

Animal and Plant Health Agency

Article 10 Application Certificate application Guidance for completing form FED1012

March 2018

Please tick the appropriate box for the intended purpose of your application (top right of the form). The options are:

- Certificate of legal acquisition (proof that the specimen was legally taken from the wild)
- Certification for commercial activities (Article 10)
- Certificate of movement for live specimens (Article 9)

Box 1. Applicant (only for specimens of species listed in Annex A)

Please write your name and address in this box (not the details of an agent). This is important, as we may need to contact you. Please also indicate whether you are the Breeder of the specimen/s. Please add your contact phone number and e-mail address if you have one.

Box 2. Authorised location for live specimens Annex A species

State the location at which live wild-taken specimens of Annex A species will be kept. This is only applicable to wild-taken animals (these may have movement restrictions).

Box 3. Issuing Management Authority

This box should already have the pre-printed address of the UK Management Authority.

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

The description MUST include a three letter code from List A attached. Also, please complete the following details (where applicable):

- Full description of the item (and circa date for antiques etc).

- Sex of the specimen.
- Live or dead specimen.
- Permanent markings of the specimen, e.g. close ring number or microchip number 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.
- Hatch date or date of birth (dd/mm/yy) or approximate age.
- Acquired date: dd/mm/yy.
- Previous Article 10 certificate number of the *specimen* - *if applicable*.
- Parent ring numbers/markings & A10 numbers - if available.

(Please include information in box 20 if there is not enough room in box 4)

Box 5. Net mass (kg)

Please select the appropriate unit of measurement from list B attached. This only applies to parts and derivatives as described in List A. It does not apply to live specimens.

Box 6. Quantity

Enter the quantity (using the appropriate unit of measurement from List B if applicable).

Box 7. CITES Appendix

Enter the correct CITES Appendix I, II or III, if known. Please do not guess.

Box 8. EC Annex.

Enter the correct EC Annex A, or B, if known. Please do not guess.

Box 9. Source

Enter the appropriate code from List C attached.

Box 10. Country of origin

Enter the country in which the specimen was born/hatched.

Box 11. Permit No

For imported specimens only. Enter the export permit number (the permit with which the export from the country of origin took place).

Box 12. Date of issue

For imported specimens only. Enter the date of issue of the permit referred to in box 12 above.

Box 13. Member State of import

For specimens which were imported into another EU member state. Enter the EU country into which the specimen was first imported.

Box 14. Document No.

Only relevant for specimens imported into another EU member state. Enter the details of the import permit issued by the EU member state referred to above.

Box 15. Date of issue.

Enter the date of issue of the permit referred to in box 14 above

Box 16. Scientific name of species.

Enter the scientific / Latin name of the species (for example *Ara macao*). Your application cannot be processed without this. You may need to visit your local library or perhaps a veterinary surgeon may be able to assist you.

Box 17. Common name of species.

Enter the common name of the species (for example Scarlet Macaw).

Box 18. I hereby certify that the specimens described above:

Tick all the boxes that apply. Please note that::

- The boxes refer to the **origin of the specimen**. More than one box may apply;

Documentary evidence must be provided with the application form (e.g. relevant licences, permits, letters from breeders confirming origin).

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.

Box 19. I request a document for the purpose of:

Tick the box of the purpose that applies to your application.

Box 20. Remarks.

Please refer to any supporting documents and include any additional information or comments, e.g. the specimen was received by way of gift.

Please check that you have provided as much information as possible (provide additional material on a separate sheet if necessary) and include evidence that the specimen was lawfully acquired and **sign and date the declaration at the foot of the form.**

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 20. **This is to ensure the legality of the electronic ‘signature’.**

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

Description	Trade term code	Preferred unit	Alternative unit	Explanation
baleen	BAL	kg	no.	whalebone
bark	BAR	kg		tree bark (raw, dried or powdered; unprocessed)
body	BOD	no.	kg	substantially whole dead animals, including fresh or processed fish, stuffed turtles, preserved butterflies, reptiles in alcohol, whole stuffed hunting trophies, etc.
bone	BON	kg	no.	bones, including jaws
calipee	CAL	kg		calipee or calipash (turtle cartilage for soup)
carapace	CAP	no.	kg	raw or unworked whole shells of Testudines species
carving	CAR	kg	no.	carved products other than ivory, bone or horn – for example coral and wood (including handicrafts). N.B: Ivory carvings should be specified as such (see below – “IVC”). Also, for species from which more than one type of product may be carved (e.g. horn and bone), the trade term code should indicate the type of product in trade (e.g. bone carving “BOC” or horn carving – “HOC”), where possible.
carving - bone	BOC	kg	no.	bone carving
carving - horn	HOC	kg	no.	horn carving
carving - ivory	IVC	kg	no.	ivory carvings, including e.g. smaller worked pieces of ivory (knife handles, chess sets, marjoram sets etc). N.B. Whole carved tusk should be reported as tusks (see “TUS” below). Jewellery made from carved ivory should be reported as ‘jewellery – ivory’ (see IJW below).
caviar	CAV	kg		unfertilized dead processed eggs from all species of Acipenseriformes; also known as roe
chips	CHP	kg		chips of timber, especially <i>Aquilaria</i> spp., <i>Gyrinops</i> spp. and <i>Pterocarpus santalinus</i>
claw	CLA	no.	kg	claws – e.g. of Felidae, Ursidae or Crocodylia (NB: ‘turtle claws’ are usually scales and not real claws)
cloth	CLO	m ²	kg	cloth – if the cloth is not made entirely from the hair of a CITES species, the weight of hair of the species concerned should instead, if possible, be recorded under ‘HAI’

Description	Trade term code	Preferred unit	Alternative unit	Explanation
coral (raw)	COR	no.	kg	raw or unworked coral and coral rock (also live rock and substrate) [as defined in Resolution Conf. 11.10 (Rev. CoP15)]. Coral rock should be recorded as 'Scleractinia spp.' NB: the trade should be recorded by number of pieces only if the coral specimens are transported in water. Live rock (transported moist in boxes) should be reported in kg; coral substrate should be reported as number of pieces (since these are transported in water as the substrate to which non-CITES corals are attached).
cosmetics	CSM	g	ml	cosmetics which include extracts of CITES-listed species. The quantity should reflect the amount of CITES-listed species present.
culture	CUL	no. of flasks, etc.		cultures of artificially propagated plants
derivatives	DER	kg/l		derivatives (other than those included elsewhere in this table)
dried plant	DPL	no.		dried plants – e.g. herbarium specimens
ear	EAR	no.		ears – usually elephant
egg	EGG	no.	kg	whole dead or blown eggs (see also 'caviar')
egg (live)	EGL	no.	kg	live fertilized eggs – usually birds and reptiles but includes fish and invertebrates
eggshell	ESH	g/kg		raw or unworked eggshell except whole eggs
extract	EXT	kg	l	extract – usually plant extracts
feather	FEA	kg/ no. of wing	no.	feathers – in the case of objects (e.g. pictures) made of feathers, record the number of objects
fibre	FIB	kg	m	fibres – e.g. plant fibre but includes strings of tennis rackets
fin	FIN	kg		fresh, frozen or dried fins and parts of fins (including flippers)
fingerlings	FIG	kg	no.	juvenile fish of one or two years of age for the aquarium trade, hatcheries or for release operations
flower	FLO	kg		flowers
flower pot	FPT	no.		flower pots made from parts of a plant – e.g. treefern fibres (NB: live plants traded in so-called 'community pots' should be recorded as 'live plants', not as flower pots)
frog legs	LEG	kg		frog legs
fruit	FRU	kg		fruit

foot	FOO	no.		feet – e.g. of elephant, rhinoceros, hippopotamus, lion, crocodile, etc.
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Description	Trade term code	Preferred unit	Alternative unit	Explanation
fur products (large)	FPL	no.		large manufactured products of fur – e.g. bear or lynx fur blankets or other fur products of a substantial size.
fur product (small)	FPS	no.		small manufactured products of fur– including handbags, key fobs, purses, pillows, trim, etc.
gall	GAL	kg		gall
gall bladder	GAB	no.	kg	gall bladder
garment	GAR	no.		garments – including gloves and hats but not shoes. Includes trimming or decoration on garments
genitalia	GEN	kg	no.	castrates and dried penes
gill plates	GIL	no.		gill plates (e.g. for sharks)
graft rootstock	GRS	no.		graft rootstocks (without the grafts)
hair	HAI	kg	g	hair – includes all animal hair, e.g. of elephant, yak, vicuña, guanaco
hair products	HAP	no.	g	products made of hair (e.g. elephant hair bracelets)
horn	HOR	no.	kg	horns – includes antlers
jewellery	JWL	no.	g	jewellery – including bracelets, necklaces, and other items of jewellery from products other than ivory (e.g. wood, coral, etc.)
jewellery - ivory	IJW	no.	g	jewellery made of ivory
leather product (large)	LPL	no.		large manufactured products of leather – e.g. briefcases, furniture, suitcases, travel trunks
leather product (small)	LPS	no.		small manufactured products of leather – e.g. belts, braces, bicycle saddles, cheque book or credit card holders, handbags, key fobs, notebooks, purses, shoes, tobacco pouches, wallets, watch-straps and trim
live	LIV	no.	kg	live animals and plants
leaf	LVS	kg	no.	leaves
logs	LOG	m ³		all wood in the rough, whether or not stripped of bark or sapwood, or roughly squared, for processing notably into sawn wood, pulpwood or veneer sheets. NB: trade in logs of special purpose timbers traded by weight (e.g. <i>lignum vitae</i> , <i>Guaiacum</i> spp.) should be recorded in kg
meat	MEA	kg		meat, including flesh of fish if not whole (see 'body'), fresh or unprocessed meat as well as processed meat (e.g. smoked, raw, dried, frozen or tinned)
medicine	MED	kg/l		medicine

musk	MUS	g		musk
oil	OIL	kg	l	oil – e.g. from turtles, seals, whales, fish, various plants
pearl	PRL	no.		pearl (e.g. for <i>Strombus gigas</i>)

Description	Trade term code	Preferred unit	Alternative unit	Explanation
piano keys	KEY	no.		ivory piano keys (e.g. one standard piano would be 52 ivory piano keys)
piece – bone	BOP	kg		pieces of bone, not manufactured
piece – horn	HOP	kg		pieces of horn, not manufactured – includes scrap
piece – ivory	IVP	kg		ivory pieces, not manufactured – includes scrap
plate	PLA	m ²		plates of fur skins – includes rugs if made of several skins
plywood	PLY	m ²	m ³	material consisting of three or more sheets of wood glued and pressed one on the other and generally disposed so that the grains of successive layers are at an angle
powder	POW	kg		powder
pupae	PUP	no.		butterfly pupae
root	ROO	no.	kg	roots, bulbs, corms or tubers NB: For the agarwood-producing taxa <i>Aquilaria</i> spp. and <i>Gyrinops</i> spp., the preferred unit is 'kilograms'. The alternative unit is 'number'.
rug	RUG	no.		rugs
sawfish rostrum	ROS	no.	kg	sawfish rostrum
sawn wood	SAW	m ³		wood simply sawn lengthwise or produced by a profile-chipping process; normally exceeds 6mm in thickness. NB: trade in sawn wood of special purpose timbers traded by weight (e.g. lignum vitae, <i>Guaiacum</i> spp.) should be recorded in kg
scale	SCA	kg		scales – e.g. of turtle, other reptiles, fish, pangolin
seed	SEE	kg		seeds
shell	SHE	no.	kg	raw or unworked shell of molluscs
side	SID	no.		sides or flanks of skins; does not include crocodilian Tinga frames (see under 'skin')
skeleton	SKE	no.		substantially whole skeletons
skin	SKI	no.		substantially whole skins, raw or tanned, including crocodilian Tinga frames, external body lining, with or without scales
skin piece	SKP	kg		skin pieces – including scraps, raw or tanned
skull	SKU	no.		skulls
soup	SOU	kg	l	soup – e.g. of turtle

specimen (scientific)	SPE	kg/l/ml/ no.		scientific specimens – includes blood, tissue (e.g. kidney, spleen, etc.), histological preparations, preserved museum specimens, etc.
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Description	Trade term code	Preferred unit	Alternative unit	Explanation
stem	STE	no.	kg	plant stems NB: For the agarwood-producing taxa <i>Aquilaria</i> spp. and <i>Gyrinops</i> spp., the preferred unit is 'kilograms'. The alternative unit is 'number'.
swim bladder	SWI	kg		hydrostatic organ, including isinglass / sturgeon glue
tail	TAI	no.	kg	tails – e.g. of caiman (for leather) or fox (for garment trimming, collars, boas, etc.), also includes flukes of cetaceans.
tooth	TEE	no.	kg	teeth – e.g. of whale, lion, hippopotamus, crocodile, etc.
timber	TIM	m ³	kg	raw timber except saw-logs and sawn wood
trophy	TRO	no.		trophy – all the trophy parts of one animal if they are exported together: e.g. horns (2), skull, cape, 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'. Trade in 'full mount', 'shoulder mount' and 'half mount', along with any corresponding parts of the same animal exported together on the same permit, should be reported as '1 TRO'
trunk	TRU	no.	kg	elephant trunk. N.B.: An elephant trunk exported with other trophy items from the same animal on the same permit as part of a hunting trophy should be reported as 'TRO'.
tusk	TUS	no.	kg	substantially whole tusks, whether or not worked. Includes tusks of elephant, hippopotamus, walrus, narwhal, but not other teeth
veneer sheets – rotary veneer – sliced veneer	VEN VEN	m ³ m ²	kg kg	thin layers or sheets of wood of uniform thickness, usually 6mm or less in thickness, usually peeled (rotary veneer) or sliced (sliced veneer), for use in making plywood, for veneering furniture, veneer containers, etc.
wax	WAX	kg		wax
wood product	WPR	no.	kg	manufactured wood products, including finished wood products such as furniture and musical instruments.

List B – Units of measure to be used in description of Net Mass

g = grams

kg = kilograms l = litres

cm³ = cubic centimetres

ml = millilitres m = metres

m² = square metres

m³ = cubic metres

no. = number of specimens

List C – Codes for the indication in permits and certificates of the source of specimens

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.

List D - Codes for the indication in permits and certificates of the purpose of a transaction

- 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

Things you should know when making a CITES application

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 some-one 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 GOV.UK. Payments can be submitted by cheque or postal order made payable to "APHA", or you can pay by credit card by calling 01904 455 395. 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

Fax: 0117 372 8206

E-mail: wildlife.licensing@APHA.gsi.gov.uk

Website: <https://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 applicant 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 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 intending to make an application for an EC certificate on behalf of a non-UK resident please call us first for advice.