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**COMMISSION REGULATION (EC) No 865/2006
of 4 May 2006**

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

(OJ L 166, 19.6.2006, p. 1)

Amended by:

		Official Journal		
		No	page	date
► <u>M1</u>	Commission Regulation (EC) No 100/2008 of 4 February 2008	L 31	3	5.2.2008
► <u>M2</u>	Commission Regulation (EU) No 791/2012 of 23 August 2012	L 242	1	7.9.2012
► <u>M3</u>	Commission Implementing Regulation (EU) No 792/2012 of 23 August 2012	L 242	13	7.9.2012
► <u>M4</u>	Commission Regulation (EU) No 1283/2013 of 10 December 2013	L 332	14	11.12.2013
► <u>M5</u>	Commission Regulation (EU) 2015/56 of 15 January 2015	L 10	1	16.1.2015
► <u>M6</u>	Commission Regulation (EU) 2015/870 of 5 June 2015	L 142	3	6.6.2015

▼B**COMMISSION REGULATION (EC) No 865/2006****of 4 May 2006****laying down detailed rules concerning the implementation of Council Regulation (EC) No 338/97 on the protection of species of wild fauna and flora by regulating trade therein**

THE COMMISSION OF THE EUROPEAN COMMUNITIES,

Having regard to the Treaty establishing the European Community,

▼M2Having regard to Council Regulation (EC) No 338/97 of 9 December 1996 on the protection of species of wild fauna and flora by regulating trade therein ⁽¹⁾, and in particular Article 19(2), (3) and (4) thereof,**▼B**

Whereas:

- (1) Provisions are required to implement Regulation (EC) No 338/97 and to ensure full compliance with the provisions of the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES), hereinafter 'the Convention'.
- (2) In order to ensure the uniform implementation of Regulation (EC) No 338/97, it is necessary to lay down detailed conditions and criteria for the consideration of permit and certificate applications and for the issue, validity and use of such documents. It is therefore appropriate to lay down models to which those documents must correspond.
- (3) It is further necessary to lay down detailed provisions relating to the conditions and criteria for the treatment of specimens of animal species that are born and bred in captivity and of specimens of plant species that are artificially propagated in order to ensure the common implementation of the derogations applicable to such specimens.
- (4) The derogations for specimens that are personal and household effects provided for in Article 7(3) of Regulation (EC) No 338/97 require that provisions be specified to ensure compliance with paragraph 3 of Article VII of the Convention.
- (5) In order to ensure that general derogations from the internal trade prohibitions contained in Article 8(1) of Regulation (EC) No 338/97 are uniformly applied, it is necessary to lay down conditions and criteria with regard to their definition.
- (6) It is necessary to establish procedures for the marking of certain specimens of species in order to facilitate their identification and ensure enforcement of the provisions of Regulation (EC) No 338/97.
- (7) Provisions should be laid down regarding the contents, form and submission of the periodic reports provided for in Regulation (EC) No 338/97.
- (8) In order for future amendments to the Annexes to Regulation (EC) No 338/97 to be considered all relevant information should be available, particularly on the biological and trade status of species, their use and methods of controlling trade.

⁽¹⁾ OJ L 61, 3.3.1997, p. 1.

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- (9) At the 12th session of the Conference of the Parties to the Convention, held in Santiago (Chile) from 3 to 15 November 2002, a number of Resolutions were adopted concerning; *inter alia*; simplified procedures for the issue of permits and certificates, a special certificate to facilitate the movement of certain categories of specimens that are part of a travelling exhibition, additional derogations regarding personal effects, updated requirements regarding the labelling of containers of caviar, and other measures of a routine and technical nature, including the alteration of the codes used in permits and certificates and amendments to the list of standard references used for determining the names of species listed in the Appendices to the Convention, and it is therefore necessary to take those Resolutions into account.
- (10) In view of the administrative burden entailed by the regulation of the export and import of live captive born and bred and personally owned animals and of personally owned animals introduced into the Community before Regulation (EC) No 338/97, Council Regulation (EEC) No 3626/82 of 3 December 1982 on the implementation in the Community of the Convention on international trade in endangered species of wild fauna and flora⁽¹⁾ or national legislation implementing the Convention became applicable, and of the fact that such exports and imports do not pose an obstacle to the protection of species of fauna in the wild, a special certificate should be created for those purposes.
- (11) Commission Regulation (EC) No 1808/2001 of 30 August 2001 laying down detailed rules concerning the implementation of Council Regulation (EC) No 338/97 on the protection of species of wild fauna and flora by regulating trade therein⁽²⁾ therefore needs to be substantially amended. In view of the scope of those amendments and in the interests of clarity, that Regulation should be replaced in its entirety.
- (12) The measures provided for in this Regulation are in accordance with the opinion of the Committee on Trade in Wild Fauna and Flora,

HAS ADOPTED THIS REGULATION:

CHAPTER I
DEFINITIONS

Article 1

Definitions

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

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- (1) ‘date of acquisition’ means the date on which a specimen was taken from the wild, born in captivity or artificially propagated, or, if such date is unknown, the earliest provable date on which it was possessed by any person;

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

⁽²⁾ OJ L 250, 19.9.2001, p. 1.

▼B

- (2) ‘second-generation offspring (F2)’ and ‘subsequent generation offspring (F3, F4, and so on)’ means specimens produced in a controlled environment from parents that were also produced in a controlled environment, as distinct from specimens produced in a controlled environment from parents at least one of which was conceived in or taken from the wild (first-generation offspring (F1));
- (3) ‘breeding stock’ means all the animals in a breeding operation that are used for reproduction;
- (4) ‘controlled environment’ means an environment that is manipulated for the purpose of producing animals of a particular species, that has boundaries designed to prevent animals, eggs or gametes of the species from entering or leaving, and the general characteristics of which may include but are not limited to artificial housing, waste removal, health care, protection from predators and the artificial supply of food;

▼M2

- (4a) ‘cultivated parental stock’ means the ensemble of plants grown under controlled conditions that are used for reproduction, and which must have been, to the satisfaction of the competent management authority, in consultation with a competent scientific authority of the Member State concerned:
 - (i) established in accordance with the provisions of CITES and relevant national laws and in a manner not detrimental to the survival of the species in the wild; and
 - (ii) maintained in sufficient quantities for propagation so as to minimise or eliminate the need for augmentation from the wild, with such augmentation occurring only as an exception and limited to the amount necessary to maintain the vigour and productivity of the cultivated parental stock;
- (4b) ‘hunting trophy’ means a whole animal, or a readily recognisable part or derivative of an animal, specified on any accompanying CITES permit or certificate that fulfils the following conditions:
 - (i) is raw, processed or manufactured;
 - (ii) was legally obtained by the hunter through hunting for the hunter's personal use;
 - (iii) is being imported, exported or re-exported by or on behalf of the hunter, as part of the transfer from its country of origin, ultimately to the hunter's State of usual residence;

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

▼M6

- (6) ‘travelling exhibition’ means a sample collection, circus, menagerie, plant exhibition, orchestra or museums exhibition that is used for commercial display for the public;

▼ M1

- (7) ‘transaction-specific certificates’ means certificates issued in accordance with Article 48 that are valid only for one or more specified transactions;

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- (8) ‘specimen-specific certificates’ means certificates issued in accordance with Article 48, other than transaction-specific certificates;

▼ M1

- (9) ‘sample collection’ means a collection of legally acquired dead specimens, parts and derivatives thereof, that are transported across borders for presentation purposes;

- (10) ‘pre-Convention specimen’ means a specimen acquired before the species concerned was first included in the Appendices to the Convention.

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CHAPTER II
FORMS AND TECHNICAL REQUIREMENTS

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Article 4
Completion of forms

▼ M2

1. Forms referred to in Article 2 of Commission Implementing Regulation (EU) No 792/2012 ⁽¹⁾ shall be completed in typescript.

▼ M6

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

▼ M2

2. Forms 1 to 4 of Annex I provided for in Implementing Regulation (EU) No 792/2012, forms 1 and 2 of Annex II provided for in Implementing Regulation (EU) No 792/2012, forms 1 and 2 of Annex III provided for in Implementing Regulation (EU) No 792/2012, forms 1 and 2 of Annex V provided for in Implementing Regulation (EU) No 792/2012, the continuation sheets referred to in Article 2(4) of Implementing Regulation (EU) No 792/2012 and the labels referred to in Article 2(6) of Implementing Regulation (EU) No 792/2012 may not contain any erasures or alterations, unless those erasures or alterations have been authenticated by the stamp and signature of the issuing management authority. In the case of the import notifications as referred to in Article 2(2) of Implementing Regulation (EU) No 792/2012 and the continuation sheets referred to in Article 2(4) of

⁽¹⁾ OJ L 242, 7.9.2012, p. 13.

▼ M2

Implementing Regulation (EU) No 792/2012, erasures or alterations may also be authenticated by the stamp and signature of the customs office of introduction.

▼ B*Article 5***Contents of permits, certificates and applications for the issue of such documents**

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

- (1) the description of specimens must, where it is provided for, include one of the codes contained in Annex VII;
- (2) for the indication of units of quantity and net mass, those contained in Annex VII must be used;
- (3) the taxa to which the specimens belong must be indicated to species level except where the species is differentiated to subspecies level in accordance with the Annexes to Regulation (EC) No 338/97 or where the Conference of the Parties to the Convention has decided that differentiation to a higher taxonomic level is sufficient;
- (4) the standard references for nomenclature contained in Annex VIII to this Regulation must be used to indicate the scientific names of taxa;
- (5) where required, the purpose of a transaction must be indicated using one of the codes contained in point 1 of Annex IX to this Regulation;
- (6) the source of specimens must be indicated using one of the codes contained in point 2 of Annex IX to this Regulation.

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

▼ M1*Article 5a***Specific content of permits, certificates and applications for plant specimens****▼ M2**

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

▼ M1

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

▼ M2*Article 6***Annexes to forms**

1. If an annex attached to any of the forms referred to in Article 2 of Implementing Regulation (EU) No 792/2012 is an integral part of that form, that fact and the number of pages shall be clearly indicated on the permit or certificate concerned and each page of the annex shall include the following:

- (a) the number of the permit or certificate and its date of issue;
- (b) the signature and the stamp or seal of the management authority which issued the permit or certificate.

2. Where the forms referred to in Article 2(1) of Implementing Regulation (EU) No 792/2012 are used for more than one species in a shipment, an annex shall be attached which, in addition to the information required under paragraph 1 of this Article, shall, for each species in the shipment, reproduce boxes 8 to 22 of the form concerned as well as the spaces contained in box 27 thereof for 'quantity/net mass actually imported or (re-)exported' and, where appropriate, 'number of animals dead on arrival'.

3. Where the forms referred to in Article 2(3) of Implementing Regulation (EU) No 792/2012 are used for more than one species, an annex shall be attached which, in addition to the information required under paragraph 1 of this Article, shall, for each species, reproduce boxes 8 to 18 of the form concerned.

4. Where the forms referred to in Article 2(5) of Implementing Regulation (EU) No 792/2012 are used for more than one species, an annex shall be attached which, in addition to the information required under paragraph 1 of this Article, shall, for each species, reproduce boxes 4 to 18 of the form concerned.

▼ B*Article 7***Permits and certificates issued by third countries**

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

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

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

▼ M1

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

▼ M2

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

▼ M6

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

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CHAPTER III

ISSUE, USE AND VALIDITY OF DOCUMENTS

*Article 8***Issue and use of documents****▼ M2**

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

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

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

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

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

▼ M6*Article 9***Shipments of specimens**

Without prejudice to Articles 31, 38, 44b, 44i and 44p, a separate import permit, import notification, export permit or re-export certificate shall be issued for each shipment of specimens shipped together as part of one load.

*Article 10***Validity of import and export permits, re-export certificates, travelling exhibition certificates, personal ownership certificates, sample collection certificates and musical instrument certificates****▼ B**

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

▼ M1

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

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

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

▼ M1

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

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

▼ M1

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

▼ M6

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

▼ M1

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

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

▼ M6

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

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

▼ B*Article 11***Validity of used import permits and of the certificates referred to in Articles 47, 48, 49, 60 and 63**

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

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

▼ M6

- (c) where specimens referred to therein have been lost, destroyed or stolen;

▼ B

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

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

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

▼ M6

- (c) where specimens referred to therein have been lost, destroyed or stolen;

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

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- (e) where any special conditions specified in box 20 are no longer fulfilled.

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3. Certificates issued in accordance with Articles 48 and 63 shall be transaction-specific unless the specimens covered by such certificates are uniquely and permanently marked or, in the case of dead specimens which can not be marked, identified by other means.

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

▼ M1

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

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

▼ M1

5. Documents that cease to be valid in accordance with this Article shall, without undue delay, be returned to the issuing management authority which, where appropriate, may issue a certificate reflecting the required changes in accordance with Article 51.

▼ B*Article 12***Documents cancelled, lost, stolen, destroyed or expired**

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

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

*Article 13***Time of application for import and (re)-export documents and assignment to a customs procedure**

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

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

*Article 14***Validity of documents from third countries**

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

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However, certificates of origin for specimens of species listed in Annex C to Regulation (EC) No 338/97 may be used for the introduction of specimens into the Union until 12 months from their date of issue and travelling exhibition certificates, personal ownership certificates and musical instrument certificates may be used for the introduction of specimens into the Union and for the purpose of applying for respective certificates in accordance with Articles 30, 37 and 44h of this Regulation until three years from their date of issue.

▼B*Article 15***Retrospective issue of certain documents**

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

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

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

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

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

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

In the case of import permits issued pursuant to the second subparagraph of paragraph 2 for those personally owned live animals and for specimens of species listed in Annex A to Regulation (EC) No 338/97 and referred to in Article 4(5)(b) thereof, the stipulation 'by way of derogation to Article 8(3) or (5) of Regulation (EC) No 338/97, commercial activities, as laid down in Article 8(1) of that Regulation, shall be prohibited for at least two years from the date of issuance of this permit' shall be included in box 23.

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

*Article 16***Specimens in transit through the Community**

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

*Article 17***Phytosanitary certificates**

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

- (a) Member States may decide that a phytosanitary certificate is to be issued instead of an export permit;
- (b) phytosanitary certificates issued by third countries shall be accepted instead of an export permit.

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

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

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



Article 18

Simplified procedures with regard to certain trade in biological samples

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

- (a) each Member State must establish and maintain a register of the persons and bodies that may benefit from simplified procedures, hereinafter ‘registered persons and bodies’, as well as of the species that they may trade under such procedures, and must ensure that the register is reviewed by the management authority every five years;
- (b) Member States must provide registered persons and bodies with partially completed permits and certificates;
- (c) Member States must authorise registered persons or bodies to enter specific information on the face of the permit or certificate where the management authority of the relevant Member State has included the following items in box 23, or in an equivalent place, or in an annex to the permit or certificate:
 - (i) a list of the boxes that registered persons or bodies are authorised to complete for each shipment;
 - (ii) a place for the signature of the person who completed the document.

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

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

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

Article 19

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

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

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

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- (b) each Member State must establish and maintain a register of the persons and bodies that may benefit from simplified procedures, hereinafter 'registered persons and bodies', as well as of the species that they may trade under such procedures, and must ensure that the register is reviewed by the management authority every five years;
 - (c) Member States must provide registered persons and bodies with partially completed export permits and re-export certificates;
 - (d) Member States must authorise registered persons or bodies to enter specific information in boxes 3, 5, 8 and 9 or 10 of the permit or certificate provided that they comply with the following requirements:
 - (i) they sign the completed permit or certificate in box 23;
 - (ii) they immediately send a copy of the permit or certificate to the issuing management authority;
 - (iii) they maintain a record which they produce to the competent management authority on request and which contains details of the specimens sold, including the species name, the type of specimen, the source of the specimen, the dates of sale and the names and addresses of the persons to whom they were sold.
2. The export or re-export referred to in paragraph 1 shall otherwise be in accordance with Article 5(4) and (5) of Regulation (EC) No 338/97.

CHAPTER IV

IMPORT PERMITS*Article 20***Applications**

1. The applicant for an import permit shall, where appropriate, complete boxes 1, 3 to 6 and 8 to 23 of the application form and boxes 1, 3, 4, 5 and 8 to 22 of the original and all copies. Member States may, however, provide that only an application form is to be completed, in which case such an application may relate to more than one shipment.
2. The duly completed form shall be submitted to the management authority of the Member State of destination and shall contain the information and be accompanied by the documentary evidence that the authority deems necessary in order to enable it to determine whether, on the basis of Article 4 of Regulation (EC) No 338/97, a permit should be issued.
- The omission of information from the application must be justified.
3. Where an application is made for an import permit relating to specimens for which such an application has previously been rejected, the applicant shall inform the management authority of that fact.
4. For import permits concerning the specimens referred to in Article 64(1)(a) to (f), the applicant shall satisfy the management authority that the marking requirements laid down in Article 66 have been fulfilled.

▼M1*Article 20a***Rejection of applications for import permits**

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

▼B*Article 21***Import permits issued for specimens of species included in Appendix I to the Convention and listed in Annex A to Regulation (EC) No 338/97**

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

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

*Article 22***Documents to be surrendered by the importer to the customs office**

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

- (1) the original import permit (form 1);
- (2) the 'copy for the holder' (form 2);
- (3) where specified in the import permit, any documentation from the country of export or re-export.

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

*Article 23***Handling by the customs office**

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

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



CHAPTER V
IMPORT NOTIFICATIONS

Article 24

Documents to be surrendered by the importer to the customs office

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

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

Article 25

Handling by the customs office

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

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

CHAPTER VI
EXPORT PERMITS AND RE-EXPORT CERTIFICATES

Article 26

Applications

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

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

The omission of information from the application must be justified.

▼B

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

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

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

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

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

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

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

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

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

▼M1*Article 26a***Rejection of applications for export permits**

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

▼B*Article 27***Documents to be surrendered by the (re-)exporter to the customs office**

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

▼B

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

*Article 28***Handling by the customs office**

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

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

*Article 29***Pre-issued permits for nurseries**

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

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

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

CHAPTER VII

TRAVELLING EXHIBITION CERTIFICATES*Article 30***Issue**

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

- (a) they were born and bred in captivity in accordance with Articles 54 and 55, or artificially propagated in accordance with Article 56;
- (b) they were acquired in, or introduced into, the Community before the provisions relating to species listed in Appendices I, II or III to the Convention, or in Annex C to Regulation (EEC) No 3626/82, or in Annexes A, B and C to Regulation (EC) No 338/97 became applicable to them.

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

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

▼M2

4. In the case of specimens other than live animals, the management authority shall attach to the travelling exhibition certificate an inventory sheet displaying, in respect of each specimen, all the information required by boxes 8 to 18 of the model form set out in Annex III provided for in Implementing Regulation (EU) No 792/2012.

▼B*Article 31***Use**

A travelling exhibition certificate may be used as follows:

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

▼M1

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

▼B*Article 32***Issuing authority**

1. Where the travelling exhibition originates in the Community, the issuing authority for a travelling exhibition certificate shall be the management authority of the Member State in which the travelling exhibition originates.
2. Where the travelling exhibition originates in a third country, the issuing authority for a travelling exhibition certificate shall be the management authority of the Member State of first destination and the issue of that certificate shall be based on the provision of an equivalent certificate, issued by that third country.
3. Where, during a stay in a Member State, an animal covered by a travelling exhibition certificate gives birth, the management authority of that Member State shall be notified and shall issue a permit or certificate as appropriate.

*Article 33***Requirement for specimens**

1. Where a specimen is covered by a travelling exhibition certificate, all the following requirements shall be met:
 - (a) the specimen must be registered by the issuing management authority;
 - (b) the specimen must be returned to the Member State in which it is registered before the date of expiry of the certificate;
 - (c) the specimen must be uniquely and permanently marked, in accordance with Article 66 in the case of live animals, or otherwise identified in such a way that the authorities of each Member State into which the specimen enters can verify that the certificate corresponds to the specimen being imported or exported.
2. In the case of travelling exhibition certificates issued in accordance with Article 32(2), points (a) and (b) of paragraph 1 of this Article shall not apply. In such cases, the certificate shall include the following text in box 20:

▼B

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

*Article 34***Applications**

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

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

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

The omission of information from the application must be justified.

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

*Article 35***Documents to be surrendered to the customs office by the holder**

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

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

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

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

*Article 36***Replacement**

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

▼ M1

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

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

▼ B

CHAPTER VIII

PERSONAL OWNERSHIP CERTIFICATE*Article 37***Issue****▼ M2**

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

▼ B

2. A personal ownership certificate shall cover only one specimen.
3. A continuation sheet shall be attached to the certificate for use in accordance with Article 42.

*Article 38***Use**

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

- (1) as an import permit in accordance with Article 4 of Regulation (EC) No 338/97;
- (2) as an export permit or re-export certificate in accordance with Article 5 of Regulation (EC) No 338/97, where the country of destination so agrees.

*Article 39***Issuing authority**

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

▼B

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

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

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

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

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

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

*Article 40***Requirements for specimens**

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

- (a) the specimen must be registered by the management authority of the Member State in which the owner has his usual residence;
- (b) the specimen must be returned to the Member State in which it is registered before the date of expiry of the certificate;
- (c) the specimen may not be used for commercial purposes except subject to the conditions provided for in Article 43;
- (d) the specimen must be uniquely and permanently marked in accordance with Article 66.

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

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

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

*Article 41***Applications**

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

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

▼B

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

The omission of information from the application must be justified.

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

*Article 42***Documents to be surrendered by the holder to the customs office**

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

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

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

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

*Article 43***Sales of specimens covered**

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

*Article 44***Replacement**

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

▼ M1

The replacement shall bear the same number, if possible, and the same date of validity as the original document, and shall include, in box 23, one of the following statements:

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

CHAPTER VIIIa

SAMPLE COLLECTION CERTIFICATES

*Article 44a***Issue**

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

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

*Article 44b***Use**

Provided that a sample collection covered by a sample collection certificate is accompanied by a valid ATA carnet, a certificate, issued in accordance with Article 44a, may be used as follows:

- (1) as an import permit in accordance with Article 4 of Regulation (EC) No 338/97;
- (2) as an export permit or re-export certificate in accordance with Article 5 of Regulation (EC) No 338/97, where the country of destination recognises and allows the use of ATA carnets;
- (3) as a certificate in accordance with Article 8(3) of Regulation (EC) No 338/97 for the sole purpose of allowing the specimens to be displayed to the public for commercial purposes.

*Article 44c***Issuing authority**

1. Where the sample collection originates within the Community the issuing authority for a sample collection certificate shall be the management authority of the Member State in which the sample collection originates.

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

▼ M1*Article 44d***Requirements**

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

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

'For sample collection accompanied by ATA carnet No: xxx

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

5. In the case of sample collection certificates issued in accordance with Article 44c(2), paragraphs 1 and 4 of this Article shall not apply. In such cases, the certificate shall include the following text in box 23:

'This certificate is not valid unless accompanied by an original CITES document issued by a third country in accordance with the provisions established by the Conference of the Parties to the Convention.'

*Article 44e***Applications**

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

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

▼ M1

2. The duly completed form shall be submitted to a management authority of the Member State in which the specimens are located, or in the case referred to in Article 44c(2), to the management authority of the Member State of first destination, together with the necessary information and the documentary evidence that that authority deems necessary so as to allow it to determine whether a certificate should be issued.

The omission of information from the application must be justified.

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

*Article 44f***Documents to be surrendered by the holder to the customs office**

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

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

However, at the time of the first export from the Community, the customs office shall, after completing box 27, return the original sample collection certificate (form 1) and the copy for the holder (form 2) to the holder or his authorised representative, and forward the copy for return to the issuing management authority (form 3) in accordance with Article 45.

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

*Article 44g***Replacement**

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

The replacement shall bear the same number, if possible, and the same date of validity as the original document, and shall include, in box 23, one of the following statements:

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

▼ **M6**

CHAPTER VIIIb
MUSICAL INSTRUMENT CERTIFICATE

Article 44h

Issue

1. Member States may issue a musical instrument certificate for non-commercial cross-border movement of musical instruments for purposes including, but not limited to, personal use, performance, production (recordings), broadcast, teaching, display or competition, where such instruments meet all of the following requirements:
 - (a) they are derived from species listed in Annexes A, B or C of Regulation (EC) No 338/97, other than specimens of species listed in Annex A of Regulation (EC) No 338/97 acquired after the species was included in Appendices to the Convention;
 - (b) the specimen used in the manufacture of the musical instrument has been legally acquired;
 - (c) the musical instrument is appropriately identified.
2. A continuation sheet shall be attached to the certificate for use in accordance with Article 44m.

Article 44i

Use

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

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

Article 44j

Issuing authority

1. The management authority of the State of usual residence of the applicant shall be the issuing authority for a musical instrument certificate.
2. The musical instrument certificate shall include the following text in box 23 or in an appropriate annex to the certificate:

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

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

▼ M6

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

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

*Article 44k***Requirements for specimens**

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

- (a) the musical instrument must be registered by the issuing management authority;
- (b) the musical instrument must be returned to the Member State in which it is registered before the date of expiry of the certificate;
- (c) the specimen may not be sold or possession of it transferred whilst outside the applicant's State of usual residence except subject to the conditions provided for in Article 44n;
- (d) the musical instrument must be appropriately identified.

*Article 44l***Applications**

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

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

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

Any omission of information from the application must be justified.

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

▼ M6*Article 44m***Documents to be surrendered by the holder to the customs office**

In the case of the introduction into the Union, export or re-export of a specimen covered by a musical instrument certificate issued in accordance with Article 44j, the holder of the certificate shall, for verification purposes, surrender the original of that certificate and the original and a copy of the continuation sheet to a customs office designated in accordance with Article 12(1) of Regulation (EC) No 338/97.

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

*Article 44n***Sales of specimens covered**

Where the holder of a musical instrument certificate issued in accordance with Article 44j of this Regulation wishes to sell the specimen, he shall first surrender the certificate to the issuing management authority and, where the specimen belongs to a species listed in Annex A to Regulation (EC) No 338/97, shall apply to the competent authority for a certificate in accordance with Article 8(3) of that Regulation.

*Article 44o***Replacement**

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

The replacement shall bear the same number, if possible, and the same date of validity as the original document, and shall include, in box 23, one of the following statements:

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

*Article 44p***Introduction of musical instruments into the Union with certificates issued by third countries**

The introduction into the Union of a musical instrument shall not require the presentation of an export document or an import permit provided that it is covered by a musical instrument certificate issued by a third country under similar conditions to those set out in Articles 44h and 44j. Re-export of that musical instrument shall not require the presentation of a re-export certificate.

▼B

CHAPTER IX
CUSTOMS PROCEDURE

Article 45

Forwarding of documents presented to customs offices

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

▼M2

Management authorities receiving such documents shall without delay forward those issued by other Member States to the relevant management authorities, together with any supporting documents issued in accordance with the Convention. For reporting purposes, original import notifications shall also be forwarded to the management authorities of the country of import, when it is different from the country where the specimen was introduced into the Union.

▼B

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

CHAPTER X

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

Article 46

Issuing authority

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

Article 47

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

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

- (1) they were taken from the wild in accordance with the legislation of the Member State of origin;
- (2) they were abandoned or had escaped and were recovered in accordance with the legislation of the Member State where the recovery took place;
- (3) they were acquired in, or introduced into the Community, in accordance with Regulation (EC) No 338/97;
- (4) they were acquired in, or introduced into the Community, before 1 June 1997 in accordance with Regulation (EEC) No 3626/82;
- (5) they were acquired in, or introduced into, the Community before 1 January 1984 in accordance with the Convention;

▼B

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

*Article 48***Certificate provided for in Article 8(3) of Regulation (EC) No 338/97 (certificate for commercial use)**

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

- (a) they were acquired in, or introduced into, the Community before the provisions relating to species listed in Annex A to Regulation (EC) No 338/97, or in Appendix I to the Convention, or in Annex C1 to Regulation (EEC) No 3626/82 became applicable to them;
- (b) they originate in a Member State and were taken from the wild in accordance with the legislation of that Member State;
- (c) they are, or are parts of, or are derived from animals born and bred in captivity;
- (d) they are authorised to be used for one of the purposes referred to in Article 8(3)(c) and (e) to (g) of Regulation (EC) No 338/97.

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

*Article 49***Certificate provided for in Article 9(2)(b) of Regulation (EC) No 338/97 (certificate for movement of live specimens)**

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

*Article 50***Application for the certificates provided for in Articles 5(2)(b), 5(3), 5(4), 8(3) and 9(2)(b) of Regulation (EC) No 338/97**

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

▼B

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

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

The omission of information from the application must be justified.

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

*Article 51***Amendments to permits, notifications and certificates**

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

- (a) it may make the necessary amendments to those documents in accordance with Article 4(2).
- (b) it may issue one or more corresponding certificates for the purposes referred to in Articles 47 and 48.

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

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

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

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

CHAPTER XI

LABELS*Article 52***Use of labels****▼M2**

1. The labels referred to in Article 2(6) of Implementing Regulation (EU) No 792/2012 shall be used only for the movement between duly registered scientists and scientific institutions of non-commercial loans, donations and exchanges of herbarium specimens, preserved, dried or embedded museum specimens and live plant material for scientific study.

▼B

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

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

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

CHAPTER XII

DEROGATIONS FROM CUSTOMS PROCEDURES AS REFERRED TO IN ARTICLE 4(7) OF REGULATION (EC) No 338/97*Article 53***Customs offices other than the border customs office at the point of introduction**

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

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

CHAPTER XIII

SPECIMENS BORN AND BRED IN CAPTIVITY AND ARTIFICIALLY PROPAGATED SPECIMENS*Article 54***Specimens born and bred in captivity of animal species**

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

- (1) the specimen is, or is derived from, the offspring born or otherwise produced in a controlled environment of either of the following:
 - (a) parents that mated or had gametes otherwise transferred in a controlled environment, if reproduction is sexual;
 - (b) parents that were in a controlled environment when development of the offspring began, if reproduction is asexual;

▼B

- (2) the breeding stock was established in accordance with the legal provisions applicable to it at the time of acquisition and in a manner not detrimental to the survival of the species concerned in the wild;
- (3) the breeding stock is maintained without the introduction of specimens from the wild, except for the occasional addition, in accordance with the legal provisions applicable and in a manner not detrimental to the survival of the species concerned in the wild, of animals, eggs or gametes exclusively for one or more of the following purposes:
 - (a) to prevent or alleviate deleterious inbreeding, the magnitude of such addition being determined by the need for new genetic material;
 - (b) to dispose of confiscated animals in accordance with Article 16(3) of Regulation (EC) No 338/97;
 - (c) exceptionally, for use as breeding stock;
- (4) the breeding stock has itself produced second or subsequent generation offspring (F2, F3 and so on) in a controlled environment, or is managed in a manner that has been demonstrated to be capable of reliably producing second-generation offspring in a controlled environment.

*Article 55***Establishment of ancestry**

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

*Article 56***Artificially propagated specimens of plant species**

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

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

▼M2

- (b) the cultivated parental stock is established and maintained in accordance with the definition set out in Article 1(4a);

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

▼M6

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

▼ M6

grown from seeds, cuttings, grafting, marcoting-air-layering, divisions, callus tissues or other plant tissues, spores or other propagules 'under controlled conditions' refers to a tree plantation, including other non-natural environment that is manipulated by human intervention for the purpose of producing plants or plant's parts and derivatives.

▼ M2

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

▼ M6

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

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

shall be considered to be artificially propagated in accordance with paragraph 1.

▼ B

CHAPTER XIV

PERSONAL AND HOUSEHOLD EFFECTS

*Article 57***Introduction and reintroduction into the Community of personal and household effects**

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

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

- (a) they are contained in the personal luggage of travellers coming from a third country;
- (b) they are contained in the personal property of a natural person transferring his normal place of residence from a third country to the Community;
- (c) they are hunting trophies taken by a traveller and imported at a later date.

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

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

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

▼ M6

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

▼B

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

- (a) the customs-endorsed ‘copy for the holder’ (form 2) of a previously used Community import or export permit;
- (b) the copy of the (re-)export document referred to in paragraph 3;
- (c) proof that the specimens were acquired within the Community.

▼M1

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

- (a) caviar of sturgeon species (*Acipenseriformes* spp.), up to a maximum of 125 grams per person, in containers that are individually marked in accordance with Article 66(6);
- (b) rainsticks of *Cactaceae* spp., up to three per person;
- (c) dead worked specimens of *Crocodylia* spp., excluding meat and hunting trophies, up to four per person;
- (d) shells of *Strombus gigas*, up to three per person;
- (e) *Hippocampus* spp. up to four dead specimens per person;
- (f) shells of *Tridacnidae* spp. up to three specimens per person not exceeding three kg in total, where a specimen may be one intact shell or two matching halves;

▼M6

- (g) specimens of agarwood (*Aquilaria* spp. and *Gyrinops* spp.) — up to 1 kg woodchips, 24 ml oil, and two sets of beads or prayer beads (or two necklaces or bracelets) per person.

▼B*Article 58***Export and re-export from the Community of personal and household effects**

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

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

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

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

▼ B

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

- (a) the customs-endorsed ‘copy for the holder’ (form 2) of a previously used Community import or export permit;
- (b) the copy of the (re-)export document referred to in Article 57(3) of this Regulation;
- (c) proof that the specimens were acquired within the Community.

▼ M6

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

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

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

▼ M2*Article 58a***Commercial use of personal and household effects within the Union****▼ M6**

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

▼ M2

- (a) the applicant needs to demonstrate that the specimen has been introduced into the Union at least two years before it can be used for commercial purpose; and

▼ M2

- (b) the management authority of the Member State concerned has verified that the specimen in question could have been imported for commercial purposes in accordance with Article 4(2) of Regulation (EC) No 338/97 at the time when it was introduced into the Union.

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

▼ M6

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

▼ B

CHAPTER XV

EXEMPTIONS AND DEROGATIONS

*Article 59***Exemptions from Article 8(1) of Regulation (EC) No 338/97 as provided for in Article 8(3) thereof**

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

▼ M2

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

▼ B

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

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

▼B

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

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

*Article 60***Derogation from Article 8(1) of Regulation (EC) No 338/97 for the benefit of scientific institutions**

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

- (1) captive breeding or artificial propagation from which conservation benefits will accrue to the species concerned;
- (2) research or education aimed at the preservation or conservation of the species concerned.

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

*Article 61***Exemptions from Article 8(1) and (3) of Regulation (EC) No 338/97**

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

- (1) they are covered by one of the specimen-specific certificates provided for in Article 48 of this Regulation;
- (2) they are covered by one of the general exemptions provided for in Article 62 of this Regulation.

*Article 62***General exemptions from Article 8(1) and (3) of Regulation (EC) No 338/97**

The provision laid down in Article 8(3) of Regulation (EC) No 338/97, to the effect that exemptions from the prohibitions in Article 8(1) are to

▼B

be granted by the issue of a certificate on a case-by-case basis, shall not apply to, and no certificate shall be required for, the following:

- (1) specimens of captive born and bred animals of the species listed in Annex X to this Regulation, and hybrids thereof, provided that specimens of annotated species are marked in accordance with Article 66(1) of this Regulation;
- (2) artificially propagated specimens of plant species;
- (3) worked specimens that were acquired more than 50 years previously as defined in Article 2(w) of Regulation (EC) No 338/97;

▼M2

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

▼B*Article 63***Pre-issued certificates under Article 8(3) of Regulation (EC) No 338/97**

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

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

‘Certificate only valid for the following taxon/taxa: ...’

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

- (a) he maintains a record, which is produced on request to the competent management authority and which contains details of specimens/species sold, the cause of death if known, the persons from whom specimens were acquired and the persons to whom they were sold;
- (b) he submits an annual report to the competent management authority which contains details of sales during that year, the type and number of specimens, the species concerned and how the specimens were acquired.

▼M2

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



CHAPTER XVI
MARKING REQUIREMENTS

Article 64

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

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

- (a) specimens that derive from a captive breeding operation that was approved by the Conference of the Parties to the Convention;
- (b) specimens that derive from a ranching operation that was approved by the Conference of the Parties to the Convention;
- (c) specimens from a population of a species listed in Appendix I to the Convention for which an export quota has been approved by the Conference of the Parties to the Convention;
- (d) raw tusks of African elephant and cut pieces thereof that are both 20 cm or more in length and 1 kg or more in weight;
- (e) raw, tanned and/or finished crocodilian skins, flanks, tails, throats, feet, backstrips and other parts thereof that are exported to the Community, and entire raw, tanned, or finished crocodilian skins and flanks that are re-exported to the Community;
- (f) live vertebrates of species listed in Annex A to Regulation (EC) No 338/97 that belong to a travelling exhibition;
- (g) any container of caviar of *Acipenseriformes* spp., including tins, jars or boxes into which such caviar is directly packed.

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

Article 65

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

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

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

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

▼B

4. Export permits shall be issued with regard to live vertebrates of species listed in Annex A to Regulation (EC) No 338/97 only if the applicant has satisfied the competent management authority that the relevant requirements laid down in Article 66 of this Regulation have been met. ► **M2** This does not apply to specimens of species listed in Annex X to this Regulation unless an annotation in Annex X prescribes marking. ◀

*Article 66***Marking methods**

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

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

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

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

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

▼M2

Specimen-specific certificates, travelling exhibition certificates and personal ownership certificates shall not be issued in respect of live specimens covered by this paragraph.

▼B

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

▼M1

6. The specimens referred to in Articles 64 and 65 shall be marked in accordance with the method approved or recommended by the Conference of the Parties to the Convention for the specimens concerned and, in particular, the containers of caviar referred to in Articles 57(5)(a), 64(1)(g), 64(2) and 65(3) shall be individually marked by means of non-reusable labels affixed to each primary container. Where the non-reusable label does not seal the primary container, the caviar shall be packaged in such a manner as to permit visual evidence of any opening of the container.

▼ M6

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

▼ M1

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

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

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

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

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

▼ B

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

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

*Article 67***Humane marking methods**

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

*Article 68***Mutual recognition of marking methods**

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

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



CHAPTER XVII
REPORTS AND INFORMATION

Article 69

Reports on imports, exports and re-exports

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

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

The reports shall include information on seized and confiscated shipments.

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

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

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

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

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

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

- (a) persons and bodies registered in accordance with Articles 18 and 19 of this Regulation;
- (b) scientific institutions registered in accordance with Article 60 of this Regulation;
- (c) breeders approved in accordance with Article 63 of this Regulation;
- (d) caviar (re-)packaging plants licensed in accordance with Article 66(7) of this Regulation;
- (e) their use of phytosanitary certificates in accordance with Article 17 of this Regulation;



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

▼ M1

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

▼ B*Article 70***Amendments to the Annexes to Regulation (EC) No 338/97**

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

- (a) their biological and trade status;
- (b) the uses to which specimens of such species are put;
- (c) methods of controlling specimens in trade.

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

CHAPTER XVIII

FINAL PROVISIONS

▼ M1*Article 71***Rejection of applications for import permits following the establishment of restrictions****▼ B**

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

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

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

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

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

▼B

- (b) specimens being imported for the purposes specified in Article 8(3)(e), (f) or (g) of Regulation (EC) No 338/97;
- (c) specimens, alive or dead, that are part of the household possessions of persons moving into the Community to take up residence there.

*Article 72***Transitional measures**

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

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

▼M6

3. Member States may continue to issue import and export permits, re-export certificates, travelling exhibition and personal ownership certificates in the forms laid out in Annexes I, III and IV, import notifications in the form laid out in Annex II and EU certificates in the form laid out in Annex V to Implementing Regulation (EU) No 792/2012 for one year after the entry into force of Commission Implementing Regulation (EU) 2015/57 ⁽²⁾.

▼B*Article 73***Notification of implementing provisions**

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

*Article 74***Repeal**

Regulation (EC) No 1808/2001 is repealed.

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

⁽¹⁾ OJ L 344, 7.12.1983, p. 1.

⁽²⁾ Commission Implementing Regulation (EU) 2015/57 of 15 January 2015 amending Implementing Regulation (EU) No 792/2012 as regards the rules for the design of permits, certificates and other documents provided for in Council Regulation (EC) No 338/97 on the protection of species of wild fauna and flora by regulating trade therein and in Commission Regulation (EC) No 865/2006 laying down detailed rules concerning the implementation of Council Regulation (EC) No 338/97 (OJ L 10, 16.1.2015, p. 19).

▼B

Article 75

Entry into force

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

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

▼M3

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ANNEX VII

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

Description	Code	Preferred units	Alternative units	Explanation
Bark	BAR	kg		Tree bark (raw, dried or powdered; unprocessed)
Body	BOD	Number	kg	Substantially whole dead animals, including fresh or processed fish, stuffed turtles, preserved butterflies, reptiles in alcohol, whole stuffed hunting trophies, etc.
Bone	BON	kg	Number	Bones, including jaws
Calipee	CAL	kg		Calipee or calipash (turtle cartilage for soup)
Carapace	CAP	Number	kg	Raw or unworked whole shells of <i>Testudinata</i> species
Carving	CAR	kg	m ³	Carvings (including wood, and including finished wood products such as furniture, musical instruments and handi-crafts). NB: there are some species from which more than one type of product may be carved (e.g. horn and bone); where necessary, the description should therefore indicate the type of product (e.g. horn carving)
Caviar	CAV	kg		Unfertilised dead processed eggs from all species of <i>Acipenseriformes</i> ; also known as roe
Chips	CHP	kg		Chips of timber, especially <i>Aquilaria malaccensis</i> and <i>Pterocarpus santalinus</i>
Claw	CLA	Number	kg	Claws — e.g. of <i>Felidae</i> , <i>Ursidae</i> or <i>Crocodylia</i> (NB: ‘turtle claws’ are usually scales and not real claws)
Cloth	CLO	m ²	kg	Cloth — If the cloth is not made entirely from the hair of a CITES species, the weight of hair of the species concerned should instead, if possible, be recorded under ‘HAI’
Coral (raw)	COR	kg	Number	Dead coral and coral rock, NB: the trade should be recorded by number of pieces only if the coral specimens are transported in water.

▼B

Description	Code	Preferred units	Alternative units	Explanation
Culture	CUL	Number of flasks, etc.		Cultures of artificially propagated plants
Derivatives	DER	kg/l		Derivatives (other than those included elsewhere in this table)
Dried plant	DPL	Number		Dried plants — e.g. herbarium specimens
Ear	EAR	Number		Ears — Usually elephant
Egg	EGG	Number	kg	Whole dead or blown eggs, (see also caviar)
Egg (live)	EGL	Number	kg	Live eggs — usually birds and reptiles but includes fish and invertebrates
Eggshell	SHE	g/kg		Raw or unworked eggshell except whole eggs
Extract	EXT	kg	L	Extract — usually plant extracts
Feather	FEA	kg/ Number of wings	Number	Feathers — in the case of objects (e.g. pictures) made of feathers, record the number of objects
Fibre	FIB	kg	M	Fibres — e.g. plant fibre but includes strings of tennis rackets
Fin	FIN	kg		Fresh, frozen or dried fins and parts of fins
Fingerlings	FIG	kg	Number	Juvenile fish of one or two years of age for the aquarium trade, hatcheries or for release operations
Flower	FLO	kg		Flowers
Flower pot	FPT	Number		Flower pots made from parts of a plant, e.g. treefern fibres (NB: live plants traded in so-called 'community pots' should be recorded as 'live plants', not as flower pots)
Frogs' legs	LEG	kg		Frog legs
Fruit	FRU	kg		Fruit
Foot	FOO	Number		Feet — e.g. elephant, rhinoceros, hippopotamus, lion, crocodile, etc.
Gall	GAL	kg		Gall
Gall bladder	GAB	Number	kg	Gall bladder
Garment	GAR	Number		Garments — including gloves and hats but not shoes. Includes trimming or decoration on garments

▼B

Description	Code	Preferred units	Alternative units	Explanation
Genitalia	GEN	kg	Number	Castrates and dried penes
Graft rootstock	GRS	Number		Graft rootstocks (without the grafts)
Hair	HAI	kg	G	Hair — includes all animal hair, e.g. of elephant, yak, vicuña, guanaco
Horn	HOR	Number	kg	Horns — includes antlers
Leather product (small)	LPS	Number		Small manufactured products of leather, e.g. belts, braces, bicycle saddles, cheque book or credit card holders, earrings, handbags, key fobs, notebooks, purses, shoes tobacco pouches, wallets, watch-straps
Leather product (large)	LPL	Number		Large manufactured products of leather — e.g. briefcases, furniture, suitcases, travel trunks
Live	LIV	Number		Live animals and plants. Specimens of live coral transported in water should be recorded by number of pieces only.
Leaf	LVS	Number	kg	Leaves
Logs	LOG	m ³		All wood in the rough, whether or not stripped of bark or sapwood, or roughly squared, for processing notably into sawn wood, pulpwood or veneer sheets. NB: trade in logs of special purpose timbers traded by weight (e.g. <i>lignum vitae</i> , <i>Guaiaacum</i> spp.) should be recorded in kg.
Meat	MEA	kg		Meat, includes flesh of fish if not whole, (see 'body')
Medicine	MED	kg/l		Medicine
Musk	MUS	g		Musk
Oil	OIL	kg	L	Oil — e.g. from turtles, seals, whales, fish, various plants
Piece bone	BOP	kg		Pieces of bone, not manufactured
Piece horn	HOP	kg		Pieces of horn, not manufactured — includes scrap
Piece ivory	IVP	kg		Ivory pieces, not manufactured — includes scrap
Plate	PLA	m ²		Plates of fur-skins — includes rugs if made of several skins
Powder	POW	kg		Powder
Root	ROO	Number	kg	Roots, bulbs, corms or tubers

▼B

Description	Code	Preferred units	Alternative units	Explanation
Sawn wood	SAW	m ³		Wood simply sawn lengthwise or produced by a profile-chipping process; normally exceeds 6 mm in thickness. NB: trade in sawn wood of special purpose timbers traded by weight (e.g. <i>lignum vitae</i> , <i>Guaiacum</i> spp.) should be recorded in kg.
Scale	SCA	kg		Scale — e.g. of turtle, other reptiles, fish, pangolins
Seed	SEE	kg		Seeds
Shell	SHE	Number	kg	Raw or unworked shell of molluscs
Side	SID	Number		Sides or flanks of skins; does not include crocodilian Tinga frames (see under 'skin')
Skeleton	SKE	Number		Substantially whole skeletons
Skin	SKI	Number		Substantially whole skins, raw or tanned, including crocodilian Tinga frames
Skin piece	SKP	Number		Skin pieces — includes scraps, raw or tanned
Skull	SKU	Number		Skulls
Soup	SOU	kg	L	Soup — e.g. of turtle
Specimen (scientific)	SPE	kg/l/ml		Scientific specimens — includes blood, tissue, (e.g. kidney, spleen, etc.) histological preparations, etc.
Stem	STE	Number	kg	Plant stems
Swim bladder	SWI	kg		Hydrostatic organ, including isinglass/sturgeon glue
Tail	TAI	Number	kg	Tails — e.g. of caiman (for leather) or fox (for garment trimming, collars, boas, etc.)
Tooth	TEE	Number	kg	Teeth — e.g. of whale, lion, hippopotamus, crocodile, etc.
Timber	TIM	m ³	kg	Raw timber except saw-logs and sawn wood
Trophy	TRO	Number		Trophy — all the trophy parts of one animal if they are exported together: e.g. horns (2), skull, cape, backskin, tail and feet (i.e. 10 specimens) constitute one trophy. But if, for example, the skull and horns are the only specimens of an animal that are exported, then these items together should be recorded as one trophy. Otherwise the items should be recorded separately. A whole stuffed body is recorded under 'BOD'. A skin alone is recorded under 'SKI'.

▼ B

Description	Code	Preferred units	Alternative units	Explanation
Tusk	TUS	Number	kg	Substantially whole tusks, whether or not worked. Includes tusks of elephant, hippopotamus, walrus, narwhal, but not other teeth.
Veneer sheets — rotary veneer — slices veneer	VEN	m ³ , m ²	kg	Thin layers or sheets of wood of uniform thickness, usually 6 mm or less in thickness, usually peeled (rotary veneer) or sliced (sliced veneer), for use in making plywood, for veneering furniture, veneer containers, etc.
Wax	WAX	kg		Wax, includes ambergris
Whole	WHO	kg	Number	Entire animal or plant (dead or alive)

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

g = grams

kg = kilograms

l = litres

cm³ = cubic centimetres

ml = millilitres

m = metres

m² = square metres

m³ = cubic metres

Number = number of specimens

▼ M6

ANNEX VIII

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

FAUNA

(a) MAMMALIA

WILSON, D. E. & REEDER, D. M. (ed.) (2005): Mammal Species of the World. A Taxonomic and Geographic Reference. Third edition, Vol. 1-2, xxxv + 2142 pp. Baltimore (John Hopkins University Press). [for all mammals — with the exception of the recognition of the following names for wild forms of species (in preference to names for domestic forms): *Bos gaurus*, *Bos mutus*, *Bubalus arnee*, *Equus africanus*, *Equus przewalskii*, *Ovis orientalis ophion*; and with the exception of the species mentioned below]

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▼ **M6**

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TOWNSEND, T. M., TOLLEY, K. A., GLAW, F., BÖHME, W. & VENCES, M. (2010): Eastward from Africa: paleocurrent-mediated chameleon dispersal to the Seychelles Islands. — *Biol. Lett.*, published online 8 September 2010, doi: 10.1098/rsbl.2010.0701 [for *Archaius tigris*]

TUCKER, A. D. (2010): The correct name to be applied to the Australian freshwater crocodile, *Crocodylus johnstoni* [Krefft, 1873]. — *Australian Zoologist*, 35(2): 432-434. [for *Crocodylus johnstoni*]

ULLENBRUCH, K., KRAUSE, P. & BÖHME, W. (2007): A new species of the *Chamaeleo dilepis* group (Sauria Chamaeleonidae) from West Africa. — *Tropical Zool.*, 20: 1-17. [for *Chamaeleo necasi*]

WALBRÖL, U. & WALBRÖL, H. D. (2004): Bemerkungen zur Nomenklatur der Gattung *Calumma* (Gray, 1865) (Reptilia: Squamata: Chamaeleonidae). — *Sauria*, 26 (3): 41-44. [for *Calumma andringitraense*, *Calumma marojezense*, *Calumma tsaratananense*]

WERMUTH, H. & MERTENS, R. (1996) (reprint): Schildkröte, Krokodile, Brückenechsen. xvii + 506 pp. Jena (Gustav Fischer Verlag). [for Testudines order names, Crocodylia and Rhynchocephalia]

WILMS, T. M., BÖHME, W., WAGNER, P., LUTZMANN, N. & SCHMITZ, A. (2009): On the phylogeny and taxonomy of the genus *Uromastyx* Merrem, 1820 (Reptilia: Squamata: Agamidae: Uromastycinae) — resurrection of the genus *Saara* Gray, 1845. — *Bonner zool. Beiträge*, 56(1-2): 55-99. [for *Uromastyx*, *Saara*]

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ZUG, G. R., GROTTTE, S. W. & JACOBS, J. F. (2011): Pythons in Burma: Short-tailed python (Reptilia: Squamata). — *Proc. biol. Soc. Washington*, 124(2): 112-136. [for *Python kyaiktiyo*]

▼ **M6**(d) **AMPHIBIA**

Taxonomic Checklist of CITES-listed Amphibians, information extracted from FROST, D. R. (ed.) (2011), Amphibian Species of the World: a taxonomic and geographic reference, an online reference (<http://research.amnh.org/herpetology/amphibia/index.html>) Version 5.5 as of December 2011

in combination with BROWN, J. L., TWOMEY, E., AMÉZQUITA, A., BARBOSA DE SOUZA, M., CALDWELL, L. P., LÖTTERS, S., VON MAY, R., MELO-SAMPAIO, P. R., MEJÍA-VARGAS, D., PEREZ-PEÑA, P., PEPPER, M., POELMAN, E. H., SANCHEZ-RODRIGUEZ, M. & SUMMERS, K. (2011): A taxonomic revision of the Neotropical poison frog genus *Ranitomeya* (Amphibia: Dendrobatidae). — *Zootaxa*, 3083: 1-120. [for all Amphibian species]

Taxonomic Checklist of Amphibian Species listed unilaterally in the Annexes of Regulation (EC) No 338/97, not included in the CITES Appendices, species information extracted from FROST, D. R. (2013), Amphibian Species of the World, an online Reference V. 5.6 (9 January 2013)

(e) **ELASMOBRANCHII, ACTINOPTERYGII AND SARCOPTERYGII**

Taxonomic Checklist of all CITES listed Shark and Fish species (Elasmobranchii and Actinopterygii, except the genus *Hippocampus*), information extracted from ESCHMEYER, W.N. & FRICKE, R. (eds.): Catalog of Fishes, an online reference (<http://research.calacademy.org/redirect?url=http://researcharchive.calacademy.org/research/Ichthyology/catalog/fishcat-main.asp>), version downloaded 30 November 2011. [for all shark and fish species, except the genus *Hippocampus*]

FOSTER, R. & GOMON, M. F. (2010): A new seahorse (Teleostei: Syngnathidae: *Hippocampus*) from south-western Australia. — *Zootaxa*, 2613: 61-68. [for *Hippocampus paradoxus*]

GOMON, M. F. & KUITER, R. H. (2009): Two new pygmy seahorses (Teleostei: Syngnathidae: *Hippocampus*) from the Indo-West Pacific. — *Aqua, Int. J. of Ichthyology*, 15(1): 37-44. [for *Hippocampus debelius*, *Hippocampus waleanus*]

HORNE, M. L. (2001): A new seahorse species (Syngnathidae: *Hippocampus*) from the Great Barrier Reef — *Records of the Australian Museum*, 53: 243-246. [for *Hippocampus*]

KUITER, R. H. (2001): Revision of the Australian seahorses of the genus *Hippocampus* (Syngnathiformes: Syngnathidae) with a description of nine new species — *Records of the Australian Museum*, 53: 293-340. [for *Hippocampus*]

KUITER, R. H. (2003): A new pygmy seahorse (Pisces: Syngnathidae: *Hippocampus*) from Lord Howe Island — *Records of the Australian Museum*, 55: 113-116. [for *Hippocampus*]

LOURIE, S. A. & RANDALL, J. E. (2003): A new pygmy seahorse, *Hippocampus denise* (Teleostei: Syngnathidae), from the Indo-Pacific — *Zoological Studies*, 42: 284-291. [for *Hippocampus*]

LOURIE, S. A., VINCENT, A. C. J. & HALL, H. J. (1999): Seahorses. An identification guide to the world's species and their conservation. Project Seahorse (ISBN 0 9534693 0 1) (Second edition available on CD-ROM). [for *Hippocampus*]

LOURIE, S. A. & KUITER, R. H. (2008): Three new pygmy seahorse species from Indonesia (Teleostei: Syngnathidae: *Hippocampus*). — *Zootaxa*, 1963: 54-68. [for *Hippocampus pontohi*, *Hippocampus satomiae*, *Hippocampus severnsi*]

PIACENTINO, G. L. M. AND LUZZATTO, D. C. (2004): *Hippocampus patagonicus* sp. nov., new seahorse from Argentina (Pisces, Syngnathiformes). — *Revista del Museo Argentino de Ciencias Naturales*, 6(2): 339-349. [for *Hippocampus patagonicus*]

RANDALL, J. & LOURIE, S. A. (2009): *Hippocampus tyro*, a new seahorse (Gasterosteiformes: Syngnathidae) from the Seychelles. — *Smithiana Bulletin*, 10: 19-21. [for *Hippocampus tyro*]

▼ **M6**(f) **ARACHNIDA**

LOURENÇO, W. R. & CLOUDSLEY-THOMPSON, J. C. (1996): Recognition and distribution of the scorpions of the genus *Pandinus* Thorell, 1876 accorded protection by the Washington Convention — *Biogeographica*, 72(3): 133-143. [for scorpions of the genus *Pandinus*]

RUDLOFF, J.-P. (2008): Eine neue *Brachypelma*-Art aus Mexiko (Araneae: Mygalomorphae: Theraphosidae: Theraphosinae). — *Arthropoda*, 16(2): 26-30. [for *Brachypelma kahlenbergi*]

Taxonomic Checklist of CITES listed Spider Species, information extracted from PLATNICK, N. (2006), *The World Spider Catalog*, an online reference, Version 6.5 as of 7 April 2006 [for Theraphosidae]

(g) **INSECTA**

BARTOLOZZI, L. (2005): Description of two new stag beetle species from South Africa (Coleoptera: Lucanidae). — *African Entomology*, 13(2): 347-352. [for *Colophon endroedyi*]

MATSUKA, H. (2001): *Natural History of Birdwing Butterflies*. 367 pp. Tokyo (Matsuka Shuppan). (ISBN 4-9900697-0-6). [for birdwing butterflies of the genera *Ornithoptera*, *Trogonoptera* and *Troides*]

(h) **HIRUDINOIDEA**

NESEMANN, H. & NEUBERT, E. (1999): Annelida: Clitellata: Branchiobdellida, Acanthobdellea, Hirudinea. — *Süßwasserfauna von Mitteleuropa*, vol. 6/2, 178 pp., Berlin (Spektrum Akad. Verlag). ISBN 3-8274-0927-6. [for *Hirudo medicinalis* and *Hirudo verbana*]

(i) **ANTHOZOA AND HYDROZOA**

Taxonomic Checklist of all CITES listed Coral Species, based on information compiled by UNEPWCMC 2012.

FLORA

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

A Dictionary of Flowering Plants and Ferns, 8th edition, (J. C. Willis, revised by H. K. Airy Shaw, 1973, Cambridge University Press) for generic synonyms not mentioned in *The Plant-Book*, unless they are superseded by standard checklists adopted by the Conference of the Parties as referenced below.

The World List of Cycads (D. W. Stevenson, R. Osborne and K. D. Hill, 1995; In: P. Vorster (Ed.), *Proceedings of the Third International Conference on Cycad Biology*, pp. 55-64, Cycad Society of South Africa, Stellenbosch), as a guideline when making reference to names of species of Cycadaceae, Stangeriaceae and Zamiaceae.

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

CITES Cactaceae Checklist, second edition, (1999, compiled by D. Hunt, Royal Botanic Gardens, Kew, United Kingdom of Great Britain and Northern Ireland) as a guideline when making reference to names of species of Cactaceae.

CITES Carnivorous Plant Checklist, (B. von Arx et al., 2001, Royal Botanic Gardens, Kew, United Kingdom of Great Britain and Northern Ireland) as a guideline when making reference to names of species of *Dionaea*, *Nepenthes* and *Sarracenia*.

▼ **M6**

CITES Aloe and Pachypodium Checklist (U. Eggli et al., 2001, compiled by Städtische Sukkulentens-Sammlung, Zurich, Switzerland, in collaboration with the Royal Botanic Gardens, Kew, United Kingdom of Great Britain and Northern Ireland) and its update: *An Update and Supplement to the CITES Aloe & Pachypodium Checklist* [J. M. Lüthy (2007), CITES Management Authority of Switzerland, Bern, Switzerland] as a guideline when making reference to the names of species of *Aloe* and *Pachypodium*.

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

CITES Orchid Checklist, (compiled by the Royal Botanic Gardens, Kew, United Kingdom) as a guideline when making reference to the names of species of *Cattleya*, *Cypripedium*, *Laelia*, *Paphiopedilum*, *Phalaenopsis*, *Phragmipedium*, *Pleione* and *Sophranitis* (Volume 1, 1995) and *Cymbidium*, *Dendrobium*, *Disa*, *Dracula* and *Encyclia* (Volume 2, 1997), and *Aerangis*, *Angraecum*, *Ascocentrum*, *Bletilla*, *Brassavola*, *Calanthe*, *Catasetum*, *Miltonia*, *Miltonioides* and *Miltoniopsis*, *Renanthera*, *Renantherella*, *Rhynchosyris*, *Rossioglossum*, *Vanda* and *Vandopsis* (Volume 3, 2001); and *Aerides*, *Coelogyne*, *Comparettia* and *Masdevallia* (Volume 4, 2006).

The CITES Checklist of Succulent Euphorbia Taxa (Euphorbiaceae), Second edition (S. Carter and U. Eggli, 2003, published by the Federal Agency for Nature Conservation, Bonn, Germany) as a guideline when making reference to the names of species of succulent euphorbias.

Dicksonia species of the Americas (2003, compiled by Bonn Botanic Garden and the Federal Agency for Nature Conservation, Bonn, Germany) as a guideline when making reference to the names of species of *Dicksonia*.

Plants of Southern Africa: an annotated checklist. Germishuizen, G. & Meyer N. L. (eds.) (2003). *Strelitzia* 14: 150-151. National Botanical Institute, Pretoria, South Africa as a guideline when making reference to the names of species of *Hoodia*.

Lista de especies, nomenclatura y distribución en el género Guaiacum. Davila Aranda. P. & Schippmann, U. (2006): *Medicinal Plant Conservation* 12:50 as a guideline when making reference to the names of species of *Guaiacum*.

CITES checklist for Bulbophyllum and allied taxa (Orchidaceae). Sieder, A., Rainer, H., Kiehn, M. (2007): Address of the authors: Department of Biogeography and Botanical Garden of the University of Vienna; Rennweg 14, A-1030 Vienna (Austria) as a guideline when making reference to the names of species of *Bulbophyllum*.

The Checklist of CITES species (2005, 2007 and its updates) published by UNEP — WCMC may be used as an informal overview of the scientific names that were adopted by the Conference of the Parties for the animal species that are listed in the Annexes to Regulation (EC) No 338/97, and as an informal summary of information contained in the standard references that were adopted for CITES nomenclature.

▼ B*ANNEX IX*

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

B Breeding in captivity or artificial propagation
 E Educational
 G Botanical gardens
 H Hunting trophies
 L Law enforcement/judicial/forensic
 M Medical (including bio-medical research)
 N Reintroduction or introduction into the wild
 P Personal

▼ M6

- Q Travelling exhibitions (sample collection, circus, menagerie, plant exhibition, orchestra or museums exhibition that is used for commercial display for the public)

▼ B

S Scientific
 T Commercial
 Z Zoos

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

W Specimens taken from the wild

▼ M2

- R Specimens of animals reared in a controlled environment, taken as eggs or juveniles from the wild, where they would otherwise have had a very low probability of surviving to adulthood
- D Annex A animals bred in captivity for commercial purposes in operations included in the Register of the CITES Secretariat, in accordance with Resolution Conf. 12.10 (Rev. CoP15), and Annex A plants artificially propagated for commercial purposes in accordance with Chapter XIII of Regulation (EC) No 865/2006, as well as parts and derivatives thereof

▼ B

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

▼ M2

- C Animals bred in captivity in accordance with Chapter XIII of Regulation (EC) No 865/2006, as well as parts and derivatives thereof

▼ B

- F Animals born in captivity, but for which the criteria of Chapter XIII of Regulation (EC) No 865/2006 are not met, as well as parts and derivatives thereof
- I Confiscated or seized specimens ⁽¹⁾
- O Pre-Convention ⁽¹⁾
- U Source unknown (must be justified)

▼ M6

- X Specimens taken in the marine environment not under the jurisdiction of any State

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

▼ M1

ANNEX X

ANIMAL SPECIES REFERRED TO IN ARTICLE 62(1)

Aves

ANSERIFORMES

Anatidae

Anas laysanensis
Anas querquedula
Aythya nyroca
Branta ruficollis
Branta sandvicensis
Oxyura leucocephala

COLUMBIFORMES

Columbidae

Columba livia

GALLIFORMES

Phasianidae

Catreus wallichii
Colinus virginianus ridgwayi
Crossoptilon crossoptilon
Crossoptilon mantchuricum

▼ M6

Lophophorus impejanus

▼ M1

Lophura edwardsi
Lophura swinhoii
Polyplectron napoleonis
Syrmaticus ellioti
Syrmaticus humiae
Syrmaticus mikado

PASSERIFORMES

Fringillidae

Carduelis cucullata

PSITTACIFORMES

Psittacidae

Cyanoramphus novaezelandiae
Psephotus dissimilis



ANNEX XI

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

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



ANNEX XII

Correlation Table

Regulation (EC) No 1808/2001	This Regulation
Article 1 (a) and (b)	Article 1 (1) and (2)
Article 1 (c)	—
Article 1 (d), (e) and (f)	Article 1 (3), (4) and (5)
—	Article 1 (6), (7) and (8)
Article 2(1) and (2)	Article 2(1) and (2)
—	Article 2(3) and (4)
Article 2(3) and (4)	Article 2(5) and (6)
Article 3	Article 3
Article 4(1) and (2)	Article 4(1) and (2)
Article 4(3) (a) and (b)	Article 5, first paragraph, (1) and (2)
—	Article 5, first paragraph, (3)
Article 4(3) (c), (d) and (e)	Article 5, first paragraph, (4), (5) and (6)
Article 4(4)	Article 6
Article 4(5)	Article 7
Article 5	Article 8
Article 6	Article 9
Article 7(1)	Article 10
Article 7(2)	Article 11
Article 7(3) and (4)	Article 12
Article 8(1)	Article 13
Article 8(2)	Article 14
Article 8(3)	Article 15(1) and (2)
Article 8(4)	Article 15(3) and (4)
Article 8(5)	Article 16
Article 8(6) and (7)	Article 17
—	Article 18-19
Article 9	Article 20
Article 10	Article 21
Article 11	Article 22
Article 12	Article 23
Article 13	Article 24
Article 14	Article 25
Article 15	Article 26
Article 16	Article 27
Article 17	Article 28
Article 18	Article 29
—	Articles 30-44
Article 19	Article 45
Article 20(1)	Article 46
Article 20(2)	Article 47

▼B

Regulation (EC) No 1808/2001	This Regulation
Article 20(3) (a) and (b)	Article 48(1) (a) and (b)
Article 20(3) (c)	—
Article 20(3) (d) and (e)	Article 48(1) (c) and (d)
Article 20(4)	Article 49
Article 20(5) and (6)	Article 50(1) and (2)
Article 21	Article 51
Article 22	Article 52
Article 23	Article 53
Article 24	Article 54
Article 25	Article 55
Article 26	Article 56
Article 27(1) first and second indents and subsequent text	Article 57(1) (a), (b) and (c)
Article 27(2), (3) and (4)	Article 57(2), (3) and (4)
Article 27(5) (a) and (b)	Article 57(5) (a) and (b)
—	Article 57(5) (c) and (d)
Article 28(1), first and second indents	Article 58(1) (a) and (b)
Article 28(2) and (3)	Article 58(2) and (3)
Article 28(4) (a) and (b)	Article 58(4)
Article 29	Article 59
Article 30	Article 60
Article 31	Article 61
Article 32	Article 62
Article 33	Article 63
Article 34(1)	—
Article 34(2) (a) to (f)	Article 64(1) (a) to (f)
Article 34(2) (g) and (h)	Article 64(2)
Article 35(1) and (2)	Article 65(1) and (2)
Article 35(3) (a) and (b)	Article 65(3)
—	Article 65(4)
Article 36(1)	Article 66(1), (2) and (3)
Article 36(2)	Article 66(4)
Article 36(3) and (4)	Article 66(5) and (6)
—	Article 66(7)
Article 36(5)	Article 66(8)
Article 37	Article 67
Article 38	Article 68
Article 39	Article 69
Article 40	Article 70
Article 41	Article 71
Article 42	Article 74
Article 43	Article 72
Article 44	Article 73
Article 45	Article 75
Annex I	Annex I
Annex II	Annex II
—	Annex III
—	Annex IV

▼B

Regulation (EC) No 1808/2001	This Regulation
Annex III	Annex V
Annex IV	Annex VI
Annex V	Annex VII
Annex VI	Annex VIII
Annex VII	Annex IX
Annex VIII	Annex X
—	Annex XI
—	Annex XII

▼ **M6**

ANNEX XIII

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

Ceratotherium simum simum

Hippopotamus amphibius

Loxodonta africana

Ovis ammon

Panthera leo

Ursus maritimus