



**This guidance should be read in conjunction with GN1 (General Guidance Note for Importers and Exporters)**

**Box 1 - Exporter/Re-exporter.** Must contain the full name and address of the actual (re)exporter. If you are an agent, see section entitled 'Advice to agents making an application on behalf of others' on page 10.

**Box 2 - Permit/Certificate.** Tick the correct box to indicate which type of document is required. The box for re-export should be ticked to indicate that a species was imported into this country, and is being exported. Re-exports would include items manufactured in the UK from raw CITES materials taken elsewhere (i.e. ivory, tortoiseshell). In this instance, evidence of the legal import of the specimen must be provided.

**Other applications.** This box must be ticked for applications for **Personal Ownership Certificates**.

**Box 3 - Importer.** Must contain the full name and address of the actual importer. If you are an agent put the name of the importer and c/o your address. Also if you have it, **your daytime telephone number** and email address.

**Box 4 - Country of (re)-export.** Enter the name of the country from which the specimens are to be (re-)exported.

**Box 5 - Country of Import.** Enter the name of the country where the specimens are to be imported

**Box 6 - The final destination at which live wild-taken or first generation captive bred specimens of Annex A species will be kept after import.** To be completed for **imports** of live, specimens given source code W, or where the exact source is unknown, given source code U, and first generation captive bred Annex A specimens given source code F (the offspring of one or more wild parents). **This may not be the same premises as a quarantine or holding address.**

**Box 7 - Issuing Management Authority.** This box should already contain the pre-printed address of the UK Management Authority.

**Box 8 - Description of specimens.** The description **must** include a three-letter code from the list attached at annex A. Also a detailed description of the specimens, to include (where applicable): sex, hatch or birth date and age, status (live or dead, species or hybrid, etc.) ring or microchip numbers (in the order that they appear, and any phone numbers or other parts of the identification mark which may not be unique), together with any other identifying features, Confirm on the application form that any rings fitted to birds are closed rings rather than split rings. Closed rings are continuous bands without any breaks. All rings and other identifying marks fitted to the specimen must be stated on the application form. All rings must have been commercially manufactured.

**Box 9 - Net mass (kg).** Must be completed with the total metric volume or mass of **dead** specimens or parts/derivatives **only**

**Box 10 - Quantity.** Must be completed with the total number of specimens

**Box 11 - CITES Appendix.** Enter the correct CITES Appendix: I, II or III, if known

**Box 12 - EC Annex.** Enter the correct EC Annex: A, B or C, if known

**Box 13 - Source.** Must be completed with the source of the specimens using one of the source codes at annex B of this guidance.

**Box 14 - Purpose.** Must be completed with the intended purpose of the specimens using the purpose codes in annex C of this guidance.

**Box 15 - Country of origin.** Enter the name of the country where the specimens were taken from the wild, bred or propagated

**Box 16 - Permit No.** Enter the number of the CITES permit issued for the export of the specimens from the country of origin

**Box 17 - Date of issue.** Enter the date of issue of the permit entered in box 16.

**Box 18 - Country of last re-export.** Enter the name of the last re-exporting country (if applicable)

**Box 19 - Certificate No.** Enter the number of the CITES permit issued for the last re-export of the specimens

**Box 20 - Date of issue.** Enter the date of issue of the permit number entered in box 19

**Box 21 - Scientific name of species.** Enter the Latin/scientific name of the species (for example, *Ara macao*). You may need to contact your local library or veterinary surgeon for this information.

**Box 22 - Common name of species.** Enter the common name of the species (for example Scarlet Macaw)

**Box 23 - I hereby apply for the permit/certificate indicated above.** Please include any additional information or comments, including evidence that the specimen was lawfully acquired and indicate if the application is retrospective\*

The form must be signed and dated. Please also print your name above 'Name of Applicant'. If you are acting as an agent, then you must also enclose a letter of consent from your client.

If returning the form by email insert the phrase:

**"I (insert name) am the owner of the email account below and I am also the applicant"**.

Enter your email address either in the signature box or box 23. This is to ensure the legality of the electronic signature.

As the applicant, it is your responsibility to supply all the information required to process your application so you should fill in as much of the information as you can. The application form is a

signed legal declaration by you that the information you have given is correct and accurate. You are also confirming that a previous application for the specimen has not been previously rejected either in the UK or other EU Member State.

\*An application is retrospective when the specimen(s) have already been imported/exported prior to obtaining the necessary CITES permits. An explanatory letter should be enclosed detailing why the required permits were not obtained before the goods were shipped, and any evidence supplied to corroborate the circumstances.

## Annex A

Codes to be included in the description of specimens and units of measure to be used in permits and certificates

Description	Code	Preferred units	Alternative units	Explanation
body	<b>BOD</b>	no.	kg	substantially whole dead animals, including fresh or processed fish, stuffed turtles, preserved butterflies, reptiles in alcohol, whole stuffed hunting trophies, etc.
bone	<b>BON</b>	kg	no.	bones, including jaws
calipee	<b>CAL</b>	kg		calipee or calipash (turtle cartilage for soup)
carapace	<b>CAP</b>	no.	kg	raw or unworked whole shells of testudinata species
carving	<b>CAR</b>	kg		carvings (incl. wood) - 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 indicate the type of product (e.g. horn carving)
claw	<b>CLA</b>	no.	kg	e.g. of Fedae, Ursidae or Crocodylia, but not turtles
cloth	<b>CLO</b>	m <sup>2</sup>	kg	if the cloth is not made entirely from the hair of a CITES species, the weight of the hair of the species concerned should, if possible, be recorded under HAI instead.
coral (raw)	<b>COR</b>	kg		raw or unworked
culture	<b>CUL</b>	no. of flasks, etc.		cultures of artificially propagated plants
dried plant	<b>DPL</b>	no.		e.g. herbarium specimens
ear	<b>EAR</b>	no.		usually from elephant
egg	<b>EGG</b>	no.	kg	whole dead or blown-eggs, including caviar
egg (live)	<b>EGL</b>	no.	kg	usually birds and reptiles but includes fish and invertebrates
extract	<b>EXT</b>	kg		usually plant extracts
feather	<b>FEA</b>	kg/wings	no	in the case of objects (e.g. pictures) record the number of wings no. objects
fibre	<b>FIB</b>	kg	m	e.g. plant fibres but includes strings of tennis rackets
flower	<b>FLO</b>	kg		e.g. made of tree fern fibres
flower pot	<b>FPT</b>	no.		
frogs legs	<b>LEG</b>	kg		
fruit	<b>FRU</b>	kg		
foot	<b>FOO</b>	no.		e.g. of elephant, rhino, hippo, lion, crocodile, etc.
gall	<b>GAL</b>	kg		
gall bladder	<b>GAB</b>	no.	kg	

garment	<b>GAR</b>	no.		incl. gloves and hats but not shoes; incl. trimming or decoration on garments
graft	<b>GRS</b>	no.		
rootstock				
hair	<b>HAI</b>	kg		incl. all animal hair, e.g. of elephant, yak, vicugna, guanaco
horn	<b>HOR</b>	no.	kg	incl. antlers
Leather product (small)	<b>LPS</b>	no.		small manufactured products of leather, e.g. belts, braces, bicycle saddles, cheque book or credit card holders, earrings, handbags, key fobs, notebooks, purses, tobacco pouches, wallets, watch-straps
Leather product (large)	<b>LPL</b>	no.		e.g. briefcases, furniture, suitcases, travel trunks
live	<b>LIV</b>	no.		
leaf	<b>LVS</b>	no.	kg	
meat	<b>MEA</b>	kg		incl. flesh of fish if not whole, also see "body"
medicine	<b>MED</b>	kg/l		
musk	<b>MUS</b>	g		
oil	<b>OIL</b>	kg	l	e.g. from turtles, seals, whales, fish
piece -bone	<b>BOP</b>	kg		pieces of bone, not manufactured
piece -horn	<b>HOP</b>	kg		pieces of horn, not manufactured, incl. scrap
piece -ivory	<b>IVP</b>	kg		ivory pieces, not manufactured, incl. scrap
plate	<b>PLA</b>	m <sup>2</sup>		plates of fur skins - incl. rugs if made of several skins
root	<b>ROO</b>	no.	kg	roots, bulbs, corms pr tubers
saw-logs	<b>SAL</b>	no/ m <sup>3</sup> /kg*		substantially whole tree trunks use kg only in the case of special purpose timbers traded by weight rather than by volume, e.g. <i>Guaiaicum spp.</i> )
sawn wood	<b>SAW</b>	m <sup>3</sup> /kg*		tree trunks sawn into unworked planks, beams, blocks, etc. (* use kg only in the case of special purpose timbers traded by weight rather than by volume, e.g. <i>Guaiaicum spp.</i> )
scale	<b>SCA</b>	kg		of e.g. turtle, other reptiles, pangolins, fish
seed	<b>SEE</b>	kg		
shell eggs	<b>SHE</b>	no.	kg	raw or unworked shell of molluscs or eggshell except whole
side	<b>SID</b>	no		sides or flanks, does not include Tinga frames
skeleton	<b>SKE</b>	no.		substantially whole skeletons
skin	<b>SKI</b>	no.		substantially whole skins, raw or tanned, incl. Tinga frames
skin piece	<b>SKP</b>	no.		incl. scraps, raw or tanned

skull	<b>SKU</b>	no.		
soup	<b>SOU</b>	kg	l	e.g. of turtle
Specimen (scientific)	<b>SPE</b>	kg/l/ml		incl. blood, tissue, e.g. kidney, spleen, etc.
stem	<b>STE</b>	no.	kg	plant stems
tail	<b>TAI</b>	no.	kg	e.g. of caiman (for leather) or fox (for garment trimming, collars, boas, etc.)
tooth	<b>TEE</b>	no.	kg	e.g. of whale, lion, hippo, crocodile, etc.
timber	<b>TIM</b>	m <sup>3</sup>	kg	raw timber except saw-logs and sawn wood
trophy	<b>TRO</b>	no.		all the trophy parts of one animal if they are exported-together: e.g. horns (2), skull, cape, backskin, tail and feet (i.e. ten specimens) constitute one trophy. But if, for example, the skull and horns are the only specimens of an animal that are exported, then these items together should be recorded as one trophy. Otherwise the items should be recorded separately. A whole stuffed body is recorded under BOD. A skin alone is recorded under SKI.
tusk	<b>TUS</b>	no.	kg	substantially whole tusks, whether or not worked, incl. tusks of elephant, hippo, walrus, narwhal, but not other teeth
veneer	<b>VEN</b>	m <sup>2</sup>	kg	m <sup>2</sup> for sliced veneer,
		m <sup>3</sup>	kg	m <sup>3</sup> for rotary veneer
wax	<b>WAX</b>	kg		incl. Ambergris

g = grams  
kg = kilograms  
l = litres  
cm<sup>3</sup> = cubic centimetres  
ml = millilitres  
m = metres  
m<sup>2</sup> = square metres  
m<sup>3</sup> = cubic metres  
no = number of specimens

## Annex B

### Codes for the indication in permits and certificates of the source of specimens

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- W** Specimens taken from the wild
- R** Specimens of animals reared in a controlled environment, taken as eggs or juveniles from the wild, where they would otherwise have had a very low probability of surviving to adulthood
- D** Annex A animals bred in captivity for commercial purposes in operations included in the Register of the CITES Secretariat, in accordance with Resolution Conf 12.10 (Rev.CoP15) and Annex A plants artificially propagated for commercial purposes in accordance with Chapter XIII of Regulation (EC) No. 865/2006, as well as parts and derivatives thereof. **See note below.**
- A** Annex A plants artificially propagated for non-commercial purposes and Annexes B and C plants artificially propagated in accordance with the Commission Regulation, as well as parts and derivatives thereof
- C** Animals bred in captivity in accordance with Chapter XIII of Regulation (EC) No. 865/2006, as well as parts and derivatives thereof. **See note below.**
- F** Animals born in captivity, but for which the criteria of the Commission Regulation are not met, as well as parts and derivatives thereof
- I** Confiscated or seized specimens (only to be used in conjunction with another source code)
- O** Pre-Convention (only to be used in conjunction with another source code)
- U** Source unknown (must be justified)
- X** Specimens taken in the marine environment not under the jurisdiction of any State.

**Note: It is the applicant's responsibility to ensure that the correct code is given for captive bred and artificially propagated specimens and to decide whether source code C or D is most appropriate.**

## **Annex C**

### **Codes for the indication in permits and certificates of the purpose of a transaction**

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- B** Breeding in captivity or artificial propagation
- E** Educational
- G** Botanical gardens
- H** Hunting trophies
- L** Enforcement
- M** Bio-medical research
- N** Reintroduction or introduction into the wild
- P** Personal
- Q** Circuses and travelling exhibitions
- S** Scientific
- T** Commercial
- Z** Zoos

### Completing the application form

We know the form can be difficult to complete but unfortunately its format is set out in the EU CITES Regulations and cannot be changed.

If you are applying for an import permit you need to acquire a copy of the export permit **before** you submit the application. If there is any problem with your application or we need more information a case officer will contact you.

### Acknowledgement

We will acknowledge receipt of your application by email if you have included your email address on the application form. If you would like an acknowledgement but have no email address, please write "acknowledgement required" at the top of your application form and we will send you a pre-printed postcard.

### Consideration

Once we receive your application it will be assigned to a particular case-officer, who are assigned alphabetically, either by your surname or business name. They will log your application onto our system and complete the necessary steps to determine whether the documents can be issued. Applications may be referred to our Scientific Advisors the Joint Nature Conservation Committee (JNCC) or the Royal Botanical Gardens at Kew, for scientific advice and the more information you are able to supply with your application the quicker it will be processed. It is not part of our role to pursue information or fill in parts of the form on your behalf. If there is not enough information, your application may be returned to you and it is possible it may be refused.

### Targets for processing applications

Our targets for processing applications are calculated from the date we receive all the information we need. This may not be the date we receive your application, as we may need to ask you for further information. We aim to process

- 10% of complete applications within 5 working days (1 week)
- 90% of complete applications within 15 working days (3 weeks)
- 100% of complete applications within 30 working days (6 weeks)

### Releasing information to agents (etc.) (Separate advice for agents can be found below)

We can only release information about an application to the person who has made and signed the application. To avoid delays and any chance of misunderstanding, **you must let us know in writing at the time you make the application** if you:

- are going to be using an agent
- will need us to release information to your spouse or partner
- have authorised someone else to sign applications on your behalf

We will need to know their name and details of what information you are happy for us to release to them. If we do not have this information in advance we will have to refuse their enquiry, or contact you separately for confirmation.

## Fees

Applications cannot be processed unless they are accompanied by the appropriate fee. The schedule of fees can be found on our [website](#). Payments can be submitted by cheque or postal order made payable to "APHA", or you can pay by credit card by calling 01633 631800.

Alternatively you can set up a BACS account with us by contacting this office on 0117 372 3700 for further details.

## Returning the form and general enquiries

The completed form can be returned by post or emailed to:

APHA Centre for International Trade - Bristol  
Floor 3, Horizon House  
Deanery Road  
Bristol  
BS1 5AH

Phone: 0117 372 3700

Email: [wildlife.licensing@APHA.gsi.gov.uk](mailto:wildlife.licensing@APHA.gsi.gov.uk)

Fax: 0117 372 8206

Website: [www.gov.uk/cites-imports-and-exports](http://www.gov.uk/cites-imports-and-exports)

If you have any queries about CITES licensing, please visit our website above or phone us and we will find the right person to advise you. If you would prefer to email please send your enquiry with as much information as possible.

## Advice to agents making an application on behalf of others

### **Making an application on behalf of a UK resident**

If you are making an application on behalf of a person or organisation residing in the UK, you must complete the form with the full name and address of the actual (re-)exporter/importer or holder in box 1 or 3, and **not** your own. This is a legal requirement, which allows any compliance action to be taken against the owner of the specimen.

Your own name and address details must be included in box 23 of the (re-)export/import application form, or box 20 of the EC Certificate application form.

Each application you submit on behalf of a UK resident must be accompanied by written confirmation of this arrangement, signed by the person on whose behalf you are making the application. This written confirmation must make it clear that the specimen's owner has given you permission to sign the application on their behalf, and for us to release information to you about the application. We will accept photocopies of the original confirmation letter.

### **Making an application on behalf of a non-UK resident**

If you are making an application for an import, export or re-export permit on behalf of a person living outside the UK, you are deemed to be the applicant because applications must be made from a UK address. You must therefore complete the application form with your own details.

You must make it clear where permits and/or certificates are to be sent on the application form, providing a name and address in box 23 of the (re-)export/import application form, or box 20 of the EC Certificate application form.