

**CHAPTER 38:03  
FOREST**

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SCHEDULE

Act 23, 1968,  
Act 29, 1980,  
Act 8, 2005.

**An Act to provide for the better regulation and protection of forests and forest produce in Botswana and to provide for matters incidental thereto.**

*[Date of Commencement: 10th March, 1968]*

**PART I**  
***Preliminary (ss 1-2)***

**1. Short title**

This Act may be cited as the Forest Act.

**2. Interpretation**

In this Act, unless the context otherwise requires-

**"child"** means any person who in the opinion of the court is under the age of 14 years;

**"firewood"** means fallen dead wood of trees, branches, waste wood and refuse wood, but does not include sound wood or wood suitable for any purpose other than burning;

**"forest offence"** means any contravention of this Act;

**"forest officer"** means the holder of the public office of that name or a public officer

appointed under section 3(2);

**"forest official"** means the forest officer, a forester, a forest assistant, or a forest guard;

**"forest produce"** includes trees, timber, brushwood, firewood, poles, bamboo, slabs, chips, saw-dust, plants, grass, reeds, thatch, bedding, creeper, fibre, leaves, fruits, seeds, roots, bark, resin, rubber, sap, charcoal, honey, wax, fungi, galls, earth, or any readily recognised part or derivative thereof and such other things as the Minister may by notice in the *Gazette* declare to be forest produce;

**"forest reserve"** or **"reserve"** means any area hereafter declared as a forest reserve by the President in pursuance of the provisions of this Act;

**"licence"** means a permit or certificate in writing issued in pursuance of the terms of this Act;

**"livestock"** means cattle, horses, donkeys, mules, pigs, sheep and goats, and young thereof;

**"local authority land"** means any area-

- (a) owned by a local authority; or
- (b) granted by a land board in pursuance of the Tribal Land Act, to a local authority;

**"major forest produce"** means any tree or part thereof other than seeds, fruits, leaves or twigs;

**"officer"** means an administrative officer, a forest official or a police officer;

**"private land"** means land which is not State Land or local authority land but does not include land in a tribal territory;

**"protected tree"** means a tree declared to be a protected tree in pursuance of the provisions of section 11;

**"recognized road"** means a road prescribed as a recognized road under section 17;

**"river"** includes streams and all natural water courses in which water flows or remains either throughout the year or at certain seasons;

**"State land"** has the same meaning as in the State Land Act;

**"trees"** includes palms, shrubs, bushes, climbers, seedlings, saplings and regrowth of all ages and of all kinds, and any part thereof;

**"tribal territory"** and **"tribe"** have the same meaning as in the Bogosi Act.

## **2A. Application of the Convention**

Subject to the provisions of this Act, the Convention on International Trade in Endangered Species of Wild Fauna and Flora (hereinafter referred to as "the Convention") as set out in the Schedule to this Act, including any Appendices thereto and any Resolutions of the Conferences of the parties shall have the force of law in Botswana in relation to trading in any species of flora to which the Convention applies.

## **PART II**

### ***Delegation by Forest Officer (s 3)***

#### **3. Delegation**

(1) The forest officer may, with the approval of the Minister, delegate any of his powers and functions to a forester either generally or subject to such limitations as may be deemed fit.

(2) Without prejudice to subsection (1), the Minister may, in the absence of the forest officer, by notice published in the *Gazette* appoint such other public officer as he may consider fit to perform the functions conferred on the forest officer under this Act.

## **PART III**

### ***Declaration of Forest Reserves (ss 4-10)***

#### **4. Declaration of forest reserves on State Land**

The President may, by statutory instrument, make an order to declare any area on State land to be a forest reserve.

#### **5. Application by local authority for establishment of forest reserve**

(1) A local authority may propose to the Minister that a forest reserve be established in any area of its land.

(2) Upon being satisfied that the proposed establishment of a forest reserve has been approved under the provisions of the Town and Country Planning Act, the Minister shall refer such proposal to the President.

#### **6. Application by land board to establish forest reserve**

A land board acting in accordance with the advice of the local authority may propose to the President that a forest reserve be established on any land within its area.

#### **7. Declaration of forest reserve on local authority land and land in tribal territory**

(1) The President may, after considering any proposals referred to him in terms of section 5 or 6, by order published in the *Gazette*, declare the area referred to therein to be a forest reserve.

(2) The President may, by the same or other order published in the *Gazette*, authorize a local authority to make bye-laws in respect of-

- (a) a forest reserve declared over the land of such local authority; or
- (b) a forest reserve declared on tribal territory within the area of such local authority.

(3) Any bye-laws referred to in subsection (2) may be made for the purpose of-

- (a) taking measures, including the appointment of officers, for the protection, control and management of such forest reserve;
- (b) issuing licences for the felling and taking of forest produce within such reserve; or
- (c) collecting fees or royalties in respect of such produce and paying such fees or royalties into the revenue of such local authority.

(4) The President may amend or revoke any authorization granted by him under subsection (2).

(5) An order made in terms of subsection (2) or (3) may provide that the protection, control and management of such forest reserve shall be subject to the general control and directions of the forest officer.

## **8. Description of forest reserve**

An order made in terms of section 4 or section 7 shall describe in detail the delimitations of the proposed forest reserve.

## **9. Variation of forest reserve**

The President may at any time, by order published in the *Gazette*, declare that any forest reserve shall cease to be such a reserve, or that the boundaries of any such reserve shall be varied:

Provided that no such declaration shall be made in respect of a forest reserve on local authority land or on land in tribal territory unless the authority referred to in section 5 or 6, as the case may be, has made a request therefor.

## **10. Marking of boundaries**

The boundaries of any forest reserve established under this Part shall be marked by notice boards thereon, in the English language and in the languages of the inhabitants of the area in which the forest reserve is established, and by a fence or beacons, to the satisfaction of the forest officer.

# **PART IV**

## ***Protected Trees (s 11)***

## **11. Declaration of protected trees**

(1) The Minister may, by order published in the *Gazette*, declare any tree or class of tree to

be a protected tree in Botswana or in any part thereof:

Provided that no such declaration shall be made in respect of a tree-

- (a) in a tribal territory without the consent of the land board acting in accordance with the advice of the local authority;
- (b) on a private land, without the consent of the owner thereof.

(2) No person shall fell, cut, take, work, burn, injure or remove any protected tree unless he is the holder of a licence to do so issued under the provisions of this Act.

## **PART V**

### ***Control of Forest Produce (ss 12-19)***

#### **12. Prohibited acts in forest reserve**

(1) No person shall in a forest reserve-

- (a) fell, cut, take, work, burn, injure or remove any forest produce;
- (b) squat, reside or build any hut or other living place or livestock enclosure, or construct or re-open any saw-pit or road;
- (c) set fire to any grass or undergrowth, or light or assist in lighting any fire, or leave unattended a fire which he has lit, or caused by his negligence, before such fire has been thoroughly extinguished, or leave therein any object likely to cause fire;
- (d) graze livestock or allow livestock to trespass;
- (e) clear, cultivate or break up land for cultivation or other purpose; or
- (f) be in possession of any implement for the cutting, taking, working or removal of forest produce,

unless he is the holder of a licence to do so, issued under the provisions of this Act, or any other written law, or is exempted under section 17.

(2) No person shall allow any fire lit by himself or his servants to spread into a forest reserve unless he is the holder of a licence to do so issued under the provisions of this Act.

#### **13. Prohibited acts on State Land**

(1) No person shall on State land fell, cut, take, work, burn, injure or remove-

- (a) any tree which is growing within 10 metres of the bank of any river; or
- (b) any forest produce, other than forest produce-
  - (i) used for domestic purposes in his private household or in that of his employer or

for the construction of household or garden implements and furniture for himself;  
or

- (ii) gathered by any person belonging to a community which is entirely dependent for its living on hunting, the gathering of foodstuffs and the gathering of forest produce and who is himself so dependent and where the forest produce is gathered for the reasonable requirements of the members of the community to which he belongs,

unless he is the holder of a licence to do so, issued under the provisions of this Act.

(2) For the purposes of subsection (1)(b) "State land" does not include-

- (a) any area of land for which a city or a town council has been established in terms of the Town Council Regulations and in respect of which such city or town council has made provision in its bye-laws for the protection of any forest produce;
- (b) any area of land occupied by a public officer as quarters provided by the Government;  
or
- (c) any other area of land which the Minister has declared, by order published in the *Gazette*, not to be State land.

#### **14. Forest offences**

Any person who-

- (a) contravenes section 11(2), 12 or 13 or the conditions of any licence issued to him under the provisions of section 15;
- (b) knowingly receives or is in possession of any forest produce in respect of which a forest offence has been committed;
- (c) without authority makes upon or fixes to any forest produce a mark used by any forest official for any purpose under this Act to indicate that such forest produce is the property of the State or to indicate that forest produce may lawfully be cut or removed, or removes, damages or defaces any boundary mark, beacon, notice or fence posted or erected to indicate the boundary of a forest reserve; or
- (d) without authority, alters, obliterates or defaces any stamp, mark or sign placed upon forest produce by or on the authority of a forest official, or counterfeits or alters any licence which may be issued under this Act,

shall be guilty of an offence and liable to a fine not exceeding P5 000 or to imprisonment for a term not exceeding two years, or to both and, if he is the holder of a licence to forfeiture of such licence.

#### **15. Licence to do prohibited acts**

The forest officer, or any forester deputed thereto by him in pursuance of section 3, may issue to any person a licence to do any act prohibited under the provisions of sections 11(2), 12 and 13 on such conditions as the officer issuing the licence may impose.

## **16. Application for licence**

An application for a licence under section 15 shall be made to the appropriate licensing officer in the prescribed form.

## **17. Exemption**

Notwithstanding anything contained in section 12-

- (a) a *bona fide* inhabitant of a town, village or habitation, specified by the Minister by order published in the *Gazette*, may perform such acts as may be specified in such order in a forest reserve adjacent to such town, village or habitation and referred to in the aforesaid notice; and
- (b) a *bona fide* traveller may, while travelling on a lawful journey on a recognized road through or in a forest reserve-
  - (i) light a fire for the purposes of cooking, warmth or protection;
  - (ii) take firewood for his own use and for the use of his servants for the purposes referred to in subparagraph (i);
  - (iii) be in possession of implements for the cutting and taking of firewood;
  - (iv) graze any transport animals required for his journey; or
  - (v) cut forest produce for the purpose of releasing or extracting any vehicle bogged down in such road.

(2) An order made under subsection (1) may prescribe roads which are recognized roads.

## **18. Exclusive licences**

Notwithstanding anything to the contrary contained in this Act, the Minister may, subject to such general or special directions as he may think fit, authorize the forest officer to issue licences in respect of forest produce being the property of the State-

- (a) granting the exclusive right to take such produce; or
- (b) granting the right to take such produce free, or at a reduced fee,

on such conditions as the forest officer, in the absence of general or special directions by the Minister, may think fit.

## **19. Application of certain sections to private land**



(1) The Minister may, in respect of local authority land or of private land, on the application of the local authority concerned or of the occupier of such private land, as the case may be, declare by order published in the *Gazette* that the provisions of section 13 and section 14 shall apply to such land as if such land was State land, whereupon the provisions of those sections shall apply to such land; and the Minister may direct that the control and management of such land shall be under the general control and direction of the forest officer.

(2) The Minister may, in respect of any land to which the provisions of sections 13 and 14 have been applied by subsection (1), declare, by order published in the *Gazette*, that the said provisions shall cease to apply to such land, whereupon the provisions shall cease to apply to such land and the forest officer shall cease to direct and control the management of such land.

## **PART VA**

### ***Trading in Endangered Species of Flora (ss 19A-19C)***

#### **19A. Import, export, etc. of endangered species of flora**

(1) Subject to the provisions of this section, no person shall import, export or re-export, possess or transport any species of flora specified in the Convention except in accordance with a permit or certificate, as the case may be, issued by a management authority in consultation with the scientific authority.

(2) The Minister may make regulations for the issue and renewal of import, export or re-export, possession or transportation permits or certificates, and the conditions and duration of the permits or certificates.

(3) A person who contravenes subsection (1) shall be guilty of an offence and liable to a fine not exceeding P2,000 or to imprisonment for a term not exceeding two years, or to both.

#### **19B. Appointment of management and scientific authority**

The Minister may make regulations—

- (a) for the appointment of a management authority which shall be responsible for the issue of permits or certificates under section 19A; and
- (b) the appointment of a scientific authority which shall perform the functions specified in Articles III and IV of the Schedule.

#### **19C. Affixing of a mark to identify a specimen**

(1) A management authority appointed in terms of the regulations made under section 19B may affix a mark on a flora specimen for the purposes of identifying the specimen.

(2) No person shall alter, deface or erase a mark affixed in accordance with subsection (1).

(3) A person who contravenes subsection (2) shall be guilty of an offence and liable to a fine not exceeding P2,000 or to imprisonment for a term not exceeding two years, or to both.

**PART VI**  
**Miscellaneous (ss 20-33)**

**20. Production of licences**

It shall be lawful for an officer to demand from any person the production of his licence to do any act in respect of which a licence is required under this Act and if such licence is not immediately produced, to restrain such person from further acts of a similar nature.

**21. Production of proof of appointment**

Any officer exercising or purporting to exercise any power conferred upon him by this Act shall produce on demand to any person concerned proof of his appointment.

**22. Civil remedy reserved**

Nothing contained in this Act shall abrogate from or interfere with the right of the State or of any person to sue for and recover damages, or relief against injury, caused by a forest offence:

Provided that in assessing any such damages, the court shall take into account the amount of any damages awarded in accordance with the provisions of section 23.

**23. Assessment of damages on conviction**

(1) Upon conviction of any person for a forest offence, the court may assess the amount of any damage which may have been caused by the accused as a result of such offence, and may forthwith award as compensation for such injury the amount so assessed:

Provided that the amount so awarded shall not exceed the civil jurisdiction of the court; such award shall have the effect of a civil judgment of the court, and may be enforced accordingly.

(2) If an award under subsection (1) is in respect of a forest offence-

- (a) committed on State land, such award shall operate in favour of the State and any amount recovered thereunder shall be paid into the Consolidated Fund;
- (b) committed on local authority land or land in tribal territory, such award shall operate in favour of the local authority and any amount recovered thereunder shall be paid into the revenue of the local authority; or
- (c) committed on private land, such award shall operate in favour of the occupier of such land.

**24. Power to confiscate property**

(1) If any person is convicted of a forest offence, the court may order that, in addition to any penalty imposed upon the accused, any forest produce in respect of which the offence was committed, and any livestock, tools, instruments, vehicles or property used in connection with

the committing of such offence shall be confiscated to the State.

(2) If any person is convicted of a contravention of section 12(1)(b) the court may order that any hut, living place, enclosure or saw-pit shall be destroyed, and that the materials thereof shall be confiscated to the State.

(3) If the accused fails to comply with such order, the forest officer may cause it to be carried out, and any expense incurred thereby by the forest officer shall be a debt due by the accused to Government.

(4) Any property so confiscated shall be sold and the proceeds paid into the Consolidated Fund, or be otherwise disposed of as the Minister may direct.

## **25. Search without warrant**

(1) If the forest officer or a forester believes on reasonable grounds that any person is guilty of a forest offence, he may enter upon any land without warrant for the purpose of investigating the suspected offence.

(2) If an officer believes on reasonable grounds that any person is guilty of a forest offence, or that there is upon any person or upon any land or premises anything as to which there are reasonable grounds of suspicion that it will afford evidence as to the commission of any such offence, he may without warrant enter upon such land or premises, and search such premises or such person or any baggage, package, parcel, conveyance, tent, building or enclosure under the control of such person, his agent or servant:

Provided that whenever a woman is searched, the search shall be made only in private and by a woman.

## **26. Arrest without warrant**

(1) Any officer may, without warrant, arrest any person whom he reasonably suspects of having committed a forest offence, if such person refuses to give his name and address, or gives a name or address which such officer has reason to believe is false, or if such officer has reason to believe that such person will abscond.

(2) Every officer making an arrest under this section shall without unnecessary delay cause the person so arrested to be brought before a court having jurisdiction, to be dealt with according to law.

## **27. Seizure of property liable to confiscation**

(1) If there is reason to believe that a forest offence has been committed in respect of any forest produce, such forest produce, together with all livestock, tools, instruments, vehicles or property used in committing such offence may be seized by any officer, and detained by him until the offender can be brought before a court of competent jurisdiction and an order of such court obtained as to the disposal thereof.

(2) The State shall not be responsible for any loss or damage which may occur to any property during the act of seizure or whilst such property is detained under subsection (1), and no officer shall be responsible for any such loss or damage unless he has caused the same negligently, maliciously or fraudulently.

## **28. Summary disposal of charges**

When any person has been summoned or warned to appear in a magistrate's court, or has been arrested, or has been informed by a forest officer or a forester that it is intended to institute criminal proceedings against him for any offence under sections 12 or 13 the functions of an officer holding a rank or post designated by the Minister in terms of section 307(1) of the Criminal Procedure and Evidence Act for the purposes of section 307 of that Act may be performed or exercised by any forest officer or forester empowered thereto by the Minister by order published in the *Gazette*.

## **29. Evidence**

Whenever in any proceedings under this Act the question arises whether any forest produce is the property of the State, a local authority or a tribe, it shall be presumed to be the property of the State, the local authority or a tribe, as the case may be, unless the contrary is proved.

## **30. Extinguishing fires**

(1) If there is good reason to believe that any fire in the open air within 1,61 km of the boundary of a forest reserve may become dangerous to life or property any person may, either alone or with persons under his control, enter upon the land on which such fire is burning for the purpose of extinguishing that fire or preventing the extension thereof.

(2) If the forest officer or a forester is present at the scene of such fire he shall have the right to take control of operations directed at extinguishing that fire or preventing the extension thereof.

(3) Any person controlling any safety measures taken in terms of this section-

- (a) may take such measures as in the circumstances are reasonable and necessary or expedient for extinguishing or preventing the spread of the fire, and may for such purpose cause reasonable destruction of any trees, grass, crops or other vegetation by burning, cutting, ploughing or otherwise;
- (b) may call upon any able-bodied persons present at or in the vicinity of such fire to assist or to do any act or perform any service which may reasonably be considered necessary or expedient to control or extinguish or prevent the spread of the fire; or
- (c) may order any person whose life may be or may become endangered or whose presence at or in the vicinity of the fire may interfere with the fire, to remove himself or any vehicle or other thing under his control.

(4) Any person who fails to comply with any requirement or order under subsection (3) shall be guilty of an offence and liable to a fine not exceeding P500 or to imprisonment for a term not exceeding six months, or to both.

(5) No liability shall attach to the forest officer or a forester or other person in respect of any loss or damage arising out of the lawful exercise by them of any power conferred by this section; and no action shall lie for trespass or for damages caused in good faith by any person in charge of any operations lawfully undertaken under this section, or by any person assisting any such operations.

### **31. Vicarious liability**

If the manager, agent, servant or other employee of any person (hereinafter called "the employer") does or omits to do anything in contravention of any of the provisions of this Act such employer shall be deemed himself to have contravened such provision and be liable to the penalties therefor, unless he proves to the satisfaction of the court that-

- (a) in doing or omitting to do such thing such manager, agent, servant or employee was acting without his connivance or permission;
- (b) all reasonable steps were taken by him to prevent any act or omission of the kind in question; and
- (c) it was not under any condition or in any circumstances within the scope of authority or the course of the employment of the manager, agent, servant or employee to do or omit to do acts whether lawful or unlawful of the character of the act or omission charged:

Provided that the fact that the employer issued instructions forbidding any act or omission of the kind in question shall not, of itself, be accepted as sufficient proof that he took all reasonable steps to prevent the act or omission.

### **32. Responsibility for child's conduct**

Where any person having charge of a child-

- (a) by his act has conduced to the commission by that child of any act or omission which if committed by an adult would constitute an offence under this Act; or
- (b) fails to prevent the commission by that child of an act or omission which if committed by an adult would constitute an offence under this Act in circumstances where it was reasonably possible for that person to prevent the commission of the act or omission,

he shall be guilty of an offence and shall be liable to a fine not exceeding P250 or to imprisonment for a term not exceeding three months, or to both.

### **33. Regulations**

- (1) The Minister may make regulations prescribing anything which under this Act is to be

prescribed.

(2) In particular, and without derogating from the generality of the foregoing, the Minister may make regulations concerning—

- (a) the issue, termination, cancellation, suspension or extension of licences and the conditions which may be attached thereto;
- (b) the fees to be paid or which may be refunded in respect of licences and exemptions from the payment of fees;
- (c) dimensions, seasoning, names and marks of any forest produce and registration of and the rendering of returns by persons engaged in the transport, sale, manufacture and use of forest produce;
- (d) providing for the survey and demarcation of forest reserves;
- (e) the position, use and registration of marking hammers, instruments or devices;
- (f) the marking and numbering of trees and the listing of trees in relation to their markings, numbers and location;
- (g) the removal of felled timber from a forest reserve and the conditions relating to its removal.

(3) Regulations made under this section may provide for penalties for contravention thereof not exceeding, for a first offence, a fine of P500 and imprisonment for six months and, for a second or subsequent offence, a fine of P1000 and imprisonment for one year.

(4) Different forms and different fees may be prescribed for, and different conditions may be attached to, different licences.

## **SCHEDULE**

(Sec 2A)

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

The Contracting States,

*Recognizing* that wild fauna and flora in their many beautiful and varied forms are an irreplaceable part of the natural systems of the earth which must be protected for this and the generations to come;

*Conscious* of the ever-growing value of wild fauna and flora from aesthetic, scientific, cultural, recreational and economic points of view;

*Recognizing* that peoples and States are and should be the best protectors of their own wild fauna and flora;

*Recognizing*, in addition, that international co-operation is essential for the protection of certain

species of wild fauna and flora against over-exploitation through international trade;

*Convinced* of the urgency of taking appropriate measures to this end.

Have agreed as follows:

## **ARTICLE I** ***Definitions***

For the purpose of the present Convention, unless the context otherwise requires:

- (a) **"Species"** means any species, subspecies, or geographically separate population thereof;
- (b) **"Specimen"** means:
  - (i) any animal or plant, whether alive or dead;
  - (ii) in the case of an animal: for species included in Appendices I and II, any readily recognizable part or derivative thereof; and for species included in Appendix III, any readily recognizable part or derivative thereof specified in Appendix III in relation to the species; and
  - (iii) in the case of a plant: for species included in Appendix I, any readily recognizable part or derivative thereof; and for species included in Appendices II and III, any readily recognizable part or derivative thereof specified in Appendices II and III in relation to the species;
- (c) **"Trade"** means export, re-export, import and introduction from the sea;
- (d) **"Re-export"** means export of any specimen that has previously been imported;
- (e) **"Introduction from the sea"** means transportation into a State of specimens of any species which were taken in the marine environment not under the jurisdiction of any State;
- (f) **"Scientific Authority"** means a national scientific authority designated in accordance with Article IX;
- (g) **"Management Authority"** means a national management authority designated in accordance with Article IX;
- (h) **"Party"** means a State for which the present Convention has entered into force.

## **ARTICLE II** ***Fundamental Principles***

1. Appendix I shall include all species threatened with extinction which are or may be affected by trade. Trade in specimens of these species must be subject to particularly strict regulation in order not to endanger further their survival and must only be authorized in exceptional circumstances.

2. Appendix II shall include:

- (a) all species which although not necessarily now threatened with extinction may become so unless trade in specimens of such species is subject to strict regulation in order to avoid

utilization incompatible with their survival; and

- (b) other species which must be subject to regulation in order that trade in specimens of certain species referred to in subparagraph (a) of this paragraph may be brought under effective control.

3. Appendix III shall include all species which any Party identifies as being subject to regulation within its jurisdiction for the purpose of preventing or restricting exploitation, and as needing the co-operation of other Parties in the control of trade.

4. The Parties shall not allow trade in specimens of species included in Appendices I, II and III except in accordance with the provisions of the present Convention.

### **ARTICLE III**

#### ***Regulation of Trade in Specimens of Species Included in Appendix I***

1. All trade in specimens of species included in Appendix I shall be in accordance with the provisions of this Article.

2. The export of any specimen of a species included in Appendix I shall require the prior grant and presentation of an export permit. An export permit shall only be granted when the following conditions have been met:

- (a) a Scientific Authority of the State of export has advised that such export will not be detrimental to the survival of that species;
- (b) a Management Authority of the State of export is satisfied that the specimen was not obtained in contravention of the laws of that State for the protection of fauna and flora;
- (c) a Management Authority of the State of export is satisfied that any living specimen will be so prepared and shipped as to minimize the risk of injury, damage to health or cruel treatment; and
- (d) a Management Authority of the State of export is satisfied that an import permit has been granted for the specimen.

3. The import of any specimen of a species included in Appendix I shall require the prior grant and presentation of an import permit and either an export permit or a re-export certificate. An import permit shall only be granted when the following conditions have been met:

- (a) a Scientific Authority of the State of import has advised that the import will be for purposes which are not detrimental to the survival of the species involved;
- (b) a Scientific Authority of the State of import is satisfied that the proposed recipient of a living specimen is suitably equipped to house and care for it; and
- (c) a Management Authority of the State of import is satisfied that the specimen is not to be used for primarily commercial purposes.

4. The re-export of any specimen of a species included in Appendix I shall require the prior grant and presentation of a re-export certificate. A re-export certificate shall only be granted when the following conditions have been met:

- (a) a Management Authority of the State of re-export is satisfied that the specimen was imported



into that State in accordance with the provisions of the present Convention;

- (b) a Management Authority of the State of re-export is satisfied that any living specimen will be so prepared and shipped as to minimize the risk of injury, damage to health or cruel treatment; and
- (c) a Management Authority of the State of re-export is satisfied that an import permit has been granted for any living specimen.

5. The introduction from the sea of any specimen of a species included in Appendix I shall require the prior grant of a certificate from a Management Authority of the State of introduction. A certificate shall only be granted when the following conditions have been met:

- (a) a Scientific Authority of the State of introduction advises that the introduction will not be detrimental to the survival of the species involved;
- (b) a Management Authority of the State of introduction is satisfied that the proposed recipient of a living specimen is suitably equipped to house and care for it; and
- (c) a Management Authority of the State of introduction is satisfied that the specimen is not to be used for primarily commercial purposes.

#### **ARTICLE IV**

##### ***Regulation of Trade in Specimens of Species Included in Appendix II***

1. All trade in specimens of species included in Appendix II shall be in accordance with the provisions of this Article.

2. The export of any specimen of a species included in Appendix II shall require the prior grant and presentation of an export permit. An export permit shall only be granted when the following conditions have been met:

- (a) a Scientific Authority of the State of export has advised that such export will not be detrimental to the survival of that species;
- (b) a Management Authority of the State of export is satisfied that the specimen was not obtained in contravention of the laws of that State for the protection of fauna and flora; and
- (c) a Management Authority of the State of export is satisfied that any living specimen will be so prepared and shipped as to minimize the risk of injury, damage to health or cruel treatment.

3. A Scientific Authority in each Party shall monitor both the export permits granted by that State for specimens of species included in Appendix II and the actual exports of such specimens. Whenever a Scientific Authority determines that the export of specimens of any such species should be limited in order to maintain that species throughout its range at a level consistent with its role in the ecosystems in which it occurs and well above the level at which that species might become eligible for inclusion in Appendix I, the Scientific Authority shall advise the appropriate Management Authority of suitable measures to be taken to limit the grant of export permits for specimens of that species.

4. The import of any specimen of a species included in Appendix II shall require the prior presentation of either an export permit or a re-export certificate.

5. The re-export of any specimen of a species included in Appendix II shall require the prior grant and presentation of a re-export certificate. A re-export certificate shall only be granted when the following

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conditions have been met:

- (a) a Management Authority of the State of re-export is satisfied that the specimen was imported into that State in accordance with the provisions of the present Convention; and
- (b) a Management Authority of the State of re-export is satisfied that any living specimen will be so prepared and shipped as to minimize the risk of injury, damage to health or cruel treatment.

6. The introduction from the sea of any specimen of a species included in Appendix II shall require the prior grant of a certificate from a Management Authority of the State of introduction. A certificate shall only be granted when the following conditions have been met:

- (a) a Scientific Authority of the State of introduction advises that the introduction will not be detrimental to the survival of the species involved; and
- (b) a Management Authority of the State of introduction is satisfied that any living specimen will be so handled as to minimize the risk of injury, damage to health or cruel treatment.

7. Certificates referred to in paragraph 6 of this Article may be granted on the advice of a Scientific Authority, in consultation with other national scientific authorities or, when appropriate, international scientific authorities, in respect of periods not exceeding one year for total numbers of specimens to be introduced in such periods.

## **ARTICLE V**

### ***Regulation of Trade in Specimens of Species Included in Appendix III***

1. All trade in specimens of species included in Appendix III shall be in accordance with the provisions of this Article.

2. The export of any specimen of a species included in Appendix III from any State which has included that species in Appendix III shall require the prior grant and presentation of an export permit. An export permit shall only be granted when the following conditions have been met:

- (a) a Management Authority of the State of export is satisfied that the specimen was not obtained in contravention of the laws of that State for the protection of fauna and flora; and
- (b) a Management Authority of the State of export is satisfied that any living specimen will be so prepared and shipped as to minimize the risk of injury, damage to health or cruel treatment.

3. The import of any specimen of a species included in Appendix III shall require, except in circumstances to which paragraph 4 of this Article applies, the prior presentation of a certificate of origin and, where the import is from a State which has included that species in Appendix III, an export permit.

4. In the case of re-export, a certificate granted by the Management Authority of the State of re-export that the specimen was processed in that State or is being re-exported shall be accepted by the State of import as evidence that the provisions of the present Convention have been complied with in respect of the specimen concerned.

## **ARTICLE VI**

### ***Permits and Certificates***

1. Permits and certificates granted under the provisions of Articles III, IV, and V shall be in

accordance with the provisions of this Article.

2. An export permit shall contain the information specified in the model set forth in Appendix IV, and may only be used for export within a period of six months from the date on which it was granted.

3. Each permit or certificate shall contain the title of the present Convention, the name and any identifying stamp of the Management Authority granting it and a control number assigned by the Management Authority.

4. Any copies of a permit or certificate issued by a Management Authority shall be clearly marked as copies only and no such copy may be used in place of the original, except to the extent endorsed thereon.

5. A separate permit or certificate shall be required for each consignment of specimens.

6. A Management Authority of the State of import of any specimen shall cancel and retain the export permit or re-export certificate and any corresponding import permit presented in respect of the import of that specimen.

7. Where appropriate and feasible a Management Authority may affix a mark upon any specimen to assist in identifying the specimen. For these purposes "**mark**" means any indelible imprint, lead seal or other suitable means of identifying a specimen, designed in such a way as to render its imitation by unauthorized persons as difficult as possible.

## **ARTICLE VII**

### ***Exemptions and Other Special Provisions Relating to Trade***

1. The provisions of Articles III, IV and V shall not apply to the transit or transshipment of specimens through or in the territory of a Party while the specimens remain in Customs control.

2. Where a Management Authority of the State of export or re-export is satisfied that a specimen was acquired before the provisions of the present Convention applied to that specimen, the provisions of Articles III, IV and V shall not apply to that specimen where the Management Authority issues a certificate to that effect.

3. The provisions of Articles III, IV and V shall not apply to specimens that are personal or household effects. This exemption shall not apply where:

- (a) in the case of specimens of a species included in Appendix I, they were acquired by the owner outside his State of usual residence, and are being imported into that State; or
- (b) in the case of specimens of species included in Appendix II:
  - (i) they were acquired by the owner outside his State of usual residence and in a State where removal from the wild occurred;
  - (ii) they are being imported into the owner's State of usual residence; and
  - (iii) the State where removal from the wild occurred requires the prior grant of export permits before any export of such specimens; unless a Management Authority is satisfied that the specimens were acquired before the provisions of the present Convention applied to such specimens.

4. Specimens of an animal species included in Appendix I bred in captivity for commercial purposes,

or of a plant species included in Appendix I artificially propagated for commercial purposes, shall be deemed to be specimens of species included in Appendix II.

5. Where a Management Authority of the State of export is satisfied that any specimen of an animal species was bred in captivity or any specimen of a plant species was artificially propagated, or is a part of such an animal or plant or was derived therefrom, a certificate by that Management Authority to that effect shall be accepted in lieu of any of the permits or certificates required under the provisions of Article III, IV or V.

6. The provisions of Articles III, IV and V shall not apply to the non-commercial loan, donation or exchange between scientists or scientific institutions registered by a Management Authority of their State, of herbarium specimens, other preserved, dried or embedded museum specimens, and live plant material which carry a label issued or approved by a Management Authority.

7. A Management Authority of any State may waive the requirements of Articles III, IV and V and allow the movement without permits or certificates of specimens which form part of a travelling zoo, circus, menagerie, plant exhibition or other travelling exhibition provided that:

- (a) the exporter or importer registers full details of such specimens with that Management Authority;
- (b) the specimens are in either of the categories specified in paragraph 2 or 5 of this Article; and
- (c) the Management Authority is satisfied that any living specimen will be so transported and cared for as to minimize the risk of injury, damage to health or cruel treatment.

## **ARTICLE VIII**

### ***Measures to Be Taken by the Parties***

1. The Parties shall take appropriate measures to enforce the provisions of the present Convention and to prohibit trade in specimens in violation thereof. These shall include measures:

- (a) to penalize trade in, or possession of, such specimens, or both; and
- (b) to provide for the confiscation or return to the State of export of such specimens.

2. In addition to the measures taken under paragraph 1 of this Article, a Party may, when it deems it necessary, provide for any method of internal reimbursement for expenses incurred as a result of the confiscation of a specimen traded in violation of the measures taken in the application of the provisions of the present Convention.

3. As far as possible, the Parties shall ensure that specimens shall pass through any formalities required for trade with a minimum of delay. To facilitate such passage, a Party may designate ports of exit and ports of entry at which specimens must be presented for clearance. The Parties shall ensure further that all living specimens, during any period of transit, holding or shipment, are properly cared for so as to minimize the risk of injury, damage to health or cruel treatment.

4. Where a living specimen is confiscated as a result of measures referred to in paragraph 1 of this Article:

- (a) the specimen shall be entrusted to a Management Authority of the State of confiscation;
- (b) the Management Authority shall, after consultation with the State of export, return the specimen to that State at the expense of that State, or to a rescue centre or such other place as the

Management Authority deems appropriate and consistent with the purposes of the present Convention; and

- (c) the Management Authority may obtain the advice of a Scientific Authority, or may, whenever it considers it desirable, consult the Secretariat in order to facilitate the decision under sub-paragraph (b) of this paragraph, including the choice of a rescue centre or other place.

5. A rescue centre as referred to in paragraph 4 of this Article means an institution designated by a Management Authority to look after the welfare of living specimens, particularly those that have been confiscated.

6. Each Party shall maintain records of trade in specimens of species included in Appendices I, II and III which shall cover:

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

7. Each Party shall prepare periodic reports on its implementation of the present Convention and shall transmit to the Secretariat:

- (a) an annual report containing a summary of the information specified in subparagraph (b) of paragraph 6 of this Article; and
- (b) a biennial report on legislative, regulatory and administrative measures taken to enforce the provisions of the present Convention.

8. The information referred to in paragraph 7 of this Article shall be available to the public where this is not inconsistent with the law of the Party concerned.

## **ARTICLE IX**

### ***Management and Scientific Authorities***

1. Each Party shall designate for the purposes of the present Convention:

- (a) one or more Management Authorities competent to grant permits or certificates on behalf of that Party; and
- (b) one or more Scientific Authorities.

2. A State depositing an instrument of ratification, acceptance, approval or accession shall at that time inform the Depositary Government of the name and address of the Management Authority authorized to communicate with other Parties and with the Secretariat.

3. Any changes in the designations or authorizations under the provisions of this Article shall be communicated by the Party concerned to the Secretariat for transmission to all other Parties.

4. Any Management Authority referred to in paragraph 2 of this Article shall, if so requested by the Secretariat or the Management Authority of another Party, communicate to it impression of stamps, seals or other devices used to authenticate permits or certificates.

## **ARTICLE X**

### ***Trade with States not Party to the Convention***

Where export or re-export is to, or import is from, a State not a Party to the present Convention, comparable documentation issued by the competent authorities in that State which substantially conforms with the requirements of the present Convention for permits and certificates may be accepted in lieu thereof by any Party.

### **ARTICLE XI** ***Conference of the Parties***

1. The Secretariat shall call a meeting of the Conference of the Parties not later than two years after the entry into force of the present Convention.

2. Thereafter the Secretariat shall convene regular meetings at least once every two years, unless the Conference decides otherwise, and extraordinary meetings at any time on the written request of at least one-third of the Parties.

3. At meetings, whether regular or extraordinary, the Parties shall review the implementation of the present Convention and may:

- (a) make such provision as may be necessary to enable the Secretariat to carry out its duties, and adopt financial provisions;
- (b) consider and adopt amendments to Appendices I and II in accordance with Article XV;
- (c) review the progress made towards the restoration and conservation of the species included in Appendices I, II and III;
- (d) receive and consider any reports presented by the Secretariat or by any Party; and
- (e) where appropriate, make recommendations for improving the effectiveness of the present Convention.

4. At each regular meeting, the Parties may determine the time and venue of the next regular meeting to be held in accordance with the provisions of paragraph 2 of this Article.

5. At any meeting, the Parties may determine and adopt rules of procedure for the meeting.

6. The United Nations, its Specialized Agencies and the International Atomic Energy Agency, as well as any State not a Party to the present Convention, may be represented at meetings of the Conference by observers, who shall have the right to participate but not to vote.

7. Any body or agency technically qualified in protection, conservation or management of wild fauna and flora, in the following categories, which has informed the Secretariat of its desire to be represented at meetings of the Conference by observers, shall be admitted unless at least one-third of the Parties present object:

- (a) international agencies or bodies, either governmental or non-governmental, and national governmental agencies and bodies; and
- (b) national non-governmental agencies or bodies which have been approved for this purpose by the State in which they are located. Once admitted, these observers shall have the right to participate but not to vote.

## **ARTICLE XII**

### ***The Secretariat***

1. Upon entry into force of the present Convention, a Secretariat shall be provided by the Executive Director of the United Nations Environment Programme. To the extent and in the manner he considers appropriate, he may be assisted by suitable inter-governmental or non-governmental international or national agencies and bodies technically qualified in protection, conservation and management of wild fauna and flora.

2. The functions of the Secretariat shall be:

- (a) to arrange for and service meetings of the Parties;
- (b) to perform the functions entrusted to it under the provisions of Articles XV and XVI of the present Convention;
- (c) to undertake scientific and technical studies in accordance with programmes authorized by the Conference of the Parties as will contribute to the implementation of the present Convention, including studies concerning standards for appropriate preparation and shipment of living specimens and the means of identifying specimens;
- (d) to study the reports of Parties and to request from Parties such further information with respect thereto as it deems necessary to ensure implementation of the present Convention;
- (e) to invite the attention of the Parties to any matter pertaining to the aims of the present Convention;
- (f) to publish periodically and distribute to the Parties current editions of Appendices I, II and III together with any information which will facilitate identification of specimens of species included in those Appendices;
- (g) to prepare annual reports to the Parties on its work and on the implementation of the present Convention and such other reports as meetings of the Parties may request;
- (h) to make recommendations for the implementation of the aims and provisions of the present Convention, including the exchange of information of a scientific or technical nature;
- (i) to perform any other function as may be entrusted to it by the Parties.

## **ARTICLE XIII**

### ***International Measures***

1. When the Secretariat in the light of information received is satisfied that any species included in Appendix I or II is being affected adversely by trade in specimens of that species or that the provisions of the present Convention are not being effectively implemented, it shall communicate such information to the authorized Management Authority of the Party or Parties concerned.

2. When any Party receives a communication as indicated in paragraph 1 of this Article, it shall, as soon as possible, inform the Secretariat of any relevant facts insofar as its laws permit and, where appropriate, propose remedial action. Where the Party considers that an inquiry is desirable, such inquiry may be carried out by one or more persons expressly authorized by the Party.

3. The information provided by the Party or resulting from any inquiry as specified in paragraph 2 of



this Article shall be reviewed by the next Conference of the Parties which may make whatever recommendations it deems appropriate.

#### **ARTICLE XIV**

##### ***Effect on Domestic Legislation and International Conventions***

1. The provisions of the present Convention shall in no way affect the right of Parties to adopt:

- (a) stricter domestic measures regarding the conditions for trade, taking, possession or transport of specimens of species included in Appendices I, II and III, or the complete prohibition thereof; or
- (b) domestic measures restricting or prohibiting trade, taking, possession or transport of species not included in Appendix I, II or III.

2. The provisions of the present Convention shall in no way affect the provisions of any domestic measures or the obligations of Parties deriving from any treaty, convention, or international agreement relating to other aspects of trade, taking, possession or transport of specimens which is in force or subsequently may enter into force for any Party including any measure pertaining to the Customs, public health, veterinary or plant quarantine fields.

3. The provisions of the present Convention shall in no way affect the provisions of, or the obligations deriving from, any treaty, convention or international agreement concluded or which may be concluded between States creating a union or regional trade agreement establishing or maintaining a common external Customs control and removing Customs control between the parties thereto insofar as they relate to trade among the States members of that union or agreement.

4. A State party to the present Convention, which is also a party to any other treaty, convention or international agreement which is in force at the time of the coming into force of the present Convention and under the provisions of which protection is afforded to marine species included in Appendix II, shall be relieved of the obligations imposed on it under the provisions of the present Convention with respect to trade in specimens of species included in Appendix II that are taken by ships registered in that State and in accordance with the provisions of such other treaty, convention or international agreement.

5. Notwithstanding the provisions of Articles III, IV and V, any export of a specimen taken in accordance with paragraph 4 of this Article shall only require a certificate from a Management Authority of the State of introduction to the effect that the specimen was taken in accordance with the provisions of the other treaty, convention or international agreement in question.

6. Nothing in the present Convention shall prejudice the codification and development of the law of the sea by the United Nations Conference on the Law of the Sea convened pursuant to Resolution 2750 C (XXV) of the General Assembly of the United Nations nor the present or future claims and legal views of any State concerning the law of the sea and the nature and extent of coastal and flag State jurisdiction.

#### **ARTICLE XV**

##### ***Amendments to Appendices I and II***

1. The following provisions shall apply in relation to amendments to Appendices I and II at meetings of the Conference of the Parties:

- (a) Any Party may propose an amendment to Appendix I or II for consideration at the next meeting. The text of the proposed amendment shall be communicated to the Secretariat at



least 150 days before the meeting. The Secretariat shall consult the other Parties and interested bodies on the amendment in accordance with the provisions of subparagraphs (b) and (c) of paragraph 2 of this Article and shall communicate the response to all Parties not later than 30 days before the meeting.

- (b) Amendments shall be adopted by a two-thirds majority of Parties present and voting. For these purposes "Parties present and voting" means Parties present and casting an affirmative or negative vote. Parties abstaining from voting shall not be counted among the two-thirds required for adopting an amendment.
- (c) Amendments adopted at a meeting shall enter into force 90 days after that meeting for all Parties except those which make a reservation in accordance with paragraph 3 of this Article.

2. The following provisions shall apply in relation to amendments to Appendices I and II between meetings of the Conference of the Parties:

- (a) Any Party may propose an amendment to Appendix I or II for consideration between meetings by the postal procedures set forth in this paragraph.
- (b) For marine species, the Secretariat shall, upon receiving the text of the proposed amendment, immediately communicate it to the Parties. It shall also consult inter-governmental bodies having a function in relation to those species especially with a view to obtaining scientific data these bodies may be able to provide and to ensuring co-ordination with any conservation measures enforced by such bodies. The Secretariat shall communicate the views expressed and data provided by these bodies and its own findings and recommendations to the Parties as soon as possible.
- (c) For species other than marine species, the Secretariat shall, upon receiving the text of the proposed amendment, immediately communicate it to the Parties, and, as soon as possible thereafter, its own recommendations.
- (d) Any Party may, within 60 days of the date on which the Secretariat communicated its recommendations to the Parties under subparagraph (b) or (c) of this paragraph, transmit to the Secretariat any comments on the proposed amendment together with any relevant scientific data and information.
- (e) The Secretariat shall communicate the replies received together with its own recommendations to the Parties as soon as possible.
- (f) If no objection to the proposed amendment is received by the Secretariat within 30 days of the date the replies and recommendations were communicated under the provisions of sub-paragraph (e) of this paragraph, the amendment shall enter into force 90 days later for all Parties except those which make a reservation in accordance with paragraph 3 of this Article.
- (g) If an objection by any Party is received by the Secretariat, the proposed amendment shall be submitted to a postal vote in accordance with the provisions of subparagraphs (h), (i) and (j) of this paragraph.
- (h) The Secretariat shall notify the Parties that notification of objection has been received.
- (i) Unless the Secretariat receives the votes for, against or in abstention from at least one-half of the Parties within 60 days of the date of notification under subparagraph (h) of this paragraph, the proposed amendment shall be referred to the next meeting of the Conference for further

consideration.

- (j) Provided that votes are received from one-half of the Parties, the amendment shall be adopted by a two-thirds majority of Parties casting an affirmative or negative vote.
- (k) The Secretariat shall notify all Parties of the result of the vote.
- (l) If the proposed amendment is adopted it shall enter into force 90 days after the date of the notification by the Secretariat of its acceptance for all Parties except those which make a reservation in accordance with paragraph 3 of this Article.

3. During the period of 90 days provided for by subparagraph (c) of paragraph 1 or subparagraph (l) of paragraph 2 of this Article any Party may by notification in writing to the Depositary Government make a reservation with respect to the amendment. Until such reservation is withdrawn the Party shall be treated as a State not a Party to the present Convention with respect to trade in the species concerned.

## **ARTICLE XVI**

### ***Appendix III and Amendments thereto***

1. Any Party may at any time submit to the Secretariat a list of species which it identifies as being subject to regulation within its jurisdiction for the purpose mentioned in paragraph 3 of Article II. Appendix III shall include the names of the Parties submitting the species for inclusion therein, the scientific names of the species so submitted, and any parts or derivatives of the animals or plants concerned that are specified in relation to the species for the purposes of subparagraph (b) of Article I.

2. Each list submitted under the provisions of paragraph 1 of this Article shall be communicated to the Parties by the Secretariat as soon as possible after receiving it. The list shall take effect as part of Appendix III 90 days after the date of such communication. At any time after the communication of such list, any Party may by notification in writing to the Depositary Government enter a reservation with respect to any species or any parts or derivatives, and until such reservation is withdrawn, the State shall be treated as a State not a Party to the present Convention with respect to trade in the species or part or derivative concerned.

3. A Party which has submitted a species for inclusion in Appendix III may withdraw it at any time by notification to the Secretariat which shall communicate the withdrawal to all Parties. The withdrawal shall take effect 30 days after the date of such communication.

4. Any Party submitting a list under the provisions of paragraph 1 of this Article shall submit to the Secretariat a copy of all domestic laws and regulations applicable to the protection of such species, together with any interpretations which the Party may deem appropriate or the Secretariat may request. The Party shall, for as long as the species in question is included in Appendix III, submit any amendments of such laws and regulations or any interpretations as they are adopted.

## **ARTICLE XVII**

### ***Amendment of the Convention***

1. An extraordinary meeting of the Conference of the Parties shall be convened by the Secretariat on the written request of at least one-third of the Parties to consider and adopt amendments to the present Convention. Such amendments shall be adopted by a two-thirds majority of Parties present and voting. For these purposes "Parties present and voting" means Parties present and casting an affirmative or negative vote. Parties abstaining from voting shall not be counted among the two-thirds required for

adopting an amendment.

2. The text of any proposed amendment shall be communicated by the Secretariat to all Parties at least 90 days before the meeting.

3. An amendment shall enter into force for the Parties which have accepted it 60 days after two-thirds of the Parties have deposited an instrument of acceptance of the amendment with the Depositary Government. Thereafter, the amendment shall enter into force for any other Party 60 days after that Party deposits its instrument of acceptance of the amendment.

### **ARTICLE XVIII** ***Resolution of Disputes***

1. Any dispute which may arise between two or more Parties with respect to the interpretation or application of the provisions of the present Convention shall be subject to negotiation between the Parties involved in the dispute.

2. If the dispute can not be resolved in accordance with paragraph 1 of this Article, the Parties may, by mutual consent, submit the dispute to arbitration, in particular that of the Permanent Court of Arbitration at The Hague, and the Parties submitting the dispute shall be bound by the arbitral decision.

### **ARTICLE XIX** ***Signature***

The present Convention shall be open for signature at Washington until 30th April 1973 and thereafter at Berne until 31st December 1974.

### **ARTICLE XX** ***Ratification, Acceptance, Approval***

The present Convention shall be subject to ratification, acceptance or approval. Instruments of ratification, acceptance or approval shall be deposited with the Government of the Swiss Confederation which shall be the Depositary Government.

### **ARTICLE XXI** ***Accession***

The present Convention shall be open indefinitely for accession. Instruments of accession shall be deposited with the Depositary Government.

### **ARTICLE XXII** ***Entry into Force***

1. The present Convention shall enter into force 90 days after the date of deposit of the tenth instrument of ratification, acceptance, approval or accession, with the Depositary Government.

2. For each State which ratifies, accepts or approves the present Convention or accedes thereto after the deposit of the tenth instrument of ratification, acceptance, approval or accession, the present Convention shall enter into force 90 days after the deposit by such State of its instrument of ratification, acceptance, approval or accession.

### **ARTICLE XXIII**

## ***Reservations***

1. The provisions of the present Convention shall not be subject to general reservations. Specific reservations may be entered in accordance with the provisions of this Article and Articles XV and XVI.

2. Any State may, on depositing its instrument of ratification, acceptance, approval or accession, enter a specific reservation with regard to:

- (a) any species included in Appendix I, II or III; or
- (b) any parts or derivatives specified in relation to a species included in Appendix III.

3. Until a Party withdraws its reservation entered under the provisions of this Article, it shall be treated as a State not a Party to the present Convention with respect to trade in the particular species or parts or derivatives specified in such reservation.

## **ARTICLE XXIV** ***Denunciation***

Any Party may denounce the present Convention by written notification to the Depositary Government at any time. The denunciation shall take effect twelve months after the Depositary Government has received the notification.

## **ARTICLE XXV** ***Depositary***

1. The original of the present Convention, in the Chinese, English, French, Russian and Spanish languages, each version being equally authentic, shall be deposited with the Depositary Government, which shall transmit certified copies thereof to all States that have signed it or deposited instruments of accession to it.

2. The Depositary Government shall inform all signatory and acceding States and the Secretariat of signatures, deposit of instruments of ratification, acceptance, approval or accession, entry into force of the present Convention, amendments thereto, entry and withdrawal of reservations and notifications of denunciation.

3. As soon as the present Convention enters into force, a certified copy thereof shall be transmitted by the Depositary Government to the Secretariat of the United Nations for registration and publication in accordance with Article 102 of the Charter of the United Nations.

In witness whereof the undersigned Plenipotentiaries, being duly authorized to that effect, have signed the present Convention.

Done at Washington this third day of March, One Thousand Nine Hundred and Seventy-three.

## **APPENDICES I, II, III** ***INTERPRETATION***

1. Species included in these Appendices are referred to—

- (a) by the name of the species; or

(b) as being all of the species included in a higher taxon or designated part thereof.

2. The abbreviation "spp." is used to denote all species of a higher taxon.

3. Other references to taxa higher than species are for the purposes of information or classification only. The common names included after the scientific names of families are for reference only. They are intended to indicate the species within the family concerned that are included in the Appendices. In most cases this is not all of the species within the family.

4. The following abbreviations are used for plant taxa below the level of species ---

(a) "ssp." is used to denote subspecies; and

(b) "var(s)." is used to denote variety (varieties).

5. As none of the species of higher taxa of FLORA included in Appendix I is annotated to the effect that its hybrids shall be treated in accordance with the provisions of Article III of the Convention, this means that artificially propagate hybrids produced from one or more of these species or taxa may be traded with a certificate of artificial propagation, and that seeds and pollen (including pollinia), cut flowers, seedling or tissue cultures obtained in vitro, in solid or liquid media, transported in sterile containers of these hybrids are not subject to the provisions of the Convention.

6. The names of the countries in parentheses placed against the names of species in Appendix III are those of the Parties submitting these species for inclusion in this Appendix.

7. In accordance with Article I, paragraph (b), subparagraph (iii), of the Convention, the symbol (#) followed by a number placed against the name of a species or higher taxon included in Appendix II or III designates parts or derivatives which are specified in relation thereto for the purposes of the Convention as follows—

(a) #1 designates all parts and derivatives, except—

(i) seeds, spores and pollen (including pollinia),

(ii) seedling or tissue cultures obtained in vitro, in solid or liquid media, transported in sterile containers, and

(iii) cut flowers of artificially propagated plants;

(b) #2 designates all parts and derivatives, except—

(i) seeds and pollen,

(ii) seedling or tissue cultures obtained in vitro, in solid or liquid media, transported in sterile containers,

(iii) cut flowers of artificially propagated plants, and

(iv) chemical derivatives and finished pharmaceutical products;

(c) #3 designates whole and sliced roots and parts of roots, excluding manufactured parts or derivatives such as powders, pills, extracts, tonics, teas and confectionery;

(d) #4 designates all parts and derivatives, except—

- (i) seeds, except those from Mexican cacti originating in Mexico, and pollen,
  - (ii) seedling or tissue cultures obtained in vitro, in solid or liquid media, transported in sterile containers,
  - (iii) cut flower of artificially propagated plants,
  - (iv) fruits and parts and derivatives thereof of naturalized or artificially propagated plants,
  - (v) separate stem joints (pads) and parts and derivatives thereof of naturalized or artificially propagated plants of the genus *Opuntia* subgenus *Opuntia*;
- (e) #5 designates logs, sawn wood and veneer sheets;
- (f) #6 designates logs, swan wood, veneer sheets and plywood;
- (g) #7 designates logs, wood chips and unprocessed broken material; and
- (h) #8 designates all parts and derivatives, except-
- (i) seeds and pollen (including pollinia),
  - (ii) seedling or tissue cultures obtained in vitro, in solid or liquid media, transported in sterile containers,
  - (iii) cut flowers of artificially propagated plants, and
  - (iv) fruits and parts and derivatives thereof of artificially propagated plants of the genus *Vanilla*.

## Appendices

I

II

III

### FAUNA (ANIMALS)

#### PHYLUM CHORDATA

#### CLASS MAMMALIA

#### (MAMMALS)

#### MONOTREMATA

Tachyglossidae Echidnas,  
spiny anteaters

*Zaglossus* spp.

DASYUROMORPHIA

Dasyuridae Dunnarts

***Sminthopsis  
longicaudata***

***Sminthopsis  
psammophila***

Thylacinidae Tasmanian  
wolf, thylacine

***Thylacinus  
cynocephalus***  
(possibly extinct)

PERAMELEMORPHIA

Peramelidae Bandicoots

***Chaeropus ecaudatus***  
(possibly extinct)

***Macrotis lagotis***

***Macrotis leucura***

***Perameles bougainville***

DIPROTODONTIA

Phalangeridae Cuscuses

***Phalanger orientalis***

***Spilocuscus maculatus***

Vombatidae Northern  
hairy-nosed wombat

***Lasiorhinus krefftii***

Macropodidae Kangaroos,  
wallabies

***Dendrolagus inustus***

***Dendrolagus ursinus***

***Lagorchestes hirsutus***

***Lagostrophus fasciatus***

***Onychogalea fraenata***

***Onychogalea lunata***

Potoroidae Rat-kangaroos

***Bettongia*** spp.

***Caloprymnus  
campestris***  
(possibly extinct)

SCANDENTIA

Tupaïidae Tree shrews

**Tupaïidae** spp.

CHIROPTERA

Phyllostomidae Broad-nosed  
bat

***Platyrrhinus***  
(Uruguay)

Pteropodidae Fruit bats,  
flying foxes

***Acerodon*** spp. (Except the  
species included in  
Appendix I)

***Acerodon jubatus***

***Acerodon lucifer***  
(possibly extinct)

***Pteropus*** spp. (Except the  
species included in  
Appendix I)



*Pteropus insularis*

*Pteropus mariannus*

*Pteropus molossinus*

*Pteropus phaeocephalus*

*Pteropus pilosus*

*Pteropus samoensis*

*Pteropus tonganus*

PRIMATES Apes, monkeys

**PRIMATES spp.** (Except the  
species included in  
Appendix I)

Lemuridae Large lemurs

**Lemuridae spp.**

Megaladapidae Sportive  
lemurs

**Megaladapidae spp.**  
(possibly extinct)

Cheirogaleidae Dwarf lemurs

**Cheirogaleidae spp.**

Indridae Avahi, indris,  
sifakas, woolly lemurs

**Indridae spp.**

Daubentoniidae Aye-aye

***Daubentonia***  
***madagascariensis***

Callitrichidae Marmosets,  
tamarins

***Callimico goeldii***

***Callithrix aurita***

***Callithrix flaviceps***

***Leontopithecus spp.***

***Saguinus bicolor***

***Saguinus geoffroyi***

***Saguinus leucopus***

***Saguinus oedipus***

Cebidae New World  
monkeys

***Alouatta coibensis***

***Alouatta palliata***

***Alouatta pigra***

***Ateles geoffroyi*  
*frontatus***

***Ateles geoffroyi*  
*panamensis***

***Brachyteles*  
*arachnoides***

***Cacajao spp.***

***Chiropotes albinasus***

***Lagothrix flavicauda***

***Saimiri oerstedii***

Cercopithecidae Old World  
monkeys

***Cercocebus galeritus*  
*galeritus***

*Cercopithecus diana*

*Macaca silenus*

*Mandrillus leucophaeus*

*Mandrillus sphinx*

*Nasalis concolor*

*Nasalis larvatus*

*Presbytis potenziani*

*Procolobus pennantii*  
*kirkii*

*Procolobus*  
*rufomitratu*

*Pygathrix spp.*

*Semnopithecus entellus*

*Trachypithecus geei*

*Trachypithecus pileatus*

Hylobatidae Gibbons

*Hylobatidae spp.*

Hominidae Chimpanzees,  
gorilla, orang-utan

*Gorilla gorilla*

*Pan spp.*

*Pongo pygmaeus*

XENARTHRA

Myrmecophagidae American  
anteaters

*Myrmecophaga tridactyla*

***Tamandua mexicana***  
(Guatemala)

Bradypodidae Three-toed  
sloth

***Bradypus variegatus***

Megalonychidae Two-toed  
sloth

***Choloepus hoffmanni***  
(Costa Rica)

Dasypodidae Armadillos

***Cabassous centralis***  
(Costa Rica)

***Cabassous tatouay***  
(Uruguay)

***Chaetophractus nationi***  
(A zero annual export quota  
has been established. All  
specimens shall be deemed  
to be specimens of species  
included in Appendix I and  
the trade in them shall be  
regulated accordingly)

***Priodontes maximus***

PHOLIDOTA

Manidae Pangolins

***Manis spp.*** (A zero annual  
export quota has been  
established for *Manis*  
*crassicaudata*, *M. javanica*  
and *M. pentadactyla* for  
specimens removed from the  
wild and traded for primarily  
commercial purposes)

LAGOMORPHA

Leporidae Hispid hare,  
volcano rabbit

***Caprolagus hispidus***

***Romerolagus diazi***

RODENTIA

Sciuridae Ground squirrels,  
tree squirrels

***Cynomys mexicanus***

***Epixerus ebii*** (Ghana)

***Marmota caudata*** (India)

***Marmota himalayana*** (India)

***Ratula spp.***

***Sciurus deppei***  
(Costa Rica)

Anomaluridae African flying  
squirrels

***Anomalurus beecrofti***  
(Ghana)

***Anomalurus derbianus***  
(Ghana)

***Anomalurus pelii*** (Ghana)

***Idiurus macrotis*** (Ghana)

Muridae Mice, rats

***Leporillus conditor***

***Pseudomys praeconis***

***Xeromys myoides***

***Zyomys pedunculatus***

Hystricidae Crested  
porcupine

***Hystrix cristata*** (Ghana)

Erethizontidae New World  
porcupines

***Sphiggurus mexicanus***  
(Honduras)

***Sphiggurus spinosus***  
(Uruguay)

Agoutidae Paca

***Agouti paca*** (Honduras)

Dasyproctidae Agouti

***Dasyprocta punctata***  
(Honduras)

Chinchillidae Chinchillas

***Chinchilla*** spp. (Specimens  
of the domesticated form are  
not subject to the provisions  
of the Convention)

CETACEA Dolphins,  
porpoises, whales

**CETACEA spp.** (Except the  
species included in Appendix  
I. A zero annual export quota  
has been established for live  
specimens from the Black  
Sea population of *Tursiops*  
*truncatus* removed from the  
wild and traded for primarily  
commercial purposes)

Platanistidae River dolphins

***Lipotes vexillifer***

***Platanista* spp.**

Ziphiidae Beaked whales,  
bottle-nosed whales

***Berardius* spp.**

***Hyperoodon* spp.**

Physeteridae Sperm whales

***Physeter catodon***

Delphinidae Marine dolphins

***Sotalia* spp.**

***Sousa* spp.**

Phocoenidae Porpoises

***Neophocaena*  
*phocaenoides***

***Phocoena sinus***

Eschrichtiidae Grey whale

***Eschrichtius robustus***

Balaenopteridae Humpback  
whale, rorquals

***Balaenoptera*  
*acutorostrata***

(Except the population of  
West Greenland, which is  
included in Appendix II)

***Balaenoptera*  
*bonaerensis***

***Balaenoptera borealis***

***Balaenoptera edeni***

***Balaenoptera musculus***

***Balaenoptera physalus***

***Megaptera novaeangliae***

Balaenidae Bowhead whale,  
right whales

***Balaena mysticetus***

***Eubalaena* spp.**

Neobalaenidae Pygmy right  
whale

***Caperea marginata***

CARNIVORA

Canidae Bush dog, foxes,  
wolves

***Canis aureus*** (India)

***Canis lupus*** (Only the  
populations of Bhutan,  
India, Nepal and  
Pakistan; all other  
populations are included  
in Appendix II)

***Canis lupus*** (Except the  
populations of Bhutan, India,  
Nepal and Pakistan, which  
are included in Appendix I)

***Cerdocyon thous***

***Chrysocyon brachyurus***

***Cuon alpinus***

***Pseudalopex culpaeus***

***Pseudalopex griseus***



***Pseudalopex gymnocercus***

***Speothos venaticus***

***Vulpes bengalensis*** (India)

***Vulpes cana***

***Vulpes vulpes griffithi***  
(India)

***Vulpes vulpes montana***  
(India)

***Vulpes vulpes pusilla***  
(India)

***Vulpes zerda***

Ursidae Bears, pandas

**Ursidae spp.** (Except the  
species included in  
Appendix I)

***Ailuropoda melanoleuca***

***Ailurus fulgens***

***Helarctos malayanus***

***Melursus ursinus***

***Tremarctos ornatus***

***Ursus arctos*** (Only the  
populations of Bhutan,  
China, Mexico and  
Mongolia; all other  
populations are included  
in Appendix II)

***Ursus arctos isabellinus***

***Ursus thibetanus***

Procyonidae Coatis,  
kinkajou, olingos

***Bassaricyon gabbii*** (Costa  
Rica)

***Bassariscus sumichrasti***  
(Costa Rica)

***Nasua narica*** (Honduras)

***Nasua nasua solitaria***  
(Uruguay)

***Potos flavus*** (Honduras)

Mustelidae Badgers,  
martens, weasels, etc.

Lutrinae Otters

**Lutrinae spp.** (Except the  
species included in  
Appendix I)

***Aonyx congicus*** (Only  
the populations of  
Cameroon and Nigeria; all  
other populations are  
included in Appendix II)

***Enhydra lutris nereis***

***Lontra felina***

***Lontra longicaudis***

***Lontra provocax***

***Lutra lutra***

***Pteronura brasiliensis***

Mellivorinae Honey badger

***Mellivora capensis***  
(Botswana, Ghana)

Mephitinae Hog-nosed skunk

***Conepatus humboldtii***

Mustelinae Grisons, martens,  
tayra, weasels

***Eira barbara*** (Honduras)

***Galictis vittata*** (Costa Rica)

***Martes flavigula*** (India)

***Martes foina intermedia***  
(India)

***Martes gwatkinsii*** (India)

***Mustela altaica*** (India)

***Mustela erminea ferghanae***  
(India)

***Mustela kathiah*** (India)

***Mustela nigripes***

***Mustela sibirica*** (India)

Viverridae Binturong, civets,  
falanouc, fossa, linsangs,  
otter-civet, palm civets

***Arctictis binturong*** (India)

***Civettictis civetta***  
(Botswana)

***Cryptoprocta ferox***

***Cynogale bennettii***

***Eupleres goudotii***

***Fossa fossana***

***Hemigalus derbyanus***

***Paguma larvata*** (India)

***Paradoxurus***

***hermaphroditus*** (India)

***Paradoxurus jerdoni*** (India)

***Prionodon linsang***

***Prionodon pardicolor***

***Viverra civettina*** (India)

***Viverra zibetha*** (India)

***Viverricula indica*** (India)

Herpestidae Mongooses

***Herpestes brachyurus***  
***fuscus*** (India)

***Herpestes edwardsii*** (India)

***Herpestes javanicus***  
***auropunctatus*** (India)

***Herpestes smithii*** (India)

***Herpestes urva*** (India)

***Herpestes vitticollis*** (India)

Hyaenidae Aardwolf

***Proteles cristatus***  
(Botswana)

Felidae Cats

**Felidae spp.** (Except the species included in Appendix I. Specimens of the domesticated form are not subject to the provisions of the Convention)

***Acinonyx jubatus***

(Annual export quotas for live specimens and hunting trophies are granted as follows: Botswana: 5; Namibia: 150; Zimbabwe: 50. The trade in such specimens is subject to the provisions of Article III of the Convention)

***Caracal caracal*** (Only the population of Asia; all other populations are included in Appendix II)

***Catopuma temminckii***

***Felis nigripes***

***Herpailurus yaguarondi*** (Only the populations of Central and North America; all other populations are included in Appendix II)

***Leopardus pardalis***

***Leopardus tigrinus***

***Leopardus wiedii***

***Lynx pardinus***

***Neofelis nebulosa***

***Oncifelis geoffroyi***

***Oreailurus jacobita***

***Panthera leo persica***

***Panthera onca***

***Panthera pardus***

***Panthera tigris***

***Pardofelis marmorata***

***Prionailurus***

***bengalensis***

***bengalensis*** (Only the populations of Bangladesh, India and Thailand; all other populations are included in Appendix II)

***Prionailurus planiceps***

***Prionailurus***

***rubiginosus*** (Only the population of India; all other populations are included in Appendix II)

***Puma concolor coryi***

***Puma concolor  
costaricensis***

***Puma concolor cougar***

***Uncia uncia***

Otariidae Fur seals, sealions

***Arctocephalus*** spp. (Except the species included in Appendix I)

***Arctocephalus townsendi***

Tapiridae Tapirs

**Tapiridae spp.** (Except the species included in Appendix II)

***Tapirus terrestris***

Rhinocerotidae  
Rhinoceroses

**Rhinocerotidae spp.**  
(Except the subspecies included in Appendix II)

***Ceratotherium simum simum*** (Only the population of South Africa; all other populations are included in Appendix I. For the exclusive purpose of allowing international trade in live animals to appropriate and acceptable destinations and hunting trophies. All other specimens shall be deemed to be specimens of species included in Appendix I and the trade in them shall be regulated accordingly)

ARTIODACTYLA

Tragulidae Mouse-deer

***Hyemoschus aquaticus***  
(Ghana)

Suidae Babirusa, pygmy hog

***Babyrousa babyrussa***

***Sus salvanius***

Tayassuidae Peccaries

**Tayassuidae spp.** (Except the species included in Appendix I and the populations of *Pecari tajacu* of Mexico and the United States of America, which are not included in the Appendices)

***Catagonus wagneri***

Hippopotamidae  
Hippopotamuses

***Hexaprotodon liberiensis***

***Hippopotamus amphibius***

Camelidae Guanaco, vicuna

***Lama guanicoe***

***Vicugna vicugna*** (Except the populations of: Argentina [the populations of the Provinces of Jujuy and Catamarca and the semi-captive populations of the Provinces of Jujuy, Salta, Catamarca, La Rioja and San Juan]; Bolivia [the whole population]; Chile [population of the Primera Región]; and Peru [the whole population]; which are included in Appendix II)



***Vicugna vicugna*** (Only the populations of **Argentina**<sup>3</sup> [the populations of the Provinces of Jujuy and Catamarca and the semi-captive populations of the Provinces of Jujuy, Salta, Catamarca, La Rioja and San Juan]; **Bolivia**<sup>4</sup> [the whole population]; **Chile**<sup>5</sup> [population of the Primera Región]; **Peru**<sup>6</sup> [the whole population]; all other populations are included in Appendix I)

Moschidae Musk deer

***Moschus*** spp. (Only the populations of Afghanistan, Bhutan, India, Myanmar, Nepal and Pakistan; all other populations are included in Appendix II)

***Moschus*** spp. (Except the populations of Afghanistan, Bhutan, India, Myanmar, Nepal and Pakistan, which are included in Appendix I)

Cervidae Deer, guemals, muntjacs, pudus

***Axis calamianensis***

***Axis kuhlii***

***Axis porcinus annamiticus***

***Blastocerus dichotomus***

***Cervus duvaucelii***

***Cervus elaphus bactrianus***

***Cervus elaphus barbarus***  
(Tunisia)

***Cervus elaphus hanglu***

***Cervus eldii***

***Dama mesopotamica***

***Hippocamelus* spp.**

***Mazama americana***  
***cerasina*** (Guatemala)

***Megamuntiacus***

***vuquanghensis***

***Muntiacus crinifrons***

***Odocoileus virginianus***  
***mayensis*** (Guatemala)

***Ozotoceros bezoarticus***

***Pudu mephistophiles***

***Pudu puda***

Antilocapridae Pronghorn

***Antilocapra americana***  
(Only the population of  
Mexico; no other  
population is included in  
the Appendices)

Bovidae Antelopes, cattle,  
duikers, gazelles, goats,  
sheep, etc.

***Addax nasomaculatus***

***Ammotragus lervia***

***Antilope cervicapra*** (Nepal)

***Bison bison athabascae***

***Bos gaurus*** (Excludes the domesticated form, which is referenced as *Bos frontalis*, and is not subject to the provisions of the Convention)

***Bos mutus*** (Excludes the domesticated form, which is referenced as *Bos grunniens*, and is not subject to the provisions of the Convention)

***Bos sauveli***

***Bubalus arnee*** (Nepal)  
(Excludes the domesticated form, which is referenced as *Bubalus bubalis*)

***Bubalus depressicornis***

***Bubalus mindorensis***

***Bubalus quarlesi***

***Budorcas taxicolor***

***Capra falconeri***

***Cephalophus dorsalis***

***Cephalophus jentinki***

***Cephalophus monticola***

***Cephalophus ogilbyi***

***Cephalophus silvicultor***

***Cephalophus zebra***

***Damaliscus lunatus***  
(Ghana)

***Damaliscus pygargus***  
***pygargus***

***Gazella cuvieri*** (Tunisia)

***Gazella dama***

***Gazella dorcas*** (Tunisia)

***Gazella leptoceros*** (Tunisia)

***Hippotragus niger***  
***variani***

***Kobus leche***

***Naemorhedus baileyi***

***Naemorhedus caudatus***

***Naemorhedus goral***

***Naemorhedus***  
***sumatraensis***

***Oryx dammah***

***Oryx leucoryx***

***Ovis ammon*** (Except the  
subspecies included in  
Appendix I)

***Ovis ammon hodgsonii***

***Ovis ammon***  
***nigrimontana***

***Ovis canadensis*** (Only the  
population of Mexico; no  
other population is included  
in the Appendices)

***Ovis orientalis ophion***

***Ovis vignei*** (Except the  
subspecies included in  
Appendix I)

***Ovis vignei vignei***

***Pantholops hodgsonii***

***Pseudoryx  
nghetinhensis***

***Rupicapra pyrenaica  
ornata***

***Saiga tatarica***

***Tetracerus quadricornis***  
(Nepal)

***Tragelaphus eurycerus***  
(Ghana)

***Tragelaphus spekii*** (Ghana)

## **CLASS AVES (BIRDS)**

### **STRUTHIONIFORMES**

Struthionidae Ostrich

***Struthio camelus*** (Only  
the populations of Algeria,  
Burkina Faso, Cameroon,  
the Central African  
Republic, Chad, Mali,  
Mauritania, Morocco, the  
Niger, Nigeria, Senegal  
and the Sudan; all other  
populations are not  
included in the  
Appendices)

**RHEIFORMES**

Rheidae Rheas

***Rhea americana***

***Rhea pennata*** (Except  
*Rhea pennata pennata*  
which is included in  
Appendix II)

***Rhea pennata pennata***

TINAMIFORMES

Tinamidae Tinamou

***Tinamus solitarius***

SPHENISCIFORMES

Spheniscidae Penguins

***Spheniscus demersus***

***Spheniscus humboldti***

PODICIPEDIFORMES

Podicipedidae Grebe

***Podilymbus gigas***

PROCELLARIIFORMES

Diomedidae Albatross

***Diomedea albatrus***

PELECANIFORMES

Pelecanidae Pelican

***Pelecanus crispus***

Sulidae Booby

***Papasula abbotti***

Fregatidae Frigatebird

***Fregata andrewsi***

CICONIIFORMES

Ardeidae Egrets, herons

***Ardea goliath*** (Ghana)

***Bubulcus ibis*** (Ghana)

***Casmerodius albus***  
(Ghana)

***Egretta garzetta*** (Ghana)

Balaenicipitidae Shoebill,  
whale-headed stork

***Balaeniceps rex***

Ciconiidae Storks

***Ciconia boyciana***

***Ciconia nigra***

***Ephippiorhynchus  
senegalensis*** (Ghana)

***Jabiru mycteria***

***Leptoptilos crumeniferus***  
(Ghana)

***Mycteria cinerea***

Threskiornithidae Ibises,  
spoonbills

***Bostrychia hagedash***  
(Ghana)

***Bostrychia rara*** (Ghana)

***Eudocimus ruber***

*Geronticus calvus*

*Geronticus eremita*

*Nipponia nippon*

*Platalea leucorodia*

*Threskiornis aethiopicus*  
(Ghana)

Phoenicopteridae Flamingos

Phoenicopteridae spp.

ANSERIFORMES

Anatidae Ducks, geese,  
swans, etc.

*Alopochen aegyptiacus*  
(Ghana)

*Anas acuta* (Ghana)

*Anas aucklandica*

*Anas bernieri*

*Anas capensis* (Ghana)

*Anas clypeata* (Ghana)

*Anas crecca* (Ghana)

*Anas formosa*

*Anas laysanensis*

*Anas oustaleti*

*Anas penelope* (Ghana)

*Anas querquedula* (Ghana)

*Aythya nyroca* (Ghana)



***Branta canadensis***  
***leucopareia***

***Branta ruficollis***

***Branta sandvicensis***

***Cairina moschata***  
(Honduras)

***Cairina scutulata***

***Coscoroba coscoroba***

***Cygnus melanocorypha***

***Dendrocygna arborea***

***Dendrocygna autumnalis***  
(Honduras)

***Dendrocygna bicolor***  
(Ghana, Honduras)

***Dendrocygna viduata***  
(Ghana)

***Nettapus auritus*** (Ghana)

***Oxyura leucocephala***

***Plectropterus gambensis***  
(Ghana)

***Pteronetta hartlaubii***  
(Ghana)

***Rhodonessa***  
***caryophyllacea***  
(possibly extinct)

***Sarkidiornis melanotos***

FALCONIFORMES Eagles,  
falcons, hawks, vultures

**FALCONIFORMES spp.**  
(Except the species included  
in Appendices I and III and  
the species of the family  
Cathartidae)

Cathartidae New World  
vultures

***Gymnogyps  
californianus***

***Sarcoramphus papa***  
(Honduras)

***Vultur gryphus***

Accipitridae Hawks, eagles

***Aquila adalberti***

***Aquila heliaca***

***Chondrohierax***

***uncinatuswilsonii***

***Haliaeetus albicilla***

***Haliaeetus  
leucocephalus***

***Harpia harpyja***

***Pithecophaga jefferyi***

Falconidae Falcons

***Falco araea***

***Falco jugger***

***Falco newtoni*** (Only the  
population of Seychelles)

***Falco pelegrinoides***

***Falco peregrinus***

***Falco punctatus***

***Falco rusticolus***

GALLIFORMES

Megapodiidae  
Megapodes, scrubfowl

***Macrocephalon maleo***

Cracidae Chachalacas,  
curassows, guans

***Crax blumenbachii***

***Crax alberti*** (Colombia)

***Crax daubentoni*** (Colombia)

***Crax globulosa*** (Colombia)

***Crax rubra*** (Colombia, Costa  
Rica, Guatemala, Honduras)

***Mitu mitu***

***Oreophasis derbianus***

***Ortalis vetula*** (Guatemala,  
Honduras)

***Pauxi pauxi*** (Colombia)

***Penelope albipennis***

***Penelope purpurascens***  
(Honduras)

***Penelopina nigra***  
(Guatemala)

***Pipile jacutinga***

***Pipile pipile***

Phasianidae Grouse,  
guineafowl, partridges,  
pheasants, tragopans

***Agelastes meleagrides***  
(Ghana)

***Agriocharis ocellata***  
(Guatemala)

***Arborophila charltonii***  
(Malaysia)

***Arborophila orientalis***  
(Malaysia)

***Argusianus argus***

***Caloperdix oculatea***  
(Malaysia)

***Catreus wallichii***

***Colinus virginianus***  
***ridgwayi***

***Crossoptilon***  
***crossoptilon***

***Crossoptilon harmani***

***Crossoptilon***  
***mantchuricum***

***Gallus sonneratii***

***Ithaginis cruentus***

***Lophophorus***  
***impejanus***

***Lophophorus lhuysii***

***Lophophorus sclateri***

***Lophura edwardsi***

***Lophura erythrophthalma***  
(Malaysia)

***Lophura ignita*** (Malaysia)

***Lophura imperialis***

***Lophura swinhoii***

***Melanoperdix nigra***  
(Malaysia)

***Pavo muticus***

***Polyplectron bicalcaratum***

***Polyplectron  
emphanum***

***Polyplectron germaini***

***Polyplectron inopinatum***  
(Malaysia)

***Polyplectron malacense***

***Polyplectron  
schleiermacheri***

***Rheinardia ocellata***

***Rhizothera longirostris***  
(Malaysia)

***Rollulus rouloul*** (Malaysia)

***Syrmaticus ellioti***

***Syrmaticus humiae***

***Syrmaticus mikado***

***Tetraogallus caspius***

***Tetraogallus tibetanus***

***Tragopan blythii***

*Tragopan caboti*

*Tragopan  
melanocephalus*

*Tragopan satyra* (Nepal)

*Tympanuchus cupido  
attwateri*

GRUIFORMES

Gruidae Cranes

**Gruidae spp.** (Except the  
species included in  
Appendix I)

*Grus americana*

*Grus canadensis  
nesiotes*

*Grus canadensis pulla*

*Grus japonensis*

*Grus leucogeranus*

*Grus monacha*

*Grus nigricollis*

*Grus vipio*

Rallidae Rail

*Gallirallus sylvestris*

Rhynochetidae Kagu

*Rhynochetos jubatus*

Otididae Bustards

**Otididae spp.** (Except the  
species included in  
Appendix I)

***Ardeotis nigriceps***

***Chlamydotis undulata***

***Eupodotis bengalensis***

CHARADRIIFORMES

Burhinidae Thick-knee

***Burhinus bistriatus***  
(Guatemala)

Scolopacidae Curlews, green  
shanks

***Numenius borealis***

***Numenius tenuirostris***

***Tringa guttifer***

Laridae Gull

***Larus relictus***

COLUMBIFORMES

Columbidae Doves, pigeons

***Caloenas nicobarica***

***Columba guinea*** (Ghana)

***Columba iriditorques***  
(Ghana)

***Columba livia*** (Ghana)

***Columba mayeri*** (Mauritius)

***Columba unicincta*** (Ghana)

***Ducula mindorensis***

***Gallicolumba luzonica***  
***Goura* spp.**

***Oena capensis*** (Ghana)

***Streptopelia decipiens***  
(Ghana)

***Streptopelia roseogrisea***  
(Ghana)

***Streptopelia semitorquata***  
(Ghana)

***Streptopelia senegalensis***  
(Ghana)

***Streptopelia turtur*** (Ghana)

***Streptopelia vinacea***  
(Ghana)

***Treron calva*** (Ghana)

***Treron waalia*** (Ghana)

***Turtur abyssinicus*** (Ghana)

***Turtur afer*** (Ghana)

***Turtur brehmeri*** (Ghana)

***Turtur tympanistrria***  
(Ghana)

## PSITTACIFORMES

**PSITTACIFORMES spp.**  
(Except the species included  
in Appendix I and Appendix  
III, and excluding  
*Melopsittacus undulatus* and  
*Nymphicus hollandicus*,  
which are not included in the  
Appendices)



Psittacidae Amazons,  
cockatoos, lories, lorikeets,  
macaws, parakeets, parrots

*Amazona arausiaca*

*Amazona barbadensis*

*Amazona brasiliensis*

*Amazona guildingii*

*Amazona imperialis*

*Amazona leucocephala*

*Amazona ochrocephala*  
*auropalliata*

*Amazona ochrocephala*  
*belizensis*

*Amazona ochrocephala*  
*caribaea*

*Amazona ochrocephala*  
*oratrix*

*Amazona ochrocephala*  
*parvipes*

*Amazona ochrocephala*  
*tresmariae*

*Amazona pretrei*

*Amazona rhodocorytha*

*Amazona tucumana*

*Amazona versicolor*

*Amazona vinacea*

*Amazona viridigenalis*

*Amazona vittata*

***Anodorhynchus*** spp.

***Ara ambigua***

***Ara glaucogularis*** (Often traded under the incorrect designation *Ara caninde*)

***Ara macao***

***Ara militaris***

***Ara rubrogenys***

***Cacatua goffini***

***Cacatua haematuropygia***

***Cacatua moluccensis***

***Cyanopsitta spixii***

***Cyanoramphus forbesi***

***Cyanoramphus novaezelandiae***

***Cyclopsitta diophthalma coxeni***

***Eos histrio***

***Eunymphicus cornutus***

***Geopsittacus occidentalis*** (possibly extinct)

***Guarouba guarouba***

***Neophema chrysogaster***

***Ognorhynchus icterotis***

***Pezoporus wallicus***

***Pionopsitta pileata***

***Probosciger aterrimus***

***Propyrrhura couloni***

***Propyrrhura maracana***

***Psephotus  
chrysopterygius***

***Psephotus dissimilis***

***Psephotus  
pulcherrimus*** (possibly  
extinct) ***echo***

***Psittacula krameri***  
(Ghana)

***Pyrrhura cruentata***

***Rhynchopsitta spp.***

***Strigops habroptilus***

***Vini ultramarina***

CUCULIFORMES

Musophagidae Turacos

***Corythaeola cristata***  
(Ghana)

***Crinifer piscator*** (Ghana)

***Musophaga  
porphyreolopha***

***Musophaga violacea***  
(Ghana)

***Tauraco*** spp.

STRIGIFORMES Owls

**STRIGIFORMES spp.**  
(Except the species included  
in Appendix I)

Tytonidae Barn owl

***Tyto soumagnei***

Strigidae Owls

***Athene blewitti***

***Mimizuku gurneyi***

***Ninox novaeseelandiae  
undulata***

***Ninox squamipila  
natalis***

APODIFORMES

Trochilidae Hummingbirds

**Trochilidae spp.** (Except the  
species included in Appendix  
I)

***Glaucis dohrnii***

TROGONIFORMES

Trogonidae Quetzal

***Pharomachrus mocinno***

CORACIIFORMES

Bucerotidae Hornbills

***Aceros* spp.** (Except the  
species included in Appendix  
I)

***Aceros nivalensis***

***Aceros subruficollis***

***Anorrhinus*** spp.

***Anthracoceros*** spp.

***Buceros*** spp. (Except the species included in Appendix I)

***Buceros bicornis***

***Buceros vigil***

***Penelopides*** spp.

PICIFORMES

Capitonidae Barbet

***Semnornis ramphastinus***  
(Colombia)

Ramphastidae Toucans

***Bailloniuss bailloni***  
(Argentina)

***Pteroglossus aracari***

***Pteroglossus castanotis***  
(Argentina)

***Pteroglossus viridis***

***Ramphastos dicolorus***  
(Argentina)

***Ramphastos sulfuratus***

***Ramphastos toco***

***Ramphastos tucanus***

***Ramphastos vitellinus***

***Selenidera maculirostris***  
(Argentina)

Picidae Woodpeckers

***Campephilus imperialis***

***Dryocopus javensis richardsi***

PASSERIFORMES

Cotingidae Cotingas

***Cephalopterus ornatus***  
(Colombia)

***Cephalopterus penduliger***  
(Colombia)

***Cotinga maculata***

***Rupicola* spp.**

***Xipholena atropurpurea***

Pittidae Pittas

***Pitta guajana***

***Pitta gurneyi***

***Pitta kochi***

***Pitta nympha***

Atrichornithidae Scrub-bird

***Atrichornis clamosus***

Hirundinidae Martin

***Pseudochelidon sirintarae***

Pycnonotidae Bulbul

***Pycnonotus zeylanicus***

Muscicapidae Old World  
flycatchers

***Bebrornis rodericanus***  
(Mauritius)

***Cyornis ruckii***

***Dasyornis broadbenti***  
***litoralis***  
(possibly extinct)

***Dasyornis longirostris***

***Garrulax canorus***

***Leiothrix argenteauris***

***Leiothrix lutea***

***Liocichla omeiensis***

***Picathartes***  
***gymnocephalus***

***Picathartes oreas***

***Terpsiphone***  
***bourbonnensis*** (Mauritius)

Zosteropidae White-eye

***Zosterops albogularis***

Meliphagidae Honeyeater

***Lichenostomus***  
***melanops cassidix***

Emberizidae Cardinals,  
tanagers

***Gubernatrix cristata***

***Paroaria capitata***

***Paroaria coronata***

***Tangara fastuosa***

Icteridae Blackbird

***Agelaius flavus***

Fringillidae Finches

***Carduelis cucullata***

***Carduelis yarrellii***

***Serinus canicapillus***

(Ghana)

***Serinus leucopygius***

(Ghana)

***Serinus mozambicus***

(Ghana)

Estrildidae Mannikins,  
waxbills

***Amadina fasciata*** (Ghana)

***Amandava formosa***

***Amandava subflava***

(Ghana)

***Estrilda astrild*** (Ghana)

***Estrilda caerulescens***

(Ghana)

***Estrilda melpoda*** (Ghana)

***Estrilda troglodytes***

(Ghana)

***Lagonosticta rara*** (Ghana)



***Lagonosticta rubricata***  
(Ghana)

***Lagonosticta rufopicta***  
(Ghana)

***Lagonosticta senegala***  
(Ghana)

***Lagonosticta vinacea***  
(Ghana)

***Lonchura bicolor*** (Ghana)

***Lonchura cantans*** (Ghana)

***Lonchura cucullata***  
(Ghana)

***Lonchura fringilloides***  
(Ghana)

***Mandingoa nitidula*** (Ghana)

***Nesocharis capistrata***  
(Ghana)

***Nigrita bicolor*** (Ghana)

***Nigrita canicapilla*** (Ghana)

***Nigrita fusconota*** (Ghana)

***Nigrita luteifrons*** (Ghana)

***Ortygospiza atricollis***  
(Ghana)

***Padda oryzivora***

***Parmoptila rubrifrons***  
(Ghana)

***Pholidornis rushiae***  
(Ghana)

***Poephila cincta cincta***

***Pyrenestes ostrinus***  
(Ghana)

***Pytilia hypogrammica***  
(Ghana)

***Pytilia phoenicoptera***  
(Ghana)

***Spermophaga haematina***  
(Ghana)

***Uraeginthus bengalus***  
(Ghana)

Ploceidae Weavers,  
whydahs

***Amblyospiza albifrons***  
(Ghana)

***Anaplectes rubriceps***  
(Ghana)

***Anomalospiza imberbis***  
(Ghana)

***Bubalornis albirostris***  
(Ghana)

***Euplectes afer*** (Ghana)

***Euplectes ardens*** (Ghana)

***Euplectes franciscanus***  
(Ghana)

***Euplectes hordeaceus***  
(Ghana)

***Euplectes macrourus***  
(Ghana)

***Malimbus cassini*** (Ghana)

***Malimbus malimbicus***  
(Ghana)

***Malimbus nitens*** (Ghana)

***Malimbus rubricollis***  
(Ghana)

***Malimbus scutatus*** (Ghana)

***Pachyphantes  
superciliosus*** (Ghana)

***Passer griseus*** (Ghana)

***Petronia dentata*** (Ghana)

***Plocepasser superciliosus***  
(Ghana)

***Ploceus albinucha*** (Ghana)

***Ploceus aurantius*** (Ghana)

***Ploceus cucullatus*** (Ghana)

***Ploceus heuglini*** (Ghana)

***Ploceus luteolus*** (Ghana)

***Ploceus melanocephalus***  
(Ghana)

***Ploceus nigerrimus***  
(Ghana)

***Ploceus nigricollis*** (Ghana)

***Ploceus pelzelni*** (Ghana)

***Ploceus preussi*** (Ghana)

***Ploceus tricolor*** (Ghana)

***Ploceus vitellinus*** (Ghana)

***Quelea erythrops*** (Ghana)

***Sporopipes frontalis***  
(Ghana)

***Vidua chalybeata*** (Ghana)

***Vidua interjecta*** (Ghana)

***Vidua larvaticola*** (Ghana)

***Vidua macroura*** (Ghana)

***Vidua orientalis*** (Ghana)

***Vidua raricola*** (Ghana)

***Vidua togoensis*** (Ghana)

***Vidua wilsoni*** (Ghana)

Sturnidae Mynahs (Starlings)

***Gracula religiosa***

***Leucopsar rothschildi***

Paradisaeidae Birds of  
paradise

**Paradisaeidae spp.**

## **CLASS REPTILIA (REPTILES)**

TESTUDINATA

Dermatemydidae Central

American river turtle

***Dermatemys mawii***

Platysternidae Big-headed  
turtle

***Platysternon  
megacephalum***

Emydidae Box turtles,  
freshwater turtles

***Annamemys annamensis***

***Batagur baska***

***Callagur borneoensis***

***Clemmys insculpta***

***Clemmys muhlenbergi***

***Cuora* spp.**

***Geoclemys hamiltonii***

***Heosemys depressa***

***Heosemys grandis***

***Heosemys leytensis***

***Heosemys spinosa***

***Hieremys annandalii***

***Kachuga* spp. (Except the  
species included in  
Appendix I)**

***Kachuga tecta***

***Leucocephalon yuwonoi***

***Mauremys mutica***

***Melanochelys tricarinata***

***Morenia ocellata***

***Orlitia borneensis***

***Pyxidea mouhotii***

***Siebenrockiella crassicollis***

***Terrapene* spp.** (Except the species included in Appendix I)

***Terrapene coahuila***

Testudinidae Tortoises

**Testudinidae spp.** (Except the species included in Appendix I. A zero annual export quota has been established for *Geochelone sulcata* for specimens removed from the wild and traded for primarily commercial purposes)

***Geochelone nigra***

***Geochelone radiata***

***Geochelone yniphora***

***Gopherus flavomarginatus***

***Psammobates geometricus***

***Pyxis planicauda***

***Testudo kleinmanni***

***Testudo weneri***

Cheloniidae Marine turtles

***Cheloniidae spp.***

Dermodochelyidae Leatherback turtle

***Dermodochelys coriacea***

Trionychidae Softshell  
turtles, terrapins

***Apalone ater***

***Aspideretes gangeticus***

***Aspideretes hurum***

***Aspideretes nigricans***

***Chitra* spp.**

***Lissemys punctata***

***Pelochelys* spp.**

***Trionyx triunguis* (Ghana)**

Pelomedusidae  
Afro-American side-necked  
turtles

***Erymnochelys  
mada-gascariensis***

***Pelomedusa subrufa*  
(Ghana)**

***Peltocephalus dumeriliana***

***Pelusios adansonii* (Ghana)**

***Pelusios castaneus*  
(Ghana)**

***Pelusios gabonensis*  
(Ghana)**

***Pelusios niger* (Ghana)**

***Podocnemis* spp.**

Chelidae Austro-American  
side-necked turtle

***Pseudemydura umbrina***

CROCODYLIA Alligators,  
caimans, crocodiles

**CROCODYLIA spp.**  
(Except the species included  
in Appendix I)

Alligatoridae Alligators,  
caimans

***Alligator sinensis***

***Caiman crocodilus***

***apaporiensis***

***Caiman latirostris***

(Except the population of  
Argentina, which is  
included in Appendix II)

***Melanosuchus niger***

(Except the population of  
Ecuador, which is  
included in Appendix II,  
and is subject to a zero  
annual export quota until  
an annual export quota  
has been approved by the  
CITES Secretariat and  
the IUCN/SSC Crocodile  
Specialist Group)

Crocodylidae Crocodiles

***Crocodylus acutus***

***Crocodylus*  
*cataphractus***

***Crocodylus intermedius***

***Crocodylus*  
*mindorensis***

***Crocodylus moreletii***



***Crocodylus niloticus***

(Except the populations of Botswana, Ethiopia, Kenya, Madagascar, Malawi, Mozambique, South Africa, Uganda, the United Republic of Tanzania [subject to an annual export quota of no more than 1600 wild specimens including hunting trophies, in addition to ranched specimens], Zambia and Zimbabwe; these populations are included in Appendix II)

***Crocodylus palustris***

***Crocodylus porosus***

(Except the populations of Australia, Indonesia and Papua New Guinea, which are included in Appendix II)

***Crocodylus rhombifer***

***Crocodylus siamensis***

***Osteolaemus tetraspis***

***Tomistoma schlegelii***

Gavialidae Gavial

***Gavialis gangeticus***

RHYNCHOCEPHALIA

Sphenodontidae Tuatara

***Sphenodon* spp.**

SAURIA

Gekkonidae Geckos

***Cyrtodactylus  
serpensinsula***

***Hoplodactylus*** spp. (New  
Zealand)

***Naultinus*** spp. (New  
Zealand)

***Phelsuma*** spp.

Agamidae Agamas,  
mastigures

***Uromastyx*** spp.

Chamaeleonidae  
Chameleons

***Bradypodion*** spp.

***Brookesia*** spp. (Except the  
species included in  
Appendix I)

***Brookesia perarmata***

***Calumma*** spp.

***Chamaeleo*** spp.

***Furcifer*** spp.

Iguanidae Iguanas

***Amblyrhynchus cristatus***

***Brachylophus*** spp.

***Conolophus*** spp.

***Cyclura*** spp.

***Iguana*** spp.

***Phrynosoma coronatum***

***Sauromalus varius***

Lacertidae Lizards

***Gallotia simonyi***

***Podarcis lilfordi***

***Podarcis pityusensis***

Cordylidae Spiny-tailed  
lizards

***Cordylus* spp.**

Teiidae Caiman lizards,  
tegulizards

***Crocodilurus amazonicus***

***Dracaena* spp.**

***Tupinambis* spp.**

Scincidae Skink

***Corucia zebrata***

Xenosauridae Chinese  
crocodile lizard

***Shinisaurus crocodilurus***

Helodermatidae Beaded  
lizard, gila monster

***Heloderma* spp.**

Varanidae Monitor lizards

***Varanus* spp.** (Except the  
species included in  
Appendix I)

***Varanus bengalensis***

*Varanus flavescens*

*Varanus griseus*

*Varanus komodoensis*

*Varanus nebulosus*

SERPENTES Snakes

Loxocemidae Mexican dwarf  
boa

**Loxocemidae spp.**

Pythonidae Pythons

**Pythonidae spp.** (Except the  
subspecies included in  
Appendix I)

*Python molurus*  
*molurus*

Boidae Boas

**Boidae spp.** (Except the  
species included in Appendix  
I)

*Acrantophis* spp.

*Boa constrictor*  
*occidentalis*

*Epicrates inornatus*

*Epicrates monensis*

*Epicrates subflavus*

*Sanzinia*  
*madagascariensis*

Bolyeriidae Round Island  
boas

**Bolyeriidae spp.** (Except the  
species included in Appendix  
I)

***Bolyeria multocarinata***

***Casarea dussumieri***

Tropidophiidae Wood boas

**Tropidophiidae spp.**

Colubridae Typical snakes,  
water snakes, whipsnakes

***Atretium schistosum*** (India)

***Cerberus rhynchops*** (India)

***Clelia clelia***

***Cyclagras gigas***

***Elachistodon westermanni***

***Ptyas mucosus***

***Xenochrophis piscator***  
(India)

Elapidae Cobras, coral  
snakes

***Hoplocephalus  
bungaroides***

***Micrurus diastema***  
(Honduras)

***Micrurus nigrocinctus***  
(Honduras)

***Naja atra***

*Naja kaouthia*  
*Naja mandalayensis*  
*Naja naja*  
*Naja oxiana*  
*Naja philippinensis*  
*Naja sagittifera*  
*Naja samarensis*  
*Naja siamensis*  
*Naja sputatrix*  
*Naja sumatrana*  
*Ophiophagus hannah*

Viperidae Vipers

*Crotalus durissus*  
(Honduras)

*Daboia russelii* (India)

*Vipera ursinii* (Only the population of Europe, except the area which formerly constituted the Union of Soviet Socialist Republics; these latter populations are not included in the Appendices)

*Vipera wagneri*

**CLASS AMPHIBIA**

**(AMPHIBIANS)**

ANURA

Bufonidae Toads

***Altiphrynoides*** spp.

***Atelopus zeteki***

***Bufo periglenes***

***Bufo superciliaris***

***Nectophrynoides*** spp.

***Nimbaphrynoides*** spp.

***Spinophrynoides*** spp.

Dendrobatidae Poison frogs

***Dendrobates*** spp.

***Epipedobates*** spp.

***Minyobates*** spp.

***Phyllobates*** spp.

Mantellidae Mantellas

***Mantella*** spp.

Microhylidae Red rain frog,  
tomato frog

***Dyscophus antongilii***

***Scaphiophryne gottlebei***

Myobatrachidae  
Gastric-brooding frogs

***Rheobatrachus*** spp.

Ranidae Frogs

***Euphlyctis hexadactylus***

***Hoplobatrachus tigerinus***

CAUDATA

Ambystomidae Axolotls

***Ambystoma dumerilii***

***Ambystoma mexicanum***

Cryptobranchidae Giant  
salamanders

***Andrias*** spp.

**CLASS ELASMOBRANCHII  
(SHARKS)**

ORECTOLOBIFORMES

Rhincodontidae Whale shark

***Rhincodon typus***

LAMNIFORMES

Lamnidae Great white shark

***Carcharodon carcharias***  
(Australia)

Cetorhinidae Basking shark

***Cetorhinus maximus***

**CLASS ACTINOPTERYGII  
(FISH)**

ACIPENSERIFORMES

Paddlefish, sturgeons

**ACIPENSERIFORMES spp.**  
(Except the species included  
in Appendix I)



Acipenseridae Sturgeons

***Acipenser brevirostrum***

***Acipenser sturio***

OSTEOGLOSSIFORMES

Osteoglossidae Arapaima,  
bonytongue

***Arapaima gigas***

***Scleropages formosus***

CYPRINIFORMES

Cyprinidae Blind carps,  
plaeesok

***Caecobarbus geertsi***

***Probarbus jullieni***

Catostomidae Cui-ui

***Chasmistes cujus***

SILURIFORMES

Pangasiidae Pangasid  
catfish

***Pangasianodon gigas***

SYNGNATHIFORMES

Syngnathidae Pipefishes,  
seahorses

***Hippocampus* spp.**

PERCIFORMES

Sciaenidae Totoaba

***Totoaba macdonaldi***

**CLASS SARCOPTERYGII  
(LUNGFISHES)**

COELACANTHIFORMES

Latimeriidae Coelacanth

*Latimeria* spp.

CERATODONTIFORMES

Ceratodontidae Australian  
lungfish

*Neoceratodus forsteri*

**PHYLUM**

**ECHINODERMATA**

**CLASS HOLOTHUROIDEA**

**(SEA CUCUMBERS)**

ASPIDOCHIROTIDA

Stichopodidae Sea  
cucumbers

*Isostichopus fuscus*  
(Ecuador)

**PHYLUM ARTHROPODA**

**CLASS ARACHNIDA**

**(SPIDERS)**

SCORPIONES

Scorpionidae Scorpions

*Pandinus dictator*

*Pandinus gambiensis*

***Pandinus imperator***

ARANEAE

Theraphosidae Red-kneed  
tarantulas, tarantulas

***Aphonopelma albiceps***

***Aphonopelma pallidum***

***Brachypelma* spp.**

***Brachypelmides klaasi***

**CLASS INSECTA  
(INSECTS)**

COLEOPTERA

Lucanidae Cape stag beetles

***Colophon* spp.** (South  
Africa)

LEPIDOPTERA

Papilionidae Birdwing  
butterflies, swallowtail  
butterflies

***Atrophaneura jophon***

***Atrophaneura pandiyana***

***Bhutanitis* spp.**

***Ornithoptera* spp.** (*sensu*  
species included in  
Appendix I)

***Ornithoptera alexandrae***

***Papilio chikae***

***Papilio homerus***

***Papilio hospiton***

***Parnassius apollo***

***Teinopalpus* spp.**

***Trogonoptera* spp. (*sensu*  
D' Abrera)**

***Troides* spp. (*sensu* D'  
Abrera)**

**PHYLUM ANNELIDA**

**CLASS HIRUDINOIDEA  
(LEECHES)**

ARHYNCHOBDELLIDA

Hirudinidae Medicinal leech

***Hirudo medicinalis***

**PHYLUM MOLLUSCA**

**CLASS BIVALVIA (CLAMS,  
MUSSELS)**

VENERIDA

Tridacnidae Giant clams

**Tridacnidae spp.**

UNIONIDA

Unionidae Freshwater  
mussels, pearly mussels

***Conradilla caelata***

***Cyprogenia aberti***

***Dromus dromas***

***Epioblasma curtisi***

***Epioblasma florentina***

*Epioblasma sampsoni*

*Epioblasma sulcata*  
*perobliqua*

*Epioblasma torulosa*  
*gubernaculum*

*Epioblasma torulosa*  
*rangiana*

*Epioblasma torulosa*  
*torulosa*

*Epioblasma turgidula*

*Epioblasma walkeri*

*Fusconaia cuneolus*

*Fusconaia edgariana*

*Lampsilis higginsii*

*Lampsilis orbiculata*  
*orbiculata*

*Lampsilis satur*

*Lampsilis virescens*

*Plethobasus*  
*cicatricosus*

*Plethobasus*  
*cooperianus*

*Pleurobema clava*

*Pleurobema plenum*

*Potamilus capax*

*Quadrula intermedia*

*Quadrula sparsa*

*Toxolasma cylindrella*

*Unio nickliniana*

*Unio tampicoensis*  
*tecomatensis*

*Villosa trabalis*

**CLASS GASTROPODA**

**(SNAILS AND CONCHES)**

STYLOMMATOPHORA

Achatinellidae Agate snails,  
oahu tree snails

*Achatinella* spp.

Camaenidae Green tree snail

*Papustyla pulcherrima*

MESOGASTROPODA

Strombidae Queen conch

*Strombus gigas*

**PHYLUM CNIDARIA**

**CLASS ANTHOZOA**  
**(CORALS, SEA**  
**ANEMONES)**

HELIOPORACEA Blue  
corals

**Helioporidae spp.** (Includes  
only the species *Heliopora*  
*coerulea*. Fossils are not  
subject to the provisions of  
the Convention)

STOLONIFERA

Tubiporidae Organ-pipe corals

**Tubiporidae spp.** (Fossils are not subject to the provisions of the Convention)

ANTIPATHARIA Black corals

**ANTIPATHARIA spp.**

SCLERACTINIA Stony corals

**SCLERACTINIA spp.**  
(Fossils are not subject to the provisions of the Convention)

**CLASS HYDROZOA (SEA FERNS, FIRE CORALS, STINGING MEDUSAE)**

MILLEPORINA

Milleporidae Fire corals

**Milleporidae spp.** (Fossils are not subject to the provisions of the Convention)

STYLASTERINA

Stylasteridae Lace corals

**Stylasteridae spp.** (Fossils are not subject to the provisions of the Convention)

**FLORA (PLANTS)**

AGAVACEAE Agaves

***Agave arizonica***

***Agave parviflora***

***Agave victoriae-reginae* #1**

***Nolina interrata***

AMARYLLIDACEAE  
Snow-drops, sternbergias

***Galanthus*** spp. #1

***Sternbergia*** spp. #1

APOCYNACEAE Elephant  
trunks

***Pachypodium*** spp. #1  
(Except the species included  
in Appendix I)

***Pachypodium ambongense***

***Pachypodium baronii***

***Pachypodium decaryi***

***Rauvolfia serpentina*** #2

ARALIACEAE Ginseng

***Panax ginseng*** #3 (Only the  
population of the Russian  
Federation; no other  
population is included in the  
Appendices)

***Panax quinquefolius*** #3

ARAUCARIACEAE  
Monkey-puzzle tree

***Araucaria araucana***

BERBERIDACEAE  
May-apple

***Podophyllum hexandrum***  
#2

BROMELIACEAE Air plants,  
bromelias



*Tillandsia harrisii* #1

*Tillandsia kammii* #1

*Tillandsia kautskyi* #1

*Tillandsia mauryana* #1

*Tillandsia sprengeliana* #1

*Tillandsia sucrei* #1

*Tillandsia xerographica* #1

CACTACEAE Cacti

**CACTACEAE spp. 7 #4**

(Except the species included  
in Appendix I)

*Ariocarpus* spp.

*Astrophytum asterias*

*Aztekium ritteri*

*Coryphantha  
werdermannii*

*Discocactus* spp.

*Echinocereus  
ferreirianus* ssp.

*lindsayi*

*Echinocereus schmollii*

*Escobaria minima*

*Escobaria sneedii*

*Mammillaria pectinifera*

*Mammillaria solisioides*

*Melocactus conoideus*

***Melocactus  
deinacanthus***

***Melocactus  
glaucescens***

***Melocactus paucispinus***

***Obregonia denegrii***

***Pachycereus militaris***

***Pediocactus bradyi***

***Pediocactus knowltonii***

***Pediocactus paradinei***

***Pediocactus  
peeblesianus***

***Pediocactus sileri***

***Pelecypora* spp.**

***Sclerocactus  
brevihamatus* ssp.**

***tobuschii***

***Sclerocactus  
erectocentrus***

***Sclerocactus glaucus***

***Sclerocactus  
mariposensis***

***Sclerocactus  
mesae-verdae***

***Sclerocactus nyensis***

***Sclerocactus  
papyracanthus***

***Sclerocactus  
pubispinus***

***Sclerocactus wrightiae***

***Strombocactus* spp.**

***Turbinicarpus* spp.**

***Uebelmannia* spp.**

CARYOCARACEAE Ajo

***Caryocar costaricense* #1**

COMPOSITAE (Asteraceae)  
Kuth

***Saussurea costus***

CRASSULACEAE Dudleyas

***Dudleya stolonifera***

***Dudleya traskiae***

CUPRESSACEAE Alerce,  
cypresses

***Fitzroya cupressoides***

***Pilgerodendron  
uviferum***

CYATHEACEAE Tree-ferns

***Cyathea* spp. #1**

CYCADACEAE Cycads

**CYCADACEAE spp. #1**

***Cycas beddomei***

DIAPENSIACEAE  
Ocone-bells

***Shortia galacifolia* #1**

DICKSONIACEAE  
Tree-ferns

***Cibotium barometz* #1**

***Dicksonia* spp. #1** (Only the populations of the Americas; no other population is included in the Appendices)

DIDIEREACEAE Alluaudias,  
didiereas

**DIDIEREACEAE spp. #1**

DIOSCOREACEAE foot,  
kniss

***Dioscorea deltoidea* #1**

DROSERACEAE

***Dionaea muscipula* #1**

EUPHORBIACEAE Spurges

***Euphorbia* spp. #1** (Except the species included in Appendix I; succulent species only; artificially propagated specimens of cultivars of *Euphorbia trigona* are not subject to the provisions of the Convention)

***Euphorbia ambovombensis***

***Euphorbia capsaintemariensis***

***Euphorbia cremersii***  
(Includes the *forma viridifolia* and the var. *rakotozafy*)

***Euphorbia cylindrifolia***

(Includes the spp.  
*tuberifera*)

***Euphorbia decaryi***

(Includes the vars.  
*ampanihyensis*, *robinsonii*  
and *spirosticha*)

***Euphorbia francoisii***

***Euphorbia moratii***

(Includes the vars.  
*antsingiensis*,  
*bemarahensis* and  
*multiflora*)

***Euphorbia*  
*parvicyathophora***

***Euphorbia quartziticola***

***Euphorbia tulearensis***

FOUQUIERIACEAE Ocotillos

***Fouquieria columnaris* #1**

***Fouquieria fasciculata***

***Fouquieria purpusii***

GNETACEAE Gnetums

***Gnetum montanum* #1**  
(Nepal)

JUGLANDACEAE Gavilan

***Oreomunnea pterocarpa* #1**

LEGUMINOSAE (Fabaceae)

Afrormosia, cristobal,  
rosewood, sandalwood

***Dalbergia nigra***

***Dipteryx panamensis***  
(Costa Rica)

***Pericopsis elata*** #5

***Platymiscium***

***pleiostachyum*** #1

***Pterocarpus santalinus*** #7

LILIACEAE Aloes

***Aloe*** spp. #1 (Except the species included in Appendix I. Also excludes *Aloe vera*, also referenced as *Aloe barbadensis* which is not included in the Appendices)

***Aloe albida***

***Aloe albiflora***

***Aloe alfreddii***

***Aloe bakeri***

***Aloe bellatula***

***Aloe calcairophila***

***Aloe compressa*** (Includes the vars. *rugosquamosa*, *schistophila* and *paucituberculata*)

***Aloe delphinensis***

***Aloe descoingsii***

***Aloe fragilis***

***Aloe haworthioides***  
(Includes the var. *aurantiaca*)

***Aloe helenae***

***Aloe laeta*** (Includes the var.  
*maniaensis*)

***Aloe parallelifolia***

***Aloe parvula***

***Aloe pillansii***

***Aloe polyphylla***

***Aloe rauhii***

***Aloe suzannae***

***Aloe versicolor***

***Aloe vossii***

MAGNOLIACEAE Magnolia

***Magnolia liliifera*** var.  
***obovata*** #1 (Nepal)

MELIACEAE Mahoganies,  
Spanish cedar

***Cedrela odorata*** #5  
[Population of Colombia  
(Colombia) Population of  
Peru (Peru)]

***Swietenia humilis*** #1

***Swietenia macrophylla*** #6  
(Populations of the  
Neotropics) [Enters into  
effect on 15 November 2003]

***Swietenia macrophylla*** #5  
(Until 15 November 2003)  
[Population of Bolivia  
(Bolivia) Population of Brazil  
(Brazil)]

All populations of the species  
in the Americas (Costa Rica)  
Population of Colombia  
(Colombia) Population of  
Mexico (Mexico) Population  
of Peru (Peru)]

***Swietenia mahagoni* #5**

NEPENTHACEAE  
Pitcher-plants (Old World)

***Nepenthes* spp. #1**

***Nepenthes khasiana***

***Nepenthes rajah***

ORCHIDACEAE Orchids

**ORCHIDACEAE spp.8 #8**  
(Except the species included  
in Appendix I)

(For all of the following  
Appendix I species,  
seedling or tissue cultures  
obtained *in vitro*, in solid  
or liquid media,  
transported in sterile  
containers are not subject  
to the provisions of the  
Convention)

***Aerangis ellisii***

***Cattleya trianaei***

***Dendrobium cruentum***

***Laelia jongheana***

***Laelia lobata***

***Paphiopedilum* spp.**

***Peristeria elata***

***Phragmipedium* spp.**

***Renanthera*  
*imschootiana***



***Vanda coerulea***

OROBANCHACEAE  
Broomrape

***Cistanche deserticola***

PALMAE (Arecaceae) Palms

***Beccariophoenix  
madagascariensis***

***Chrysalidocarpus  
decipiens* #1**

***Lemurophoenix halleuxii***

***Marojejya darianii***

***Neodypsis decaryi* #1**

***Ravenea louvelii***

***Ravenea rivularis***

***Satranala decussilvae***

***Voanioala gerardii***

PAPAVERACEAE Poppy

***Meconopsis regia* #1**  
(Nepal)

PINACEAE Guatemala fir

***Abies guatemalensis***

PODOCARPACEAE  
Podocarps

***Podocarpus neriifolius* #1**  
(Nepal)

***Podocarpus parlatorei***

PORTULACACEAE  
Lewisias, portulacas,  
purslanes

**Anacampseros** spp. #1

**Avonia** spp. #1

**Lewisia serrata** #1

PRIMULACEAE Cyclamens

**Cyclamen** spp.9 #1

PROTEACEAE Proteas

**Orothamnus zeyheri** #1

**Protea odorata** #1

RANUNCULACEAE Golden  
seals, yellow adonis, yellow  
root

**Adonis vernalis** #2

**Hydrastis canadensis** #3

ROSACEAE African cherry,  
stinkwood

**Prunus africana** #1

RUBIACEAE Ayuque

**Balmea stormiae**

SARRACENIACEAE  
Pitcher-plants (New World)

**Sarracenia** spp. #1  
(Except the species included  
in Appendix I)

**Sarracenia rubra** ssp.

***alabamensis Sarracenia***

***rubra* ssp. *jonesii***

***Sarracenia oreophila***

SCROPHULARIACEAE  
Kutki

***Picrorhiza kurroa* #3**  
(Excludes *Picrorhiza*  
*scrophulariiflora*)

STANGERIACEAE  
Stangerias

***Bowenia* spp. #1**

***Stangeria eriopus***

TAXACEAE Himalayan yew

***Taxus wallichiana* #2**

TROCHODENDRACEAE

(Tetracentraceae)  
Tetracentron

***Tetracentron sinense* #1**  
(Nepal)

THYMELAEACEAE

(Aquilariaceae) Agarwood,  
ramin

***Aquilaria malaccensis* #1**

***Gonystylus* spp. #1**  
(Indonesia)

VALERIANACEAE  
Himalayan spikenard

***Nardostachys grandiflora***  
#3

WELWITSCHIAEAE

Welwitschia

***Welwitschia mirabilis*** #1

ZAMIACEAE Cycads

**ZAMIACEAE spp. #1**  
(Except the species included  
in Appendix I)

***Ceratozamia*** spp.

***Chigua*** spp.

***Encephalartos*** spp.

***Microcycas calocoma***

ZINGIBERACEAE Ginger lily

***Hedychium philippinense***  
#1

ZYGOPHYLLACEAE

Lignum-vitae

***Guaiacum*** spp. #2

1. *Populations of Botswana, Namibia and South Africa (listed in Appendix II):*

For the exclusive purpose of allowing: (1) trade in hunting trophies for non-commercial purposes; (2) trade in live animals for in situ conservation programmes; (3) trade in hides; (4) trade in leather goods for non-commercial purposes; (5) trade in registered raw ivory (for Botswana and Namibia, whole tusks and pieces; for South Africa, whole tusks and cut pieces of ivory that are both 20 cm or more in length and one kilogramme or more in weight) subject to the following: (i) only registered government-owned stocks, originating in the State (excluding seized ivory and ivory of unknown origin) and, in the case of South Africa, only ivory originating from the Kruger National Park; (ii) only to trading partners that have been verified by the Secretariat, in consultation with the Standing Committee, to have sufficient national legislation and domestic trade controls to ensure that the imported ivory will not be re-exported and will be managed in accordance with all requirements of Resolution Conf. 10.10 (Rev. CoP12) concerning domestic manufacturing and trade; (iii) not before May 2004, and in any event not before the Secretariat has verified the prospective importing countries, and the MIKE programme has reported to the

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Secretariat on the baseline information (e.g. elephant population numbers, incidence of illegal killing); (iv) a maximum of 20,000 kg (Botswana), 10,000 kg (Namibia) and 30,000 kg (South Africa) of ivory may be traded, and despatched in a single shipment under strict supervision of the Secretariat; (v) the proceeds of the trade are used exclusively for elephant conservation and community conservation and development programmes within or adjacent to the elephant range; (vi) only after the Standing Committee has agreed that the above conditions have been met. On a proposal from the Secretariat, the Standing Committee can decide to cause this trade to cease partially or completely in the event of non-compliance by exporting or importing countries, or in the case of proven detrimental impacts of the trade on other elephant populations. All other specimens shall be deemed to be specimens of species included in Appendix I and the trade in them shall be regulated accordingly

2. *Population of Zimbabwe (listed in Appendix II):*

For the exclusive purpose of allowing: (1) export of hunting trophies for non-commercial purposes; (2) export of live animals to appropriate and acceptable destinations; (3) export of hides; (4) export of leather goods and ivory carvings for non-commercial purposes. All other specimens shall be deemed to be specimens of species included in Appendix I and the trade in them shall be regulated accordingly. To ensure that where (a) destinations for live animals are to be "appropriate and acceptable" and/or (b) the purpose of the import is to be "non-commercial", export permits and reexport certificates may be issued only after the issuing Management Authority has received, from the Management Authority of the State of import, a certification to the effect that: in case (a), in analogy to Article III, paragraph 3(b) of the Convention, the holding facility has been reviewed by the competent Scientific Authority, and the proposed recipient has been found to be suitably equipped to house and care for the animals; and/or in case (b), in analogy to Article III, paragraph 3(c), the Management Authority is satisfied that the specimens will not be used for primarily commercial purposes.

3. *Population of Argentina (listed in Appendix II):*

For the exclusive purpose of allowing international trade in wool sheared from live vicuñas, in cloth, and in derived manufactured products and other handicraft artefacts. The reverse side of the cloth must bear the logotype adopted by the range States of the species, which are signatories to the *Convenio para la Conservación y Manejo de la Vicuña*, and the selvages the words "VICUÑA-ARGENTINA". Other products must bear a label including the logotype and the designation "VICUÑA-ARGENTINA-ARTESANÍA". All other specimens shall be deemed to be specimens of species included in Appendix I and the trade in them shall be regulated accordingly.

4. *Population of Bolivia (listed in Appendix II):*

For the exclusive purpose of allowing international trade in: (a) wool and products derived therefrom sheared from live animals of the populations of the Conservation Units of Mauri-Desaguadero, Ulla Ulla and Lípez-Chichas; and (b) products made from wool sheared from live animals of the rest of the population of Bolivia. The reverse side of the cloth must bear the logotype adopted by the range States of the species, which are signatories to the *Convenio para la Conservación y Manejo de la Vicuña*, and the selvages the words "VICUÑA-BOLIVIA". Other products must bear a label including the logotype and the designation "VICUÑA-BOLIVIA-ARTESANÍA". All other specimens shall be deemed to be specimens of species included in Appendix I and the trade in them shall be regulated accordingly.

5. *Population of Chile (listed in Appendix II):*

For the exclusive purpose of allowing international trade in wool sheared from live vicuñas, and in cloth and items made thereof, including luxury handicrafts and knitted articles. The reverse side of the cloth must bear the logotype adopted by the range States of the species, which are signatories to the

*Convenio para la Conservación y Manejo de la Vicuña*, and the selvages the words "VICUÑA-CHILE". Other products must bear a label including the logotype and the designation "VICUÑA-CHILE-ARTESANÍA". All other specimens shall be deemed to be specimens of species included in Appendix I and the trade in them shall be regulated accordingly.

6. *Population of Peru (listed in Appendix II):*

For the exclusive purpose of allowing international trade in wool sheared from live vicuñas and in the stock extant at the time of the ninth meeting of the Conference of the Parties (November 1994) of 3249 kg of wool, and in cloth and items made thereof, including luxury handicrafts and knitted articles. The reverse side of the cloth must bear the logotype adopted by the range States of the species, which are signatories to the *Convenio para la Conservación y Manejo de la Vicuña*, and the selvages the words "VICUÑA-PERÚ". Other products must bear a label including the logotype and the designation "VICUÑA-PERÚ-ARTESANÍA". All other specimens shall be deemed to be specimens of species included in Appendix I and the trade in them shall be regulated accordingly.

7. *Artificially propagated specimens of the following hybrids and/or cultivars are not subject to the provisions of the Convention: *Hatiora x graeseri**

*Schlumbergera x buckleyi*

*Schlumbergera russelliana x Schlumbergera truncata*

*Schlumbergera orssichiana x Schlumbergera truncata*

*Schlumbergera opuntioides x Schlumbergera truncata*

*Schlumbergera truncata* (cultivars)

*Cactaceae* spp. colour mutants lacking chlorophyll, grafted on the following grafting stocks: *Harrisia 'Jusbertii'*,

*Hylocereus trigonus* or *Hylocereus undatus*

*Opuntia microdasys* (cultivars)

8. Artificially propagated specimens of hybrids within the genus *Phalaenopsis* are not subject to the provisions of the Convention when: (1) specimens are traded in shipments consisting of individual containers (i.e. cartons, boxes, or crates) containing 100 or more plants each; (2) all plants within a container are of the same hybrid, with no mixing of different hybrids within a container; (3) plants within a container can be readily recognized as artificially propagated specimens by exhibiting a high degree of uniformity in size and stage of growth, cleanliness, intact root systems, and general absence of damage or injury that could be attributable to plants originating in the wild; (4) plants do not exhibit characteristics of wild origin, such as damage by insects or other animals, fungi or algae adhering to leaves, or mechanical damage to roots, leaves, or other parts resulting from collection; and (5) shipments are accompanied by documentation, such as an invoice, which clearly states the number of plants and is signed by the shipper. Plants not clearly qualifying for the exemption must be accompanied by appropriate CITES documents.

9. Artificially propagated specimens of cultivars of *Cyclamen persicum* are not subject to the provisions of the Convention. However, the exemption does not apply to such specimens traded as dormant tubers.