>Chlorostilbon lucidus</i>	Pacheco, J. F. & Whitney, B. M. (2006): Mandakia. - Bull. Brit. Orn. Club, 136 : 161-170.
	Trochilidae	<i>Eriocnemis isabellae</i>	Cortés-Diago, A., Ortega, L. A., Mazariegos-Hernández, J. (2006): A new species of <i>Eriocnemis</i> (Trochilidae) from southern Neotropical, 18 : 161-170.
	Trochilidae	<i>Phaethornis aethopyga</i>	Piacentini, V. Q., Aleixo, A. & Silveira, L. F. (2002): The validity and taxonomic status of <i>Phaethornis aethopyga</i> (Trochilidae). - Auk, 126 : 604-612.
FALCONIFORMES	Accipitridae	<i>Aquila hastata</i>	Parry, S. J., Clark, W. S. & Prakash, V. (2002): The Spotted Eagle <i>Aquila hastata</i> . - Ibis, 144 : 604-612.
	Accipitridae	<i>Buteo socotraensis</i>	Porter, R. F. & Kirwan, G. M. (2010): Studies on the Socotra Buzzard. - Bulletin of the British Ornithologists' Club, 130 : 161-170.
	Falconidae	<i>Micrastur mintoni</i>	Whittaker, A. (2002): A new species of forest-falcon from southeastern Amazonia and the Atlantic rainforest. - Zootaxa, 421-445.
PASSERIFORMES	Muscicapidae	<i>Garrulax taewanus</i>	Collar, N. J. (2006): A partial revision of the Asian species of <i>Garrulax</i> . - Zootaxa, 1361 : 85-112.
PSITTACIFORMES	Cacatuidae	<i>Cacatua goffiniana</i>	Roselaar, C. S. & Michels, J. P. (2004): Nomenclature and naming of the formally undescribed <i>Cacatua goffiniana</i> Indonesia (Psittaciformes: Cacatuidae). -- Zootaxa, 661 : 1-16.
	Loriidae	<i>Trichoglossus haematodus</i>	Collar, N. J. (1997) Family Psittacidae (Parrots and Allies) (eds.), Handbook of the Birds of the World, 4 : 1-16. Barcelona (Lynx Edicions).
	Psittacidae	<i>Aratinga maculata</i>	Nemesio, A. & Rasmussen, C. (2009): The red-bellied 'Perriche jaune': two senior synonyms of <i>Aratinga maculata</i> (Aves: Psittaciformes). - Zootaxa, 2013 : 1-16.
	Psittacidae	<i>Forpus modestus</i>	Pacheco, J. F. & Whitney, B. M. (2006): Mandakia. - Bull. Brit. Orn. Club, 136 : 161-170.

	Psittacidae	<i>Pionopsitta aurantiocephala</i>	Gaban-Lima, R., Raposo, M. A. & Höfling, E. (2015): <i>Pionopsitta</i> (Aves: Psittacidae) endemic to Brazil. - <i>Conservation Genetics</i> , 16(1): 1-10.
	Psittacidae	<i>Poicephalus robustus</i> <i>Poicephalus fuscicollis</i>	Coetzer, W.G., Downs, C.T., Perrin, M.R. & Winkler, D. (2015): Systematics of the Cape Parrot (<i>Poicephalus robustus</i>) and its conservation. - <i>PLoS ONE</i> , 10(8):e0133376. doi:10.1371/journal.pone.0133376
	Psittacidae	<i>Psittacula intermedia</i>	Collar, N. J. (1997) Family Psittacidae (Parrots and Parakeets) (eds.), <i>Handbook of the Birds of the World</i> , 4 (Part 1) (Barcelona (Lynx Edicions)).
	Psittacidae	<i>Pyrrhura griseipectus</i>	Olmos, F., Silva, W. A. G. & Albano, C. (2005): <i>Pyrrhura griseipectus</i> , an overlooked endangered species from Brazil. - <i>Biotropica</i> , 37(1): 105-110.
	Psittacidae	<i>Pyrrhura parvifrons</i>	Arndt, T. (2008): Anmerkungen zu einigen <i>Pyrrhura</i> -Arten, einer neuen Art und zweier neuer Unterarten. - <i>Ararajuba</i> , 10(2): 123-130.
STRIGIFORMES	Strigidae	<i>Glaucidium mooreorum</i>	Da Silva, J. M. C., Coelho, G. & Gonzaga, P. (2015): A new species of owl (Strigidae) from northeastern Brazil. - <i>Ararajuba</i> , 10(2): 123-130.
	Strigidae	<i>Ninox burhani</i>	Indrawan, M. & Somadikarta, S. (2004): A new species of owl (<i>Ninox burhani</i>) from Tomini, central Sulawesi, Indonesia. - <i>Bulletin of the British Ornithologists' Club</i> , 124: 160-171.
	Strigidae	<i>Otus thilohoffmanni</i>	Warakagoda, D. H. & Rasmussen, P. C. (2004): A new species of owl (<i>Otus thilohoffmanni</i>) from Sri Lanka. - <i>Bulletin of the British Ornithologists' Club</i> , 124: 160-171.
REPTILIA			
CROCODYLIA & RHYNCHOCEPHALIA		Crocodylia & Rhynchocephalia except for the taxa listed below	Wermuth, H. & Mertens, R. (1996) (reprint): <i>Sauria</i> . - <i>Reptilia</i> , 1: 1-506 pp. Jena (Gustav Fischer Verlag).
	Crocodylidae	<i>Crocodylus johnstoni</i>	Tucker, A. D. (2010): The correct name to be applied to the crocodile, <i>Crocodylus johnstoni</i> [Krefft, 1872]. - <i>Conservation Genetics</i> , 11(1): 1-10.
	Sphenodontidae	<i>Sphenodon</i> spp.	Hay, J. M., Sarre, S. D., Lambert, D. m., Allmonday, J. & Colbourne, J. (2015): Genetic diversity and taxonomy: a reassessment of <i>Sphenodon</i> (Reptilia). - <i>Conservation Genetics</i> , 16(1): 1-10.
SAURIA		for delimitation of families within the Sauria	Pough, F. H., Andrews, R. M., Cadle, J. E., Collins, J. T. & Crone, B. (1998): <i>Herpetology</i> . Upper Saddle River/New Jersey: Prentice-Hall, 978-0-13-087437-8.
	Agamidae	<i>Saara</i> spp. <i>Uromastyx</i> spp.	Wilms, T. M., Böhme, W., Wagner, P., Lutzmaier, A. & Schmitz, J. (2015): Phylogeny and taxonomy of the genus <i>Uromastyx</i> (Agamidae: Uromastycinae) - resurrection of the genus <i>Saara</i> . - <i>Beiträge</i> , 56(1-2): 55-99.

	Chamaeleonidae	<i>Chamaeleonidae</i> spp.	Glaw, F. (2015): Taxonomic checklist of chamaeleonids (Squamata: Chamaeleonidae). - Vertebrate Zoology, 65(2): 167-246. (http://www.senckenberg.de/files/content/forschung/2/01_vertrebrate_zoology_65-2_glaw_167-246).
	Cordylidae	<i>Cordylidae</i> spp. except the taxon mentioned below	Stanley, E. L., Bauer, A. M., Jackman, T. R., & Hipsley-Cox, J. (2011): A rock and a hard polytomy: rapid radiation in the Cordylidae. - Molecular Phylogenetics and Evolution, 59(2): 211-221.
	Cordylidae	<i>Cordylus marunguensis</i>	Greenbaum, E., Stanley, E. L., Kusamba, C., & Hipsley-Cox, J. (2012): A new species of <i>Cordylus</i> (Squamata: Cordylidae) from the south-eastern Democratic Republic of the Congo. - Zootaxa, 3214: 14-39.
	Gekkonidae	<i>Dactylonemis</i> spp. <i>Hoplodactylus</i> spp. <i>Mokopirirakau</i> spp.	Nielsen, S. V., Bauer, A. M., Jackman, T. R., & Hipsley-Cox, J. (2011): New Zealand geckos (Diplodactylidae) and their lineage with trans-Tasman affinities. - Molecular Phylogenetics and Evolution, 59(2): 211-221.
	Gekkonidae	<i>Nactus serpensinsula</i>	Kluge, A.G. (1983): Cladistic relationships among the Gekkonidae. - Systematic Zoology, 32(2): 465-475.
	Gekkonidae	<i>Naultinus</i> spp.	Nielsen, S. V., Bauer, A. M., Jackman, T. R., & Hipsley-Cox, J. (2011): New Zealand geckos (Diplodactylidae) and their lineage with trans-Tasman affinities. - Molecular Phylogenetics and Evolution, 59(2): 211-221.
	Gekkonidae	<i>Phelsuma</i> spp. <i>Rhoptropella</i> spp.	Glaw, F. & Rösler, H. (2015): Taxonomic checklist of Phelsuma Gray, 1825 and <i>Rhoptropella</i> Heude, 1891 (Squamata: Gekkonidae). - Vertebrate Zoology, 65(2): 167-246. (http://www.senckenberg.de/files/content/forschung/2/02_vertrebrate_zoology_65-2_glaw-roesler_2015).
	Gekkonidae	<i>Toropuku</i> spp. <i>Tukutuku</i> spp. <i>Woodworthia</i> spp.	Nielsen, S. V., Bauer, A. M., Jackman, T. R., & Hipsley-Cox, J. (2011): New Zealand geckos (Diplodactylidae) and their lineage with trans-Tasman affinities. - Molecular Phylogenetics and Evolution, 59(2): 211-221.
	Gekkonidae	<i>Uroplatus</i> spp. except for the taxa mentioned below	Raxworthy, C.J. (2003): Introduction to the reptiles and amphibians of Madagascar (eds.), The natural history of Madagascar: 934-944.

	Gekkonidae	<i>Uroplatus finiavana</i>	Ratsoavina, F.M., Louis jr., E.E., Crottini, A., & M. (2011): A new leaf tailed gecko species from assessment of molecular and morphological variation. <i>Zootaxa</i> , 3022: 39-57.
	Gekkonidae	<i>Uroplatus giganteus</i>	Glaw, F., Kosuch, J., Henkel, W. F., Sound, P. morphological variation of the leaf-tailed gecko with description of a new giant species. - <i>Salam</i>
	Gekkonidae	<i>Uroplatus pietschmanni</i>	Böhle, A. & Schönecker, P. (2003): Eine neue aus OstMadagaskar (Reptilia: Squamata: Gekko
	Gekkonidae	<i>Uroplatus sameiti</i>	Raxworthy, C.J., Pearson, R.G., Zimkus, B.M., Ingram, C.M. (2008): Continental speciation in patterns of divergence in the <i>Uroplatus</i> leaf-tailed gecko. <i>Journal of Zoology</i> , 275: 423-440.
	Iguanidae	Iguanidae spp. except for the taxa mentioned below	Hollingsworth, B. D. (2004): The Evolution of a Checklist of Species. pp. 19-44. In: Alberts, A. & Martins, E. P. (Eds), <i>Iguanas: Biology and Conservation</i> . California Press).
	Iguanidae	<i>Brachylophus bulabula</i>	Keogh, J. S., Edwards, D. L., Fisher, R. N. & H. morphological analysis of the critically endangered and a complex biogeographic history. - <i>Phil. Tr</i>
	Iguanidae	<i>Conolophus marthae</i>	Gentile, G. & Snell, H. (2009): <i>Conolophus marthae</i> new species of land iguana from the Galápagos
	Iguanidae	<i>Cyclura lewisi</i>	Burton, F. J. (2004): Revision to Species <i>Cyclura lewisi</i> Iguana - <i>Caribbean Journal of Science</i> , 40(2): 1
	Iguanidae	<i>Phrynosoma blainvillii</i> <i>Phrynosoma cerroense</i> <i>Phrynosoma wigginsi</i>	Montanucci, R.R. (2004): Geographic variation in <i>Phrynosoma</i> (Phrynosomatidae): further evidence for a peninsular origin.
	Teiidae	<i>Teiidae</i> spp.	Harvey, M. B., Ugueto, G. N. & Gutberlet, R. I. with a revised taxonomy and phylogeny of the <i>Teiidae</i> . <i>Zootaxa</i> , 3459: 1-156.
	Varanidae	<i>Varanidae</i> spp. except for the taxa mentioned below	Böhme, W. (2003): Checklist of the living monophyletic <i>Varanidae</i> . - <i>Zoologische Verhandelingen. Leiden</i> , 341: 1-156. in combination with Koch, A., Auliya, M. & Ziegler, T. (2010): Update on the world (Squamata: Varanidae). - <i>Bonn zo</i>

	Varanidae	<i>Varanus bangonorum</i> <i>Varanus dalubhasa</i>	Welton, L. J., Travers, S. L., Siler, C. D. & Brown, C. M. (2010): Molecular and phylogeny-based species delimitation of <i>Varanus salvator</i> complex with descriptions of two new species. <i>Herpetologica</i> 66(2): 227.
	Varanidae	<i>Varanus hamersleyensis</i>	Maryan, B., Oliver, P. M., Fitch, A. J. & O'Connor, J. (2008): Morphological assessment of <i>Varanus pilbarensis</i> and description of a new species from the southern coast of Western Australia. <i>Herpetologica</i> 64(2): 139-158.
	Varanidae	<i>Varanus nesterovi</i>	Böhme, W., Ehrlich, K., Milto, K. D., Orlov, N. & Orlov, N. (2008): A new desert monitor lizard (Varanidae: <i>Varanus</i>) from the southern region (Iraq, Iran). - <i>Russian Journal of Herpetology</i> 15(1): 1-10.
	Varanidae	<i>Varanus samarensis</i>	Koch, A., Gaulke, M. & Böhme, W. (2010): <i>Varanus samarensis</i> sp. nov., a new Philippine water monitor lizard (Squamata: Varanidae). <i>Herpetologica</i> 66(2): 227.
	Varanidae	<i>Varanus sparnus</i>	Doughty, P., Kealley, L., Fitch, A. & Donnellan, C. (2008): A new <i>Varanus</i> from the Dampier Peninsula, western Australia. <i>Records of the Western Australian Museum</i> , 29(1): 1-10.
SERPENTES		<i>Loxocemidae</i> spp. <i>Pythonidae</i> spp. <i>Boidae</i> spp. <i>Bolyeriidae</i> spp. <i>Tropidophiidae</i> spp. <i>Viperidae</i> spp. except for the retention of the genera <i>Acrantophis</i> , <i>Sanzinia</i> , <i>Calabaria</i> , <i>Lichanura</i> , the recognition of <i>Epicrates maurus</i> as valid species and except for the species mentioned below	McDiarmid, R. W., Campbell, J. A. & Touré, T. (2001): <i>Reptiles and Amphibians</i> . Taxonomic and Geographic Reference. Volume 1. (Smithsonian Institution Press, Washington, D.C.).

	Boidae	<i>Candoia paulsoni</i> <i>Candoia superciliosa</i>	Smith, H. M., Chiszar, d., Tepedelen, K. & van bevelnosed boas (<i>Candoia carinata</i> complex 283-315.
	Boidae	<i>Corallus batesii</i>	Henderson, R. W., Passos, P. & Feitosa, D. (20 Treeboa, <i>Corallus caninus</i> (Squamata: Boida
	Boidae	<i>Epicrates crassus</i> <i>Epicrates assisi</i> <i>Epicrates alvarezi</i>	Passos, P. & Fernandes, R. (2008): Revision of (Serpentes: Boidae). - Herpetol. Monographs, 2
	Boidae	<i>Eryx borrii</i>	Lanza, B. & Nistri, A. (2005): Somali Boidae (genus <i>Python</i> Daudin 1803) (Reptilia Serper
	Boidae	<i>Eunectes beniensis</i>	Dirksen, L. (2002): Anakondas. NTV Wissensc
	Colubridae	<i>Xenochrophis piscator</i> <i>Xenochrophis schnurrenbergeri</i> <i>Xenochrophis tytleri</i>	Vogel, G. & David, P. (2012): A revision of the (Schneider, 1799) (Squamata: Natricidae). - Zo
	Elapidae	<i>Micrurus ruatanus</i>	McCranie, J. R. (2015): A checklist of the amphi additions, comments on taxonomy, some recent studies needed. - Zootaxa, 3931 (3): 352-386.
	Elapidae	<i>Naja atra</i> <i>Naja kaouthia</i>	Wüster, W. (1996): Taxonomic change and toxicobras (<i>Naja naja</i> species complex) - Toxicol
	Elapidae	<i>Naja mandalayensis</i>	Slowinski, J. B. & Wüster, W. (2000.): A new cobra (Burma) - Herpetologica, 56: 257-270.

	Elapidae	<i>Naja oxiana</i> <i>Naja philippinensis</i> <i>Naja sagittifera</i> <i>Naja samarensis</i> <i>Naja siamensis</i> <i>Naja sputatrix</i> <i>Naja sumatrana</i>	Wüster, W. (1996): Taxonomic change and toxicology of the cobra species complex (<i>Naja naja</i> species complex) - Toxicon 36: 1-10.
	Pythonidae	<i>Leiopython bennettorum</i> <i>Leiopython biakensis</i> <i>Leiopython fredparkeri</i> <i>Leiopython huonensis</i> <i>Leiopython hosei</i>	Schleip, W. D. (2008): Revision of the genus <i>Leiopython</i> (Pythonidae) with the redescription of taxa recently synonymized and description of new species. - Journal of Herpetology 42: 1-15.
	Pythonidae	<i>Morelia clastolepis</i> <i>Morelia kinghorni</i> <i>Morelia nauta</i> <i>Morelia tracyae</i>	Harvey, M. B., Barker, D. B., Ammerman, L. K. (2009): Revision of pythons of the <i>Morelia amethystina</i> complex with description of three new species - Herpetologica 65: 1-15.
	Pythonidae	<i>Python bivittatus</i>	Jacobs, H. J., Auliya, M. & Böhme, W. (2009): <i>Python molurus bivittatus</i> KUHL, 1820, specified as a synonym of <i>Python bivittatus</i> (Sauria, Pythonidae). - Zootaxa 217: 1-16.

	Pythonidae	<i>Python breitensteini</i> <i>Python brongersmai</i>	Keogh, J. S., Barker, D. G. & Shine, R. 2001. Herpetological systematics and biogeography of commercially important snakes in Southeast Asia — Biological Journal of the Linnean Society, 68 (2): 83-90.
	Pythonidae	<i>Python kyaiktiyo</i>	Zug, G.R., Grotte, S. W. & Jacobs, J. F. (2011). A new species of <i>Python</i> (Reptilia: Squamata). - Proc. Biol. Soc. Washington, 124(1): 1-10.
	Pythonidae	<i>Python natalensis</i>	Broadley, D. G. (1999): The southern African python <i>Python natalensis</i> is a valid species. - African Herp News, 29: 31-32.
	Tropidophiidae	<i>Tropidophis</i> spp. except for the taxa mentioned below	Hedges, S.B. (2002): Morphological variation and systematics of the genus <i>Tropidophis</i> (Serpentes, Tropidophiidae). - Zoological Journal of the Linnean Society, London (Zoology), 68 (2): 83-90.
	Tropidophiidae	<i>Tropidophis celiae</i>	Hedges, B. S., Estrada, A. R. & Diaz, L. M. (1999): A new species of <i>Tropidophis</i> (Tropidophiidae) from western Cuba - Copeia, 1999(2): 376-381.
	Tropidophiidae	<i>Tropidophis grapiuna</i>	Curcio, F. F., Sales Nunes, P. M., Suzart Argolo, A. (2012): Taxonomy of the South American dwarf snakes (Tropidophiidae) from 1840, with the description of two new species from Brazil (Tropidophiidae). - Herpetological Monographs, 26(1): 1-10.
	Tropidophiidae	<i>Tropidophis hendersoni</i>	Hedges, B. S. & Garrido, O. (2002): A new snake species (Tropidophiidae) from Eastern Cuba - Journal of Herpetology, 36(4): 517-520.
	Tropidophiidae	<i>Tropidophis morenoi</i>	Hedges, B. S., Garrido, O. & Diaz, L. M. (2001): A new species of <i>Tropidophis</i> (Tropidophiidae) from north-central Cuba - Journal of Herpetology, 35(4): 617-620.
	Tropidophiidae	<i>Tropidophis preciosus</i>	Curcio, F. F., Sales Nunes, P. M., Suzart Argolo, A. (2012): Taxonomy of the South American dwarf snakes (Tropidophiidae) from 1840, with the description of two new species from Brazil (Tropidophiidae). - Herpetological Monographs, 26(1): 1-10.
	Tropidophiidae	<i>Tropidophis spiritus</i>	Hedges, B. S. & Garrido, O. (1999): A new snake species (Tropidophiidae) from central Cuba - Journal of Herpetology, 33(4): 517-520.
	Tropidophiidae	<i>Tropidophis xanthogaster</i>	Domínguez, M., Moreno, L. V. & Hedges, S. B. (2002): A new species of <i>Tropidophis</i> (Tropidophiidae) from the Guananá region, Cuba. - Amphibia-Reptilia, 27(3): 427-432.
TESTUDINES		Testudines order names	Wermuth, H. & Mertens, R. (1996) (reprint): Snakes and Lizards of the World. + 506 pp. Jena (Gustav Fischer Verlag).

		species and family names — with the exception of the retention of the following names <i>Mauremys iversoni</i> , <i>Mauremys pritchardi</i> , <i>Ocadia glyphistoma</i> , <i>Ocadia philippeni</i> , <i>Sacalia pseudocellata</i> , and except for the taxa mentioned below	Fritz, U. & Havaš, P. (2007): Checklist of Chel 57(2): 149-368. Dresden. ISSN 1864-5755 [wit
	Emydidae	<i>Graptemys pearlensis</i>	Ennen, J. R., Lovich, J. E., Kreiser, B. R., Selm morphological variation between populations of <i>gibbonsi</i>) in the Pearl and Pascagoula Rivers v Chelonian Conservation and Biology, 9(1): 98-
	Geoemydidae	<i>Batagur affinis</i>	Praschag, P., Sommer, R. S., McCarthy, C., Ge the world's rarest chelonians, the southern Bata
	Geoemydidae	<i>Batagur borneoensis</i> , <i>Batagur dhongoka</i> , <i>Batagur kachuga</i> , <i>Batagur trivittata</i>	Praschag, P., Hundsdörfer, A. K. & Fritz, U. (2 endangered South and South-east Asian freshw variation (Testudines: Geoemydidae: <i>Batagur Pangshura</i>). - Zoologica Scripta, 36: 429-442
	Geoemydidae	<i>Cuora bourreti</i> <i>Cuora picturata</i>	Spinks, P.Q., Thomson, R.C., Zhang, Y.P., Che Species boundaries and phylogenetic relationsh turtle genus <i>Cuora</i> . - Molecular Phylogenetic doi:10.1016/j.ympcv.2012.02.014.

	Geoemydidae	<i>Cyclemys enigmatica</i> , <i>Cyclemys fusca</i> <i>Cyclemys gemeli</i> <i>Cyclemys oldhamii</i>	Fritz, U., Guicking, D., Auer, M., Sommer, R. s Diversity of the Southeast Asian leaf turtle gen of life? - Zoologica Scripta, 37: 367-390.
	Geoemydidae	<i>Mauremys reevesii</i>	Barth, D., Bernhard, D., Fritzs, G. & U. Fritz <i>Mauremys</i> (Testudines, Geoemydidae) - a text or a taxonomic misconception? - Zoologica Scripta
	Testudinidae	<i>Centrochelys sulcata</i>	Turtle Taxonomy Working Group [van Dijk, P. H. B. & Bour, R.] (2014): Turtles of the world, taxonomy, synonymy, distribution with maps, a Chelonian Research Monographs, 5 doi: 10.385
	Testudinidae	<i>Chelonoidis carbonarius</i> <i>Chelonoidis denticulatus</i> <i>Chelonoidis niger</i>	Olson, S.L. & David, N. (2014): The gender of 1835 (Testudines: Testudinidae). - Proceedings 126(4): 393-394.
	Testudinidae	<i>Gopherus morafkai</i>	Murphy, R. W., Berry, K. H., Edwards, T., Lev (2011): The dazed and confused identity of Ag (Testudines, Testudinidae) with the description conservation. - Zookeys, 113: 39-71.
	Testudinidae	<i>Homopus solus</i>	Branch, W. R. (2007): A new species of tortois Testudinidae) from southern Namibia. - African
	Testudinidae	<i>Kinixys nogueyi</i> <i>Kinixys zombensis</i>	Kindler, C., Branch, W. R., Hofmeyr, M. D., M Hauswaldt, J. S., Schleicher, A., Stuckas, H. & African hinge-back tortoises (<i>Kinixys</i>): impli (Testudines: Testudinidae). - Journal of Zoolog Research, 50: 192-201.
	Trionychidae	<i>Lissemys ceylonensis</i>	Praschag, P., Stuckas, H., Päckert, M., Maran, sequences suggest a revised taxonomy of Asian and the validity of previously unrecognized tax Zoology, 61(1): 147-160.

	Trionychidae	<i>Nilssonia gangeticus</i> <i>Nilssonia hurum</i> <i>Nilssonia nigricans</i>	Praschag, P., Hundsdoerfer, A.K., Reza, A.H.M. wildliving <i>Aspideretes nigricans</i> and a mole turtles (Reptilia: Trionychidae: <i>Aspideretes</i> , 310.
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AMPHIBIA

		<i>Amphibia</i> spp.	Taxonomic Checklist of Amphibian Species list Annexes of EC Regulation (EC) No 338/97. Sp R. (ed.) (2015), Amphibian Species of the World an online reference (http://research.amnh.org/h 6.0 as of May 2015 with additional comments by CITES Animals Committee.
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ELASMOBRANCHII, ACTINOPTERI, COELACANTHI AND DIPNEUSTI

		All fish species, except the genus <i>Hippocampus</i>	Taxonomic Checklist of Fish species listed in the EC Regulation 338/97 (Elasmobranchii, Actinopteri except the genus <i>Hippocampus</i>). Information R. (eds.): Catalog of Fishes, an online reference (http://researcharchive.calacademy.org/research version update from 3 February 2015 .
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SYNGNATHIFORMES	Syngnathidae	<i>Hippocampus</i> spp.	<p>Horne, M. L. (2001): A new seahorse species (Syngnathidae) from the Great Barrier Reef - Records of the Australian Museum, 53: 293-340.</p> <p>Kuiter, R. H. (2001): Revision of the Australian Seahorse (Syngnathiformes: Syngnathidae) with a description of a new species. Australian Museum, 53: 293-340.</p> <p>Kuiter, R. H. (2003): A new pygmy seahorse (Syngnathidae) from Lord Howe Island - Records of the Australian Museum, 53: 293-340.</p> <p>Lourie, S. A. & Randall, J. E. (2003): A new pygmy seahorse (Teleostei: Syngnathidae), from the Indo-Pacific. Australian Museum, 53: 293-340.</p> <p>Lourie, S. A., Vincent, A. C. J. & Hall, H. J. (1999): Seahorses: the world's species and their conservation. Project Seahorse (1999) edition available on CD-ROM).</p>
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	Syngnathidae	<i>Hippocampus dahli</i>	Kuiter, R. H. (2001): Revision of the Australian Seahorse (Syngnathiformes: Syngnathidae) with a description of a new species. Australian Museum, 53: 293-340.
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	Syngnathidae	<i>Hippocampus debelius</i>	Gomon, M. F. & Kuiter, R. H. (2009): Two new species of Seahorse (Syngnathidae: <i>Hippocampus</i>) from the Indo-Pacific. Australian Museum, 53: 293-340.
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	Syngnathidae	<i>Hippocampus paradoxus</i>	Foster, R. & Gomon, M. F. (2010): A new seahorse (Syngnathidae: <i>Hippocampus</i>) from south-western Australia. Australian Museum, 53: 293-340.
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	Syngnathidae	<i>Hippocampus patagonicus</i>	Piacentino, G. L. M. and Luzzatto, D. C. (2004): new seahorse from Argentina (Pisces, Syngnathiformes: Syngnathidae). - <i>Ciencias Naturales</i> , 6(2): 339-349.
	Syngnathidae	<i>Hippocampus planifrons</i>	Kuiter, R. H. (2001): Revision of the Australian <i>Hippocampus planifrons</i> (Syngnathiformes: Syngnathidae) with a description of a new species. - <i>Australian Museum</i> , 53: 293-340.
	Syngnathidae	<i>Hippocampus pontohi</i>	Lourie, S. A. & Kuiter, R. H. (2008): Three new species of <i>Hippocampus</i> (Teleostei: Syngnathidae). - <i>Zootaxa</i> , 1753: 1-12.
	Syngnathidae	<i>Hippocampus satomiae</i> <i>Hippocampus severnsi</i>	Lourie, S. A. & Kuiter, R. H. (2008): Three new species of <i>Hippocampus</i> (Teleostei: Syngnathidae). - <i>Zootaxa</i> , 1753: 1-12.
	Syngnathidae	<i>Hippocampus tyro</i>	Randall, J. & Lourie, S. A. (2009): <i>Hippocampus tyro</i> (Gasterosteiformes: Syngnathidae) from the Seychelles. - <i>Copeia</i> , 2009: 100-102.
	Syngnathidae	<i>Hippocampus waleanus</i>	Gomon, M. F. & Kuiter, R. H. (2009): Two new species of <i>Hippocampus</i> (Teleostei: Syngnathidae) from the Indo-Pacific. - <i>Ichthyology</i> , 15(1): 37-44.

ARACHNIDA

ARANEAE	Theraphosidae	<i>Aphonopelma albiceps</i> <i>Aphonopelma pallidum</i> <i>Brachypelma</i> spp. except for the taxa mentioned below	Taxonomic Checklist of CITES listed Spider Species. Platnick, N. I. (2006), The World Spider Catalog, an online resource. - http://www.wsc.nyu.edu/
	Theraphosidae	<i>Brachypelma ruhnaui</i> lumped with <i>Brachypelma albiceps</i> treated as <i>Aphonopelma albiceps</i> under CITES	Platnick, N. I. (2014): The World Spider Catalog. - http://www.wsc.nyu.edu/
	Theraphosidae	<i>Brachypelma kahlenbergi</i>	Rudloff, J.-P. (2008): Eine neue <i>Brachypelma</i> (Araneae: Mygalomorphae: Theraphosidae: Theraphosinae) aus dem südlichen Afrika. - <i>Arthropod Science</i> , 18: 1-12.

SCORPIONES	Scorpionidae	<i>Pandinus</i> spp. except for the taxon mentioned below	Lourenco, W. R. & Cloudsley-Thompson, J. C. (1981): Scorpions of the genus <i>Pandinus</i> Thorell, 1861. - Convention - Biogeographica, 72(3): 133-143.
		<i>Pandinus roeseli</i>	Lourenco, W. R. (2014): Further considerations on <i>Pandinus imperator</i> (C. L. Koch, 1841) and description of a new species (Scorpiones: Scorpionidae). - Entomologische Zeitschrift, Museum Hamburg, 17(192): 139-151.

INSECTA

COLEOPTERA	Lucanidae	<i>Colophon</i> spp.	Bartolozzi, L. (2005): Description of two new species of <i>Colophon</i> (Coleoptera: Lucanidae). - African Entomology
LEPIDOPTERA	Papilionidae	<i>Ornithoptera</i> spp. <i>Trogonoptera</i> spp. <i>Troides</i> spp.	Matsuka, H. (2001): Natural History of Birdwing Butterflies (Lepidoptera: Papilionidae). (Shuppan). (ISBN 4-9900697-0-6).

HIRUDINOIDEA

ARHYNCHOBDELLIDA	Hirudinidae	<i>Hirudo medicinalis</i> <i>Hirudo verbana</i>	Nesemann, H. & Neubert, E. (1999): Annelida: Hirudinoidea, Acanthobdellea, Hirudinea. - Süßwasserfauna von Mitteleuropa (Spektrum Akad. Verlag). ISBN 3-8274-0927-0
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BIVALVIA

VENEROIDA	Tridacnidae	<i>Tridacna ningaloo</i>	Penny, S. & Willan, R.C. (2014): Description of a new species of <i>Tridacna</i> (Tridacnidae) from Ningaloo Reef, Western Australia. - Zootaxa, 3711: 207-211.
	Tridacnidae	<i>Tridacna noae</i>	Su, Y., Hung, J.-H., Kubo, H. & Liu, L.-L. (2015): A new valid giant clam species separated from <i>T. maxima</i> based on morphological and genetic data. - Raffles Bulletin of Zoology, 62: 1-10.
ANTHOZOA AND HYDROZOA		all CITES listed species	Taxonomic Checklist of all CITES listed Coral Reef Invertebrates. UNEP- WCMC 2012

FLORA

		Taxon concerned	Taxonomic reference
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General Reference	Generic names	For the generic names of all plants listed in the Appendices, unless they are superseded by standard checklists adopted by the CoP.	The Plant-Book, second edition, [D. J. Mabberley, 1997, C with corrections 1998)] for the generic names of all plants (Convention, unless they are superseded by standard checklists of Parties)
General Reference	Generic names	For generic synonyms not mentioned in The Plant-Book, unless they are superseded by standard checklists adopted by the CoP.	A Dictionary of Flowering Plants and Ferns, 8th edition, (Shaw, 1973, Cambridge University Press) for generic synonyms in The Plant-Book, unless they are superseded by standard checklists of Parties as referenced below.
AMARYLLIDACEAE, PRIMULACEAE		<i>Cyclamen</i> , <i>Galanthus</i> and <i>Sternbergia</i>	CITES Bulb Checklist (A. P. Davis et al., 1999, compiled by the United Kingdom of Great Britain and Northern Ireland) as reference to the names of species of <i>Cyclamen</i> and <i>Galanthus</i> and
APOCYNACEAE		<i>Pachypodium</i> spp.	CITES <i>Aloe</i> and <i>Pachypodium</i> Checklist (U. Eggli, Sukkulentensammlung, Zürich, Switzerland, in collaboration with the Royal Botanic Gardens, Kew, United Kingdom of Great Britain and Northern Ireland) Update and Supplement to the CITES <i>Aloe</i> & <i>Pachypodium</i> Checklist, CITES Management Authority of Switzerland, Bern, Switzerland) as reference to the names of species of <i>Aloe</i> and <i>Pachypodium</i>
		<i>Hoodia</i> spp.	Plants of Southern Africa: an annotated checklist. Germann, P. (2003). <i>Strelitzia</i> 14: 150-151. National Botanical Institute of South Africa as a guideline when making reference to the names of species of
CACTACEAE		All Cactaceae.	CITES Cactaceae Checklist third edition, (2016, compiled by the United Kingdom of Great Britain and Northern Ireland) as reference to names of species of Cactaceae. It is available in a section of the website of the Royal Botanic Gardens, Kew, https://www.kew.org/sites/default/files/CITES%20Cactaceae
CYCADACEAE, STANGERIACEAE and ZAMIACEAE		All Cycadaceae, Stangeriaceae and Zamiaceae.	The World List of Cycads: CITES and Cycads: Checklist and user's guide (Calonje, Ken D. Hill, Leonie Stanberg and Dennis Wm. Rutherford, C. et al., Royal Botanic Gardens, Kew, United Kingdom of Great Britain and Northern Ireland) as reference when making reference to names of species of Cycadaceae,
DICKSONIACEAE		<i>Dicksonia</i> species of the Americas.	<i>Dicksonia</i> species of the Americas (2003, compiled by B. von Arx, Agency for Nature Conservation, Bonn, Germany) as a guideline to names of species of <i>Dicksonia</i> .
DROSERACEAE, NEPHENTACEAE, SARRACENIACEAE		<i>Dionaea</i> <i>Nepenthes</i> and <i>Sarracenia</i> .	CITES Carnivorous Plant Checklist, (B. von Arx et al., 2003, compiled by the United Kingdom of Great Britain and Northern Ireland) as reference to names of species of <i>Dionaea</i> , <i>Nepenthes</i> and <i>Sarracenia</i>

EBANACEAE		<i>Diospyros</i> spp. - populations of Madagascar.	The genus <i>Diospyros</i> in Madagascar: a Preliminary (2016) based on the Catalogue of the Vascular Plants of Madagascar website. This reference is to be used as a guideline for the names of species of <i>Diospyros</i> . http://www.tropicos.org/ProjectWebPortal.aspx?pagename=Madagascar is a link to the page here: http://www.tropicos.org/Name/4444444 download is http://www.tropicos.org/docs/MadCat/Diospyros%20checklist
EUPHORBIACEAE		Succulent species of <i>Euphorbia</i> .	The CITES Checklist of Succulent <i>Euphorbia</i> Taxa (Carter and U. Eggli, 2003, published by the Federal Agency for Nature Conservation (Germany) as a guideline when making reference to the names of euphorbias.
LEGUMINACEAE		<i>Dalbergia</i> spp. - populations of Madagascar	A Preliminary <i>Dalbergia</i> checklist for Madagascar for the Catalogue of the Vascular Plants of Madagascar is available at SC65 Inf. 21. This reference is to be used as a guideline when making reference to the names of species of <i>Dalbergia</i> . https://cites.org/sites/default/files/eng/com/sc/65/Inf/E-SC65-Inf-21
LILIACEAE		<i>Aloe</i> spp.	CITES <i>Aloe</i> and <i>Pachypodium</i> Checklist (U. Eggli, 2003, Succulenten- Sammlung, Zurich, Switzerland, in collaboration with the Royal Botanic Gardens, Kew, United Kingdom of Great Britain and Northern Ireland). This reference is to be used as a guideline when making reference to the names of species of <i>Aloe</i> and <i>Pachypodium</i> . Update and Supplement to the CITES <i>Aloe</i> & <i>Pachypodium</i> Checklist (CITES Management Authority of Switzerland, Bern, Switzerland). reference to the names of species of <i>Aloe</i> and <i>Pachypodium</i> .

ORCHIDACEAE		<p><i>Laelia</i> <i>Paphiopedilum</i>, <i>Phalaenopsis</i>, <i>Phragmipedium</i>, <i>Pleione</i> <i>Sophronitis</i> (Volume 1, 1995) and <i>Cymbidium</i> <i>Dendrobium</i> , <i>Disa</i>, <i>Dracula</i> and <i>Encyclia</i> (Volume 2, 1997), and <i>Aerangis</i> <i>Angraecum</i>, <i>Ascocentrum</i>, <i>Bletilla</i>, <i>Brassavola</i>, <i>Calanthe</i> <i>Catasetum</i> <i>Miltonia</i>, <i>Miltonioides</i> and <i>Miltoniopsis</i>, <i>Renanthera</i>, <i>Renantherella</i> , <i>Rhynchostylis</i> , <i>Rossioglossum</i>, <i>Vanda</i> <i>Vandopsis</i> (Volume 3, 2001); and <i>Aerides</i>, <i>Coelogyne</i>, <i>Comparettia</i> and <i>Masdevallia</i></p>	<p>CITES Orchid Checklist, (compiled by the Royal Botanic Garden Edinburgh, 2004) as a guideline when making reference to the names of species of <i>Paphiopedilum</i>, <i>Phalaenopsis</i>, <i>Phragmipedium</i>, <i>Pleione</i> and <i>Cymbidium</i>, <i>Dendrobium</i>, <i>Disa</i>, <i>Dracula</i> and <i>Aerangis</i>, <i>Angraecum</i>, <i>Ascocentrum</i>, <i>Bletilla</i>, <i>Brassavola</i>, <i>Calanthe</i>, <i>Catasetum</i>, <i>Miltonioides</i> and <i>Miltoniopsis</i> , <i>Renanthera</i>, <i>Renantherella</i>, <i>Rhynchostylis</i>, <i>Rossioglossum</i>, <i>Vanda</i> and <i>Vandopsis</i> (Volume 3, 2001); and <i>Masdevallia</i> (Volume 4, 2006).</p>
		<p><i>Bulbophyllum</i> spp.</p>	<p>CITES checklist for <i>Bulbophyllum</i> and allied taxa (Kiehn, M. (2007): Address of the authors: Department of Botany of the University of Vienna; Rennweg 14, A-1030 Vienna; making reference to the names of species of <i>Bulbophyllum</i> spp.</p>
PALMAE		<p><i>Dypsis</i> <i>decipiens</i> and <i>Dypsis decaryi</i> .</p>	<p>Proposed Standard Reference for two CITES-listed palm species (US Fish & Wildlife Service, 2016) based on the Catalogue of the Vascular Plants of Mexico (US Fish & Wildlife Service website). This is to be used as the reference to <i>Dypsis decipiens</i> and <i>Dypsis decaryi</i> . See: https://www.fws.gov/conservation/management/management-plans/management-plan-for-dypsis-species</p>
TAXACEAE		<p>Species of <i>Taxus</i> .</p>	<p>World Checklist and Bibliography of Conifers (A. Farjon, 2000) as a reference to the names of species of <i>Taxus</i> .</p>
ZYGOPHYLLACEAE		<p><i>Guaiacum</i> spp.</p>	<p>Usta de especies, nomenclatura y distribución en el género <i>Guaiacum</i> (Schippmann, U. (2006): Medicinal Plant Conservation 1) as a reference to the names of species of <i>Guaiacum</i> .</p>

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 Travelling exhibitions (sample collection, circus, menagerie, plant exhibition, orchestra or museums exhibition that is used for commercial display for the public)
- 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 of animals reared in a controlled environment, taken as eggs or juveniles from the wild, where they would otherwise have had a very low probability of surviving to adulthood
 - D Annex A animals bred in captivity for commercial purposes in operations included in the Register of the CITES Secretariat, in accordance with Resolution Conf. 12.10 (Rev. CoP15), 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 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
 - O Pre-Convention
 - U Source unknown (must be justified)
 - X Specimens taken in the marine environment not under the jurisdiction of any State
-

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

COLUMBIFORMES

Columbidae

Columba livia

GALLIFORMES

Phasianidae

Catreus wallichii

Colinus virginianus ridgwayi

Crossoptilon crossoptilon

Crossoptilon mantchuricum

Lophophorus impejanus

Lophura edwardsi

Lophura swinhoii

Polyplectron napoleonis

Syrmaticus ellioti

Syrmaticus humiae

Syrmaticus mikado

PASSERIFORMES

Fringillidae

Carduelis cucullata

PSITTACIFORMES

Psittacidae

Cyanoramphus novaezelandiae

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 anti-venom, 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
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)	—

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

ANNEX XIII

SPECIES AND POPULATIONS REFERRED TO IN ARTICLE 57(3a)

Ceratotherium simum simum

Hippopotamus amphibius

Loxodonta africana

Ovis ammon

Panthera leo

Ursus maritimus