Form 3-200-30: Export/Re-import of Traveling Animal Exhibitions

January-September 2018

Obtained (via FOIA) by Animal Info Sanctuary

www.animalinfosanctuary.org
March 19, 2019

Russ Kick
P.O. Box 36914
Tucson, AZ 85740-6914
Email: russkick@gmail.com

Dear Mr. Kick:

This is the Division of Management Authority’s (DMA) final response to your Freedom of Information Act (FOIA) request of September 11, 2018, which was assigned control number FWS-2018-01204. Please cite this number in any future communications with our office regarding your request.

You requested:

“...all permit applications 3-200-30 (Export/Re-export/Re-import of Circuses and Traveling Animal Exhibitions (and Reissuance)) that have been submitted from January 1, 2018, to the present.”

Attached you will find 287 pages of documents responsive to your FOIA request, of which we are withholding some information under FOIA Exemptions 4 and 6; 4 See 5 U.S.C. § 552 (b)(4) and 6 See 5 U.S.C. § 552 (b)(6).

Exemption 4 protects “trade secrets and commercial or financial information obtained from a person [that is] privileged or confidential.” The withheld information is commercial or financial information, such as bank account information that could be fraudulently used if released. The company that supplied this information (the submitter) is considered a person, because the term “person,” under the FOIA, includes a wide range of entities including corporations. We are withholding 13 pages in part under Exemption 4.

The information in question was required to be submitted and is confidential.

We have determined that the information at issue was required to be submitted to the government. Information that was required to be submitted is considered confidential if disclosure of it is likely to cause substantial harm to the competitive position of the person from whom the information was obtained, or harm the government’s ability to obtain it in the future. Therefore, this information is confidential for the purposes of Exemption 4 and we have withheld it.
Exemption 6 allows an agency to withhold “personnel and medical files and similar files the disclosure of which would constitute a clearly unwarranted invasion of personal privacy.” 5 U.S.C. § 552(b)(6).
We are withholding 41 pages in part under Exemption 6.

The phrase “similar files” covers any agency records containing information about a particular individual that can be identified as applying to that individual. To determine whether releasing records containing information about a particular individual would constitute a clearly unwarranted invasion of personal privacy, we are required to balance the privacy interest that would be affected by disclosure against any public interest in the information.

Under the FOIA, the only relevant public interest to consider under the exemption is the extent to which the information sought would shed light on an agency’s performance of its statutory duties or otherwise let citizens know what their government is up to. The burden is on the requester to establish that disclosure would serve the public interest. When the privacy interest at stake and the public interest in disclosure have been determined, the two competing interests must be weighed against one another to determine which the greater result of disclosure is: the harm to personal privacy or the benefit to the public. The purposes for which the request for information is made do not impact this balancing test, as a release of information requested under the FOIA constitutes a release to the general public.

The information that has been withheld under Exemption 6 consists of personal information such as email addresses, street mailing addresses, phone numbers, zip codes, middle initials, social security numbers, date of birth, height, eye color, hair color, driver’s license, previous employments and associated dates, education facilities and associated dates, and bank account numbers; and we have determined that the individuals to whom this information pertains have a substantial privacy interest in withholding it. Additionally, you have not provided information that explains a relevant public interest under the FOIA in the disclosure of this personal information and we have determined that the disclosure of this information would shed little or no light on the performance of the agency’s statutory duties. Because the harm to personal privacy is greater than whatever public interest may be served by disclosure, release of the information would constitute a clearly unwarranted invasion of the privacy of these individuals and we are withholding it under Exemption 6.

We reasonably foresee that disclosure would harm an interest protected by one or more of the nine exemptions to the FOIA’s general rule of disclosure.

The decision to withhold this information was made by Carrie Hyde-Michaels, FOIA Officer; Division of Information Resources & Technology Management Larry Mellinger, Attorney-Advisor, in the Office of the Solicitor was consulted.

We have located three pages of records that originated in the United States Department of Agriculture (USDA). The USDA will issue a response directly to you. You do not have to contact USDA at this time, but should you need to do so in the future, you may do so at:

Tonya Woods
United States Department of Agriculture
Animal and Plant Health Inspection Service
Legislated Public, FOIA Department  
4700 River Road, Unit 50  
Riverdale, MD 20737-1232  
Email: FOIAOfficer@aphis.usda.gov

We have located six pages of records that originated in the National Oceanic and Atmospheric Administration (NOAA). The NOAA will issue a response directly to you. You do not have to contact MMC at this time, but should you need to do so in the future, you may do so at:

Mark H. Graff  
National Oceanic and Atmospheric Administration (NOAA)  
Public Reference Facility (SOU1000)  
1315 East-West Highway (SSMC3)  
Room 9719  
Silver Spring, MD 20910

You may appeal this response to the U.S. Department of the Interior’s (Department) FOIA/Privacy Act Appeals Officer. If you choose to appeal, the FOIA/Privacy Act Appeals Officer must receive your FOIA appeal no later than 90 workdays from the date of this letter. Appeals arriving or delivered after 5 p.m. Eastern Time, Monday through Friday, will be deemed received on the next workday.

Your appeal must be made in writing. You may submit your appeal and accompanying materials to the FOIA/Privacy Act Appeals Officer by mail, courier service, fax, or email. All communications concerning your appeal should be clearly marked with the words: "FREEDOM OF INFORMATION APPEAL." You must include an explanation of why you believe the U.S. Fish and Wildlife Service’s (USFWS) response is in error. You must also include with your appeal copies of all correspondence between you and the USFWS concerning your FOIA request, including your original FOIA request and the USFWS’s response. Failure to include with your appeal all correspondence between you and the USFWS will result in the Department’s rejection of your appeal, unless the FOIA/Privacy Act Appeals Officer determines (in the FOIA/Privacy Act Appeals Officer’s sole discretion) that good cause exists to accept the defective appeal.

Please include your name and daytime telephone number (or the name and telephone number of an appropriate contact), email address and fax number (if available) in case the FOIA/Privacy Act Appeals Officer needs additional information or clarification of your appeal.

DOI FOIA/Privacy Act Appeals Office Contact Information  
Department of the Interior  
Office of the Solicitor  
1849 C Street, N.W.  
MS-6556 MIB  
Washington, DC 20240  
Attn: FOIA/Privacy Act Appeals Office

Telephone: (202) 208-5339
Fax: (202) 208-6677
Email: FOIA.Appeals@sol.doi.gov

The 2007 FOIA amendments created the Office of Government Information Services (OGIS) to offer mediation services to resolve disputes between FOIA requesters and Federal agencies as a non-exclusive alternative to litigation. Using OGIS services does not affect your right to pursue litigation. You may contact OGIS in any of the following ways:

Office of Government Information Services
National Archives and Records Administration
8601 Adelphi Road - OGIS
College Park, MD 20740-6001

E-mail: ogis@nara.gov
Web: https://ogis.archives.gov
Telephone: 202-741-5770
Fax: 202-741-5769
Toll-free: 1-877-684-6448

You may also seek dispute resolution services from our FOIA Liaison, Carrie Hyde-Michaels at (703) 358-2291 or carrie_hyde-michaels@fws.gov.

For your information, Congress excluded three discrete categories of law enforcement and national security records from the requirements of the FOIA. See 5 U.S.C. § 552(c). This response is limited to those records that are subject to the requirements of the FOIA. This is a standard notification that is given to all our requesters and should not be taken as an indication that excluded records do, or do not, exist.

We do not bill requesters for FOIA processing fees when their fees are less than $50.00, because the cost of collection would be greater than the fee collected. See 43 C.F.R. § 2.37(g). Therefore, there is no billable fee for the processing of this request.

This completes our response. If you have any questions, please contact Ms. Brenda Tapia, Division of Management Authority, Branch of Permits, MS: IA, 5275 Leesburg Pike, Falls Church, Virginia 22041 (703-358-1989 or via e-mail at Brenda_Tapia@fws.gov).

Sincerely,

R MCVEY
for Carrie Hyde-Michaels
FWS FOIA Officer

Attached
Federal Fish and Wildlife Permit Application Form

Return to: U.S. Fish and Wildlife Service
(Enter address from pages 5 and 6 of application)  Type of Activity:
REISSUANCE, RENEWAL, OR AMENDMENT OF A PERMIT
(For this application, all permits, registrations, and certificates are referred to as a permit.)

Complete Sections A or B, C, D, and E of this application. U.S. address may be required in Section C; see instructions for details. See attached Instruction pages for information on how to make your application complete and help avoid unnecessary delays.

### A. Complete if applying as an Individual

<table>
<thead>
<tr>
<th>1.a. Last name</th>
<th>1.b. First name</th>
<th>1.c. Middle name or initial</th>
<th>1.d. Suffix</th>
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<th>2. Date of birth (mm/dd/yyyy)</th>
<th>3. Social Security No.</th>
<th>4. Occupation</th>
<th>5. Affiliation/Doing business as (see instructions)</th>
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### B. Complete if applying on behalf of a business, corporation, public agency, Tribe, or institution

1.a. Name of business, agency, Tribe, or institution
American Bald Eagle Foundation

1.b. Doing business as (dba)

2. Tax Identification no.
22-2542783

3. Description of business, agency, Tribe, or institution
Raptor Center/Natural History Museum

4.a. Principal officer Last name
McRoberts

4.b. Principal officer First name
Cheryl

4.c. Principal officer Middle name/initial
(b)(6)

4.d. Suffix

5. Principal officer title
Executive Director

6. Primary contact name

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<tr>
<td>907-766-3094</td>
<td></td>
<td>907-766-3095</td>
<td>info@bald eagles.org</td>
</tr>
</tbody>
</table>

### C. All applicants complete address information

1.a. Physical address (Street address, Apartment #, Suite #, or Room #, no P.O. Boxes)
113 Haines Highway

<table>
<thead>
<tr>
<th>1.b. City</th>
<th>1.c. State</th>
<th>1.d. Zip code/Postal code</th>
<th>1.e. County/Province</th>
<th>1.f. Country</th>
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<tr>
<td>Haines</td>
<td>Ak</td>
<td>99827</td>
<td>Haines County</td>
<td>US</td>
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2.a. Mailing Address (Include if different than physical address; include name of contact person if applicable)

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<td>Haines</td>
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<td>US</td>
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### D. All applicants MUST complete

1. Attach check or money order payable to the U.S. FISH AND WILDLIFE SERVICE in the amount indicated on pages 6 and 7. Federal, Tribal, State, and local government agencies, and those acting on behalf of such agencies, are exempt from the processing fee—attach documentation of fee exempt status as outlined in instructions. (50 CFR 13.11(d))

2. Do you currently have or have you ever had any Federal Fish and Wildlife permits?

   Yes [ ]
   No [ ]

   If Yes, list the number of the most current permit you have held or that you are applying to renew/reissue.

   12US659967A/9

3. Certification: I hereby certify that I have read and am familiar with the regulations contained in Title 50, Part 13 of the Code of Federal Regulations and the other applicable parts in subchapter B of Chapter 1 of Title 50, and I certify that the information submitted in this application for a permit is complete and accurate to the best of my knowledge and belief. I understand that any false statement herein may subject me to the criminal penalties of 18 U.S.C. 1001.

   Signature (in blue ink) of applicant/person responsible for permit (No photocopies or stamped signatures)  
   Date of signature (mm/dd/yyyy)

   [Signature]

   03/05/2018
E. REISSUANCE, RENEWAL, OR AMENDMENT OF A PERMIT (For this application, all permits, registrations, and certificates are referred to as a permit.)

NOTE 1: If you are renewing your Designated Port Exemption permit, use form 3-200-2 (http://www.fws.gov/forms/3-200-2.pdf) and submit to appropriate Office of Law Enforcement address. If you are renewing your Import/Export license (required for commercial activities), use form 3-200-3 (http://www.fws.gov/forms/3-200-3.pdf) and submit to appropriate Office of Law Enforcement address.

NOTE 2: This form Cannot be used for lost or damaged permit. If you need to replace a lost or damaged permit, please use form 3-200-66, http://www.fws.gov/international/pdf/permit-application-form-3-200-66-replacement-document.pdf. The application must be submitted to the office that issued the initial permit. Lost or damaged permit

NOTE 3: Some activities, such as all master files for multiple shipments, Certificate of Scientific Exchange (COSE), circus/traveling exhibits, and artificially propagated plants, can only be re-issued, renewed, or amended by submitting a new application for permits for those activities. Please refer to http://www.fws.gov/international/permits/by-form-number/index.html to determine if another application form would be more appropriate or contact the Division of Management Authority for more information.

1. Permit number. Enter the permit number to be reissued/renewed/amend 12US5967A/9.

2. Submit the original permit with this application.

3. Past activities.
   a. Provide copies of all cleared documents and form 3-177 (FWS declaration of wildlife) associated with this permit.
   b. Provide a summary detailing activities conducted under this permit, as well as a brief statement of why you are seeking reissuance/renewal.

4. Annual Report. If required by your permit, provide an annual report as conditioned (Please disregard if you have already submitted your annual report.)

5. Sport-hunted trophies: If you did not hunt during the hunting season stated in your original application, you are not eligible for a renewal. Please submit a new application form.
6. **Certification** - Complete one of the statements below and supply any additional documentation requested: (original signature is required)

   a. For **NO CHANGES** to original application:

      I certify that the information submitted in support of my original application for the permit indicated above has not changed and is still currently correct. I hereby request reissuance or renewal of this permit.

      Permitee’s signature: [Signature]  Date: 03/05/2018

   b. For **CHANGES** to original application:

      On an attached page(s), provide a complete description of any changes (e.g., change in principal officer, personnel, address, location of activities, types of activities). Please sign each attached page. Also note that we need to request additional information regarding the changes after reviewing your initial request.

      I certify that the information submitted in support of my original application for the permit indicated above is still currently correct EXCEPT for the changes noted on the attached, signed page(s). I hereby request re-issuance or renewal of this permit with the indicated changes.

      Permitee’s signature: ___________________________  Date: __________

7. All international shipment(s) must be through a designated port, unless otherwise authorized. A list of designated ports (where an inspector is posted) is available from [http://www.fws.gov/le/designated-ports.html](http://www.fws.gov/le/designated-ports.html). If you wish to use a port not listed, please contact either the Office of Law Enforcement for a Designated Port Exemption Permit (form 3-200-2) or the Division of Management Authority.

8. Name and address where you wish the permit to be mailed, if different from page 1 (All permits will be mailed via the U.S. Postal Service, unless you identify an alternative means below):

   Same as above address

9. If you wish the permit to be delivered by means other than USPS regular mail, provide an air bill, pre-paid envelope, or billing information. If you do not have a pre-paid envelope or air bill and wish to pay for a courier service with your credit card, please check the box below. Please DO NOT include credit card number or other information; you will be contacted for this information.

   ☐ If a permit is issued, please send it via a courier service to the address on page 1 or question 8. I understand that you will contact me for my credit card information once the application has been processed.
11. Who should we contact if we have questions about the application? (Include name, phone number, and email):
   Cheryl McRoberts, 907-766-3094, info@baldeagles.org

12. Disqualification Factor. A conviction, or entry of a plea of guilty or nolo contendere, for a felony violation of the Lacey Act, the Migratory Bird Treaty Act, or the Bald and Golden Eagle Protection Act disqualifies any such person from receiving or exercising the privileges of a permit, unless such disqualification has been expressly waived by the Service Director in response to a written petition. [50 CFR 13.21(c)]. Have you or any of the owners of the business, if applying as a business, been convicted, or entered a plea of guilty or nolo contendere, forfeited collateral, or are currently under charges for any violations of the laws mentioned above?

☐ Yes ☑ No  If you answered “Yes” provide: a) the individual’s name, b) date of charge, c) charge(s), d) location of incident, e) court, and f) action taken for each violation.
**Federal Fish and Wildlife Permit Application Form**

**Return to:** U.S. Fish and Wildlife Service  
Division of Management Authority (DMA)  
Branch of Permits, MS: 1A  
5275 Leesburg Pike  
Falls Church, VA 22041-3802  
1-800-358-2104 or 703-358-2104

**Type of Activity:**  
Export/Re-export/Re-import of Circuses and Traveling Animal Exhibitions (and Reissuance) (CITES/ESA)

- [x] New Application  
- [ ] Master File Permit #:  
- [ ] Requesting Re-issuance/Amendment of Permit

Complete Sections A or B, and C, D, and E of this application. U.S. address may be required in Section C, see instructions for details. See attached instruction pages for information on how to make your application complete and help avoid unnecessary delays.

### A. Complete if applying as an individual

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<tr>
<th>1.a. Last name</th>
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<td>JENNY</td>
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### B. Complete if applying on behalf of a business, corporation, public agency, Tribe, or institution

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<th>4.b. Principal officer First name</th>
<th>4.c. Principal officer Middle name or initial</th>
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<th>5.a. Principal officer title</th>
<th>5.b. Primary contact name</th>
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### C. All applicants complete address information

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### D. All applicants MUST complete

1. Attach check or money order payable to the U.S. FISH AND WILDLIFE SERVICE in the amount identified on page 2. Federal, Tribal, State, and local government agencies, and those acting on behalf of such agencies, are exempt from the processing fee - attach documentation of fee exempt status as outlined in instructions. (50 CFR 13.11(d))

2. Do you currently have or have you ever had any Federal Fish and Wildlife permits?  
   - [ ] Yes  
   - [x] No

3. Certification: I hereby certify that I have read and am familiar with the regulations contained in Title 50, Part 13 of the Code of Federal Regulations and the other applicable parts in subchapter B of Chapter 1 of Title 50, and I certify that the information submitted in this application for a permit is complete and accurate to the best of my knowledge and belief. I understand that any false statement herein may subject me to the criminal penalties of 18 U.S.C. 1001.

   [Signature]  
   04/01/2019  
   [appropriate name]

   [Signature] in blue ink of applicant/person responsible for permit  
   [Signature] Date of signature (mm/dd/yyyy)

**Please continue to next page**

Form 3-200-30  
Rev. 02/2014  
Page 1 of 9
E. Export/Re-export/Reimport of Circuses, Traveling Animal Exhibitions, or Museum Exhibitions (and Reissuance) (CITES/ESA)

Note 1. This form is only for the purpose of temporary travel (export and re-import) to exhibit animals, museum exhibitions, or other traveling exhibitions where specimens do not change ownership (e.g., not being bought or sold while outside the United States). If you are intending to transfer ownership or offer specimens for sale outside the United States, submit form 3-200-23 (pre-Convention specimens) or 3-200-37 (ESA/CITES specimens). All applications can be found at http://www.fws.gov/international/permits/by-form-number/index.html.

Note 2. If you are traveling with musical instruments, you can use form 3-200-88 (Musical Instrument Certificate).

Note 3. For activities involving marine mammals, use form 3-200-53 (Export/Re-Export of Live Captive Held Marine Mammals (CITES)).

Note 4. If you are applying on behalf of a client, provide documentation to show that you have a Power of Attorney authorizing you to act on behalf of the client.

Note 5. For Re-issuance and Amendments requests: PLEASE RETURN THE ORIGINAL PERMIT.

Note 6. Please review the complete application before beginning. There are three scenarios under which circus and traveling exhibition are permitted.

Scenario 1. Traveling Exhibition Certificate (Resolution Conf. 12.3(Rev. CoP13)). This applies only to an animal or specimens that qualify as pre-Convention¹ or Bred in Captivity as defined in Resolution Conf. 10.16 (Rev.). A CITES certificate may be issued up to 3 years for a single animal or a group of (non-living) specimens. Follow instructions in Part I below, and complete one application per animal or group of specimens moving as one exhibition. If the animal or specimens do not qualify for the traveling-exhibition certificate, follow instructions in Part II. Processing fee: $100 for a species listed on both CITES and ESA; $75 for a species listed on CITES only.

Scenario 2. For animals that do not qualify under Scenario 1, a Master File can be established that is valid for up to three years for one or more animals or specimens. A Master file would authorize a number of (re-)exports and/or imports over a three-year period, but you would still be required to obtained CITES re-export documents for the re-exporting country before returning to the United States. Once a Master File is approved, you must obtain single-use permits, valid for 6 months or until the expiration of the master file, whichever is sooner, for each export/re-export or import (50 CFR 13.11). Processing fees: $200 to establish a Master file; $100 for Master file renewal; $5 single use documents. Follow instructions in Part II.

Scenario 3. For animals that do not qualify under Scenario 1 and you do not need/want to conduct multiple shipments, you may apply for a Single Use Permit for multiple animals that is valid for a single export or re-export. If you are making a single import, please use from 3-200-37. Processing fee: $100. Follow instructions in Part II.

Provide the following information. Complete all questions on the application. Mark questions that are not applicable with "N/A". You may need additional sheets of paper. On all attachments or separate sheets you submit, indicate the application question number you are addressing. Please do not submit video tapes.

Complete either Part I or Part II, as appropriate AND Part III and IV.

¹Specimen was acquired (removed from the wild or held in captivity or a controlled environment) before the date CITES applied to it. The listing date can be found http://www.cites.org, CFR 23.45 b1
Part I. Traveling Exhibition Certificate (Scenario 1)

1. Provide the following for the animal or group of specimens (a separate permit application is needed if more than one animal is involved).

| Scientific name (genus, species, and if applicable, subspecies) and Common name | Gender, if known | Date of Birth or manufacturing (MM/DD/YYYY) | Source (Wild or Born in captivity) | Country of last re-export | Description (e.g., I.D. #, band #, tattoo #, tag #, size, microchip #, house name, distinguishing marks/features). If microchip #, provide manufacturer and location of microchip

| Scientific name (genus, species, and if applicable, subspecies) and Common name | Gender, if known | Date of Birth or manufacturing (MM/DD/YYYY) | Source (Wild or Born in captivity) | Country of last re-export | Description (e.g., I.D. #, band #, tattoo #, tag #, size, microchip #, house name, distinguishing marks/features). If microchip #, provide manufacturer and location of microchip

2. Current location of specimen(s):

(b)(6) [redacted], Los Altos, CA (b)(6) [redacted], USA

Part II. Animals or specimens that do not qualify for a Traveling-exhibition Certificate.

1. Please indicate which you are requesting (check appropriate box):

☐ Master File (Scenario 2 - individual CITES documents, valid for up to six months, issued from the Master File)

How many single-use permits do you anticipate using in the next six months if master file is approved? [Redacted]. Additional CITES documents may be requested via form 3-200-74 (http://www.fws.gov/international/permits/by-form-number/index.html).

OR

☑ Single Use Permit (Scenario 3) valid for a single shipment in a six-month period.

Indicate country and location(s) of exhibition:

Name: Pacific Gateway Hotel
Address: 3500 Cessna Drive
City: Richmond
State/Province: British Columbia
Country, Postal Code: V7B 1G7 Canada

The exporter may be asked to have a microchip reader on hand to read the microchip at the time of export.
2. Provide the following for each animal or specimen (multiple animals or specimens may appear on a single document).

<table>
<thead>
<tr>
<th>Scientific name (genus, species, and if applicable, subspecies) and Common name</th>
<th>Gender, if known</th>
<th>Date of Birth or Manufacturing (MM/DD/YYYY)</th>
<th>Source (Wild or Born in captivity)</th>
<th>Last Country of last re-export</th>
<th>Description (e.g., I.D. #, band #, tattoo #, tag #, size, microchip #, house name, distinguishing marks/features). If microchip #, provide manufacturer and location of microchip. (Border officials must be able to verify that the permit and the animal correspond.)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sphyra zygaena Smooth hammerhead</td>
<td></td>
<td></td>
<td>Wild</td>
<td>See notes - Part III(iv)</td>
<td>See Appendix I</td>
</tr>
<tr>
<td>Sphyra lewini Scalloped hammerhead</td>
<td></td>
<td></td>
<td>Wild</td>
<td>See notes - Part III(iv)</td>
<td>See Appendix I</td>
</tr>
</tbody>
</table>

3. Current location of specimens:

(b)(6) ____________________________ Los Altos CA (b)(6) USA

Part III (All applicants complete). For EACH animal or specimen, provide the following. If your application covers more than one animal or specimen, be sure to answer questions 1 and 2 for each animal or specimen being addressed in the application.

If this animal or specimen qualifies as pre-Convention¹, provide documents, signed statements or other evidence that the wildlife was born or removed from the wild prior to the date CITES applied to it (e.g., bill of sale, ISIS record, breeder's record).

1. Was the animal or source of the specimen born/hatched in captivity? Yes ☐ No ☑

If YES, provide responses to a and b. below:

a. Are you the breeder? If so, please provide a statement that the animal was bred and born/hatched at your facility. This statement must include:
   i. Birth/hatch date, and if applicable band/tag number, and sex of each specimen;
   ii. Name and address of your facility where the animal was bred and born;
   iii. Location of parental stock; and
   iv. Your signature and date.

b. If you are NOT the breeder of the specimen(s), provide copies of documentation showing that you acquired the animal from the breeder or documentation demonstrating the history of transactions (chain of ownership of each animal) and a signed statement from the breeder or breeder's record that includes:
   i. That the animal was bred and born/hatched at his/her facility;
   ii. Birth/hatch date, and if applicable, band/tag number, or other identifiers;
   iii. Sex of each specimen;
   iv. Location (Name, Street address, City, State) of Parental Stock;
   v. Complete name and address of the breeder's facility.

¹ If a microchip is used to identify the animal, the exporter may be asked to have a microchip reader on hand to read the microchip at the time of export.
If NO (animal was not born/hatched in captivity), provide:

i. Location of where, when, and by whom (name and address) the specimen was removed from the wild;
ii. Purpose of removal;
iii. Copy of any permits or other documents from the State or local wildlife authorities approving the activities;
iv. Documentation showing that the specimens were legally acquired by the applicant; and
v. Copies of any applicable State permits or licenses that are required to house, maintain, and breed these specimens (contact your State for information).

2. If this animal or animal from which the specimen was obtained is protected by the U.S. Endangered Species Act (ESA):
   Is the animal or specimen pre-Act (acquired or held in a controlled environment on or before (a) December 28, 1973 or the date when the species was listed, and (b) has not entered into commerce (e.g., been bought, sold, or offered for sale by you or anyone else) since December 28, 1973, or the date when listed)?

   a. If yes, provide evidence that the animal meets the above criteria.
   b. If no, you must be able to show that your proposed activity would meet the issuance criteria under ESA.

For endangered species, permits can be issued for activities that enhance the survival or propagation of the species or scientific research. For threatened species, permits can be issued for the above reasons, as well as education, zoological display, or other purposes that would meet the purpose of the Endangered Species Act.

Provide a statement, and documentation to support the statement, on how the activities will enhance or benefit the wild population (in-situ and ex-situ projects). While permits cannot be issued solely for educational or display purposes for endangered species, if your activities include conservation education, provide copies of educational materials (e.g., handouts, text of signage or public presentations). If you are submitting more than one application at this time for a group of animals, you can complete this section on one application and refer any subsequent application to this statement. If you need more explanation on this question, please contact the Division of Management Authority.

3. (For all applicants) If your activity includes public presentations, please provide the following:

   i. In what type of presentation are you proposing to use the specimen (e.g., live performance, movie, TV)?
   ii. Provide a copy of the actual script or material that will be presented to the audience at each performance, show, or viewing of the specimen(s). This material must be original in nature (e.g., photocopies from a reference book are not appropriate) and must be the actual material that will be presented each time the animal is viewed by the target audience.
   iii. Will fact sheets, brochures, or posters be used? Is the written material available free-of-charge?
   iv. When will the material be presented? If the material will be presented orally, when will this presentation be given? What activities will be occurring at the same time the presentation of the message is being provided and could the activity diminish the effectiveness of the presentation? If the material will be presented in a written form, will an oral announcement be made regarding the availability of this material? If the material is in poster form, will the posters be placed so that the material will be accessible by the public?
   v. When exhibiting in countries where English is not the primary language, explain how the conservation education information will be presented to the non-English speaking audience.

4. Is the animal a live non-human primate? If so, provide a copy of your current Centers for Disease Control (CDC) registration.
Part IV (all applicants complete). If you are submitting more than one application at this time, you may submit the following information once and refer to it in all subsequent applications.

1. For live exhibitions, provide the following on your facilities:

   a. Provide address of the permanent facility where the animal(s) is/are maintained.

      Name:

      Facility Name:

      Address:

      Address:

      City:

      State/Province:

      Country, Postal Code:

   b. A detailed description, including size, construction materials, protection from the elements, and photographs or detailed diagrams clearly depicting the permanent facilities;

   c. Provide the same as above for transportation units used while traveling within the United States and abroad. The transport conditions must comply with 50 CFR Part 13, the CITES Guidelines for Transport of Live Animals, as well as the Animal Welfare Act and, in the case of air transport, with the International Air Transport Association (IATA) (www.iata.org/cargo/live.htm) live animal regulations. Your description must include:

      i. The type, size, and construction of any shipping container; and

      ii. The arrangements for watering or otherwise caring for the wildlife during transport.

   d. Description of the qualifications of the individuals to train and care for the animal, including the number of years' experience with this species or similar species, and names of current caretakers.

2. For live exhibitions, provide a list all mortalities of ESA listed species which occurred at your facility during the past five years, and explain the cause of the mortalities and measures taken to prevent future mortalities if appropriate.

3. Provide copies of any applicable permits, licenses and registrations (State Fish and Game, U.S. Department of Agriculture Animal Welfare Act (AWA), Center for Disease Control and Prevention).

4. All international shipment(s) must be through a designated port. A list of designated ports (where an inspector is posted) is available from http://www.fws.gov/le/designated-ports.html. If you wish to use a port not listed, please contact the Office of Law Enforcement for a Designated Port Exemption Permit (form 3-200-2).
5. Name and address where you wish permit mailed, if different from page 1 (All permits will be mailed via the U.S. Postal Service, unless you identify an alternative means below):

ting a permit is issued, please send it via a courier service to the address on page 1 or question 5. I understand that you will contact me for my credit card information once the application has been processed.

7. Who should we contact if we have questions about the application? (Include name, phone number, and email):

Jenny Giles

8. Disqualification Factor. A conviction, or entry of a plea of guilty or nolo contendere, for a felony violation of the Lacey Act, the Migratory Bird Treaty Act, or the Bald and Golden Eagle Protection Act disqualifies any such person from receiving or exercising the privileges of a permit, unless such disqualification has been expressly waived by the Service Director in response to a written petition. (50 CFR 13.21(c)) Have you or any of the owners of the business, if applying as a business, been convicted, or entered a plea of guilty or nolo contendere, forfeited collateral, or are currently under charges for any violations of the laws mentioned above?

☐ Yes ☑ No  If you answered “Yes” provide: a) the individual’s name, b) date of charge, c) charge(s), d) location of incident, e) court, and f) action taken for each violation.
### Appendix I.

**Group workshop training set – *Sphyrna*, primary fin types**

<table>
<thead>
<tr>
<th>SpecimenID</th>
<th>Species</th>
<th>SpecimenDescription</th>
</tr>
</thead>
<tbody>
<tr>
<td>DN3_039</td>
<td><em>Sphyma zygaena</em></td>
<td>First dorsal fin</td>
</tr>
<tr>
<td>DN3_008</td>
<td><em>Sphyma zygaena</em></td>
<td>First dorsal fin</td>
</tr>
<tr>
<td>DN3_041</td>
<td><em>Sphyma zygaena</em></td>
<td>First dorsal fin</td>
</tr>
<tr>
<td>DN3_002</td>
<td><em>Sphyma zygaena</em></td>
<td>First dorsal fin</td>
</tr>
<tr>
<td>DN3_030</td>
<td><em>Sphyma zygaena</em></td>
<td>First dorsal fin</td>
</tr>
<tr>
<td>DN3_007</td>
<td><em>Sphyma zygaena</em></td>
<td>First dorsal fin</td>
</tr>
<tr>
<td>DN3_075</td>
<td><em>Sphyma zygaena</em></td>
<td>Pectoral fin</td>
</tr>
<tr>
<td>DN3_082</td>
<td><em>Sphyma zygaena</em></td>
<td>Pectoral fin</td>
</tr>
<tr>
<td>DN3_081</td>
<td><em>Sphyma zygaena</em></td>
<td>Pectoral fin</td>
</tr>
<tr>
<td>DN3_004</td>
<td><em>Sphyma zygaena</em></td>
<td>Pectoral fin</td>
</tr>
<tr>
<td>DN3_074</td>
<td><em>Sphyma zygaena</em></td>
<td>Pectoral fin</td>
</tr>
<tr>
<td>DN3_003</td>
<td><em>Sphyma zygaena</em></td>
<td>Pectoral fin</td>
</tr>
<tr>
<td>DN3_195</td>
<td><em>Sphyma lewini</em></td>
<td>First dorsal fin</td>
</tr>
<tr>
<td>DN3_040</td>
<td><em>Sphyma lewini</em></td>
<td>First dorsal fin</td>
</tr>
<tr>
<td>DN3_026</td>
<td><em>Sphyma lewini</em></td>
<td>First dorsal fin</td>
</tr>
<tr>
<td>DN3_064</td>
<td><em>Sphyma lewini</em></td>
<td>First dorsal fin</td>
</tr>
<tr>
<td>DN3_065</td>
<td><em>Sphyma lewini</em></td>
<td>First dorsal fin</td>
</tr>
<tr>
<td>DN3_067</td>
<td><em>Sphyma lewini</em></td>
<td>First dorsal fin</td>
</tr>
<tr>
<td>DN3_330</td>
<td><em>Sphyma lewini</em></td>
<td>Lower caudal fin</td>
</tr>
<tr>
<td>DN3_331</td>
<td><em>Sphyma lewini</em></td>
<td>Lower caudal fin</td>
</tr>
<tr>
<td>DN3_332</td>
<td><em>Sphyma lewini</em></td>
<td>Lower caudal fin</td>
</tr>
<tr>
<td>DN3_333</td>
<td><em>Sphyma lewini</em></td>
<td>Lower caudal fin</td>
</tr>
<tr>
<td>DN3_187</td>
<td><em>Sphyma lewini</em></td>
<td>Lower caudal fin</td>
</tr>
<tr>
<td>DN3_275</td>
<td><em>Sphyma lewini</em></td>
<td>Lower caudal fin</td>
</tr>
<tr>
<td>DN3_102</td>
<td><em>Sphyma lewini</em></td>
<td>Pectoral fin</td>
</tr>
<tr>
<td>DN3_124</td>
<td><em>Sphyma lewini</em></td>
<td>Pectoral fin</td>
</tr>
<tr>
<td>DN3_120</td>
<td><em>Sphyma lewini</em></td>
<td>Pectoral fin</td>
</tr>
<tr>
<td>DN3_149</td>
<td><em>Sphyma lewini</em></td>
<td>Pectoral fin</td>
</tr>
<tr>
<td>DN3_146</td>
<td><em>Sphyma lewini</em></td>
<td>Pectoral fin</td>
</tr>
<tr>
<td>DN3_138</td>
<td><em>Sphyma lewini</em></td>
<td>Pectoral fin</td>
</tr>
</tbody>
</table>
Part III.

1. i. Location, date and agent of capture unknown.
   ii. Purpose of removal; commercial or artisanal fishery activity.
   iii. N/A
   iv. These specimens were sourced from a NOAA Office of Law Enforcement (NOAA-OLE) Case in 2015, which closed in 2016. The case involved an air shipment last exported from Guatemala. Dr. Giles worked as the forensic analyst on the case (See Appendix II). Upon closure of the case, NOAA-OLE released a number of specimens to Dr. Giles for research, training and forensic morphology comparison purposes. These specimens were shipped directly to Dr. Giles under the CDFW permit in the presence of the NOAA-OLE Evidence Custodian. The case agent’s contact details are available on request.
   v. Attached is Dr. Giles’ California Department of Fish and Wildlife permit for possession and transport of shark fins in the state of California (Appendix III) and CV (Appendix IV). Dr. Giles (PI) was based at Stanford University at the time of application, now operating as a sole member consultancy. CDFW have been notified of this change and have verified that under the rules applicable at the time of permitting in 2016, the PI remains the valid permit holder regardless of a change of institution until the time of required renewal (September 2019).

2. The date of capture and original DPS from which these *Sphyra lewini* specimens are sourced is not known. They may have been caught after the species was listed, from one of the ESA-listed Endangered or Threatened DPSs. Given the country of last export, these specimens may be most likely to have originated from the Eastern Pacific DPS (Endangered) or Central or Southwest Atlantic DPS (Threatened).

   Should some or all of the specimens originate from an Endangered and/or Threatened DPS, I would like to emphasize that the proposed activity has a high potential to benefit and enhance the survival of wild populations of this species. These specimens are to be transported temporarily to Canada to train Federal law enforcement officers from responsible wildlife agencies in the US, Canada and Mexico in the species identification of shark fins subject to CITES Appendix II under the workshop activity described in point 3.

   This is the first regional effort to provide coordinated species identification training to wildlife officers of Federal law enforcement agencies to improve detection of CITES violations for sharks and rays in trade across multiple sectors. Providing hands-on familiarity with the morphological species-specific features of fins of *Sphyra lewini* to inspection personnel working in port inspection environments would be invaluable to improve CITES enforcement of this species in North America. The relationship between effective enforcement and benefit to wild populations of regulated species is a central tenet of international treaties such as CITES.

3. i. Hands-on training in shark fin identification for wildlife law enforcement officers of US, Mexico and Canada Federal agencies, to improve CITES enforcement capabilities in North America. This activity is taking place as part of the Commission for Environmental Cooperation (CEC) Training workshop on shark fin identification and the transnational illegal trade in shark fins in Vancouver, BC, Canada, 10-12 July 2018.
   ii. Attached is the cover of the lead training document (Appendix V); *The Food and Agriculture Organization of the United Nations (FAO) Shark Fin Guide Marshall and Barone, 2016*, to which Dr. Giles was a contributor. The document is available free online, and a hard copy class set has been sent to the CEC from the FAO in Rome to facilitate this training.
   iii. See ii.
   iv. The workshop is to take place on July 10-12, 2018 in Vancouver, BC, Canada, with hands-on fin identification sessions occurring on July 10 and 11. The fins are to be transported by Dr. Giles from San Francisco (SFO) to Vancouver (YVR) on July 9, returning on July 13, 2018.
   v. I understand from prior CEC meetings that workshop attendees from Mexico will be offered headsets for simultaneous translation.

4. No.

Part IV.

3. See 1.v.
4. See 3.iv.
EVIDENCE SUBMISSION FORM

You MUST contact the lab before submitting evidence! Email evidence.custodian@noaa.gov, and we will call you ASAP to tell you which lab to send it to.

AGENCY CASE #: [Redacted] SUBMISSION DATE: [Redacted] 2015

RESPONSIBLE AGENT OR OFFICER:

Name: [Redacted]
Field office: [Redacted]
Address: [Redacted]
Office #: [Redacted] Fax #: [Redacted]

OLE APPROVING OFFICIAL

Name: [Redacted]
Email: [Redacted]

ANALYSIS REQUESTED

WHETHER CITES OR ESA SPECIES PRESENT

SPECIAL INSTRUCTIONS


CAFRA?: ☐ Yes ☐ No
**Evidence Submitted**

<table>
<thead>
<tr>
<th>Item #:</th>
<th>Seizure Tag #:</th>
<th>Description of item:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td><strong>Samples</strong></td>
</tr>
</tbody>
</table>

**Laboratory Receipt**

<table>
<thead>
<tr>
<th>Evidence Condition:</th>
<th>Received in person, intact</th>
</tr>
</thead>
<tbody>
<tr>
<td>Storage Location:</td>
<td></td>
</tr>
<tr>
<td>Documented By:</td>
<td>JMG</td>
</tr>
<tr>
<td>Date:</td>
<td>15</td>
</tr>
</tbody>
</table>
NOAA Fisheries Office for Law Enforcement
Evidence Chain of Custody Form

**Case Number:** [Redacted]  
**Item Number:** [Redacted]

**Date Acquired:** [Redacted]  
- [ ] Seized  
- [ ] Collected

**Seizure Tag #**  
**Evidence Bag # (if used)**  
**Collected By:** [Redacted] and Dr. Jenny Giles

**Evidence Type**  
**Quantity**  
**Description of Item:** Samples of shark fins

**Evidence Types:** (if handwriting)
1. Fishing Gear  
2. Fish/Seafood  
3. Blood/Tissue  
4. Photographs  
5. Video  
6. Audio  
7. Firearm  
8. Documents  
9. Other  

**Ownership Information:** (If applicable)

**Acquired From**  
**Owner's Name**

**Description of Location Found**

**Responsible SA/EO**  
**Division**  
**Field Office**

**Chain of Custody Tracking Information:**  
(Use Continuation Sheet if needed)

**Transferred From**  
**Release Signature**  
**Release Date:** 2015

**Transferred To:** Jenny Giles  
**Receipt Signature**  
**Receipt Date:** 2015

**Comments:** Transfer of collected samples from [Redacted]. The samples will be used for forensic analysis.
State of California – Department of Fish and Wildlife
2016 SCIENTIFIC COLLECTING PERMIT APPLICATION
DFW 1379 (REV. 10/22/15) Previously FG 1379 Page 1

DEPARTMENT USE ONLY

THIS PERMIT IS VALID:
FROM 9/7/2016 through 9/7/2019

PERMIT, AMENDMENTS AND REPORT OF SPECIMENS CAPTURED OR SALVAGED MUST BE IN IMMEDIATE POSSESSION WHILE COLLECTING. Collecting is not allowed under the authority of a fishing license.

☐ NEW  ☐ RENEWAL - When renewing, Report of Specimens Collected or Salvaged (DFW 1379a) MUST BE ATTACHED or application will be returned.

FEES LISTED BELOW INCLUDE A NONREFUNDABLE APPLICATION FEE AND PERMIT FEE CHECK ALL BOXES THAT APPLY:

☐ INDIVIDUAL OR ENTITY $105.58 APPLICATION FEE (SUBMIT NOW) AND ☐ $315.00 PERMIT FEE *(SUBMIT WHEN NOTIFIED)

☐ PI $105.58 APPLICATION FEE (PER PI) (SUBMIT NOW) AND ☐ $315.00 PERMIT FEE (PER PI) *(SUBMIT WHEN NOTIFIED)

☐ STUDENT $25.27 APPLICATION FEE (SUBMIT NOW) AND ☐ $52.79 PERMIT FEE *(SUBMIT WHEN NOTIFIED)

*DO NOT SUBMIT THE PERMIT FEE NOW - You will be required to submit the permit fee if the permit is approved.

BEFORE COMPLETING APPLICATION: Read instructions, permit descriptions, Standard Conditions, and Numbered Authorizations. Complete all appropriate sections of the application (sponsor’s section may be required). Type or print clearly.

SECTION 1 - INDIVIDUAL PERMITTEE INFORMATION - Complete only if applying as an Individual OR student. Provide the following information and attach a statement of qualifications or resume outlining experience with wildlife and activity requested in Section 3.

FIRST NAME ________________________________ M.I. ________________________________ LAST NAME ________________________________

GO ID NUMBER (FROM ALDS ISSUED LICENSE) ________________________________

AFFILIATION’S MAILING ADDRESS ________________________________

CITY ________________________________ STATE ________________________________ ZIP CODE ________________________________

SECTION 2 - ENTITY PERMITTEE - Complete only if applying as a qualified entity

Entities include California certified small businesses, aquariums or zoos accredited by the Association of Zoos and Aquariums, museums, California Special Districts, public agencies, non-profit non-governmental organizations, accredited colleges or universities and institutions at accredited colleges or universities, Proof of such status must be provided with a new application. An additional permit fee is required for each PI when the permit is made to be issued.

ENTITY’S NAME ________________________________
STANFORD UNIVERSITY HOPKINS MARINE STATION ________________________________
ENTRY’S MAILING ADDRESS ________________________________
120 OCEAN BLVD ________________________________ PACIFIC GROVE ________________________________ CA ________________________________ 93950 ________________________________

PRINCIPAL SCIENTIFIC INVESTIGATOR (PI) INFORMATION - Provide the following information and attach a statement of qualifications or resume for the full-time permanent employee responsible for providing adequate supervision and training of the employees and volunteers listed below. WHAT IS THE TOTAL NUMBER OF PI’s PROPOSED FOR THIS SCP? [ ]

If you have more than one PI proposed under the entity permit, complete and attach page 5 (make copies if needed). The entity shall submit a non-refundable application fee for each PI.

(1) FIRST NAME ________________________________ M.I. ________________________________ LAST NAME ________________________________ TITLE ________________________________

JENNY ________________________________ (b) (6) ________________________________ GILES ________________________________ (b) (6)

HAIR COLOR ________________________________ EYE COLOR ________________________________ HEIGHT ________________________________ WEIGHT ________________________________

SEX ☐ MALE ☐ FEMALE DATE OF BIRTH ________________________________

GO ID NUMBER (FROM ALDS ISSUED LICENSE) ________________________________

DAY TELEPHONE ________________________________ E-MAIL ADDRESS ________________________________

LIST OF AUTHORIZED INDIVIDUALS: List all employees or volunteers that will be working under the Principal Scientific Investigator named above. Attach a separate list if needed. An amendment form and fee must be submitted, approved, and returned to you by the Department before you can add or remove employees and volunteers from this list.

FIRST NAME ________________________________ LAST NAME ________________________________

STEPHEN ________________________________ PALUMBI ________________________________

VICTORIA ________________________________ HUTCHINS ________________________________

KRISTIN ________________________________ ROBINSON ________________________________

FOR DEPARTMENT OF FISH AND WILDLIFE USE ONLY

REVIEWED DATE APPLICATION FEE TRANSACTION # PERMIT FEE TRANSACTION # # APPLICATIONS LRB ROUTED TO DATE

1 [ ] 2 [ ] 3 [ ]
SECTION 3 - PERMIT INFORMATION

USE OF PERMIT: CHECK ALL APPLICABLE BOXES

- Biological Consulting (generally, catch and release only)  - Research  - Museum Collection  - Biological Collection Service
- State, Federal or Other Agency Biologist  - Education  - Other-

Wildlife and Activity: Reminder - You must provide justification in Section 6 for each wildlife taxa and activity checked here. Check the type of wildlife taxa to be taken AND circle the type of activity requested: S=sacrifice; R=capture and release; C=take into captivity; SL=salvage; M=mark.

- MAMMALS
- BIRDS* Other activity -
- REPTILES
- AMPHIBIANS
- VERNAL POOL/TERRESTRIAL INVERTEBRATES

*See Standard Condition "K"

CHECK ONE: Other SCP permittees are involved in activity or project. YES □ NO □ (If yes, list the permittees below. Attach separate list if needed.)

<table>
<thead>
<tr>
<th>FIRST NAME</th>
<th>LAST NAME</th>
<th>SCIN NUMBER</th>
</tr>
</thead>
<tbody>
<tr>
<td>SC</td>
<td>SC</td>
<td>SC</td>
</tr>
</tbody>
</table>

SECTION 4 - SPONSOR INFORMATION

Students, teachers and individuals collecting on behalf of an organization must all have one member of the organization sponsor them. Sponsors must fully complete this section of the application. Students must have one faculty member with affiliation to the student's college or university sponsor the student. Elementary and secondary school teachers must be sponsored by their principal. In some other cases, the Department may review an application and determine that a sponsor is needed and will request this information directly from the applicant or organization.

SPONSOR'S FIRST NAME | M.I. | LAST NAME | PHONE |
----------------------|------|-----------|-------|

When completing your report of collections for this permit please identify the species to the lowest taxonomic level and be specific as to what species and numbers were placed in captivity, sacrificed, caught and released, etc. Also, please separate what was caught in an MPA and what was caught outside of an MPA.

APPLICATION CERTIFICATION

BY CHECKING ALL BOXES, I HEREBY DECLARE THAT THE FOLLOWING INFORMATION IS PROVIDED IN THE JUSTIFICATION SECTION OF THIS APPLICATION

- Purpose  - Species + Numbers to be collected  - Locations + Timeframes for Collecting  - Species Disposition
- Methods/Activity  - Literature Cited  - Attached Federal/State Permit(s) (Applicable/NOT APPLICABLE) - Circle appropriate or

I understand that if I fail to provide all information, circle items or check the boxes, my permit may be denied. I certify that I have read, understand, and agree to abide by, all conditions of this permit and attachments, the applicable provisions of the FGC, and the regulations promulgated thereof (Title 14, Section 650). I certify that I am not currently under any Fish and Wildlife license or permit revocation or suspension, and that there are no other legal or administrative proceedings pending that would disqualify me from obtaining this permit. I agree that if I make any false statement as to any fact required as a prerequisite to the issuance of this permit, the permit is void and will be surrendered where purchased, and I understand that I may be subject to prosecution pursuant to FGC Section 1054 or to other administrative actions pursuant to Section 746, Title 14, of the CCR.

APPLICANT SIGNATURE

DATE

7/11/16
SECTION 5 - PERMIT JUSTIFICATION - Required for ALL activities.

IS A FEDERAL OR ADDITIONAL STATE PERMIT OR MOU REQUIRED? ☐ YES (if yes, attach copies.) ☑ NO

PROVIDE START AND END DATE AND/OR EXPLAIN SEASONAL REQUIREMENTS FOR YOUR WORK.

Purpose

Dr. Jenny Giles (PI) is a fish biologist and Certified Wildlife Forensic Scientist specializing in the identification of elasmobranchs (sharks and rays) and their parts, particularly shark fins (statement of qualifications attached).

The applicant requests permission to possess and transport elasmobranch fins and their derivatives for two purposes;

a) to assist with investigations and conduct forensic analyses for Federal or state law enforcement proceedings, conduct subsequent research on forensic evidence released for this purpose, and to retain specimens for morphological comparison.

b) to research the species comprising the shark fin trade, and genetic techniques for identifying the different species that occur in trade, in the laboratory of Professor Stephen Palumbi at Stanford University’s Hopkins Marine Station, with the assistance of listed technical staff.

Collection of fins and fin derivatives (methods/locations), and disposition

All fins and fin derivatives to be held in possession and transported will originate from one of the following sources;

a) seized by Federal and state agencies, including California Department of Fish and Wildlife, or
b) salvaged by the applicant or research collaborators outside of California, or
c) salvaged by research collaborators in California prior to the California shark fin statute.

Species to be collected

The species origin is typically the subject of investigation. Fin material obtained from trade may originate from any elasmobranch lineage. To the applicant’s knowledge, none are protected under CESA.

Other shark and ray tissue

The applicant also requests permission to possess and transport other elasmobranch tissue samples (e.g., muscle, skin, specimens) for DNA analysis comparative purposes, and other shark parts such as jaws that may be subject to analysis as part of federal or state law enforcement proceedings. These tissues will have been salvaged or seized as outlined above for fins and fin derivatives.

Storage

Forensic evidence, whole fins and marketable fin derivatives will be stored in locked freezers and cabinets.

Additional authorized individual (continued from page 1)

ELIZABETH SHEETS (L16) Individual permit valid until 2/17/19.
Please Read:
For each shark fin, or unit of shark fins/shark fin derivatives received together from the same source at the same time that you obtained, you must provide a chain of custody that details where the fin or derivatives came from (if unknown, state unknown), what species it belongs to (if unknown, or if large batch of fins or derivatives are examined, state as much), who donated the fin or derivatives and, if salvaged from other researchers, who those researchers are to include a brief summary of their research project and the SCP or any other state or federal permit they were issued which authorized that research. A final disposition must be included and guided by the following:

Disposition Requirements
When the relevant examination is complete the fins and fin derivatives will be:
a) returned via courier or in person to the submitting agency for disposal, or
b) labelled and accessioned in a reference collection as morphological or DNA reference material for future casework and/or research (as appropriate), or
c) destroyed via an approved method following consultation with CDFW.

Chain of custody forms should be in your possession and in conjunction with possession of the shark fin(s) and made available to any Department of Fish and Wildlife (CDFW) employee should they request to see it.

Chain of custody forms should be submitted to CDFW by December 31 of each year by sending a copy to Steve May at james.may@wildlife.ca.gov. These forms will be accepted in lieu of a completed form FG 1379(a)- Report of Specimens Collected or Salvaged. You must still turn in FG 1379(a) before you renew this permit or 30 days after the expiration of this permit. However, in a single line in the table, you should only reference that all reporting was done under the chain of custody forms described above.

Only the PI and the technicians listed on this permit are approved to oversee any analysis or research on the shark fin(s) described in the chain of custody.

Since you are not physically collecting samples from the wild, you are exempted from turning in the 24-hour notice of intent to collect.
When collecting marine species anywhere in the state you must notify the Monterey office of the event and location of your collecting activities at least 24 hours prior to commencement of such activities by filling out Form 1379f (Notification of Intent to Collect for Scientific Purposes) and fax it to (831) 649-2819 or email it to R7monterey.frontoffice@wildlife.ca.gov.

No collections may be made in any Marine Protected Area (MPA) without additional prior written permission from the Department of Fish and Wildlife. MPAs include the following: California Rockfish Conservation Area, State Marine Reserve, State Marine Conservation Area, State Marine Park, State Reserve, Marine Life Refuge, Fish Refuge, Wildlife Area, State Game Refuge or Ecological Reserve.

If you are listed on this permit as an authorized collector and if you have any person(s) assisting with a scientific collecting project or activity, you are required to be present and overseeing the activities as described and must be in possession of a copy of your permit.

This permit does not relieve the permittee of the responsibility to obtain any other permits, or comply with any other Federal, State or local laws or regulations. It is the responsibility of the permittee to know the boundaries and managing authority of State Parks, National Marine Sanctuaries, National Parks, or other specially designated protected areas.

Department of Parks and Recreation: http://www.parks.ca.gov/
National Marine Sanctuaries: http://sanctuaries.nos.noaa.gov
National Parks Service: http://www.nps.gov/

Pursuant to Fish and Game Code 6400, you are NOT authorized to release any specimens back into the wild after they have been taken into captivity, unless you obtain written permission from the Department of Fish and Wildlife. Requests to reintroduce animals from holding facilities into the wild will be evaluated based on the benefit of the return weighted against the risk of disease and non-native species introductions to the wild.

You are required to complete and submit a Scientific Collecting Amendment Form (Form FG 1379e) when requesting a change to an existing Scientific Collecting Permit or if your affiliation changes. The SCP Amendment Form is available online at www.dfg.ca.gov/licensing/pdffiles/fg1379e.pdf.

YOU MAY NOT BEGIN ANY NEW COLLECTION ACTIVITY UNTIL YOU HAVE RECEIVED AN APPROVED, VALIDATED AMENDMENT.

You must provide a scientific collecting permit report of specimens collected or salvaged (Form FG 1379e) within 30 days of the expiration of the permit, or upon submitting an application to renew a SCP.

If you did not collect any specimens or collected the same individuals as another permittee, you still need to submit a report. Enter a single line indicating that no specimens were collected or indicate the permittee's name and SCP number for the specimens already reported. PLEASE DO NOT DUPLICATE DATA.

NO OTHER SPORT OR COMMERCIAL FISHING ACTIVITIES or COLLECTION OF UNAUTHORIZED SPECIES is allowed on the same trips or time periods as scientific collection activities. Collected organisms may not be used for commercial profit or personal benefit.

DEPARTMENT REVIEWER(S) SIGNATURE

1. APPROVED

By Brian O'Connor, Marine Region 06.30 am, Sep 01, 2018

2. 3.
Jenny Giles, PhD, CWFS
Shark Biologist, Forensic Specialist (DNA/ Morphology)
Fin Forensics LLC
Los Altos CA USA

Qualifications
Doctor of Philosophy (Marine Population Genetics), University of
Bachelor of Environmental Science (Marine Science) – Honors Class 1, University of
Bachelor of Arts (Indonesian Studies) University of
Certified Wildlife Forensic Scientist. Society for Wildlife Forensic Sciences Certification Program
Proficiency tested

Summary of expertise

I am a world expert in the forensic morphological and DNA species identification of shark and ray fins in global trade, and an experienced forensic analyst on shark casework for Federal and State law enforcement agencies in the USA and internationally. I have regularly assisted investigations over the last decade from IUU and domestic fishing vessels, to processed imports and exports, and have delivered shark fin identification training to field agents and fisheries inspectors in North and South America, Asia, and Australia.

I have 15 years' experience working with the global shark fin trade, through governmental and academic collaborations in 15 countries, with a particular focus on Southeast Asia, Australia and the USA. I initially focused on shark fisheries and shark taxonomy, working with Southeast Asian and Northern Australian landings at the supply side of the fin trade, from both legal and IUU fishing. In my PhD, I expanded my focus to international trade and the DNA identification of shark fins at all stages of processing.

I trained and gained experience in forensic DNA analysis in the US Federal context as a Postgraduate Fulbright Scholar at the US Fish and Wildlife Service (USFWS) National Forensics Laboratory in Ashland, Oregon, and during subsequent postdoctoral tenure as a visiting specialist at the National Oceanic and Atmospheric Administration (NOAA) National Marine Fisheries Service's Forensic Laboratory in Seattle, Washington.

Since 2014, I have been an elected member of the Wildlife Forensics Subcommittee of the Organization of Scientific Area Committees for the Forensic Sciences (OSAC), the US Federal advisory body for the cross-disciplinary development of forensic science standards. I have participated in government and non-government delegations representing the US in wildlife forensic science and shark trade enforcement issues in 8 countries. I recently completed a two year academic research appointment at Hopkins Marine Station of Stanford University, focusing on the US shark fin trade.

Key professional activities

Research Associate
Stanford University, Hopkins Marine Station
Pacific Grove, CA, USA

National Research Council Postdoctoral Fellow/ American Australian Association Sir Keith Murdoch Postdoctoral Fellow/ Australian Government Endeavour Fellow
NOAA National Marine Fisheries Service Northwest Fisheries Science Center Forensic Laboratory, Seattle, WA, USA (Administered by National Academy of Sciences/ Veterinary Genetics Laboratory Forensics Unit, University of California, Davis)

Fulbright Postgraduate Scholar/ Visiting Scientist
Genetics Section, US Fish and Wildlife Service National Forensics Laboratory, Ashland, OR, USA
Academic Exchange Service (DAAD) Fellow Institute for Zoo and Wildlife Research/University

PhD by research
Title: Phylogeographic variation in selected Indo-West Pacific shark and ray species, and application to monitoring and enforcement of the international shark fin trade
School of Biological Sciences, University of Queensland, Brisbane, QLD, Australia

Fisheries Genetics Technician, Project: Species identification of shark fins in foreign fishing vessel seizures in Northern Australia. Queensland Department of Primary Industries and Fisheries' Molecular Fisheries Laboratory, St Lucia, QLD, Australia.


Data Co-ordinator Project: Bycatch of sharks and rays in Northern Australian fisheries. CSIRO Marine and Atmospheric Research, Cleveland, QLD, Australia

Additional roles
Member, Wildlife Forensics Subcommittee, Organization of Scientific Area Committees for Forensic Science (NIST-OSAC)
Member, Scientific Working Group for Wildlife Forensic Sciences (SWGWILD)
Language Editor (Bilingual), Indonesian Institute of Sciences (LPI) journal Marine Research in Indonesia

Training delivered
USA Shark fin identification for CITES/ state statute implementation. CDFW, US Coastguard, NOAA, San Francisco (funded by CDFW)
Ecuador Shark fin identification, trade products recognition. Ecuador Fisheries (MAGAP) and Federal Environment and Customs officials, Manta (funded by NOAA/WWF)
Vietnam Shark fin trade diagnostics fundamentals and CITES implementation, for Vietnam CITES MV SAs, Hanoi (funded by National Fish and Wildlife Foundation)
Sri Lanka Shark fin identification training, for Federal government officials representing Customs, Fisheries and enforcement-relevant agencies from 14 Indo-West Pacific nations. Pew South Asia CITES Workshop: Implementing the new CITES Appendix II listings for sharks (funded by Pew)
Australia Shark fin identification training, Northern Territory Water Police, Darwin, NT (funded by DIBRD)
Australia Issues in shark fin identification for enforcing CITES-listed species and Australian federal and state legislation. Australian Federal departments relevant to environment, fisheries and customs inspections: DSEWPac, AFMA, DAFF, ABRS, ACS, AQIS, Canberra
Indonesia Tuna long-lining observer program shark identification training, Benoa (delivered in Indonesian) (funded by the Australian Center for International Agricultural Research)

Additional international activities
Mexico Commission for Environmental Cooperation (CEC) meeting in Mexico City, CITES II implementation shark fisheries and trade products in North America
Taiwan Assisted the FAO of the UN with testing of the isharkfin program on Taiwanese fisheries landings Indonesia, Malaysia, Thailand, Philippines, China Member of USFWS's Forensic Assessment Team for ASEAN's Wildlife Enforcement Network and USAID- ARREST
Awards and fellowships


Key professional memberships

International Society for Forensic Genetics, Society for Wildlife Forensic Sciences, Asian Fisheries Society, American Elasmobranch Society, Oceania Chondrichthyan Society

Recent continuing education

Genetics LAW 3004, Stanford Law School (Staff Continuing Education).

Relevant publications

Giles JL, Riginos C, Naylor GJP, Dharmadi, Ovenden JR. (2016) Genetic and phenotypic diversity in the wedgefish Rhynchobatus australis, a threatened ray of high value in the shark fin trade. Marine Ecology Progress Series 548:165-180


Shark Fin Guide

IDENTIFYING SHARKS FROM THEIR FINS
Fin Forensics, LLC
4750 El Camino Real
Los Altos CA 94022

Date 6/1/13

Pay to the order of US Fish and Wildlife Service $100.00
One hundred dollars only

FEDERAL CREDIT UNION
MEMO: Ref - Item 3

SIGNED:
BOMA the lion DOB 6-19-16  AKA "LUKE"

PRABU THE TIGER DOB 6-26-16

Both animals were born from our captive bred parents.

Sent from AOL Mobile Mail

On Monday, August 21, 2017, Working Wildlife-Office <info@workingwildlife.com> wrote:

Hi Doc,

We were wondering if you could send us over any information on the lion and tiger Steve got from you?

Thanks,

Deana

Steve Martins Working Wildlife

(661) 245-2406

14466 Boy Scout Camp Rd

Frazier Park, CA 93225

http://www.workingwildlife.com/
APPLICATION FOR:

- 3 YEAR MULTI PASS PORT CITES-(Including species under ESA)
- NEW MASTER FILE

CHECK LIST of DATA PROVIDED:
* refer to Facility File for Current Updates
* # 028199

- Check provided
- USFW Application form
- Captive-Bred Affidavit
- USDA copy of: Acquisition, Disposition or Transfer
- Statement of the current location of animal
- refer FACILITY FILE: Current USDA Class C Exhibitor Permit, and inspection report
- refer FACILITY FILE: Current California Fish & Game Permit
- refer FACILITY FILE: Current USFW-import/export license
- refer FACILITY FILE: *PRIMATES ONLY CDC registration
- refer FACILITY FILE: Current migratory bird permit
- refer FACILITY FILE: Oral script presentations, educational material, picture handouts... in order to help the enhancement for the survival of the species.
- refer FACILITY FILE: Description of the facilities and diagram of where the wildlife resides in USA
- refer FACILITY FILE: Description, and photos of transportation cages in USA, and abroad
- refer FACILITY FILE: Resumes of qualifications of the individuals/trainers who care for and train the animals

SPECIES: African Lion
HOUSE NAME: Teve Working Wildlife
DATE sent: 5-31-18
Fed Ex or Mail: Fed Ex

Comments: "Luke" is in great health, and resides at our facility at Frazier PK, CA 93225

Above data provided by: Dubini a. mcreeeny
Federal Fish and Wildlife Permit Application Form

Return to: U.S. Fish and Wildlife Service
Division of Management Authority (DMA)
Branch of Permits, MS: IA
5275 Leesburg Pike
Falls Church, VA 22041-3803
1-800-358-2104 or 703-358-2104

Type of Activity:
- Export/Re-export/Re-import of Circuses and Traveling Animal Exhibitions (and Reissuance) (CITES/ESA)
- New Application
- Master File Permit #:
- Requesting Re-issuance/Amendment of Permit#

Complete Sections A or B, and C, D, and E of this application. U.S. address may be required in Section C, see instructions for details. See attached instruction pages for information on how to make your application complete and help avoid unnecessary delays.

### A. Complete if applying as an individual

<table>
<thead>
<tr>
<th>1.a. Last name</th>
<th>1.b. First name</th>
<th>1.c. Middle name or initial</th>
<th>1.d. Suffix</th>
</tr>
</thead>
<tbody>
<tr>
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<thead>
<tr>
<th>2. Date of birth (mm/dd/yyyy)</th>
<th>3. Social Security No.</th>
<th>4. Occupation</th>
<th>5. Affiliation/Doing business as (see instructions)</th>
</tr>
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<tr>
<th>6.a. Telephone number</th>
<th>6.b. Alternate telephone number</th>
<th>6.c. Fax number</th>
<th>6.d. E-mail address</th>
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### B. Complete if applying on behalf of a business, corporation, public agency, tribe, or institution

<table>
<thead>
<tr>
<th>1.a. Name of business, agency, tribe or institution</th>
<th>1.b. Doing business as (dba)</th>
</tr>
</thead>
<tbody>
<tr>
<td>STEVE MARTINS WORKING WILDLIFE, INC</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>2. Tax Identification no.</th>
<th>3. Description of business, agency, tribe, or institution</th>
</tr>
</thead>
<tbody>
<tr>
<td>77-0171209</td>
<td>PROVIDE EXOTIC &amp; DOMESTIC ANIMALS FOR FILM &amp; EDUCATION PURPOSE</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>4.a. Principal officer Last name</th>
<th>4.b. Principal officer First name</th>
<th>4.c. Principal officer Middle name or initial</th>
<th>4.d. Suffix</th>
</tr>
</thead>
<tbody>
<tr>
<td>MARTIN</td>
<td>STEVE</td>
<td>[ ]</td>
<td></td>
</tr>
</tbody>
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</tr>
</thead>
<tbody>
<tr>
<td>PRESIDENT</td>
<td>DEBBIE MCNEELEY</td>
<td>Office Manager</td>
<td>661-245-2406</td>
<td>661-245-3617</td>
<td><a href="mailto:INFO@WORKINGWILDLIFE.COM">INFO@WORKINGWILDLIFE.COM</a></td>
<td></td>
</tr>
</tbody>
</table>

### C. All applicants complete address information

<table>
<thead>
<tr>
<th>1.a. Physical address (Street address; Apartment #, Suite #, or Room #; no P.O. Boxes)</th>
<th>1.b. City</th>
<th>1.c. State</th>
<th>1.d. Zip code/Postal code</th>
<th>1.e. County/Province</th>
<th>1.f. Country</th>
</tr>
</thead>
<tbody>
<tr>
<td>14466 BOY SCOUT CAMP ROAD</td>
<td>FRAZIER PARK</td>
<td>CA.</td>
<td>93225</td>
<td>VENTURA</td>
<td>USA</td>
</tr>
</tbody>
</table>

| 2.a. Mailing Address (include different than physical address; include name of contact person if applicable) | 2.b. City | 2.e. City | 2.d. Zip code/Postal code | 2.e. County/Province | 2.f. Country |
|                                                                                       |          |          |                          |                     |              |

### D. All applicants MUST complete

1. Attach check or money order payable to the U.S. FISH AND WILDLIFE SERVICE in the amount identified on page 2. Federal, Tribal, State, and Local government agencies, and those acting on behalf of such agencies, are exempt from the processing fee – attach documentation of fee exempt status as outlined in instructions. (50 CFR 13.11(0))

2. Do you currently have or have you ever had any Federal Fish and Wildlife permits? Yes [ ] No [ ] Yes, list the number of the most recent permit you have held or that you are applying to renew/re-issue: le8181360 mb6992360

3. Certification: I hereby certify that I have read and am familiar with the regulations contained in Title 50, Part 13 of the Code of Federal Regulations, and the other applicable parts in subchapter B of Chapter 1 of Title 50, and I certify that the information submitted in this application for a permit is complete and accurate to the best of my knowledge and belief. I understand that any false statement herein may subject me to the civil and criminal penalties of 18 U.S.C. 1001.

Signature (in blue ink) of applicant/person responsible for permit (No photocopied or stamped signatures) Date of signature (mm/dd/yyyy)

Please continue to next page
E. Export/Re-export/Reimport of Circuses, Traveling Animal Exhibitions, or Museum Exhibitions (and Reissuance) (CITES/ESA)

Note 1. This form is only for the purpose of temporary travel (export and re-import) to exhibit animals, museum exhibitions, or other travelling exhibitions where specimens do not change ownership (e.g., not being bought or sold while outside the United States). If you are intending to transfer ownership or offer specimens for sale outside the United States, submit form 3-200-23 (pre-Convention specimens) or 3-200-37 (ESA/CITES specimens). All applications can be found at [http://www.fws.gov/international/permits/by-form-number/index.html](http://www.fws.gov/international/permits/by-form-number/index.html).

Note 2. If you are traveling with musical instruments, you can use form 3-200-88 (Musical Instrument Certificate).

Note 3. For activities involving marine mammals, use form 3-200-53 (Export /Re-Export of Live Captive Held Marine Mammals (CITES)).

Note 4. If you are applying on behalf of a client, provide documentation to show that you have a Power of Attorney authorizing you to act on behalf of the client.

Note 5. For Re-issuance and Amendments requests: PLEASE RETURN THE ORIGINAL PERMIT.

Note 6. Please review the complete application before beginning. There are three scenarios under which circus and traveling exhibition are permitted.

Scenario 1. Traveling Exhibition Certificate (Resolution Conf. 12.3(Rev. CoP13)). This applies only to an animal or specimens that qualify as pre-Convention or Bred in Captivity as defined in Resolution Conf. 10.16 (Rev.). A CITES certificate may be issued up to 3 years for a single animal or a group of (non-living) specimens. Follow instructions in Part I below, and complete one application per animal or group of specimens moving as one exhibition. If the animal or specimens do not qualify for the traveling-exhibition certificate, follow instructions in Part II.
Processing fee: $100 for a species listed on both CITES and ESA; $75 for a species listed on CITES only.

Scenario 2. For animals that do not qualify under Scenario 1, a Master File can be established that is valid for up to three years for one or more animals or specimens. A Master file would authorize a number of (re-)exports and/or imports over a three-year period, but you would still be required to obtain CITES re-export documents for the re-exporting country before returning to the United States. Once a Master File is approved, you must obtain single-use permits, valid for 6 months or until the expiration of the master file, whichever is sooner, for each export/re-export or import (50 CFR 13.11). Processing fees: $200 to establish a Master file; $100 for Master file renewal; $5 single use documents. Follow instructions in Part II.

Scenario 3. For animals that do not qualify under Scenario 1 and you do not need/want to conduct multiple shipments, you may apply for a Single Use Permit for multiple animals that is valid for a single export or re-export. If you are making a single import, please use from 3-200-37. Processing fee: $100. Follow instructions in Part II.

Provide the following information. Complete all questions on the application. Mark questions that are not applicable with "N/A". You may need additional sheets of paper. On all attachments or separate sheets you submit, indicate the application question number you are addressing. Please do not submit video tapes.

Complete either Part I or Part II, as appropriate AND Part III and IV.

---

1 Specimen was acquired (removed from the wild or held in captivity or a controlled environment) before the date CITES applied to it. The listing date can be found [http://www.cites.org](http://www.cites.org). CFR 23.45 b1
Part I. Traveling Exhibition Certificate (Scenario 1)

1. Provide the following for the animal or group of specimens (a separate permit application is needed if more than one animal is involved).

<table>
<thead>
<tr>
<th>Scientific name (genus, species, and if applicable, subspecies) and Common name</th>
<th>Gender, if known</th>
<th>Date of Birth or manufacturing (MM/DD/YYYY)</th>
<th>Source (Wild or Born in captivity)</th>
<th>Country of last re-export</th>
<th>Description (e.g., I.D. #, band #, tattoo #, tag #, size, microchip #, house name, distinguishing marks/features). If microchip #, provide manufacturer and location of microchip. (Border officials must be able to verify that the permit and the animal correspond.)</th>
</tr>
</thead>
<tbody>
<tr>
<td>PANTHERA LEO AFRICAN LION</td>
<td>1.0</td>
<td>06/19/2016</td>
<td>captivity</td>
<td>NONE</td>
<td>Microchip by microfindr. chip # 9810200 194 800 14 981</td>
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<tr>
<td>given name: Luke</td>
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</table>

2. Current location of specimen(s):

14466 Boy Scout Camp Rd, Frazier Park, CA 93225

Part II. Animals or specimens that do not qualify for a Traveling-exhibition Certificate.

1. Please indicate which you are requesting (check appropriate box):

☐ Master File (Scenario 2 - individual CITES documents, valid for up to six months, issued from the Master File)

How many single-use permits do you anticipate using in the next six months if master file is approved? 1.

Additional CITES documents may be requested via form 3-200-74 (http://www.fws.gov/international/permits/by-form-number/index.html).

OR

☐ Single Use Permit (Scenario 3) valid for a single shipment in a six-month period.

Indicate country and location(s) of exhibition:

Name:

Address:

Address:

City:

State/Province:

Country, Postal Code:

2 The exporter may be asked to have a microchip reader on hand to read the microchip at the time of export.
2. Provide the following for each animal or specimen (multiple animals or specimens may appear on a single document).

<table>
<thead>
<tr>
<th>Scientific name (genus, species, and if applicable, subspecies) and Common name</th>
<th>Gender, if known</th>
<th>Date of Birth or Manufacturing (MM/DD/YYYY)</th>
<th>Source (Wild or Born in captivity)</th>
<th>Last Country of last re-export</th>
<th>Description (e.g., I.D. #, band #, tattoo #, tag #, size, microchip #, house name, distinguishing marks/features). If microchip #, provide manufacturer and location of microchip(^3). (Border officials must be able to verify that the permit and the animal correspond.)</th>
</tr>
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<tbody>
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</tbody>
</table>

3. Current location of specimens:

Part III (All applicants complete). For EACH animal or specimen, provide the following. If your application covers more than one animal or specimen, be sure to answer questions 1 and 2 for each animal or specimen being addressed in the application.

If this animal or specimen qualifies as pre-Convention\(^1\), provide documents, signed statements or other evidence that the wildlife was born or removed from the wild prior to the date CITES applied to it (e.g., bill of sale, ISIS record, breeder’s record).

1. Was the animal or source of the specimen born/hatched in captivity? Yes [ ] No [ ]

   **If YES, provide responses to a and b. below:**
   
   a. Are you the breeder? If so, please provide a statement that the animal was bred and born/hatched at your facility. This statement must include:
      i. Birth/hatch date, and if applicable band/tag number, and sex of each specimen;
      ii. Name and address of your facility where the animal was bred and born;
      iii. Location of parental stock; and
      iv. Your signature and date.

   b. If you are NOT the breeder of the specimen(s), provide copies of documentation showing that you acquired the animal from the breeder or documentation demonstrating the history of transactions (chain of ownership of each animal) and a signed statement from the breeder or breeder’s record that includes:
      i. That the animal was bred and born/hatched at his/her facility;
      ii. Birth/hatch date, and, if applicable, band/tag number, or other identifiers;
      iii. Sex of each specimen;
      iv. Location (Name, Street address, City, State) of Parental Stock;
      v. Complete name and address of the breeder's facility.

---

\(^3\) If a microchip is used to identify the animal, the exporter may be asked to have a microchip reader on hand to read the microchip at the time of export.
If NO (animal was not born/hatched in captivity), provide:

i. Location of where, when, and by whom (name and address) the specimen was removed from the wild;
ii. Purpose of removal;
iii. Copy of any permits or other documents from the State or local wildlife authorities approving the activities;
iv. Documentation showing that the specimens were legally acquired by the applicant; and
v. Copies of any applicable State permits or licenses that are required to house, maintain, and breed these specimens (contact your State for information).

2. If this animal or animal from which the specimen was obtained is protected by the U.S. Endangered Species Act (ESA):
   Is the animal or specimen pre-Act (acquired or held in a controlled environment on or before (a) December 28, 1973 or the date when the species was listed, and (b) has not entered into commerce (e.g., been bought, sold, or offered for sale by you or anyone else) since December 28, 1973, or the date when listed)?

   a. [ ] If yes, provide evidence that the animal meets the above criteria.

   b. [ ] If no, you must be able to show that your proposed activity would meet the issuance criteria under ESA.
      For endangered species, permits can be issued for activities that enhance the survival or propagation of the species or scientific research. For threatened species, permits can be issued for the above reasons, as well as education, zoological display, or other purposes that would meet the purpose of the Endangered Species Act.

      Provide a statement, and documentation to support the statement, on how the activities will enhance or benefit the wild population (in-situ and ex-situ projects). While permits cannot be issued solely for educational or display purposes for endangered species, if your activities include conservation education, provide copies of educational materials (e.g., handouts, text of signage or public presentations). If you are submitting more than one application at this time for a group of animals, you can complete this section on one application and refer any subsequent application to this statement. If you need more explanation on this question, please contact the Division of Management Authority.

3. (For all applicants) If your activity includes public presentations, please provide the following:

   i. In what type of presentation are you proposing to use the specimen (e.g., live performance, movie, TV)?
   ii. Provide a copy of the actual script or material that will be presented to the audience at each performance, show, or viewing of the specimen(s). This material must be original in nature (e.g., photocopies from a reference book are not appropriate) and must be the actual material that will be presented each time the animal is viewed by the target audience.
   iii. Will fact sheets, brochures, or posters be used? Is the written material available free-of-charge?
   iv. When will the material be presented? If the material will be presented orally, when will this presentation be given? What activities will be occurring at the same time the presentation of the message is being provided and could the activity diminish the effectiveness of the presentation? If the material will be presented in a written form, will an oral announcement be made regarding the availability of this material? If the material is in poster form, will the posters be placed so that the material will be accessible by the public?
   v. When exhibiting in countries where English is not the primary language, explain how the conservation education information will be presented to the non-English speaking audience.

4. Is the animal a live non-human primate? If so, provide a copy of your current Centers for Disease Control (CDC) registration.
Part IV (all applicants complete). If you are submitting more than one application at this time, you may submit the following information once and refer to it in all subsequent applications.

1. For live exhibitions, provide the following on your facilities:
   a. Provide address of the permanent facility where the animal(s) is/are maintained.

   Name: Steve Martin
   Facility Name: Steve Martins Working Wildlife, Inc
   Address: 14466 Boy Scout Camp Road

   City: Frazier Park
   State/Province: Ca.
   Country, Postal Code: USA 93225

   b. A detailed description, including size, construction materials, protection from the elements, and photographs or detailed diagrams clearly depicting the permanent facilities;

   c. Provide the same as above for transportation units used while traveling within the United States and abroad. The transport conditions must comply with 50 CFR Part 13, the CITES Guidelines for Transport of Live Animals, as well as the Animal Welfare Act and, in the case of air transport, with the International Air Transport Association (IATA) (www.iata.org/cargo/live.htm) live animal regulations. Your description must include:
      i. The type, size, and construction of any shipping container; and
      ii. The arrangements for watering or otherwise caring for the wildlife during transport.

   d. Description of the qualifications of the individuals to train and care for the animal, including the number of years' experience with this species or similar species, and names of current caretakers.

2. For live exhibitions, provide a list all mortalities of ESA listed species which occurred at your facility during the past five years, and explain the cause of the mortalities and measures taken to prevent future mortalities if appropriate.

3. Provide copies of any applicable permits, licenses and registrations (State Fish and Game, U.S. Department of Agriculture Animal Welfare Act (AWA), Center for Disease Control and Prevention).

4. All international shipment(s) must be through a designated port. A list of designated ports (where an inspector is posted) is available from [http://www.fws.gov/le/designated-ports.html](http://www.fws.gov/le/designated-ports.html). If you wish to use a port not listed, please contact the Office of Law Enforcement for a Designated Port Exemption Permit (form 3-200-2).
5. Name and address where you wish permit mailed, if different from page 1 (All permits will be mailed via the U.S. Postal Service, unless you identify an alternative means below):

PLEASE SEND BY FED EX TO ADDRESS ON PAGE 1. FED EX # (b)(4)

6. If you wish the permit to be delivered by means other than USPS regular mail, provide an air bill, pre-paid envelope, or billing information. If you do not have a pre-paid envelope or air bill and wish to pay for a courier service with your credit card, please check the box below. Please DO NOT include credit card number or other information; you will be contacted for this information.

☐ If a permit is issued, please send it via a courier service to the address on page 1 or question 5. I understand that you will contact me for my credit card information once the application has been processed.

7. Who should we contact if we have questions about the application? (Include name, phone number, and email):

Debbie McNeely (b)(6)

8. Disqualification Factor. A conviction, or entry of a plea of guilty or nolo contendere, for a felony violation of the Lacey Act, the Migratory Bird Treaty Act, or the Bald and Golden Eagle Protection Act disqualifies any such person from receiving or exercising the privileges of a permit, unless such disqualification has been expressly waived by the Service Director in response to a written petition. (50 CFR 13.21(c)) Have you or any of the owners of the business, if applying as a business, been convicted, or entered a plea of guilty or nolo contendere, forfeited collateral, or are currently under charges for any violations of the laws mentioned above?

☐ Yes ☑ No If you answered "Yes" provide: a) the individual’s name, b) date of charge, c) charge(s), d) location of incident, e) court, and f) action taken for each violation.
SPECIAL PURPOSE POSSESSION - LIVE MIGRATORY BIRDS
FOR EDUCATIONAL USE

Permit Number: MB699296-0
Effective: 03/08/2018 Expires: 03/31/2020

Issuing Office:
Department of the Interior
U.S. FISH AND WILDLIFE SERVICE
Migratory Bird Permit Office
2800 Cottage Way - Room W-2606
Sacramento, CA 95825
Tel: 916-979-6183 Fax: 916-979-6183
Email: permitsR8MB@fws.gov

Permittee:
STEVE MARTINS WORKING WILDLIFE
14466 BOY SCOUT CAMP ROAD
FRAZIER PARK, CA 93225
U.S.A.

Name and Title of Principal Officer:
DONNA MARTIN - PRINCIPAL OFFICER


Location where authorized activity may be conducted:
Education presentations may occur anywhere in the U.S. (excluding Hawaii) where the permittee has appropriate corresponding State authority. Birds and records maintained at the permittee address above.

Reporting requirements:
ANNUAL REPORT DUE: 01/31
You must submit an annual report to your Regional Migratory Bird Permit Office each year. Form: www.fws.gov/forms/3-202-5.pdf.

Authorizations and Conditions:
A. General conditions set out in Subpart B of 50 CFR 13, and specific conditions contained in Federal regulations cited above, are hereby made a part of this permit. All activities authorized herein must be carried out in accord with and for the purposes described in the application submitted. Continued validity, or renewal of this permit is subject to complete and timely compliance with all applicable conditions, including the filing of all required information and reports.

B. The validity of this permit is also conditioned upon strict observance of all applicable foreign, state, local tribal, or other federal law.

C. Valid for use by permittee named above.

D. You are authorized to possess for conservation education purposes the following nonreleasable live migratory birds: 2 Common Ravens and 1 Great Horned Owl.

E. Any person who is
   (1) employed by or under contract to you for the activities specified in this permit, or
   (2) otherwise designated a subpermittee by you in writing, may exercise the authority of this permit.

F. You and any subpermittees must comply with the attached Standard Conditions for Special Purpose Possession Live Migratory Bird Educational Use Permits. These standard conditions are a continuation of your permit conditions and must remain with your permit.

For suspected illegal activity, immediately contact the U.S. Fish and Wildlife Service Office of Law Enforcement at: (310) 328-1516 (Torrance).
Doc Antel aka Bhagavan K
USDA #56-C-0116
Antle
miami, Florida
email: b(b)5

Steve Martins Working Wildlife,
14468 Boy scout Camp Rd., Inc.
Essex Park, Ca. 93225
43-C-0051

DELIVERY BY COMMERCIAL CARRIER

Buyer's Truck

10. TRUCK LICENSE NUMBER

11. BILL OF LADING NUMBER

12. NAME AND ADDRESS OF COMPANY OR FIRM (Include ZIP Code)

13. NAME AND ADDRESS OF TRUCK DRIVER (Include ZIP Code)

DELIVERY RECEIPT - TO BE COMPLETED BY BUYER OR RECEIVER

14. ANIMALS DELIVERED WERE (X one)

X IN APPARENT GOOD CONDITION

□ POOR CONDITION

□ REJECTED (Attach explanation for rejection)

15. TOTAL NUMBER RECEIVED 2

16. BY (Signature)

17. NUMBER ALIVE 2

18. TITLE

President/Owner

20. DATE 4/24-18
Below are the animals you are currently authorized to possess. You may not add new species to your inventory without prior written approval from the Department of Fish and Wildlife.

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<th>IDENTIFYING METHOD</th>
<th>COMMON NAME</th>
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<td>AGE</td>
<td>TBA*</td>
<td>NS**</td>
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<td>WOLF GREY</td>
<td><em>Canis lupus (no subspecies)</em></td>
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*************** NO SPECIES SHOULD APPEAR BELOW THIS LINE ***************

To Be Acquired  
**Native Species - see permit definition**
11. Pursuant to §671.1(c)(3), Title 14, of the CCR, a permittee shall have on file with the Department at all times copies of their current USDA license and most recent USDA inspection report form if the license is required by USDA.

12. Pursuant to §671.1(c)(1)(H), Title 14, of the CCR, a permittee shall have on file with the Department at all times copies of all current USFWS permits if a permit is required by USFWS.

13. Pursuant to §671.1(c)(3)(D), Title 14, of the CCR, every permittee who possesses an animal requiring unique identification must provide an animal’s unique identification to the Department within 10 business days of receipt or transfer of an animal, the birth or death of an animal, or change in unique identification for an animal. The notice shall include the common name, scientific name, sex, and age of the animal, the date of the acquisition, transfer or death. The notice shall also contain the unique identification method for the animal. The notice may be submitted via fax at (916) 419-7585 or e-mail at spu@wildlife.ca.gov.

14. Pursuant to §671.1(c)(5), Title 14, of the CCR, the Department may revoke this permit at any time. Upon revocation of permit, all animal(s) shall be disposed of as directed by the Department.

The permittee shall comply with any other federal, state or local law governing transportation and possession of animals including California Department of Public Health rabies prevention requirements.

**Resident Exhibiting Conditions**

1. The permittee is required to follow all of the applicable requirements listed in §671, Title 14, of the California Code of Regulations (CCR).

2. The permittee may add new species to the inventory only with prior written approval of the Department or as specified on the permit.

3. The permittee is responsible for renewing this permit prior to its expiration or providing notification to the Department upon transfer of animals which require renewing the permit.

4. Animals authorized by this permit shall not be transferred to persons within California unless that person has a restricted species permit authorizing that animal or species possession.

5. The permit or a copy must be in the possession of any person in possession of animal and must be immediately presented on demand by any enforcement officer.

6. This permit is not transferable.

7. Breeding is not authorized unless specified in the permit authorizations.

8. Pursuant to §671.1(a)(7), Title 14, of the CCR, restricted species imported into California under the authority of this permit must be accompanied by a current health certificate issued by a USDA accredited veterinarian stating that the veterinarian has examined the animal and has found that they are not exhibiting any signs or symptoms of any infectious or contagious disease. A copy of the health certificate shall be submitted to the Department within 10 business days of issuance. Health certificates may be submitted via fax at (916) 419-7585 or e-mail at spu@wildlife.ca.gov.

9. Pursuant to §671.1(b), Title 14, of the CCR the original permit and any subsequent amendment are subject to changes if the Department determines that an amendment is necessary to protect native wildlife, agriculture interests, an animal's welfare, and/or human health and safety.

10. Pursuant to §671.1(c)(3)(C), Title 14, of the CCR, a permittee shall have on file with the Department at all times copies of their current USDA license and most recent USDA inspection report form if the license is required by USDA.

11. Pursuant to §671.1(c)(3)(H), Title 14, of the CCR, a permittee shall have on file with the Department at all times copies of all current USFWS permits if a permit is required by USFWS.

12. Pursuant to §671.1(c)(3)(J), Title 14, of the CCR, every permittee who possesses an animal requiring unique identification must provide an animal’s unique identification to the Department within 10 business days of receipt or transfer of an animal, the birth or death of an animal, or change in unique identification for an animal. The notice shall include the common name, scientific name, sex, and age of the animal, the date of the acquisition, transfer or death. The notice shall also contain the unique identification method for the animal. The notice may be submitted via fax at (916) 419-7585 or e-mail at spu@wildlife.ca.gov.
13. Pursuant to §871.1(c)(5), Title 14, of the CCR, the Department may revoke this permit at any time.

14. Pursuant to §871.1(c)(2)(K), Title 14, of the CCR, every permittee is required to have on file with the Department on or before December 31, 2011 documentation of an animal’s unique identification if the restricted species requires unique identification.

RESTRICTED SPECIES IN THE ORDER ARTIODACTyla CONDITIONS (WIL 06/2000)

1. Each imported animal must be permanently marked in such a manner that they are individually identifiable.

2. Each imported animal must be accompanied by a current interstate health certificate signed by a federally accredited veterinarian. Test results and methodology must be recorded on the health certificate, and the test results must be correlated to identifying markings on animals tested. The veterinarian must state that to the best of his/her knowledge, the animal(s) have not been exposed to any infectious or contagious disease.

3. Bovine tuberculosis testing: each imported animal 6 months of age or older must have had a single strength cervical tuberculin (SCT) test or other approved bovine tuberculosis test performed within 120 days prior to importation. The SCT test consists of an intradermal injection of 0.1 ml of USDA bovine ptt tuberculin in the cervical region with reading by visual observation and palpation in 72 hours (± 6 hours) following injection by a federally accredited veterinarian. Tuberculosis testing may be waived if the Department determines that testing is impractical or presents an unacceptable risk to animal(s).

4. Brucellosis testing: each imported animal 6 months of age or older must be tested for brucellosis within 30 days prior to entry into California. Brucellosis testing may be waived if the Department determines that testing is impractical or presents an unacceptable risk to animal(s).

5. No new animals in the family Cervidae may be imported into California without prior written approval from the Department.

6. No animals in the Cervidae family may be imported or exported and returned without prior written approval from the Department.

For questions concerning the testing protocol, please contact Wildlife Investigations Laboratory Veterinarian Dr. Ben Gonzales at (916) 358-1464.
OUR STATEMENT OF PURPOSE

To provide exotic and domestic animals for all forms of media such as:

- Feature Films
- TV, Talk Shows & Commercials
- Print Ads
- Live Educational Programs

To educate all ages about Animal conservation. To let the public get up close to some of our Beautiful Critters. In all areas, to show respect to our Animals in person and on T.V., etc.
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<td>661-854-6590</td>
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<td>26250 VALENCIA BLVD VALENCIA CA 91381</td>
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<td>PACIFIC CHRISTIAN SCHOOL</td>
<td>3435 SANTA MARIA WAY, SANTA MARIA, CA 93445</td>
<td>7/17/2017</td>
<td>JILL COPELAND</td>
<td>805-934-1253</td>
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<td>661-295-3700</td>
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<td>PEAK TO PEAK MOUNTAIN CHARTER SCHOOL</td>
<td>19009 Cerro Noroeste Rd, PMC, CA 93223</td>
<td>11/3/2017</td>
<td>TERRY</td>
<td>661-242-3811</td>
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<tr>
<td>MONARCH GROVE ELEMENTARY</td>
<td>348 LOS OSOS VALLEY RD, LOS OSOS CA 93402</td>
<td>11/17/2017</td>
<td>ERIN DAVIS</td>
<td>805-534-2844</td>
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Standard Conditions
Special Purpose Possession
Live Migratory Bird Educational Use Permits
50 CFR 21.27

All of the provisions and conditions of the governing regulations at 50 CFR part 13 and 50 CFR part 21.27 are conditions of your permit. Failure to comply with the conditions of your permit could be cause for suspension of the permit. The standard conditions below are a continuation of your permit conditions and must remain with your permit. If you have any questions regarding these conditions, refer to the regulations or, if necessary, contact your migratory bird permit issuing office. For copies of the regulations and forms, or to obtain contact information for your issuing office, visit: http://www.fws.gov/migratorybirds/mbpermits.html.

1. The intent of this permit is wildlife conservation education. Your educational programs must include information about migratory bird ecology, biology, and/or conservation.

2. You must present a minimum of 12 programs that are open to the public each year with each migratory bird held under this permit.

3. Migratory birds must be kept under control at all times and are not allowed to come in contact with the public.

4. You may not display any migratory bird(s) in any manner that implies personal use. You may not use migratory birds to promote or endorse any product, merchandise, goods, services, business or organization except your own educational activities.

5. Whenever you exhibit any migratory bird(s) held under this permit, you must include either a written or verbal statement that your possession and exhibition of the migratory bird(s) is by permission of the U.S. Fish and Wildlife Service.

6. Any migratory bird(s) held under this permit must be nonreleasable or captive-bred.

7. You are not authorized to propagate any migratory birds held under this permit.

8. Any migratory bird(s) held under this permit must be housed at the location(s) identified in this permit.

9. Your facilities and equipment must be adequate for each migratory bird species you hold under this permit. All live migratory birds must be maintained under humane and healthful conditions.

Criteria used for evaluating and inspecting raptor facilities will be based on guidelines established by the Raptor Center, University of Minnesota’s “Raptors in Captivity: Guidelines for Care and Management.”

Criteria used for evaluating and inspecting facilities for other migratory bird species will be based on guidelines established by the National Wildlife Rehabilitators Association’s “Wildlife In Education: A Guide for the Care and Use of Program Animals.”

These publications are available from the National Wildlife Rehabilitators Association at http://www.nwrawildlife.org/pubs.asp.

10. Migratory birds must be separated from pets. Migratory birds must also be separated from human living or work space or migratory birds held under other permit authorization except as necessary to provide appropriate rehabilitative care.

(page 1 of 2)
11. You must obtain prior written approval from your migratory bird permit issuing office before you acquire, transfer, or dispose of any migratory bird(s).

To acquire or transfer any live migratory bird(s), you must submit a Migratory Bird Special Purpose Possession (Education) Permit Acquisition and Transfer Request (Form 3-202-12), along with all required attachments listed in the form instructions. You may acquire or transfer a migratory bird only after you receive written approval from the issuing office.

12. You must report the death or escape of any migratory bird(s) to the migratory bird permit issuing office on a Form 3-202-12 within 5 business days. You may request to retain for educational purposes the carcass or individual parts and feathers of any migratory bird(s) that dies or you may donate them to persons authorized by permit or regulation to possess them. Specimens not retained by you or donated must be incinerated or buried without delay.

13. You may donate molted feathers to persons authorized by permit or regulation to possess such items.

14. A subpermittee is an individual to whom you have provided written authorization to conduct some or all of the permitted activities in your absence. Subpermittees must be at least 18 years of age. As the permittee, you are legally responsible for ensuring that your subpermittees are adequately trained and adhere to the terms of your permit. You are responsible for maintaining current records of who you have designated as a subpermittee, including copies of designation letters you have provided. Other individuals, including those under the age of 18, may conduct the permitted activities only if you or a designated subpermittee are present.

15. You and any subpermittees must carry a legible copy of this permit and display it upon request when exercising its authority. Subpermittees must also carry your written subpermittee designation letter.

16. Any migratory bird(s) held under this permit remain in the stewardship of the U.S. Fish and Wildlife Service and may be relocated at any time for just cause.

17. You must maintain records as required in 50 CFR 13.46 and 50 CFR 21.27. All records relating to the permitted activities must be kept at the location indicated in writing by you to the migratory bird permit issuing office.

18. Acceptance of this permit authorizes the Fish and Wildlife Service to inspect any wildlife held, and to audit or copy any permits, books, or records required to be kept by the permit and governing regulations.

19. You may not conduct the activities authorized by this permit if doing so would violate the laws of the applicable State, county, municipal or tribal government or any other applicable law.
STEVE MARTINS WORKING WILDLIFE
14466 BOY SCOUT CAMP RD
FRAZIER PARK, CA 93225

MOTOR CARRIER PERMIT

DEPARTMENT OF MOTOR VEHICLES
Registration Operations Division
P.O. BOX 932370 Sacramento, CA. 94232-3700

Valid From: 12/01/2017 Valid Through: 11/30/2018
CA#: (b) (4)

The carrier named on this permit, having made written application to the Department of Motor Vehicles for a permit to operate as a motor carrier of property as defined in vehicle code section 34601, and having met the requirements and paid the appropriate fees, is granted a permit of the following classification:

Private Full Year Corporation

Pmt Date: 11/16/2017 Office #: 154
Account #: (b) (4) Tech ID: VP
Sequence #: 0015 Amt Paid: $287.00

!!!IMPORTANT REMINDERS!!!

1. Your permit will expire at midnight on the 'Valid Through' date. If you do not receive a renewal notice 30 days prior to the expiration date, please submit an original application and check the “Renewal” box.
2. Your permit number must remain valid throughout the term of your permit or a suspension action could occur.
3. Changes to your fleet are not required to be reported until your renewal.
4. Changes to your business entity may require a new CA# and application for another Motor Carrier Permit.
5. If you elect to no longer operate as a motor carrier of property, you must submit a 'Voluntary Withdrawal' form.
6. For changes to the address, business name, officers, or authorized representative's name, please complete the 'Notice of Change' form. Changes during your renewal period may be submitted on your renewal application.
7. You may download forms from the Internet at www.dmv.ca.gov or receive further information by calling: (916) 657-8153.

California Relay Telephone Service for the Deaf or Hard of Hearing from TDD Phones: 1-800-735-2929, from Voice Phones: 1-800-735-2922

A Public Service Agency
THANK YOU FOR CHOOSING STEVE MARTIN'S WORKING WILDLIFE FOR YOUR ANIMAL NEEDS. IF YOU HAVE A MINUTE TO COMPLETE THE FOLLOWING SURVEY AND FAX OR EMAIL IT BACK, IT WOULD BE GREATLY APPRECIATED.

1. WAS THIS YOUR FIRST TIME CALLING OUR COMPANY FOR YOUR ANIMAL NEEDS?  
   □ YES □ NO

2. HAVE YOU EVER FILMED WITH ANIMALS IN THE PAST?  
   □ YES □ NO

3. WERE YOUR QUESTIONS ANSWERED AND PHONE CALLS RETURNED PROMPTLY?  
   □ YES □ NO

4. WERE THE TRAINERS KNOWLEDGEABLE AND PROFESSIONAL?  
   □ YES □ NO

5. WAS THE JOB BID AT A COMPETITIVE RATE? PREP DAYS? SHOOT DAYS?  
   □ YES □ NO

6. DID THE ANIMAL(S) PERFORM AS WELL OR BETTER THAN EXPECTED?  
   □ YES □ NO

7. WOULD YOU RECOMMEND STEVE MARTINS WORKING WILDLIFE FOR FUTURE ANIMAL JOBS?  
   □ YES □ NO

ANY SPECIFIC COMMENTS REGARDING THE BID OR WAYS WE COULD IMPROVE IN THE FUTURE?

Deana and Nicole were great at answering questions for both myself & the director.

Because of the Directors concern with Luther's age she chose Ember for the spot. WWII offered to bring Luther as the back-up for free and she ended up choosing Luther and everyone was very happy.

I've worked with animals many times and I must say your company really made an impression!

THANK YOU
THANK YOU FOR CHOOSING STEVE MARTIN'S WORKING WILDLIFE FOR YOUR ANIMAL NEEDS. IF YOU HAVE A MINUTE TO COMPLETE THE FOLLOWING SURVEY AND FAX IT BACK, IT WOULD BE GREATLY APPRECIATED.

1. WAS THIS YOUR FIRST TIME CALLING OUR COMPANY FOR YOUR ANIMAL NEEDS?  
   CIRCLE ONE  
   YES  NO

2. HAVE YOU EVER FILMED WITH ANIMALS IN THE PAST?  
   CIRCLE ONE  
   YES  NO

3. WERE YOUR QUESTIONS ANSWERED AND PHONE CALLS RETURNED PROMPTLY?  
   CIRCLE ONE  
   YES  NO

4. WERE THE TRAINERS KNOWLEDGEABLE AND PROFESSIONAL?  
   CIRCLE ONE  
   YES  NO

5. WAS THE JOB BID AT A COMPETITIVE RATE? PREP DAYS? SHOOT DAYS?  
   CIRCLE ONE  
   YES  NO

6. DID THE ANIMAL(S) PERFORM AS WELL OR BETTER THAN EXPECTED?  
   CIRCLE ONE  
   YES  NO

7. WOULD YOU RECOMMEND STEVE MARTIN'S WORKING WILDLIFE FOR FUTURE ANIMAL JOBS?  
   CIRCLE ONE  
   YES  NO

ANY SPECIFIC COMMENTS REGARDING THE BID OR WAYS WE COULD IMPROVE IN THE FUTURE?

All of your staff was fantastic (including your animals). Thank you for allowing the Lions to visit. That was a special treat for everyone. See you on the next one.

THANK YOU

Bert Aranda  
Prod. Supervisor
THANK YOU FOR CHOOSING STEVE MARTIN'S WORKING WILDLIFE FOR YOUR ANIMAL NEEDS. IF YOU HAVE A MINUTE TO COMPLETE THE FOLLOWING SURVEY AND FAX IT BACK, IT WOULD BE GREATLY APPRECIATED.

CIRCLE ONE

1. WAS THIS YOUR FIRST TIME USING OUR COMPANY FOR YOUR ANIMAL NEEDS?

2. HAVE YOU EVER FILMED WITH ANIMALS IN THE PAST?

3. WERE YOUR QUESTIONS ANSWERED AND PHONE CALLS RETURNED PROMPTLY?

4. WERE THE TRAINERS KNOWLEDGEABLE AND PROFESSIONAL?

5. WAS THE JOB BID AT A COMPETITIVE RATE? PREP DAYS? SHOOT DAYS?

6. DID THE ANIMAL(S) PERFORM AS WELL OR BETTER THAN EXPECTED?

7. WOULD YOU RECOMMEND STEVE MARTIN'S WORKING WILDLIFE FOR FUTURE ANIMAL JOBS?

ANY SPECIFIC COMMENTS REGARDING THE JOB OR WAYS WE COULD IMPROVE IN THE FUTURE?

As always, in the past your people performed their duties in an outstanding manner.

THANK YOU

[Signature]
To: Marty

JOB COMPLETION SURVEY

THANK YOU FOR CALLING STEVE MARTIN'S WORKING WILDLIFE FOR YOUR ANIMAL NEEDS. IF YOU HAVE A MINUTE TO COMPLETE THE FOLLOWING SURVEY AND FAX IT BACK, IT WOULD BE GREATLY APPRECIATED.

1. WAS THIS YOUR FIRST TIME CALLING OUR COMPANY FOR YOUR ANIMAL NEEDS? CIRCLE ONE
   YES  NO

2. HAVE YOU EVER FILMED WITH ANIMALS IN THE PAST? CIRCLE ONE
   YES  NO

3. WERE YOUR QUESTIONS ANSWERED AND PHONE CALLS RETURNED PROMPTLY? CIRCLE ONE
   YES  NO

4. WERE THE TRAINERS KNOWLEDGEABLE AND PROFESSIONAL? CIRCLE ONE
   YES  NO

5. WAS THE JOB BID AT A COMPETITIVE RATE? PREP DAYS? SHOOT DAYS? CIRCLE ONE
   YES  NO

6. DID YOU FIND THE ANIMAL(S) YOU NEEDED ELSEWHERE? CIRCLE ONE
   YES  NO

7. WOULD YOU CALL STEVE MARTIN'S WORKING WILDLIFE FOR FUTURE ANIMAL JOBS? CIRCLE ONE
   YES  NO

ANY SPECIFIC COMMENTS REGARDING THE BID OR WAYS WE COULD IMPROVE IN THE FUTURE?

Excellent - The best in town!

THANKS

THANK YOU

[Signature]
JOB COMPLETION SURVEY

THANK YOU FOR CHOOSING STEVE MARTIN'S WORKING WILDLIFE FOR YOUR ANIMAL NEEDS. IF YOU HAVE A MINUTE TO COMPLETE THE FOLLOWING SURVEY AND FAX IT BACK, IT WOULD BE GREATLY APPRECIATED.

CIRCLE ONE

1. WAS THIS YOUR FIRST TIME USING OUR COMPANY FOR YOUR ANIMAL NEEDS?  

YES NO

2. HAVE YOU EVER FILMED WITH ANIMALS IN THE PAST?  

YES NO

3. WERE YOUR QUESTIONS ANSWERED AND PHONE CALLS RETURNED PROMPTLY?  

YES NO

4. WERE THE TRAINERS KNOWLEDGEABLE AND PROFESSIONAL?  

YES NO

5. WAS THE JOB BID AT A COMPETITIVE RATE? PREP DAYS? SHOOT DAYS?  

YES NO

6. DID THE ANIMAL(S) PERFORM AS WELL OR BETTER THAN EXPECTED?  

YES NO

7. WOULD YOU RECOMMEND STEVE MARTIN'S WORKING WILDLIFE FOR FUTURE ANIMAL JOBS?  

YES NO

ANY SPECIFIC COMMENTS REGARDING THE JOB OR WAYS WE COULD IMPROVE IN THE FUTURE?

Absolutely awesome job! Sam was super & very gentle & friendly. Both trainers were terrific.

THANK YOU
THANK YOU FOR CALLING STEVE MARTIN'S WORKING WILDLIFE FOR YOUR ANIMAL NEEDS. IF YOU HAVE A MINUTE TO COMPLETE THE FOLLOWING SURVEY AND FAX IT BACK, IT WOULD BE GREATLY APPRECIATED.

1. WAS THIS YOUR FIRST TIME CALLING OUR COMPANY FOR YOUR ANIMAL NEEDS?

2. HAVE YOU EVER FILMED WITH ANIMALS IN THE PAST?

3. WERE YOUR QUESTIONS ANSWERED AND PHONE CALLS RETURNED PROMPTLY?

4. WERE THE TRAINERS KNOWLEDGEABLE AND PROFESSIONAL?

5. WAS THE JOB BID AT A COMPETITIVE RATE? PREP DAYS? SHOOT DAYS?

6. DID YOU FIND THE ANIMAL(S) YOU NEEDED ELSEWHERE?

7. WOULD YOU CALL STEVE MARTIN'S WORKING WILDLIFE FOR FUTURE ANIMAL JOBS?

ANY SPECIFIC COMMENTS REGARDING THE BID OR WAYS WE COULD IMPROVE IN THE FUTURE?

Great job as usual - Thanks to Delbie especially.

Jack

THANK YOU
THANK YOU FOR CHOOSING STEVE MARTIN'S WORKING WILDLIFE FOR YOUR ANIMAL NEEDS. IF YOU HAVE A MINUTE TO COMPLETE THE FOLLOWING SURVEY AND FAX IT BACK, IT WOULD BE GREATLY APPRECIATED.

CIRCLE ONE

1. WAS THIS YOUR FIRST TIME CALLING OUR COMPANY FOR YOUR ANIMAL NEEDS? YES NO

2. HAVE YOU EVER FILMED WITH ANIMALS IN THE PAST? YES NO

3. WERE YOUR QUESTIONS ANSWERED AND PHONE CALLS RETURNED PROMPTLY? YES NO

4. WERE THE TRAINERS KNOWLEDGEABLE AND PROFESSIONAL? YES NO

5. WAS THE JOB BID AT A COMPETITIVE RATE? PREP DAYS? SHOOT DAYS? YES NO

6. DID THE ANIMAL(S) PERFORM AS WELL OR BETTER THAN EXPECTED? YES NO

7. WOULD YOU RECOMMEND STEVE MARTIN'S WORKING WILDLIFE FOR FUTURE ANIMAL JOBS? YES NO

ANY SPECIFIC COMMENTS REGARDING THE BID OR WAYS WE COULD IMPROVE IN THE FUTURE?

You guys are always accommodating and professional. Thank you!

THANK YOU
THANK YOU FOR CHOOSING STEVE MARTIN'S WORKING WILDLIFE FOR YOUR ANIMAL NEEDS. IF YOU HAVE A MINUTE TO COMPLETE THE FOLLOWING SURVEY AND FAX IT BACK, IT WOULD BE GREATLY APPRECIATED.

1. WAS THIS YOUR FIRST TIME CALLING OUR COMPANY FOR YOUR ANIMAL NEEDS?

2. HAVE YOU EVER FILMED WITH ANIMALS IN THE PAST?

3. WERE YOUR QUESTIONS ANSWERED AND PHONE CALLS RETURNED PROMPTLY?

4. WERE THE TRAINERS KNOWLEDGEABLE AND PROFESSIONAL?

5. WAS THE JOB BID AT A COMPETITIVE RATE? PREP DAYS? SHOOT DAYS?

6. DID THE ANIMAL(S) PERFORM AS WELL OR BETTER THAN EXPECTED?

7. WOULD YOU RECOMMEND STEVE MARTIN'S WORKING WILDLIFE FOR FUTURE ANIMAL JOBS?

ANY SPECIFIC COMMENTS REGARDING THE BID OR WAYS WE COULD IMPROVE IN THE FUTURE?

Hello, also wanted to say the jack russells on micheline & trainers were fantastic. Your guys are the best!

THANK YOU

Helga Enube Omaha
THANK YOU FOR CHOOSING STEVE MARTIN'S WORKING WILDLIFE FOR YOUR ANIMAL NEEDS. IF YOU HAVE A MINUTE TO COMPLETE THE FOLLOWING SURVEY AND FAX IT BACK, IT WOULD BE GREATLY APPRECIATED.

1. WAS THIS YOUR FIRST TIME CALLING OUR COMPANY FOR YOUR ANIMAL NEEDS?  
   YES  NO

2. HAVE YOU EVER FILMED WITH ANIMALS IN THE PAST?  
   YES  NO

3. WERE YOUR QUESTIONS ANSWERED AND PHONE CALLS RETURNED PROMPTLY?  
   YES  NO

4. WERE THE TRAINERS KNOWLEDGEABLE AND PROFESSIONAL?  
   YES  NO

5. WAS THE JOB BID AT A COMPETITIVE RATE? PREP DAYS? SHOOT DAYS?  
   YES  NO

6. DID THE ANIMAL(S) PERFORM AS WELL OR BETTER THAN EXPECTED?  
   YES  NO

7. WOULD YOU RECOMMEND STEVE MARTIN'S WORKING WILDLIFE FOR FUTURE ANIMAL JOBS?  
   YES  NO

ANY SPECIFIC COMMENTS REGARDING THE BID OR WAYS WE COULD IMPROVE IN THE FUTURE?

Trainer was fantastic/delighted on camera and off. Thank you so much!

THANK YOU
THANK YOU FOR CHOOSING STEVE MARTIN'S WORKING WILDLIFE FOR YOUR ANIMAL NEEDS. IF YOU HAVE A MINUTE TO COMPLETE THE FOLLOWING SURVEY AND FAX IT BACK, IT WOULD BE GREATLY APPRECIATED.

1. WAS THIS YOUR FIRST TIME CALLING OUR COMPANY FOR YOUR ANIMAL NEEDS?
   - YES  
   - NO

2. HAVE YOU EVER FILMED WITH ANIMALS IN THE PAST?
   - YES  
   - NO

3. WERE YOUR QUESTIONS ANSWERED AND PHONE CALLS RETURNED PROMPTLY?
   - YES  
   - NO

4. WERE THE TRAINERS KNOWLEDGEABLE AND PROFESSIONAL?
   - YES  
   - NO

5. WAS THE JOB BID AT A COMPETITIVE RATE? PREP DAYS? SHOOT DAYS?
   - YES  
   - NO

6. DID THE ANIMAL(S) PERFORM AS WELL OR BETTER THAN EXPECTED?
   - YES  
   - NO

7. WOULD YOU RECOMMEND STEVE MARTIN'S WORKING WILDLIFE FOR FUTURE ANIMAL JOBS?
   - YES  
   - NO

ANY SPECIFIC COMMENTS REGARDING THE BID OR WAYS WE COULD IMPROVE IN THE FUTURE?

Thank you

Sandra Filson  
Helen  
Brian
THANK YOU FOR CHOOSING STEVE MARTIN’S WORKING WILDLIFE FOR YOUR ANIMAL NEEDS. IF YOU HAVE A MINUTE TO COMPLETE THE FOLLOWING SURVEY AND FAX IT BACK, IT WOULD BE GREATLY APPRECIATED.

1. WAS THIS YOUR FIRST TIME CALLING OUR COMPANY FOR YOUR ANIMAL NEEDS?

   CIRCLE ONE  
   YES  NO

2. HAVE YOU EVER FILMED WITH ANIMALS IN THE PAST?

   YES  NO

3. WERE YOUR QUESTIONS ANSWERED AND PHONE CALLS RETURNED PROMPTLY?

   YES  NO

4. WERE THE TRAINERS KNOWLEDGEABLE AND PROFESSIONAL?

   YES  NO

5. WAS THE JOB BID AT A COMPETITIVE RATE? PREP DAYS? SHOOT DAYS?

   YES  NO

6. DID THE ANIMAL(S) PERFORM AS WELL OR BETTER THAN EXPECTED?

   YES  NO

7. WOULD YOU RECOMMEND STEVE MARTIN'S WORKING WILDLIFE FOR FUTURE ANIMAL JOBS?

   YES  NO

ANY SPECIFIC COMMENTS REGARDING THE BID OR WAYS WE COULD IMPROVE IN THE FUTURE?

You guys are the best!

THANK YOU  

Thanks again for

deliver this one off!!
THANK YOU FOR CHOOSING STEVE MARTIN'S WORKING WILDLIFE FOR YOUR ANIMAL NEEDS. IF YOU HAVE A MINUTE TO COMPLETE THE FOLLOWING SURVEY AND FAX IT BACK, IT WOULD BE GREATLY APPRECIATED.

1. WAS THIS YOUR FIRST TIME CALLING OUR COMPANY FOR YOUR ANIMAL NEEDS?

CIRCLE ONE

YES  NO

2. HAVE YOU EVER FILMED WITH ANIMALS IN THE PAST?

CIRCLE ONE

YES  NO

3. WERE YOUR QUESTIONS ANSWERED AND PHONE CALLS RETURNED PROMPTLY?

CIRCLE ONE

YES  NO

4. WERE THE TRAINERS KNOWLEDGEABLE AND PROFESSIONAL?

CIRCLE ONE

YES  NO

5. WAS THE JOB BID AT A COMPETITIVE RATE? PREP DAYS? SHOOT DAYS?

CIRCLE ONE

YES  NO

6. DID THE ANIMAL(S) PERFORM AS WELL OR BETTER THAN EXPECTED?

CIRCLE ONE

YES  NO

7. WOULD YOU RECOMMEND STEVE MARTIN'S WORKING WILDLIFE FOR FUTURE ANIMAL JOBS?

CIRCLE ONE

YES  NO

ANY SPECIFIC COMMENTS REGARDING THE BID OR WAYS WE COULD IMPROVE IN THE FUTURE?

_You guys are my favorite animal trainers!_

_it's always a pleasure to work with you_

THANK YOU
THANK YOU FOR CHOOSING STEVE MARTIN'S WORKING WILDLIFE FOR YOUR ANIMAL NEEDS. IF YOU HAVE A MINUTE TO COMPLETE THE FOLLOWING SURVEY AND FAX IT BACK, IT WOULD BE GREATLY APPRECIATED.

CIRCLE ONE

1. WAS THIS YOUR FIRST TIME CALLING OUR COMPANY FOR YOUR ANIMAL NEEDS?

2. HAVE YOU EVER FILMED WITH ANIMALS IN THE PAST?

3. WERE YOUR QUESTIONS ANSWERED AND PHONE CALLS RETURNED PROMPTLY?

4. WERE THE TRAINERS KNOWLEDGEABLE AND PROFESSIONAL?

5. WAS THE JOB BID AT A COMPETITIVE RATE? PREP DAYS? SHOOT DAYS?

6. DID THE ANIMAL(S) PERFORM AS WELL OR BETTER THAN EXPECTED?

7. WOULD YOU RECOMMEND STEVE MARTIN'S WORKING WILDLIFE FOR FUTURE ANIMAL JOBS?

ANY SPECIFIC COMMENTS REGARDING THE BID OR WAYS WE COULD IMPROVE IN THE FUTURE?

THANK YOU
Steve Martin's Working Wildlife Visits School

By Kelly Oxford

Steve Martin's Working Wildlife, of Lockwood Valley, came to Frazier Park Elementary School on March 6, 2001. They brought live wild animals to educate and entertain the children.

Jeff Lee and his assistant, Kim Malsahn gave the children lots of information about these types of animals, like where they live in the wild and what they eat.

Jeff also explained that these particular animals were movie stars. The animals that the children got to see up close and personal were: "Bandit" the raccoon, "Zeek" the coati, "Puppy" the skunk, "Hooter" the gray horned owl, "Ninja" the brown turkey, also known as a beaver, "Rusty" the black bear, a Mexican red legged tarantula and a Burmese python. "Hooter" the gray horned owl has been in several movies, "Puppy" the skunk was in the movie called, "Mystery Men" and "Bandit" the raccoon has been in Lazy Boy commercials.

Jeff and crew travel to eleven counties here in California teaching children the importance of wild animals and the role they play in the balance of nature. The message they send is, every living thing on earth is a part of nature and each one is just as important as the other to retain the delicate balance of nature.

The children asked a few questions and enjoyed the animals very much.

This assembly was sponsored by the Frazier Park School P.T.S.O.

For more information regarding Steve Martin's Working Wildlife and their education program visit their website at www.workingwildlife.com or email them at smartins@frazmtn.com.
This is to certify that STEVE MARTINS WORKING WILDLIFE INC is a licensed CLASS C EXHIBITOR under the Animal Welfare Act (7 U.S.C. §2131 et seq.).

Certificate No. 93-C-0051
Customer No. 3533

Deputy Administrator
City of Los Angeles
DEPARTMENT OF ANIMAL SERVICES
PERMIT NO. 15902

This permit is granted in accordance with provisions of the L.A.M.C. Sec. 53.50 and the Rules and regulations of the Department of Animal Services, and it is not in lieu of any other permits or licenses required by the City, or any other governmental agency.

The party designated below is hereby permitted to keep/conduct a/an

Animal Rental

in the City of Los Angeles at the address specified.

POST IN A CONSPICUOUS PLACE

Name or Firm
Steve Martins Working Wildlife Inc.
14466 Boy Scout Camp Rd.
Frazier Park, CA 93225

FEE
$265.00

RECEIPT #
R17-070015

06-72A (2003)

Barnett
General Manager, Animal Services
City of Los Angeles
DEPARTMENT OF ANIMAL SERVICES
PERMIT No. 16778

DATE GRANTED 03/10/2018
DATE EXPIRES 03/10/2019

This permit is granted in accordance with provisions of the L.A.M.C. Sec. S3.50 and the Rules and regulations of the Department of Animal Services, and it is not in lieu of any other permits or licenses required by the City, or any other governmental agency.

The party designated below is hereby permitted to keep/conduct a/an

Wild Animal

in the City of Los Angeles at the address specified.

**POST IN A CONSPICUOUS PLACE**

<table>
<thead>
<tr>
<th>Name or Firm</th>
<th>Address</th>
<th>City/Zip</th>
<th>Fee</th>
<th>Receipt #</th>
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<tbody>
<tr>
<td>Steve Martyns Working Wildlife</td>
<td>14466 Boy Scout Camp Rd. Frazier Park, Ca 93225</td>
<td></td>
<td>$290.00</td>
<td>R18-025481</td>
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00-72A (8/03)

[Signature]
General Manager, Animal Services
Referred to the USDA for their review and direct release
Referred to the USDA for their review and direct release
LEGEND FOR CAGES/ANIMALS

"B" = BOBCAT
"BB" = BLACK BEAR
"BIN" = BINTURONG
"CR" = COUGAR
"GB" = GRIZZLY BEAR
"KB" = KODIAK BEAR
"LEM" = LEMUR
"L" = LION
"LP" = LEOPARD
"M" = MONKEY (CAPUCHIN)
"R" = RAVEN
"P" = PORCUPINE

14466 Boy Scout Camp Rd
Tehachapi Park, Ca. 93225
05 661-245-2406 or e: 661-993-2408
STEVE MARTIN’S WORKING WILDLIFE

Display – Cage Trailer
For Land Travel

SIZES

<table>
<thead>
<tr>
<th>CAGES</th>
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<tbody>
<tr>
<td>Length</td>
<td>20’</td>
</tr>
<tr>
<td>Width</td>
<td>7’6”</td>
</tr>
<tr>
<td>Height</td>
<td>8’</td>
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</table>

DESCRIPTION

- Welded wire caging
- Solid panel, opens and folds down to lock for security
- Welded in water & food dishes
- Air Conditioner with built-in generator

ANIMALS

- Lions
- Cougars
- Tigers
- Leopards
- Wolves
- Various animals
STEVEN E. MARTIN

14466 Boy Scout Camp Road.
Frazier Park CA. 93225
Office (661) 245-2406
Fax (661) 245-3617
www.workingwildlife.com
Info@workingwildlife.com

SUMMARY OF QUALIFICATIONS

Steve has over 48 years of experience in applied animal behavior, handling, training and exposure to all types of exotic species from various countries throughout the world. Over 44 years of major motion picture experience on sets with wildlife consulting and animal training for media projects which includes films, TV, commercials, ads, still shoot, live events, displays, and more. Steve has extensive experience working in foreign countries. For 12 years he provided Chimpanzees for a popular TV series in Berlin, Germany known as Our Charley.

He coordinated the primate department on one of the largest animal features ever Babe II Pig in the City filmed in Australia. Steve has extensive knowledge in acquiring permits for filming in foreign countries and is experience as Second Unit Director on animal films with ability to save production time, and expense by having 44 years of knowledge on how to set up shots with studio trained animals and achieve the best effect possible for any and all type of film projects. Owns and operates one of the largest animal compounds in California that supplies exotic as well as domestic animals for film and educational programs.

Steve always stresses priority on safety while participating in any work project. Animals are safely monitored and perform under the strictest supervision of Steve Martin and/or his experienced trainers. He maintains an accident free record; there has never been an incident where property, personnel or the public has been injured or damaged in any way under his or his staff's supervision.

Steve worked as the Second Unit Director for the Feature Film The Zookeeper filmed in Prague; Czech Rep. This project required a "one of a kind" trainer and it was Steve as he has a natural ability to understand all types of animals. This understanding sets him apart from others in the same profession. His ability to understand what motivates animals and getting them to perform while under stress on a film set makes Steve an invaluable person for all projects.

Following is a handful of the more well-known productions in each category (extensive additional credits lists are available, along with additional personal references from directors, and producers that have worked with Steve Martin)
<table>
<thead>
<tr>
<th>FEATURE FILMS</th>
<th>PRODUCTION</th>
<th>ANIMAL SUPPLIED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Three Stooges</td>
<td>20th Century Fox</td>
<td>African Lion</td>
</tr>
<tr>
<td>Water for Elephants</td>
<td>Fox 2000 Pictures</td>
<td>African Lion, Black Leopard, Zebra</td>
</tr>
<tr>
<td>Racing Stripes</td>
<td>Alcon Entertainment</td>
<td>Took wild Zebras in South Africa, and trained them</td>
</tr>
<tr>
<td>Babe II - Pig in the City</td>
<td>Kennedy Miller Film/Universal</td>
<td>Chimps, Orangutans, and monkeys</td>
</tr>
<tr>
<td>Dances with Wolves</td>
<td>TIG/ Orion</td>
<td>Wolves, Ravens, Vulture</td>
</tr>
<tr>
<td>The Serpent and the Rainbow</td>
<td>Wes Craven</td>
<td>Jaguars</td>
</tr>
<tr>
<td>Earnest Saves Christmas</td>
<td>Touchtone</td>
<td>Team of Reindeer</td>
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<tr>
<td>Made in America</td>
<td>20th Century Fox</td>
<td>Elephants, chimps, Black bear</td>
</tr>
<tr>
<td>Homeward Bound</td>
<td>Disney</td>
<td>Grizzly bears, Raccoons, Rove, Cougars, Deer, River Otters</td>
</tr>
<tr>
<td>The Jungle Book</td>
<td>Disney</td>
<td>Black leopards, Wolf pack, bear</td>
</tr>
<tr>
<td>Stephen Spielberg</td>
<td>Gambit</td>
<td>Lion &amp; tigers</td>
</tr>
<tr>
<td>Twelve Monkeys</td>
<td>Universal Pictures</td>
<td>Kodiak bear, Tiger</td>
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<tr>
<td>Jungle Book II-Mowgli's Story</td>
<td>Paramount Pictures</td>
<td>Black leopards</td>
</tr>
<tr>
<td>The Hunted</td>
<td>Universal Pictures</td>
<td>Arctic Wolf, and a Dog</td>
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<tr>
<td>Cat People</td>
<td>Universal Pictures</td>
<td>Black Leopards, Cougars, Tiger, Rats, Baboons, Snakes</td>
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<tr>
<td>The Deer Hunter</td>
<td>Price Entertainment/France</td>
<td>European Red Deer, Mule Deer</td>
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<tr>
<td>The Bear</td>
<td>A.M Films/Touchtone</td>
<td>Kodiak bear, Grizzly Bear</td>
</tr>
<tr>
<td>Blaze</td>
<td>Joe Camp Film</td>
<td>Cougars</td>
</tr>
<tr>
<td>Benji-The Hunted</td>
<td></td>
<td>Wolves, Cougars, Kodiak, Eagles, Rabbits, Fox, Deer, Raccoon</td>
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<table>
<thead>
<tr>
<th>TV SHOWS</th>
<th>PRODUCTION</th>
<th>ANIMAL SUPPLIED</th>
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</thead>
<tbody>
<tr>
<td>90210</td>
<td>Fox</td>
<td>Black Bears</td>
</tr>
<tr>
<td>Charmed</td>
<td></td>
<td>Black Leopards</td>
</tr>
<tr>
<td>Melrose Place</td>
<td>Fox</td>
<td>Pigeons, Love birds, Rats</td>
</tr>
<tr>
<td>Murder She Wrote</td>
<td></td>
<td>Lioness Cub, Raccoon, Fox, Squirrels</td>
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<tr>
<td>Nash Bridges</td>
<td>CBS</td>
<td>Dobermans, Kodiak Bear</td>
</tr>
<tr>
<td>The Sentinel</td>
<td></td>
<td>Black Leopards</td>
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<tr>
<td>Unsolved Mysteries</td>
<td></td>
<td>Deer, chimps, Dogs, Pigs</td>
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<tr>
<td>Coach</td>
<td></td>
<td>Skunk</td>
</tr>
<tr>
<td>Married with Children</td>
<td>Fox</td>
<td>Chimps, Black Bear, Squirrel</td>
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<tr>
<td>Medicine Woman</td>
<td></td>
<td>Grizzly Bear, Skunk</td>
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<tr>
<td>Noah's Ark</td>
<td>NBC's</td>
<td>Black Bear, Coyote, Chimps, Snow Leopard, Peacock, Goat,</td>
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<tr>
<td>Water Buffalo, Black Leopards, Lion, Reindeer, Bull, Cow, Zebra, Giraffe, Deer, Ostrich, Penguins, Elephant, Skunks, Raccoons, Kodiak Bear, Horses, Vultures, Grizzly Bear, Donkey, Badgers, Deer, Otter, Raccoons, Cougars,</td>
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</table>
COMMERCIALS
Career Builders
THE New MGM Lion Logo
Capitol One-Visa
Taco Bell
Yuban Coffee
Advantage Flea & Tick Spray
AT&T
Black Angus
Blockbuster Video
Coca Cola
Coors Beer
Dreyfus Fund
Pepsi

ANIMALS SUPPLIED
Chimpanzees
African Lion
Orangutans, chimps & Capuchins
Chihuahuas
Black leopards
14 Dogs & 6 Housecats
Elephant, dogs
Grizzly bear, Horses, Black Bear, Black Leopards, Eagle, Lion
Bullfrogs, Lovebirds
Reindeer teams, Ravens, dogs
Wolves, Dogs
Lion
Kodiak Bears, Black Leopards

PERSONAL REFERENCES

<table>
<thead>
<tr>
<th>NAME</th>
<th>FIELD</th>
<th>POSITION</th>
<th>CONTACT NUMBER</th>
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<tbody>
<tr>
<td>ANDREW KOSOYE</td>
<td>Features</td>
<td>Co-president Alcon Ent. Racing Stripes</td>
<td>(b) (6)</td>
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<tr>
<td>George Miller</td>
<td>Features</td>
<td>Owner/director/Babe II Pig in the City</td>
<td></td>
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<tr>
<td>Doug Mitchell</td>
<td>Features</td>
<td>Exec Prod/legal/Babe II Pig in the City</td>
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<tr>
<td>Jeffrey Chernov</td>
<td>Features</td>
<td>Producer/Homeward Bound</td>
<td></td>
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<tr>
<td>Patrick Palmer</td>
<td>Features</td>
<td>Line Producer/Made In America</td>
<td></td>
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<tr>
<td>Ed Feldman</td>
<td>Features</td>
<td>Executive Prod/The Jungle Book</td>
<td></td>
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<tr>
<td>Gary Levinsohn</td>
<td>Features</td>
<td>Executive Prod/Twelve Monkeys</td>
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<tr>
<td>Terry Gilliam</td>
<td>Features</td>
<td>Directory/Twelve Monkeys</td>
<td></td>
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<tr>
<td>Scott Cameron</td>
<td>Features</td>
<td>1st AD/ have done many films together</td>
<td></td>
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<tr>
<td>Artist Robinson</td>
<td>Features</td>
<td>1st Ad/Jungle Book, Black Sheep</td>
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<td>Carey Melcher</td>
<td>Commercials</td>
<td>Carey Melcher Productions</td>
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<td>Peter Lehner</td>
<td>Commercials</td>
<td>Exc. Prod/Owner White Noise Prod.</td>
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<tr>
<td>Jim Edwards</td>
<td>Commercials</td>
<td>Owner/Barking Weasel Prod.</td>
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<tr>
<td>Jeff Arnold</td>
<td>Film/Comm</td>
<td>Independent Producer</td>
<td></td>
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<tr>
<td>Lincoln Lageson</td>
<td>Film/Comm</td>
<td>Live Oak Motion Picture/Noah's Ark</td>
<td></td>
</tr>
<tr>
<td>Henry Sandbank</td>
<td>Film/Comm</td>
<td>Sandbank Films</td>
<td></td>
</tr>
</tbody>
</table>

***The biggest animal budget & animal coordination was *Babe* pig in the *City* nearly (2) years on film call with Doug Mitchell***
PERSONAL HISTORY

1991-Present

STEVE MARTINS WORKING WILDLIFE, INC – Frazier Park, CA

Owner/Operator/Trainer/Director/Educator
- Built and developed one of the largest private animal facilities in California on 62 acres in Lockwood Valley at Frazier Park, Ca. Host an inventory of 100+ exotic and domestic animals that we train and care for. The animals are primarily used in films, TV, print ads displays, educational and breeding programs of certain species. Our educational programs provide a wide range of animals, including our special program for endangered & threaten species. We offer to transport certain animals directly to the schools, and also provide tours at our facility after our presentation of our educational program. Our modern facility provides all our animals with the highest living standard in a more natural environment.

STEVE MARTINS WORKING WILDLIFE – Soledad Canyon, CA

Sole Proprietor
- Open own facility. Acquired many of the species that was experienced with from Africa USA. Acquired an African male lion named Simba. Steve soon became one of the best trained lions in the film business. Acquired additional animals such as; tigers, leopards, bears, wolves, raccoons, chimps and various other types of animals. As the business grew, so did the inventory of animals. The facility soon was out grown. It was apparent that a new location with a greater amount of space was required for the animals. The animals needed larger cages a higher living standard, and an area for recreation and training. So after many years of searching for the right place, a place was found in Frazier Park.

TOURS (owner of)

Head Trainer
- One of the top Head Trainers of the facility. This company supplied large numbers of exotic animals for motion pictures, well known TV shows, print ads, and other media and educational projects.

Head Trainer/Supervisor
- was bought by who renamed the facility. One of the Lead/Head Trainers for larger, exotic animals. Responsibilities were the daily training and handling of star animals including Clarence the cross-eyed Lion and Judy the Chimp of the popular TV show Daktari as well as animals featured on other popular TV shows such as Sea Hunt, Cowboy in Africa and Gentle Ben. This facility helped pioneer the use of exotics for media projects in Hollywood. It was a well-known training ground for most of the seasoned animal trainers in Hollywood today.
Head Animal Trainer
- This facility was the largest supplier of exotic animals for the motion picture, TV and advertising industries in its day. The facility housed and maintained up to 1,000 exotic animals which included 300 types of species (many of which are endangered at present). Responsibilities included the supervision of animals and working closely with assistants and other trainers. Steve was promoted to one of the Head Trainers for large cats, primates and other species. Overall duties included caring for and training the animals to respond for the camera on cue.

Animal Keeper
- In [b] [b] was hired part-time. Responsibilities included cleaning cages, feeding the animals and other general duties at Nature's Haven. He assisted the Staff Head Veterinarian for over one year after completing 90 day training program for personal hands-on care and handling. Then he was assigned to the baby nursery for approximately one year. After this he was promoted as one of several Assistant Head Trainers. It is at this time Mr. Martin's talent for star animal training was discovered and developed.

SPECIAL SKILLS
- Showing an uncanny natural ability to coordinate action desired in film projects from of all types, plus the ability to effectively deal with producers, directors, crews, actors wildlife, and their trainers. Ability to take charge with understanding, how to handle all situations has made leadership a natural progression as a 2nd unit director for animal films.
- Some wildlife medical knowledge Master Falconer's License Performing stunts with animals doubling for actors, ability to coordinate stunts.
- Steve has an Innate understanding of all large felines (lions, tigers, leopards, cougars, etc.) He owned one of the finest trained male African lions named Simba until his death at 20 years. Steve has trained and handled wild lions without incident In Africa for the production of Sheena.
- He also mixed over 25 male lions or more together for various films over the years and actively committed to the preservation of vanishing species by enlisting others to the danger of their extinction through visual use of film, and educational programs.
<table>
<thead>
<tr>
<th>COMMON NAME</th>
<th>GIVEN NAME</th>
<th>SCIENTIFIC NAME</th>
<th>PLACE OF ORIGIN</th>
<th>D.O.B.</th>
<th>NUMBER</th>
<th>SEX</th>
<th>TRANSFER OR DEATH</th>
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<tr>
<td>ALLIGATOR, AMERICAN</td>
<td>?</td>
<td>ALLIGATOR MISSISSIPPIENSIS</td>
<td>CONFISCATED ANIMAL CONTROL</td>
<td>NA</td>
<td>NA</td>
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<td>BORCAT</td>
<td>LUCAS</td>
<td>FEIUS RUFUS</td>
<td>MENA ARIZONA</td>
<td>5/12/2001</td>
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<tr>
<td>BOBCAT</td>
<td>HOUSTON</td>
<td>FEIUS RUFUS</td>
<td>MENA ARIZONA</td>
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<tr>
<td>BEAR, BROWN</td>
<td>TAG</td>
<td>URSUS ARCTOS ALBOGENNIS</td>
<td>BUBB STREET WAPAKONETTA OH</td>
<td>11/10/2012</td>
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<td>BEAR, BROWN</td>
<td>AMOS</td>
<td>URSUS ARCTOS ARCTOS</td>
<td>NEWARK WILDLIFE ZOO</td>
<td>12/30/2007</td>
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<tr>
<td>BINTURONG</td>
<td>NINJA</td>
<td>RICTICITIS BINTURONG (NO SUBSP)</td>
<td>CARNIVOR PRESERVATION TRUST</td>
<td>2/24/1999</td>
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<tr>
<td>CAPUCHIN, BROWN</td>
<td>SPENCER</td>
<td>CESUS APELLA (NO SUBSP)</td>
<td>LARRY &amp; KATHY ARNER, RT 2, BOX 60, BRISTOL OK 74030</td>
<td>4/18/1999</td>
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<tr>
<td>CAPUCHIN, BROWN</td>
<td>TARA</td>
<td>CESUS APELLA (NO SUBSP)</td>
<td>CONNIE BRAUN, FESTUS MO</td>
<td>3/10/1994</td>
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<td>CAPUCHIN, BROWN</td>
<td>LEVI</td>
<td>CESUS APELLA (NO SUBSP)</td>
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<tr>
<td>CHIMPANZEE</td>
<td>SUZIE</td>
<td>PANTRIGRHYTHYSES (NO SUBSP)</td>
<td>BORN AT OUR RANCH</td>
<td>4/16/2006</td>
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<td>CHIMPANZEE</td>
<td>NADIA aka &quot;BILLY&quot;</td>
<td>PANTRIGRHYTHYSES (NO SUBSP)</td>
<td>SUNRISE EXOTIC RANCH, TX KAREN GLASS</td>
<td>7/13/2006</td>
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<tr>
<td>CHIMPANZEE</td>
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<td>SAFANNA LAND, PLEASANT HILL MO</td>
<td>2/4/2009</td>
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<td>COYOTE</td>
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<td>CANIS LATRANS (NO SUBSP)</td>
<td>RE-HAB/SCOT SCOTT WELDY</td>
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<td>DEER, BLACK TAIL</td>
<td>MARY</td>
<td>ODORCEUS HEMIONUS</td>
<td>SIUHANO ANIMAL HOSP. DR. S. WELDY, UK FOREST CA</td>
<td>5/7/2007</td>
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<tr>
<td>FOX, RED</td>
<td>SPANKY</td>
<td>DISAMBIGUATION</td>
<td>DEBT OF FISH &amp; GAME, STEVE TORRES</td>
<td>2008</td>
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<td>FOX, RED</td>
<td>IDEE</td>
<td>DISAMBIGUATION</td>
<td>LINDA WINGER, HESPERIA CA</td>
<td>3/23/2006</td>
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<td>LION, AFRICAN</td>
<td>JIMMY</td>
<td>PANTHERA LEO AZANADICUS</td>
<td>HANSON EXOTICS, BEND, OR</td>
<td>1/7/2016</td>
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<td>LION, AFRICAN</td>
<td>LUKE</td>
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<td>PANTHERA LEO AZANADICUS</td>
<td>WEST COAST GAME PARK, BANDON, OR</td>
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<td>LION, MOUNTAIN</td>
<td>SPIRIT</td>
<td>FEELIS CONCOLOR (NO SUBSP)</td>
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<td>LEMUR</td>
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<td>LEMUR CATTA</td>
<td>CHRIS RANKIN, PHOENIX AZ</td>
<td>9/2/2007</td>
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<td>MACAW, GREEN WING</td>
<td>REDMAN</td>
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<td>OWL, GREAT HORNED</td>
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<td>PORCUPINE, PREHENSILE</td>
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<td>RACCOON</td>
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<td>PROCYON LOTAX (NO SUBSP)</td>
<td>LA ANIMAL CONTROL 11-7-14</td>
<td>4/23/2011</td>
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<td>RAVEN, COMMON</td>
<td>ET, JAWS &amp; NEVA</td>
<td>CORYUS CORAX PRINCIPALIS</td>
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<td>REINDEER</td>
<td>#30/31 BLITZEN</td>
<td>RANGIFER TARANDUS</td>
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<td>SKUNK, STRIPED</td>
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<td>MEFETUS (NO SUBSP)</td>
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<td>CRUISER &amp; PETEY</td>
<td>DISAMBIGUATION</td>
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<td>WOLF, GREY #44  THUNDER  CANIS LUPUS (NO SUBSP)  FLORIDA, CYNTHIA WATKINS  4/25/2008  1  M</td>
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<td>WOLF, BLACK  ONYX  CANIS LUPUS (NO SUBSP)  TRIPLE D GAME FARM, MONTANA  5/16/2015  1  M</td>
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<td>ZEBRA  ACE  EQUUS ZEBRA (NO SUBSP)  HILLCREST FARMS, ALAMO TN  8/28/2004  1  M</td>
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<td>ALLBIRD BERMEOSE PYTHON</td>
<td>DOMESTIC DOGS (APPROX 25)</td>
<td>SEPARATE SHEET</td>
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<td>KING SNAKE</td>
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<td>CRUISER &amp; PETEY</td>
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<td>ALLIGATOR, AMERICAN  CHICU  ALLIGATOR MISSISSIPPIENSIS  CONFINESATED CITY OF CARSON  10/1/2011  1  U  11/13/2013</td>
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<td>BABOON, HAMADRYAS  GOBLIN  PAPIO HAMADRYAS (NO SUBSP)  FRESNO ZOO  10/31/1977  1  F  TRANSFERRED TO MOORE PARK</td>
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<td>BEAR, GRIZZLY  GRIZ  URSUS ARCTOS HORBILIS  STORYLAND VALLEY ZOO, EDMONTON, CANADA  1/1/1976  1  M</td>
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<tr>
<td>BEAR, KODIAK  DOC  URSUS ARCTOS HORBILIS  OLYMPIC GAMEFARM, SQUIM, WA  1/9/1992  1  M  1/24/10 DONATED TO ANIMAL WAY STATION</td>
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<tr>
<td>BEAR, NO. AMER. BLACK  DUSKLEY  URSUS AMERICANUS (NO SUBSP)  WEST COAST GAME PARK, BRANDON, OR  1/25/1993  1  M  3/7/06 JOE SCHREIBVAGEL</td>
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<td>BEAR, NO. AMER. BLACK  BUSSY  URSUS AMERICANUS (NO SUBSP)  U.S. LEDARGE, CHISHOLM, MN  1/27/1993  1  M  3/7/06 JOE SCHREIBVAGEL</td>
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<td>BEAR, NO. AMER. BLACK  MISTY  URSUS AMERICANUS (NO SUBSP)  WEST COAST GAME PARK, BRANDON, OR  1/5/1990  1  F  1/6/2009 DIED STROKE OLD AGE DR. MEDIA</td>
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<td>BEAR, NO. AMER. BLACK  CHESTER  URSUS AMERICANUS  WEST COAST GAME PARK, BRANDON, OR  1/15/2006  1  M  3/24/2009 DONATED TO CP CEDAR FALLS BIG BEAR CA</td>
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<td>BEAR, NO. AMER. BLACK  BRET  URSUS AMERICANUS  MARTINS WILDLIFE WAY STATION  2/21/2009  1  M  3/24/2009 DONATED TO CAMP CEDAR FALLS BIG BEAR CA</td>
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<td>BEAR, NO. AMER. BLACK  JIMMY  URSUS AMERICANUS  DEPART. F&amp;G RANCHO CORDOVA CA  3/7/2007  1  M  3/24/2009 DONATED TO CAMP CEDAR FALLS BIG BEAR CA</td>
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<td>BEAR, NO. AMER. BLACK  RUSTY  URSUS AMERICANUS (NO SUBSP)  WEST COAST GAME FARM  2/20/2000  1  M  4/26/04 YELLOW STONE BEAR</td>
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<td>CAPUCHIN, BROWN  MICHELLE  CEBUS APELLA (NO SUBSP)  CONNIE BRAUN, FESTUS MO  5/7/1993  1  F  TRANSFERRED TO MOORE PARK  11/12/05 COCHRAN-ALL EXOTIC BIRDS &amp; PETS</td>
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<td>CAPUCHIN, BROWN  MAGGIE  CEBUS APELLA (NO SUBSP)  CORONA ANIMAL CONTROL, FISH &amp; GAME  3 YEARS APPROX  1  F  DIED 9/7/09 HAIR BALL IN STOMACH</td>
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<td>CARACAL, LYNX  LAYLA  CARACAL CARACAL (NO SUBSP)  TIFFANY SHEAR, DURHAM, NC  4/11/1990  1  F  DIED 3/7/09 HAIR BALL IN STOMACH</td>
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<td>CHIMPANZEE  CHRISTINA  PAN TROGLODYTES (NO SUBSP)  DANNY KOLWICK, SAVANNA LAND, MO 64880  1985  1  F  2/27/09 DIED SUDDENLY UNKNOWN</td>
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<td>CHIMPANZEE  RIPLEY  PAN TROGLODYTES (NO SUBSP)  DANNY KOLWICK, SAVANNA LAND, MO 64880  1988  1  M  31/30/09 TRANSFERRED TO CENTER</td>
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<td>PAN TROGLODYTES (NO SUBSP)</td>
<td>BUCKSHIRE CORP, 2025 RIDGE ROAD, PERKASIE, PA 18944</td>
<td>1969</td>
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<td>5/1/05 TRANSFERRED TO WALLEY SWIFT PRIMATES, SAN DIEGO, CA</td>
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<td>CHIMPANZEE</td>
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<td>7/12/2006 TRANS CONNIE CASEY</td>
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<td>MICKEY</td>
<td>PAN TROGLODYTES (NO SUBSP)</td>
<td>GARY GERO'S BIRDS AND ANIMALS</td>
<td>1980</td>
<td>1</td>
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<td>5/18/07 DIED VALLEY EYER</td>
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<td>9/25/2000</td>
<td>1</td>
<td>M</td>
<td>4/13/12 DONATION TO WILDLIFE WAY STATION</td>
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<td>RON</td>
<td>PAN TROGLODYTES (NO SUBSP)</td>
<td>SMWW</td>
<td>5/1/1997</td>
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<td>7/15/11 DONATION SAVANA LAND</td>
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<td>PAN TROGLODYTES (NO SUBSP)</td>
<td>SMWW</td>
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<td>7/27/05 TRAFEERE TO WALL SWETT</td>
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<td>PAN TROGLODYTES (NO SUBSP)</td>
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<td>PAN TROGLODYTES (NO SUBSP)</td>
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<td>1/15/1993</td>
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<td>7/27/05 TRAFEERE TO WALL SWETT</td>
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<td>PAN TROGLODYTES (NO SUBSP)</td>
<td>BUCKSHIRE CORP, 2025 RIDGE ROAD, PERKASIE, PA 18944</td>
<td>1/8/1994</td>
<td>1</td>
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<td>DONATED TO R. WILMOOTH, ARK 12-6</td>
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<td>PAN TROGLODYTES (NO SUBSP)</td>
<td>BUCKSHIRE CORP, 2025 RIDGE ROAD, PERKASIE, PA 18944</td>
<td>10/15/1992</td>
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<td>CARPER EXOTICS, SUGARGROVE OH</td>
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<td>BOONE HAIR'S ANIMALS FOR HOLLYWOOD, 31550 OAKHORN</td>
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<td>CHIMPANZEE</td>
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<td>GARY GERO'S PER OUR BREEDING AGREEMENT</td>
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<td>PAN TROGLODYTES (NO SUBSP)</td>
<td>1974 ST LOUIS ZOO ARBUCKLE WILDERNESS DAVIS OK 580-369-3383</td>
<td>5/1/1973</td>
<td>1</td>
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<td>3/7/06 JOE SCHREIBVOGEL WYNNEDOWOOD, OK</td>
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<td>TONKA</td>
<td>PAN TROGLODYTES (NO SUBSP)</td>
<td>ARBUCKLE WILDERNESS, DAVIS OK ON BREEDER LOAN</td>
<td>3/25/1992</td>
<td>1</td>
<td>M</td>
<td>GARY GERO'S PER OUR BREEDING AGREEMENT</td>
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<td>CHIMPANZEE</td>
<td>LILLIAN</td>
<td>PAN TROGLODYTES (NO SUBSP)</td>
<td>SMWW</td>
<td>5/20/1969</td>
<td>1</td>
<td>F</td>
<td>3/7/06 JOE SCHREIBVOGEL WYNNEDOWOOD, OK</td>
</tr>
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<td>CHIMPANZEE</td>
<td>CAYLAB</td>
<td>PAN TROGLODYTES (NO SUBSP)</td>
<td>JAMES CASEY - MISSOURI PRIMATE FESTUS, MO ON LEASE</td>
<td>10/30/2002</td>
<td>1</td>
<td>M</td>
<td>4/13/12 DONATION TO WILDLIFE WAY STATION, TAILINGA CA USA 93</td>
</tr>
<tr>
<td>COATIMUNDI</td>
<td>ZEKE</td>
<td>NASUA</td>
<td>JAMES CASEY - OASARI WILDLIFE, LAS VEGAS, NV</td>
<td>8/22/2000</td>
<td>1</td>
<td>M</td>
<td>PUT DOWN 12/31/05 DUE TO KIDNEY FAILURE</td>
</tr>
<tr>
<td>COBRA, MONOCLED</td>
<td>NO NAME</td>
<td>NAZA NAZA NIMANEN</td>
<td>SAFARI WILDLIFE, JOSH WEINSTEIN LAS VEGAS, NV</td>
<td>9/8/05</td>
<td>1</td>
<td>U</td>
<td>5/18/05 WILDLINGS, SINTAS CA</td>
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<tr>
<td>COYOTE</td>
<td>SAMMY</td>
<td>CANIS LATRAN</td>
<td>JIM SMITH</td>
<td>2</td>
<td>1</td>
<td>U</td>
<td>11/18/02 PUT DOWN OLD AGE</td>
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<tr>
<td>COYOTE</td>
<td>JOVI</td>
<td>CANIS LATRAN</td>
<td>RE-HAB SCOTT WELDY</td>
<td>3/25/1986</td>
<td>1</td>
<td>M</td>
<td>WILDLIFE WAYSTATION</td>
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<td>COYOTE</td>
<td>RAY</td>
<td>CANIS LATRAN</td>
<td>RE-HAB W/ BETH SCOTT WELDY</td>
<td>206</td>
<td>1</td>
<td>M</td>
<td>11/18/02 PUT DOWN OLD AGE</td>
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<td>COYOTE</td>
<td>SCOUT</td>
<td>CANIS LATRAN</td>
<td>BIG RUN WOLF RANCH LOCKPORT ILLINOIS</td>
<td>4/29/1998</td>
<td>1</td>
<td>M</td>
<td>7/3/07 DIED LONG COMPLICATIONS PER DR MARTIN</td>
</tr>
<tr>
<td>DEER, MULE</td>
<td>MAGGIE</td>
<td>ODOCOLEUS HEMIONUS</td>
<td>SMWW</td>
<td>4/30/1994</td>
<td>1</td>
<td>M</td>
<td>DIED OF CANCER IN NASAL</td>
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<td>DEER, MULE</td>
<td>MIKEY</td>
<td>ODOCOLEUS HEMIONUS</td>
<td>RE-HAB CENTER JERRY THOMPSON</td>
<td>7/14/1997</td>
<td>1</td>
<td>F</td>
<td>DIED 11/15/06 LARS OLSEN WADDELL AZ</td>
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<td>DEER, MULE</td>
<td>TAWNY</td>
<td>ODOCOLEUS HEMIONUS</td>
<td>DEPARTMENT OF FISH &amp; GAME SACRAMENTO CA</td>
<td>4/7/1995</td>
<td>1</td>
<td>F</td>
<td>DIED 11/15/06 LARS OLSEN WADDELL AZ</td>
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<td>DEER, MULE</td>
<td>MINNIE &amp; MOLY</td>
<td>ODOCOLEUS HEMIONUS</td>
<td>SMWW</td>
<td>3/30/1993</td>
<td>2</td>
<td>F</td>
<td>DIED 11/15/06 LARS OLSEN WADDELL AZ</td>
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<td>DEER, RED</td>
<td>HENRY</td>
<td>CERVUS ELAPHUS CIBICICUS</td>
<td>SAN DIEGO WILD ANIMAL PARK ESCONDIDO CA</td>
<td>3/1/1987</td>
<td>1</td>
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<td>IN PAIN SUFFERING OLD AGE</td>
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<td>DEER, RED</td>
<td>LAWRENCE</td>
<td>CERVUS ELAPHUS CIBICICUS</td>
<td>SAN DIEGO WILD ANIMAL PARK ESCONDIDO CA</td>
<td>3/15/1985</td>
<td>1</td>
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<td>DONATE TO CRAIG PERRY 11/2003</td>
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<td>EAGLE, TAWNY</td>
<td>ECHO</td>
<td>AQUILA RAPAX (NO SUBSP)</td>
<td>CONDESA MEXICO</td>
<td>1985</td>
<td>1</td>
<td>F</td>
<td>DIED 1/12/2008 DIED OF OLD AGE 8 YEARS 7 MONTHS</td>
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<td>EAGLE, TAWNY</td>
<td>LIPPS</td>
<td>AQUILA RAPAX</td>
<td>CONDESA MEXICO</td>
<td>1985</td>
<td>1</td>
<td>F</td>
<td>2/5/12 DIED IN CAGE  POSIBLE EGG BOUND</td>
</tr>
<tr>
<td>FERRET, GLO PIP</td>
<td>BENJAMIN</td>
<td>MUSTELA PUTORIUS FUSCA</td>
<td>PATTI PARDIO CA</td>
<td>11/12/2007</td>
<td>2</td>
<td>M</td>
<td>DIED OF OLD AGE 7 YEARS</td>
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<td>FERRET, SILVER TIP</td>
<td>EMILY</td>
<td>MUSTELA NIGRIPES</td>
<td>DONATED SOMEONE IN CA</td>
<td>8/12/1999</td>
<td>1</td>
<td>U</td>
<td>DIED OF OLD AGE JAN 2005</td>
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<tr>
<td>FOX, RED</td>
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<td>VULPES VULPES</td>
<td>ADRIAN'S MAGIC MENAGE</td>
<td>3/16/1989</td>
<td>1</td>
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<td>DIED 1/15/02 OLD AGE</td>
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<td>FOX, RED</td>
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<td>3/16/1989</td>
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<td>DIED OF OLD AGE 1/26/03</td>
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<td>FOX, RED</td>
<td>STORMY</td>
<td>VULPES VULPES</td>
<td>STORM DHAIN DR. AMSEL</td>
<td>10 WEEKS</td>
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<td>FOX, RED</td>
<td>PHOEBE</td>
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<td>4/7/1993</td>
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<td>4/5/05 TIMBERLEA KENNELS YORK</td>
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<td>FOX, RED</td>
<td>SPARKY</td>
<td>VULPES VULPES</td>
<td>LINDA WINGERT, HESPERIA, CA</td>
<td>3/23/2006</td>
<td>3</td>
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<tr>
<td>FOX, RED</td>
<td>JOEY</td>
<td>VULPES VULPES</td>
<td>LINDA WINGERT, HESPERIA, CA</td>
<td>2/23/2006</td>
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<td>FOX, WHITE</td>
<td>GABRIEL</td>
<td>OSAMBU AUTIAK</td>
<td>INDIANA</td>
<td>1984</td>
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<tr>
<td>HAWK, HARRIS</td>
<td>KERR</td>
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<td>RE-HAB WILDLIFE CONV - OIYA NC</td>
<td>6/3/2005</td>
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<td>RE-HAB WILDLIFE CONV - OIYA NC</td>
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<td>9/23/1991</td>
<td>1</td>
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<td>DIED OF OLD AGE 12/20/07</td>
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<td>LION, MOUNTAIN</td>
<td>DYLAN</td>
<td>FEIS CONCOLOR</td>
<td>KRAFT GAME FARMS ROCHESTER MN</td>
<td>3/4/1999</td>
<td>1</td>
<td>M</td>
<td>6/6/05 TRANSFERRED TO JAMIE TO TEXAS</td>
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<td>KASEY</td>
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<td>LION, MOUNTAIN</td>
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<td>FEIS CONCOLOR</td>
<td>WEST COAST GAME PARK, BRANDON, OR</td>
<td>3 MONTHS</td>
<td>2</td>
<td>M</td>
<td>9/5/05 NICK TOOTH CONGA HILL</td>
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<td>KOALA</td>
<td>FEIS CONCOLOR</td>
<td>WEST COAST GAME PARK, BRANDON, OR</td>
<td>6/3/2005</td>
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<td>M</td>
<td>2/11/11 TRANSFER WEST COAST GAME PARK, BRANDON OR</td>
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<td>ORANGUTAN</td>
<td>KATY</td>
<td>PONGO PYGMAEUS</td>
<td>BOBBY BARROSI N LAS VEGAS NV</td>
<td>12/18/1988</td>
<td>1</td>
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<td>7/10/08 TRANS GT APE TRUST OF IA</td>
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<td>6/1/1982</td>
<td>1</td>
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<td>PONGO PYGMAEUS</td>
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<td>BOBBY BARROSI N LAS VEGAS NV</td>
<td>1/7/1984</td>
<td>1</td>
<td>F</td>
<td>7/15/10 WENT TO INDIANAPOLIS ZOO</td>
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<td>LUCY</td>
<td>PONGO PYGMAEUS</td>
<td>BOBBY BARROSI N LAS VEGAS NV</td>
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<td>1</td>
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<td>CHARLEY</td>
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<td>4/11/08 TRANS GT APE TRUST, IA</td>
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<td>BENNY</td>
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<td>7/25/10 MOVED TO INDIANAPOLIS ZOO</td>
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<td>HANNAH</td>
<td>PROCYON LOTOR (NO SUBSP)</td>
<td>SCOTT WELDY, DVM LAKE FOREST CA</td>
<td>1/3/1993</td>
<td>1</td>
<td>M</td>
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<td>RACCOON</td>
<td>BANOT JR</td>
<td>PROCYON LOTOR</td>
<td>WILDFIRE WAY STATION</td>
<td>UK</td>
<td>1</td>
<td>M</td>
<td>JAN 2006 PASSED OLD AGE</td>
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<td>RODGER</td>
<td>PROCYON LOTOR</td>
<td>WILDFIRE WAY STATION</td>
<td>4/1/2001</td>
<td>1</td>
<td>F</td>
<td>DIED OF THYROID TUMOR</td>
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<td>RACCOON</td>
<td>JASSY</td>
<td>PROCYON LOTOR</td>
<td>GLENDALE ANIMAL HOSPITAL</td>
<td>6/2/2002</td>
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<td>M</td>
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<td>PROCYON LOTOR</td>
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<td>M</td>
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<td>1</td>
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<td>DIED UNKNOWN 12/6/01</td>
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<td>U</td>
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<td>RAVEN, COMM</td>
<td>JET</td>
<td>CORVUS CORAX</td>
<td>FRANK HAN</td>
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<td>U</td>
<td>DIED AT RANCH GOT INFECTION 8/14/01</td>
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<td>DIED OLD AGE 7/13/01</td>
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<td>SMWW</td>
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<td>RANGIFER TARANDUS</td>
<td>SMWW</td>
<td>5/1/1996</td>
<td>1</td>
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<td>RANGIFER TARANDUS</td>
<td>SMWW</td>
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<td>1</td>
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<td>DIED SEPT 2002 TCIMEA</td>
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<td>1</td>
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<td>TAI</td>
<td>EQUUS ZEBRA</td>
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</table>
STEVE MARTINS WORKING WILDLIFE
14466 BOY SCOUT CAMP RD
FRAZIER PARK, CA 93225
661-245-2406

PAY TO THE ORDER OF: U.S. Fish & Wildlife

DATE 5-25-18

One Hundred and No/100 DOLLARS

For New Cites for "Luke the Lion"

Debbie McReely
June 6, 2018

U.S. Fish & Wildlife Service
Division of Management Authority
Branch of Permits, MS: 1A
5275 Leesburg Pike
Falls Church, VA 22041

Re: Export of Ivory Objects – Traveling Exhibition

Dear Biologist,

Enclosed, please find completed Federal Fish & Wildlife Permit Application for the object that will be exported from The Cleveland Museum of Art to the Science Museum, London (England). In addition to the application, I have included the following back up documentation:

- Check payable to USFW for $75.00 and $25 (total $100)
- Additional Information page
- Statements from The Cleveland Museum of Art.
- Pro-forma Invoice
- Description of objects
- Power of Attorney for The Cleveland Museum of Art.
- Color image of the object
- Return FedEx envelope

I hope this is sufficient. My telephone number is 847 378 1007, please call should you have any questions or require more information.

Sincerely,

Emilia Maxim
Masterpiece International Ltd.
Federal Fish and Wildlife Permit Application Form

Return to: U.S. Fish and Wildlife Service
Division of Management Authority (DMA)
Branch of Permits, MS: IA
5275 Leesburg Pike
Falls Church, VA 22041-3803
1-800-358-2104 or 703-358-2104

Type of Activity:
Export/Re-export/Re-import of Circuses and Traveling Animal Exhibitions (and Reissuance) (CITES/ESA)

Complete if applying as an individual

<table>
<thead>
<tr>
<th>1a. Last name</th>
<th>1b. First name</th>
<th>1c. Middle name or initial</th>
<th>1d. Suffix</th>
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2. Date of birth (mm/dd/yyyy) | 3. Social Security No | 4. Occupation | 5. Affiliation/Doing business as (see instructions) |
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6a. Telephone number | 6b. Alternate telephone number | 6c. Fax number | 6d. E-mail address |
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</tbody>
</table>

Complete if applying on behalf of a business, corporation, public agency, Tribe, or institution

1b. Doing business as (DBA)
The Cleveland Museum of Art
Museum-Educational Institution
34-071433600
Harrison
Curator of Decorative Art and Design
Gretchen Shie Miller
216 707 2216
216 421 8815
GShieMiller@cleveandart.org

Complete all applicants complete address information

1a. Physical address (Street address, Apartment #, Suite #, or Room #, no P.O. Box)
11150 East Boulevard
Cleveland
OH 44106

2a. Mailing Address (include if different than physical address, include name of contact person if applicable)

2b. City
State
Zip code/Postal code
County/Province
Country

All applicants MUST complete

1. Attach check or money order payable to the U.S. FISH AND WILDLIFE SERVICE in the amount identified on page 2. Federal, Tribal, State, and local government agencies, and those acting on behalf of such agencies, are exempt from the processing fee - attach documentation of fee exempt status as outlined in Instructions. (50 CFR 13.116)

2. Do you currently have or have you ever had any Federal Fish and Wildlife permit?
Yes [ ]

3. Certification: I hereby certify that I have read and am familiar with the regulations contained in Title 50, Part 13 of the Code of Federal Regulations and the other applicable parts in subchapter B of Chapter 1 of Title 50, and I certify that the information submitted in this application for a permit is complete and accurate to the best of my knowledge and belief. I understand that any false statement herein may subject me to the criminal penalties of 18 U.S.C. 1001.

Signature (in blue ink) of applicant/person responsible for permit. (No photocopy or stamped signatures)
Date of signature (mm/dd/yyyy)

Please continue to next page
E. Export/Re-export/Relimport of Circuses, Traveling Animal Exhibitions, or Museum Exhibitions (and Reissuance) (CITES/ESA)

Note 1. This form is only for the purpose of temporary travel (export and re-import) to exhibit animals, museum exhibitions, or other traveling exhibitions where specimens do not change ownership (e.g., not being bought or sold while outside the United States). If you are intending to transfer ownership or offer specimens for sale outside the United States, submit form 3-200-23 (pre-Convention specimens) or 3-200-37 (ESA/CITES specimens). All applications can be found at http://www.fws.gov/international/permits/bv-form-number/index.html.

Note 2. If you are traveling with musical instruments, you can use form 3-200-88 (Musical Instrument Certificate).

Note 3. For activities involving marine mammals, use form 3-200-53 (Export /Re-Export of Live Captive Held Marine Mammals (CITES)).

Note 4. If you are applying on behalf of a client, provide documentation to show that you have a Power of Attorney authorizing you to act on behalf of the client.

Note 5. For Re-issuance and Amendments requests: PLEASE RETURN THE ORIGINAL PERMIT.

Note 6. Please review the complete application before beginning. There are three scenarios under which circus and traveling exhibitions are permitted.

Scenario 1. Traveling Exhibition Certificate (Resolution Conf. 12.3(Rev. CoP13)). This applies only to an animal or specimens that qualify as pre-Convention or Bred in Captivity as defined in Resolution Conf. 10.16 (Rev.). A CITES certificate may be issued up to 3 years for a single animal or a group of (non-living) specimens. Follow instructions in Part I below, and complete one application per animal or group of specimens moving as one exhibition. If the animal or specimens do not qualify for the traveling-exhibition certificate, follow instructions in Part II. Processing fee: $100 for a species listed on both CITES and ESA; $75 for a species listed on CITES only.

Scenario 2. For animals that do not qualify under Scenario 1, a Master File can be established that is valid for up to three years for one or more animals or specimens. A Master file would authorize a number of (re-)exports and/or imports over a three-year period, but you would still be required to obtain CITES re-export documents for the re-exporting country before returning to the United States. Once a Master File is approved, you must obtain single-use permits, valid for 6 months or until the expiration of the master file, whichever is sooner, for each export/re-export or import (50 CFR 13.11). Processing fees: $200 to establish a Master file; $100 for Master file renewal; $5 single use documents. Follow instructions in Part II.

Scenario 3. For animals that do not qualify under Scenario 1 and you do not need/want to conduct multiple shipments, you may apply for a Single Use Permit for multiple animals that is valid for a single export or re-export. If you are making a single import, please use from 3-200-37. Processing fee: $100. Follow instructions in Part II.

Provide the following information. Complete all questions on the application. Mark questions that are not applicable with "N/A". You may need additional sheets of paper. On all attachments or separate sheets you submit, indicate the application question number you are addressing. Please do not submit video tapes.

Complete either Part I or Part II, as appropriate AND Part III and IV.

---

1 Specimen was acquired (removed from the wild or held in captivity or a controlled environment) before the date CITES applied to it. The listing date can be found http://www.cites.org; CFR 23.45 b1
Part I. Traveling Exhibition Certificate (Scenario 1)

1. Provide the following for the animal or group of specimens (a separate permit application is needed if more than one animal is involved).

<table>
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<tr>
<th>Scientific name (genus, species, and if applicable, subspecies) and Common name</th>
<th>Gender, if known</th>
<th>Date of Birth or manufacturing (MM/DD/YYYY)</th>
<th>Source (Wild or Born in captivity)</th>
<th>Country of last re-export</th>
<th>Description (e.g., I.D. #, hand #, tattoo #, tag #, size, microchip #, house name, distinguishing marks/features). If microchip #, provide manufacturer and location of microchip. (Border officials must be able to verify that the permit and the animal correspond.)</th>
</tr>
</thead>
</table>

2. Current location of specimen(s):

Part II. Animals or specimens that do not qualify for a Traveling-exhibition Certificate.

1. Please indicate which you are requesting (check appropriate box):

☐ Master File (Scenario 2 - individual CITES documents, valid for up to six months. Issued from the Master File)

How many single-use permits do you anticipate using in the next six months if master file is approved? [ ]

Additional CITES documents may be requested via form 3-200-74 (http://www.fws.gov/international/permits/by-form-number/index.html).

OR

☐ Single Use Permit (Scenario 3) valid for a single shipment in a six-month period.

Indicate country and location(s) of exhibition:

Name:

Address:

Address:

City:

State/Province:

Country, Postal Code:

*2 The exporter may be asked to have a microchip reader on hand to read the microchip at the time of export.
2. Provide the following for each animal or specimen (multiple animals or specimens may appear on a single document).

<table>
<thead>
<tr>
<th>Scientific name (genus, species, and if applicable, subspecies) and Common name</th>
<th>Gender, if known</th>
<th>Date of Birth or Manufacturing (MM/DD/YYYY)</th>
<th>Source (Wild or Born in captivity)</th>
<th>Last Country of last re-export</th>
<th>Description (e.g., I.D. #, band #, tattoo #, tag #, size, microchip #, house name, distinguishing marks/features). If microchip #, provide manufacturer and location of microchip. (Border officials must be able to verify that the permit and the animal correspond.)</th>
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</tr>
</tbody>
</table>

3. Current location of specimens:

Part III (All applicants complete). For EACH animal or specimen, provide the following. If your application covers more than one animal or specimen, be sure to answer questions 1 and 2 for each animal or specimen being addressed in the application.

If this animal or specimen qualifies as pre-Convention, provide documents, signed statements or other evidence that the wildlife was born or removed from the wild prior to the date CITES applied to it (e.g., bill of sale, ISIS record, breeder's record).

1. Was the animal or source of the specimen born/hatched in captivity? Yes [ ] No [ ]
   If YES, provide responses to a and b below:
   a. Are you the breeder? If so, please provide a statement that the animal was bred and born/hatched at your facility. This statement must include:
      i. Birth/hatch date, and if applicable band/tag number, and sex of each specimen;
      ii. Name and address of your facility where the animal was bred and born;
      iii. Location of parental stock; and
      iv. Your signature and date.
   b. If you are NOT the breeder of the specimen(s), provide copies of documentation showing that you acquired the animal from the breeder or documentation demonstrating the history of transactions (chain of ownership of each animal) and a signed statement from the breeder or breeder's record that includes:
      i. That the animal was bred and born/hatched at his/her facility;
      ii. Birth/hatch date, and, if applicable, band/tag number, or other identifiers;
      iii. Sex of each specimen;
      iv. Location (Name, Street address, City, State) of Parental Stock;
      v. Complete name and address of the breeder's facility.

---

Footnote: 3 If a microchip is used to identify the animal, the exporter may be asked to have a microchip reader on hand to read the microchip at the time of export.
If NO (animal was not born/hatched in captivity), provide:

i. Location of where, when, and by whom (name and address) the specimen was removed from the wild;

ii. Purpose of removal;

iii. Copy of any permits or other documents from the State or local wildlife authorities approving the activities;

iv. Documentation showing that the specimens were legally acquired by the applicant; and

v. Copies of any applicable State permits or licenses that are required to house, maintain, and breed these specimens (contact your State for information).

2. If this animal or animal from which the specimen was obtained is protected by the U.S. Endangered Species Act (ESA):

   Is the animal or specimen pre-Act (acquired or held in a controlled environment on or before (a) December 28, 1973 or the date when the species was listed, and (b) has not entered into commerce (e.g., been bought, sold, or offered for sale by you or anyone else) since December 28, 1973, or the date when listed)?

   a. ☐ If yes, provide evidence that the animal meets the above criteria.

   b. ☐ If no, you must be able to show that your proposed activity would meet the issuance criteria under ESA.
      
      For endangered species, permits can be issued for activities that enhance the survival or propagation of the species or scientific research. For threatened species, permits can be issued for the above reasons, as well as education, zoological display, or other purposes that would meet the purpose of the Endangered Species Act.

      Provide a statement, and documentation to support the statement, on how the activities will enhance or benefit the wild population (in-situ and ex-situ projects). While permits cannot be issued solely for educational or display purposes for endangered species, if your activities include conservation education, provide copies of educational materials (e.g., handouts, text of signage or public presentations). If you are submitting more than one application at this time for a group of animals, you can complete this section on one application and refer any subsequent application to this statement. If you need more explanation on this question, please contact the Division of Management Authority.

3. (For all applicants) If your activity includes public presentations, please provide the following:

   i. In what type of presentation are you proposing to use the specimen (e.g., live performance, movie, TV)?

   ii. Provide a copy of the actual script or material that will be presented to the audience at each performance, show, or viewing of the specimen(s). This material must be original in nature (e.g., photocopies from a reference book are not appropriate) and must be the actual material that will be presented each time the animal is viewed by the target audience.

   iii. Will fact sheets, brochures, or posters be used? Is the written material available free-of-charge?

   iv. When will the material be presented? If the material will be presented orally, when will this presentation be given? What activities will be occurring at the same time the presentation of the message is being provided and could the activity diminish the effectiveness of the presentation? If the material will be presented in a written form, will an oral announcement be made regarding the availability of this material? If the material is in poster form, will the posters be placed so that the material will be accessible by the public?

   v. When exhibiting in countries where English is not the primary language, explain how the conservation education information will be presented to the non-English speaking audience.

4. Is the animal a live non-human primate? If so, provide a copy of your current Centers for Disease Control (CDC) registration.
Part IV (all applicants complete). If you are submitting more than one application at this time, you may submit the following information once and refer to it in all subsequent applications.

1. For live exhibitions, provide the following on your facilities:

   a. Provide address of the permanent facility where the animal(s) is/are maintained.

      Name:

      Facility Name:

      Address:

      Address:

      City:

      State/Province:

      Country, Postal Code:

   b. A detailed description, including size, construction materials, protection from the elements, and photographs or detailed diagrams clearly depicting the permanent facilities;

   c. Provide the same as above for transportation units used while traveling within the United States and abroad. The transport conditions must comply with 50 CFR Part 13, the CITES Guidelines for Transport of Live Animals, as well as the Animal Welfare Act and, in the case of air transport, with the International Air Transport Association (IATA) (www.iata.org/cargo/live.htm) live animal regulations. Your description must include:

      i. The type, size, and construction of any shipping container; and

      ii. The arrangements for watering or otherwise caring for the wildlife during transport.

   d. Description of the qualifications of the individuals to train and care for the animal, including the number of years' experience with this species or similar species, and names of current caretakers.

2. For live exhibitions, provide a list all mortalities of ESA listed species which occurred at your facility during the past five years, and explain the cause of the mortalities and measures taken to prevent future mortalities if appropriate.

3. Provide copies of any applicable permits, licenses and registrations (State Fish and Game, U.S. Department of Agriculture Animal Welfare Act (AWA), Center for Disease Control and Prevention).

4. All international shipment(s) must be through a designated port. A list of designated ports (where an inspector is posted) is available from http://www.fws.gov/le/designated-ports.html. If you wish to use a port not listed, please contact the Office of Law Enforcement for a Designated Port Exemption Permit (form 3-200-2).
5. Name and address where you wish permit mailed, if different from page 1 (All permits will be mailed via the U.S. Postal Service, unless you identify an alternative means below):

6. If you wish the permit to be delivered by means other than USPS regular mail, provide an air bill, pre-paid envelope, or billing information. If you do not have a pre-paid envelope or air bill and wish to pay for a courier service with your credit card, please check the box below. Please DO NOT include credit card number or other information; you will be contacted for this information.

☐ If a permit is issued, please send it via a courier service to the address on page 1 or question 5. I understand that you will contact me for my credit card information once the application has been processed.

7. Who should we contact if we have questions about the application? (Include name, phone number, and email):

8. Disqualification Factor. A conviction, or entry of a plea of guilty or nolo contendere, for a felony violation of the Lacey Act, the Migratory Bird Treaty Act, or the Bald and Golden Eagle Protection Act disqualifies any such person from receiving or exercising the privileges of a permit, unless such disqualification has been expressly waived by the Service Director in response to a written petition. (50 CFR 13.21(c)) Have you or any of the owners of the business, if applying as a business, been convicted, or entered a plea of guilty or nolo contendere, forfeited collateral, or are currently under charges for any violations of the laws mentioned above?

☐ Yes ☐ No If you answered “Yes” provide: a) the individual’s name, b) date of charge, c) charge(s), d) location of incident, e) court, and f) action taken for each violation.
Additional Information: Application for Traveling Exhibition CITES/ESA Certificate

Part I.

Scientific name (genus, species, and if applicable, subspecies) and Common name
- Loxodonta Africana  African Elephant

Gender, if known
- Unknown

Date of Birth or manufacturing
- Unknown

Source (Wild or Born in captivity)
- Wild

Country of last re-export
- Unknown

Description
- Imperial Red Cross Easter Egg made of gold, silver, enamel, glass, ivory

2. Current location of specimen(s):

The Cleveland Museum of Art
11150 East Boulevard
Cleveland, OH 44106

Part II. N/A

Indicate country and location of exhibition

The Science Museum Group
Exhibition Road
Kensington
London SW7 2DD
England
Part III.

1. Was the animal or source of the specimen born/hatched in captivity? No

2. If this animal or animal from which the specimen was obtained is protected by the U.S. Endangered Species Act (ESA): YES – see attached letter

3. N/A

Part IV. N/A

5. Return FedEx label enclose for: Masterpiece International Ltd. 1699 Wall St. Suite 725, Mount Prospect, IL 60056

6. FedEx label enclosed

7. Emilia Maxim Tel. 847 378 1007, email: Emaxim@masterpieceintl.com

8. Disqualification Factor: NO
May 21, 2018

U.S. Fish & Wildlife Service
Office of Management Authority
4401 N. Fairfax Drive
Room 432
Arlington, VA 22201

Dear Biologist,

The object described on the following pages is being lent to the Science Museum, London (England) for inclusion in their exhibition, The Last Tsar: Medicine at the Court of Nicholas II, which takes place from September 20, 2018 through March 24, 2019.

This letter will certify that the item listed on the following pages contains elephant ivory (Elephantidae spp.) believed to be Africans elephant ivory (Loxodonta Africana). According to the research of Alan Derbyshire, Head of Paper, Books, and Paintings Conservation, Specialist in Portrait Miniatures at the Victoria & Albert Museum in London, this was the standard ivory used at that time for portrait miniatures by the House of Fabergé. Per Mr. Derbyshire, most miniatures from that time would have been painted on ivory sourced in Africa; even European artists working in India would still have used African ivory.

I certify that this object has not been repaired or modified with any parts of endangered species on or after December 28, 1973.

The ivory incorporated in this object is over 100 years of age.

This will certify that the item listed was acquired by the Cleveland Museum of Art via bequest in 1963 and has not entered into commerce since then.

Sincerely,

[Signature]

Stephen Harrison
Curator of Decorative Art and Design
The Cleveland Museum of Art
June 4, 2018

The Science Museum Group
Exhibition Road
Kensington
London SW7 2DD
England

Total Value: USD 25,000,000.

Pro-forma Invoice for Customs Purposes Only

Exhibition: The Last Tsar: Medicine at the Court of Nicholas II

Crate: TBD

CMA 1963.573
Imperial Red Cross Easter Egg, 1915.
Firm of Peter Carl Fabergé (Russian, 1846-1920), Henrik Wigström (Russian, 1862-1923)
Gold, silver, enamel, glass, ivory; overall: 8.6 x 6.4 cm (3 3/8 x 2 1/2 in.)
The Cleveland Museum of Art, The India Early Minshall Collection 1963.673
Insurance Value: USD 25,000,000

Total Value

USD 25,000,000

Work of art lent for exhibition purposes. Will return to owner, The Cleveland Museum of Art, at the close of the exhibition.

Gretchen Shie Miller, Registrar for Loans, The Cleveland Museum of Art (34-0714336)
Department: Decorative Art and Design

Object Information: Imperial Red Cross Easter Egg, 1915. Firm of Peter Carl Fabergé (Russian, 1846-1920), Henrik Wigström (Russian, 1862-1923). Gold, silver, enamel, glass, ivory; overall: 8.6 x 6.4 cm (3 3/8 x 2 1/2 in.) The Cleveland Museum of Art, The India Early Minshall Collection 1963.673

Inscription: inscribed (interior of egg): symbols for Alpha and Omega and imperial crown for Alexandra Feodorovna; 1915; inscriptions in Cyrillic, Old Church Slavonic, and Roman letters which identify Sts. Olga and Tatiana and presumably describe the central scene of the triptych. Inscribed (on velvet case): double-headed eagle, Fabergé, Petersburg, Moscow, London, all in Cyrillic on lining of case; 17.559,

Marks: Fabergé (in Cyrillic); initials of workmaster Henrik Wigström; 1915; assay mark of St. Petersburg 1908-1917.

Provenance: presented by Czar Nicholas II to his wife, Czarina Alexandra Feodorovna, Easter 1915; India E. Minshall, Cleveland, Ohio. Acquired by The Cleveland Museum of Art in 1963 as a bequest from the India E. Minshall Collection.

Published References:  

Credit Line:  
The Cleveland Museum of Art, The India Early Minshall Collection 1963.673
The Cleveland Museum of Art

(Using Name of Person, Partnership, Association, or other relationship identifier)

600 University Circle
Cleveland, OH 44109

In Witness Whereof, the said

Robert A. Bergman
Director

(Seal)

WITNESS:

December 7, 1994

(Seal)

WITNESS:

(Seal)
**Federal Fish and Wildlife Permit Application Form**

Return to: U.S. Fish and Wildlife Service  
Division of Management Authority (DMA)  
Branch of Permits, MS: IA  
5275 Leesburg Pike  
Falls Church, VA 22041-3803  
1-800-358-2104 or 703-358-2104

Type of Activity:  
Export/Re-export/Re-import of Circuses and Traveling Animal Exhibitions (and Reissuance) (CITES/ESA)  
- [ ] New Application  
- [ ] Master File Permit #  
- [ ] Requesting Re-issuance/Amendment of Permit

Complete Sections A or B, and C, D, and E of this application. U.S. address may be required in Section C. See instructions for details.  
See attached instruction pages for information on how to make your application complete and help avoid unnecessary delays.

### A. Complete if applying as an individual

<table>
<thead>
<tr>
<th>1.a. Last name</th>
<th>1.b. First name</th>
<th>1.c. Middle name or initial</th>
<th>1.d. Suffix</th>
</tr>
</thead>
<tbody>
<tr>
<td>GILES</td>
<td>JENNY</td>
<td>(b) (6)</td>
<td></td>
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</table>

<table>
<thead>
<tr>
<th>2. Date of birth (mm/dd/yyyy)</th>
<th>3. Social Security No.</th>
<th>4. Occupation</th>
<th>5. Affiliation/Place of business (see instructions)</th>
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<td>(b) (6)</td>
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<tr>
<th>6.a. Telephone number</th>
<th>6.b. Alternate telephone number</th>
<th>6.c. Fax number</th>
<th>6.d. Email address</th>
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<tbody>
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</table>

### B. Complete if applying on behalf of a business, corporation, public agency, Tribe, or institution

<table>
<thead>
<tr>
<th>1.a. Name of business, agency, Tribe or institution</th>
<th>1.b. Doing business as (dba)</th>
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<tr>
<th>2. Tax identification no.</th>
<th>3. Description of business, agency, Tribe, or institution</th>
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<tr>
<th>4.a. Principal officer Last name</th>
<th>4.b. Principal officer First name</th>
<th>4.c. Principal officer Middle name or initial</th>
<th>4.d. Suffix</th>
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<th>6. Primary contact name</th>
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### C. All applicants complete address information

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<tr>
<th>1.b. City</th>
<th>1.c. State</th>
<th>1.d. Zip code/Postal code</th>
<th>1.e. County/Province</th>
<th>1.f. Country</th>
</tr>
</thead>
<tbody>
<tr>
<td>LOS ALTOS</td>
<td>CA</td>
<td>(b) (6)</td>
<td></td>
<td>USA</td>
</tr>
</tbody>
</table>

<table>
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<tr>
<th>2.a. Mailing Address (include if different than physical address; include name of contact person if applicable)</th>
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</thead>
</table>

<table>
<thead>
<tr>
<th>2.b. City</th>
<th>2.c. State</th>
<th>2.d. Zip code/Postal code</th>
<th>2.e. County/Province</th>
<th>2.f. Country</th>
</tr>
</thead>
</table>

### D. All applicants MUST complete

1. Attach check or money order payable to the U.S. FISH AND WILDLIFE SERVICE in the amount identified on page 2. Federal, Tribal, State, and local government agencies, and those acting on behalf of such agencies, are exempt from the processing fee - attach documentation of fee exempt status as outlined in instructions. (50 CFR 13.11(d))

2. Do you currently have or have you ever had any Federal Fish and Wildlife permits?  
   - [ ] Yes  
   - [x] No

3. Certification: I hereby certify that I have read and am familiar with the regulations contained in Title 50, Part 13 of the Code of Federal Regulations and the other applicable parts in Chapter B of Chapter I of Title 50, and I certify that the information submitted in this application for a permit is complete and accurate to the best of my knowledge and belief. I understand that any false statement herein may subject me to the criminal penalties of 18 U.S.C. 1001.

   Signature (signature of applicant/person responsible for permit)  
   [Signature]  
   Date of signature (mm/dd/yyyy)  
   [06/01/2018]

Please continue to next page
E. Export/Re-export/Reimport of Circuses, Traveling Animal Exhibitions, or Museum Exhibitions (and Reissuance) (CITES/ESA)

Note 1. This form is only for the purpose of temporary travel (export and re-import) to exhibit animals, museum exhibitions, or other traveling exhibitions where specimens do not change ownership e.g., not being bought or sold while outside the United States. If you are intending to transfer ownership or offer specimens for sale outside the United States, submit form 3-200-23 (pre-Convention specimens) or 3-200-37 (ESA/CITES specimens). All applications can be found at http://www.fws.gov/international/permits/by-form-number/index.html.

Note 2. If you are traveling with musical instruments, you can use form 3-200-88 (Musical Instrument Certificate).

Note 3. For activities involving marine mammals, use form 3-200-53 (Export /Re-Export of Live Captive Held Marine Mammals (CITES)).

Note 4. If you are applying on behalf of a client, provide documentation to show that you have a Power of Attorney authorizing you to act on behalf of the client.

Note 5. For Re-issuance and Amendments requests: PLEASE RETURN THE ORIGINAL PERMIT.

Note 6. Please review the complete application before beginning. There are three scenarios under which circus and traveling exhibition are permitted.

Scenario 1. Traveling Exhibition Certificate (Resolution Conf. 12.3(Rev. CoP13)). This applies only to an animal or specimens that qualify as pre-Convention or Bred in Captivity as defined in Resolution Conf. 10.16 (Rev.). A CITES certificate may be issued up to 3 years for a single animal or a group of (non-living) specimens. Follow instructions in Part I below, and complete one application per animal or group of specimens moving as one exhibition. If the animal or specimens do not qualify for the traveling-exhibition certificate, follow instructions in Part II.

Processing fee: $100 for a species listed on both CITES and ESA; $75 for a species listed on CITES only.

Scenario 2. For animals that do not qualify under Scenario 1, a Master File can be established that is valid for up to three years for one or more animals or specimens. A Master file would authorize a number of (re-)exports and/or imports over a three-year period, but you would still be required to obtain CITES re-export documents for the re-exporting country before returning to the United States. Once a Master File is approved, you must obtain single-use permits, valid for 6 months or until the expiration of the master file, whichever is sooner, for each export/re-export or import (50 CFR 13.11). Processing fees: $200 to establish a Master file; $100 for Master file renewal; $5 single use documents. Follow instructions in Part II.

Scenario 3. For animals that do not qualify under Scenario 1 and you do not need/want to conduct multiple shipments, you may apply for a Single Use Permit for multiple animals that is valid for a single export or re-export. If you are making a single import, please use from 3-200-37. Processing fee: $100. Follow instructions in Part II.

Provide the following information. Complete all questions on the application. Mark questions that are not applicable with "N/A". You may need additional sheets of paper. On all attachments or separate sheets you submit, indicate the application question number you are addressing. Please do not submit video tapes.

Complete either Part I or Part II, as appropriate AND Part III and IV.

---

1 Specimen was acquired (removed from the wild or held in captivity or a controlled environment) before the date CITES applied to it. The listing date can be found http://www.cites.org. CFR 23.45 b1
Part I. Traveling Exhibition Certificate (Scenario 1)

1. Provide the following for the animal or group of specimens (a separate permit application is needed if more than one animal is involved).

<table>
<thead>
<tr>
<th>Scientific name (genus, species, and if applicable, subspecies) and Common name</th>
<th>Gender, if known</th>
<th>Date of Birth or manufacturing (MM/DD/YYYY)</th>
<th>Source (Wild or Born in captivity)</th>
<th>Country of last re-export</th>
<th>Description (e.g., I.D. #, band #, tattoo #, tag #, size, microchip #, house name, distinguishing marks/features). If microchip #, provide manufacturer and location of microchip. (Border officials must be able to verify that the permit and the animal correspond.)</th>
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<tbody>
<tr>
<td><em>Nepias pelagius</em> (Pelagic Thresher)</td>
<td>-</td>
<td>-</td>
<td>Wild</td>
<td>See notes - Part III (iv)</td>
<td>See Appendix I</td>
</tr>
<tr>
<td><em>Prionace glauca</em> (Blue Shark)</td>
<td>-</td>
<td>-</td>
<td>Wild</td>
<td>See notes - Part III (iv)</td>
<td>See Appendix I</td>
</tr>
<tr>
<td><em>Carcharhinus falciformis</em> (Silky Shark)</td>
<td>-</td>
<td>-</td>
<td>Wild</td>
<td>See notes - Part III (iv)</td>
<td>See Appendix I</td>
</tr>
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</table>

2. Current location of specimen(s):

[b] (6) [*** redacted ***], Los Altos CA [b] (6) JSA

Part II. Animals or specimens that do not qualify for a Traveling-exhibition Certificate.

1. Please indicate which you are requesting (check appropriate box):

- [ ] Master File (Scenario 2 - individual CITES documents, valid for up to six months, issued from the Master File)

How many single-use permits do you anticipate using in the next six months if master file is approved?  

Additional CITES documents may be requested via form 3-200-74 (http://www.fws.gov/international/permits/by-form-number/index.html).

OR

- [ ] Single Use Permit (Scenario 3) valid for a single shipment in a six-month period.

Indicate country and location(s) of exhibition:

Name:

Address:

City:

State/Province:

Country, Postal Code:

3 The exporter may be asked to have a microchip reader on hand to read the microchip at the time of export.
2. Provide the following for each animal or specimen (multiple animals or specimens may appear on a single document).

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3. Current location of specimens:

**Part III (All applicants complete).** For EACH animal or specimen, provide the following. If your application covers more than one animal or specimen, be sure to answer questions 1 and 2 for each animal or specimen being addressed in the application.

If this animal or specimen qualifies as pre-Convention¹, provide documents, signed statements or other evidence that the wildlife was born or removed from the wild prior to the date CITES applied to it (e.g., bill of sale, ISIS record, breeder's record).

1. Was the animal or source of the specimen born/hatched in captivity? Yes ☐ No ☑

   If YES, provide responses to a and b. below:

   a. Are you the breeder? If so, please provide a statement that the animal was bred and born/hatched at your facility. This statement must include:
      i. Birth/hatch date, and if applicable band/tag number, and sex of each specimen;
      ii. Name and address of your facility where the animal was bred and born;
      iii. Location of parental stock; and
      iv. Your signature and date.

   b. If you are NOT the breeder of the specimen(s), provide copies of documentation showing that you acquired the animal from the breeder or documentation demonstrating the history of transactions (chain of ownership of each animal) and a signed statement from the breeder or breeder's record that includes:
      i. That the animal was bred and born/hatched at his/her facility;
      ii. Birth/hatch date, and, if applicable, band/tag number, or other identifiers;
      iii. Sex of each specimen;
      iv. Location (Name, Street address, City, State) of Parental Stock;
      v. Complete name and address of the breeder's facility.

---

¹ If a microchip is used to identify the animal, the exporter may be asked to have a microchip reader on hand to read the microchip at the time of export.
If NO (animal was not born/hatched in captivity), provide:
   i. Location of where, when, and by whom (name and address) the specimen was removed from the wild;
   ii. Purpose of removal;
   iii. Copy of any permits or other documents from the State or local wildlife authorities approving the activities;
   iv. Documentation showing that the specimens were legally acquired by the applicant; and
   v. Copies of any applicable State permits or licenses that are required to house, maintain, and breed these specimens (contact your State for information).

2. If this animal or animal from which the specimen was obtained is protected by the U.S. Endangered Species Act (ESA):
   Is the animal or specimen pre-Act (acquired or held in a controlled environment on or before (a) December 28, 1973 or the date when the species was listed, and (b) has not entered into commerce (e.g., been bought, sold, or offered for sale by you or anyone else) since December 28, 1973, or the date when listed)?

   a. [ ] If yes, provide evidence that the animal meets the above criteria.

   b. [ ] If no, you must be able to show that your proposed activity would meet the issuance criteria under ESA.
      For endangered species, permits can be issued for activities that enhance the survival or propagation of the species or scientific research. For threatened species, permits can be issued for the above reasons, as well as education, zoological display, or other purposes that would meet the purpose of the Endangered Species Act.

      Provide a statement and documentation to support the statement, on how the activities will enhance or benefit the wild population (in-situ and ex-situ projects). While permits cannot be issued solely for educational or display purposes for endangered species, if your activities include conservation education, provide copies of educational materials (e.g., handouts, text of signage or public presentations). If you are submitting more than one application at this time for a group of animals, you can complete this section on one application and refer any subsequent application to this statement. If you need more explanation on this question, please contact the Division of Management Authority.

3. (For all applicants) If your activity includes public presentations, please provide the following:
   i. In what type of presentation are you proposing to use the specimen (e.g., live performance, movie, TV)?
   ii. Provide a copy of the actual script or material that will be presented to the audience at each performance, show, or viewing of the specimen(s). This material must be original in nature (e.g., photocopies from a reference book are not appropriate) and must be the actual material that will be presented each time the animal is viewed by the target audience.
   iii. Will fact sheets, brochures, or posters be used? Is the written material available free-of-charge?
   iv. When will the material be presented? If the material will be presented orally, when will this presentation be given? What activities will be occurring at the same time the presentation of the message is being provided and could the activity diminish the effectiveness of the presentation? If the material will be presented in a written form, will an oral announcement be made regarding the availability of this material? If the material is in poster form, will the posters be placed so that the material will be accessible by the public?
   v. When exhibiting in countries where English is not the primary language, explain how the conservation education information will be presented to the non-English speaking audience.

4. Is the animal a live non-human primate? If so, provide a copy of your current Centers for Disease Control (CDC) registration.
Part IV (all applicants complete). If you are submitting more than one application at this time, you may submit the following information once and refer to it in all subsequent applications.

1. For live exhibitions, provide the following on your facilities:

   a. Provide address of the permanent facility where the animal(s) is/are maintained.

   Name:

   Facility Name:

   Address:

   Address:

   City:

   State/Province:

   Country, Postal Code:

   b. A detailed description, including size, construction materials, protection from the elements, and photographs or detailed diagrams clearly depicting the permanent facilities;

   c. Provide the same as above for transportation units used while traveling within the United States and abroad. The transport conditions must comply with 50 CFR Part 13, the CITES Guidelines for Transport of Live Animals, as well as the Animal Welfare Act and, in the case of air transport, with the International Air Transport Association (IATA) (www.iata.org/cargo/live.htm) live animal regulations. Your description must include:

      i. The type, size, and construction of any shipping container; and

      ii. The arrangements for watering or otherwise caring for the wildlife during transport.

   d. Description of the qualifications of the individuals to train and care for the animal, including the number of years’ experience with this species or similar species, and names of current caretakers.

2. For live exhibitions, provide a list all mortalities of ESA listed species which occurred at your facility during the past five years, and explain the cause of the mortalities and measures taken to prevent future mortalities if appropriate.

3. Provide copies of any applicable permits, licenses and registrations (State Fish and Game, U.S. Department of Agriculture Animal Welfare Act (AWA), Center for Disease Control and Prevention).

4. All international shipment(s) must be through a designated port. A list of designated ports (where an inspector is posted) is available from http://www.fws.gov/le/designated-ports.html. If you wish to use a port not listed, please contact the Office of Law Enforcement for a Designated Port Exemption Permit (Form 3-200-2).
5. Name and address where you wish permit mailed, if different from page 1 (All permits will be mailed via the U.S. Postal Service, unless you identify an alternative means below):

6. If you wish the permit to be delivered by means other than USPS regular mail, provide an air bill, pre-paid envelope, or billing information. If you do not have a pre-paid envelope or air bill and wish to pay for a courier service with your credit card, please check the box below. Please DO NOT include credit card number or other information; you will be contacted for this information.

☐ If a permit is issued, please send it via a courier service to the address on page 1 or question 5. I understand that you will contact me for my credit card information once the application has been processed.

7. Who should we contact if we have questions about the application? (Include name, phone number, and email):

    Jenny Giles, [b] (6)

8. Disqualification Factor. A conviction, or entry of a plea of guilty or nolo contendere, for a felony violation of the Lacey Act, the Migratory Bird Treaty Act, or the Bald and Golden Eagle Protection Act disqualifies any such person from receiving or exercising the privileges of a permit, unless such disqualification has been expressly waived by the Service Director in response to a written petition. (50 CFR 13.21(c)) Have you or any of the owners of the business, if applying as a business, been convicted, or entered a plea of guilty or nolo contendere, forfeited collateral, or are currently under charges for any violations of the laws mentioned above?

☐ Yes  ☑ No If you answered “Yes” provide: a) the individual’s name, b) date of charge, c) charge(s), d) location of incident, e) court, and f) action taken for each violation.
Part III.

1. i. Location, date and agent of capture unknown.
   ii. Purpose of removal: commercial or artisanal fishery activity.
   iii. N/A
   iv. These specimens were sourced from a NOAA Office of Law Enforcement (NOAA-OLE) Case in 2015, which closed in 2016. The case involved an air shipment last exported from Guatemala. Dr. Giles worked as the forensic analyst on the case (See Appendix II). Upon closure of the case, NOAA-OLE released a number of specimens to Dr. Giles for research, training and forensic morphology comparison purposes. These specimens were shipped directly to Dr. Giles under the CDFW permit in the presence of the NOAA-OLE Evidence Custodian. The case agent’s contact details are available on request.
   v. Attached is Dr. Giles’ California Department of Fish and Wildlife permit for possession and transport of shark fins in the state of California (Appendix III) and CV (Appendix IV). Dr. Giles (PI) was based at Stanford University at the time of application, now operating as a sole member consultancy. CDFW have been notified of this change and have verified that under the rules applicable at the time of permitting in 2016, the PI remains the valid permit holder regardless of a change of institution until the time of required renewal (September 2019).

3. i. Hands-on training in shark fin identification for wildlife law enforcement officers of US, Mexico and Canada Federal agencies, to improve CITES enforcement capabilities in North America. This activity is taking place as part of the Commission for Environmental Cooperation (CEC) Training workshop on shark fin identification and the transnational illegal trade in shark fins in Vancouver, BC, Canada, 10-12 July 2018.
   ii. Attached is the cover of the lead training document (Appendix V); The Food and Agriculture Organization of the United Nations (FAO) Shark Fin Guide Marshall and Barone, 2016, to which Dr. Giles was a contributor. The document is available free online, and a hard copy class set has been sent to the CEC from the FAO in Rome to facilitate this training.
   iii. See ii.
   iv. The workshop is to take place on July 10-12, 2018 in Vancouver, BC, Canada, with hands-on fin identification sessions occurring on July 10 and 11. The fins are to be transported by Dr. Giles from San Francisco (SFO) to Vancouver (YVR) on July 9, returning on July 13, 2018.
   v. I understand from prior CEC meetings that workshop attendees from Mexico will be offered headsets for simultaneous translation.

4. No.

Part IV.

3. See 1.v.
4. See 3.iv.
### Appendix I

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EVIDENCE SUBMISSION FORM

You MUST contact the lab before submitting evidence! Email evidence.custodian@noaa.gov, and we will call you ASAP to tell you which lab to send it to.

AGENCY CASE #: [Redacted]   SUBMISSION DATE: 2015

RESPONSIBLE AGENT OR OFFICER:

Name: [Redacted]  Field office: [Redacted]
Address: [Redacted]  Office #: [Redacted]
Fax #: [Redacted]

OLE APPROVING OFFICIAL:

Name: [Redacted]  Email: [Redacted]

ANALYSIS REQUESTED

WHETHER CITES OR ESA SPECIES ARE PRESENT

SPECIAL INSTRUCTIONS

CAFRA?: [Redacted]  ☐ Yes  ☐ No
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<th>Seizure Tag #:</th>
<th>Description of item:</th>
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**LABORATORY RECEIPT**

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<td>JHG</td>
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**NOAA Fisheries Office for Law Enforcement**

**Evidence Chain of Custody Form**

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<td>samples of shark fins</td>
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**EVIDENCE TYPES: (if handwriting)**

1. Fishing Gear  
2. Fish/Seafood  
3. Blood/Tissue  
4. Photographs  
5. Video  
6. Audio  
7. Firearm  
8. Documents  
9. Other  

Select either YES OR NO from each section:

- CAFRA
  - YES
  - NO
- GRAND JURY
  - YES
  - NO
- ABANDONED
  - YES
  - NO

**OWNERSHIP INFORMATION (If applicable)**

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**Chain of Custody Tracking Information**

(Use Continuation Sheet if needed)

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**DELIVERY METHOD**

- US MAIL
- FEDEX
- IN PERSON
- OTHER

(Version 1.0)

Version date 01/25/2006
FIRST NAME | M.I. | LAST NAME OR ENTITY NAME (IF QUALIFIED ENTITY) | PERMANENT ID NUMBER
-------------|------|---------------------------------------------|------------------
JENNY | | GILES | SC 13549

SECTION 3 – PERMIT INFORMATION

USE OF PERMIT: CHECK ALL APPLICABLE BOXES

☐ Biological Consulting (generally, catch and release only) ☐ Research
☐ State, Federal or Other Agency Biologist ☐ Museum Collection
☐ Education ☐ Biological Collection Service
☐ Other:

Wildlife and Activity: Reminder - You must provide justification in Section 6 for each wildlife taxa and activity checked here. Check the type of wildlife taxa to be taken AND circle the type of activity requested: S=sacrifice; R=recapture and release; C=take into captivity; SL=salvage; M=mark.

☐ MAMMALS ☐ BIRDS* Other activity - ☐ REPTILES
☐ AMPHIBIANS ☐ VERNAL POOL/TERRESTRIAL INVERTEBRATES

“See Standard Condition “K”’

☐ FRESHWATER FISHES ☐ FRESHWATER INVERTEBRATES ☐ ANADROMOUS FISHES ☐ MARINE FISHES
☐ MARINE AQUATIC PLANTS ☐ MARINE/TIDAL INVERTEBRATES

CHECK ONE: Other SCP permittees are involved in activity or project. YES ☐ NO ☐ (If yes, list the permittees below. Attach separate list if needed.)

FIRST NAME | LAST NAME | SCIN NUMBER
-------------|-----------|---------------
| | | SC
| | | SC

SECTION 4 – SPONSOR INFORMATION

Students, teachers and individuals collecting on behalf of an organization must all have one member of the organization sponsor them. Sponsors must fully complete this section of the application. Students must have one faculty member with affiliation to the student’s college or university sponsor the student. Elementary and secondary school teachers must be sponsored by their principal. In some other cases, the Department may review an application and determine that a sponsor is needed and will request this information directly from the applicant or organization.

SPONSOR’S FIRST NAME | M.I. | LAST NAME | D.O.B. | TELEPHONE
-------------|------|-----------|-------|----------

When completing your report of collections for this permit please identify the species to the lowest taxonomic level and be specific as to what species and numbers were placed in captivity, sacrificed, caught and released, etc. Also, please separate what was caught in an MPA and what was caught outside of an MPA.

APPLICATION CERTIFICATION

BY CHECKING ALL BOXES, I HEREBY DECLARE THAT THE FOLLOWING INFORMATION IS PROVIDED IN THE JUSTIFICATION SECTION OF THIS APPLICATION

☐ Purpose ☐ Species + Numbers to be collected ☐ Locations + Timeframes for Collecting ☐ Species Disposition
☐ Methods/Activity ☐ Literature Cited ☐ Attached Federal/State Permit(s) [Applicable/NOT APPLICABLE] – Circle appropriate

I understand that if I fail to provide all information, circle items or check the boxes, my permit may be denied. I certify that I have read, understand, and agree to abide by, all conditions of this permit and attachments, the applicable provisions of the FGC, and the regulations promulgated therefor (Title 14, Section 650). I certify that I am not currently under any Fish and Wildlife license or permit revocation or suspension, and that there are no other legal or administrative proceedings pending that would disqualify me from obtaining this permit. I agree that if I make any false statement as to any fact required as a prerequisite to the issuance of this permit, the permit is void and will be surrendered where purchased, and I understand that I may be subject to prosecution pursuant to FGC Section 1054 or to other administrative actions pursuant to Section 746, Title 14, of the CCR.

APPLICANT SIGNATURE X

DATE
7/11/16
**STATE OF CALIFORNIA – DEPARTMENT OF FISH AND WILDLIFE**

**2016 SCIENTIFIC COLLECTING PERMIT APPLICATION**

**DFW 1379 (REV. 10/02/15) Previously FG 1379 Page 3**

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<th>FIRST NAME</th>
<th>M.L.</th>
<th>LAST NAME OR ENTITY NAME (If qualified entity)</th>
<th>PERMANENT ID NUMBER</th>
</tr>
</thead>
<tbody>
<tr>
<td>JENNY</td>
<td></td>
<td>GILES</td>
<td>SC 13549</td>
</tr>
</tbody>
</table>

**SECTION 5 – PERMIT JUSTIFICATION** – Required for ALL activities.

**IS A FEDERAL OR ADDITIONAL STATE PERMIT OR MOU REQUIRED?**
- **YES** (If yes, attach copies.)
- **NO**

**PROVIDE START AND END DATE AND/OR EXPLAIN SEASONAL REQUIREMENTS FOR YOUR WORK.**

<table>
<thead>
<tr>
<th>START</th>
<th>END</th>
</tr>
</thead>
<tbody>
<tr>
<td>6/30/16</td>
<td></td>
</tr>
</tbody>
</table>

**REMINDER** - You must provide justification here for each wildlife tax and activity circled in Section 3. Use the space below to summarize your proposed research. Be sure to include each of the following headers in **bold/underlined** and as follows: **purpose** (include scientific or educational need for the requested activity); **methods/techniques** (include equipment/gear and the reason for using them); **species and numbers to be collected**, if known (include scientific and common names); **collection locations** (include counties and specific locales and reasons for choosing them); and **disposition**, which describes the organism’s fate (i.e. sacrifice, catch and release, salvage, captivity). If you propose to collect in a Marine Protected Area (MPA), give the proper name of the MPA and explain why collection is required within an MPA and provide justification for why it cannot be conducted outside of an MPA; (2) Why the proposed methods are appropriate for this activity, and (3) Describe the frequency of the proposed activity per collecting area. If you are working in areas where special status species (listed, fully protected, or species of special concern) are expected to be Incidentally captured, explain why collection is required in these areas, and describe how your methods/techniques and equipment/gear will avoid or minimize take of non-target sensitive species. If requesting marking/tagging, captivity, or sacrifice, specific details as described above must be included for each species and activity requested. Attach additional pages if needed. Attach complete copies of appropriate federal permits and additional State permits (e.g., Memorandum of Understanding) to avoid delay of processing.

**Purpose**

Dr. Jenny Giles (PI) is a fish biologist and Certified Wildlife Forensic Scientist specializing in the identification of elasmobranchs (sharks and rays) and their parts, particularly shark fins (statement of qualifications attached).

The applicant requests permission to possess and transport elasmobranch fins and their derivatives for two purposes:

a) to assist with investigations and conduct forensic analyses for Federal or state law enforcement proceedings, conduct subsequent research on forensic evidence released for this purpose, and retain specimens for morphological comparison.

b) to research the species comprising the shark fin trade, and genetic techniques for identifying the different species that occur in trade, in the laboratory of Professor Stephen Palumbi at Stanford University’s Hopkins Marine Station, with the assistance of listed technical staff.

**Collection of fins and fin derivatives (methods/locations), and disposition**

All fins and fin derivatives to be held in possession and transported will originate from one of the following sources:

a) seized by Federal and state agencies, including California Department of Fish and Wildlife, or
b) salvaged by the applicant or research collaborators outside of California, or
c) salvaged by research collaborators in California prior to the California shark fin statute.

**Species to be collected**

The species origin is typically the subject of investigation. Fin material obtained from trade may originate from any elasmobranch lineage. To the applicant’s knowledge, none are protected under CESA.

**Other shark and ray tissue**

The applicant also requests permission to possess and transport other elasmobranch tissue samples (e.g. muscle, skin, specimens) for DNA analysis comparative purposes, and other shark parts such as jaws that may be subject to analysis as part of federal or state law enforcement proceedings. These tissues will have been salvaged or seized as outlined above for fins and fin derivatives.

**Storage**

Forensic evidence, whole fins and marketable fin derivatives will be stored in locked freezers and cabinets.

**Additional authorized Individual (continued from page 1)**

**ELIZABETH SHEETS**

*Individual permit valid until 2/17/19.*
Please Read:
For each each shark fin, or unit of shark fins/shark fin derivatives received together from the same source at the same time that you obtained, you must provide a chain of custody that details where the fin or derivatives came from (if unknown, state unknown), what species it belongs to (if unknown, or if large batch of fins or derivatives are examined, state as much), who donated the fin or derivatives and, if salvaged from other researchers, who those researchers are to include a brief summary of their research project and the SCP or any other state or federal permit they were issued which authorized that research. A final disposition must be included and guided by the following:

Disposition Requirements
When the relevant examination is complete the fins and fin derivatives will be:
- a) returned via courier or in person to the submitting agency for disposal, or
- b) labelled and accessioned in a reference collection as morphological or DNA reference material for future casework and/or research (as appropriate), or
- c) destroyed via an approved method following consultation with CDFW.

Chain of custody forms should be in your possession and in conjunction with possession of the shark fin(s) and made available to any Department of Fish and Wildlife (CDFW) employee should they request to see it.

Chain of custody forms should be submitted to CDFW by December 31 of each year by sending a copy to Steve May at james.may@wildlife.ca.gov. These forms will be accepted in lieu of a completed form FG 1379(a) - Report of Specimens Collected or Salvaged. You must still turn in FG 1379(a) before you renew this permit or 30 days after the expiration of this permit. However, in a single line in the table, you should only reference that all reporting was done under the chain of custody forms described above.

Only the PI and the technicians listed on this permit are approved to oversee any analysis or research on the shark fin(s) described in the chain of custody.

Since you are not physically collecting samples from the wild, you are exempted form turning in the 24-hour notice of intent to collect.
When collecting marine species anywhere in the state you must notify the Monterey office of the event and location of your collecting activities at least 24 hours prior to commencement of such activities by filling out Form 1379f (Notification of Intent to Collect for Scientific Purposes) and fax it to (831) 649-2819 or email it to R7monterey.frontoffice@wildlife.ca.gov

No collections may be made in any Marine Protected Area (MPA) without additional prior written permission from the Department of Fish and Wildlife. MPAs include the following: California Rockfish Conservation Area, State Marine Reserve, State Marine Conservation Area, State Marine Park, State Reserve, Marine Life Refuge, Fish Refuge, Wildlife Area, State Game Refuge or Ecological Reserve.

If you are listed on this permit as an authorized collector and if you have any person(s) assisting with a scientific collecting project or activity, you are required to be present and overseeing the activities as described and must be in possession of a copy of your permit.

This permit does not relieve the permittee of the responsibility to obtain any other permits, or comply with any other Federal, State or local laws or regulations. It is the responsibility of the permittee to know the boundaries and managing authority of State Parks, National Marine Sanctuaries, National Parks, or other specially designated protected areas.

Department of Parks and Recreation: http://www.parks.ca.gov/
National Parks Service: http://www.nps.gov/

Pursuant to Fish and Game Code 6400, you are NOT authorized to release any specimens back into the wild after they have been taken into captivity, unless you obtain written permission from the Department of Fish and Wildlife. Requests to reintroduce animals from holding facilities into the wild will be evaluated based on the benefit of the return weighed against the risk of disease and non-native species introductions to the wild.

You are required to complete and submit a Scientific Collecting Amendment Form (Form FG 1379e) when requesting a change to an existing Scientific Collecting Permit or if your affiliation changes. The SCP Amendment Form is available online at www.dfg.ca.gov/licensing/pdf/fg1379e.pdf. YOU MAY NOT BEGIN ANY NEW COLLECTION ACTIVITY UNTIL YOU HAVE RECEIVED AN APPROVED, VALIDATED AMENDMENT.

You must provide a scientific collecting permit report of specimens collected or salvaged (Form FG 1379e) within 30 days of the expiration of the permit, or upon submitting an application to renew a SCP.

If you did not collect any specimens or collected the same individuals as another permittee, you still need to submit a report. Enter a single line indicating that no specimens were collected or indicate the permittee's name and SCP number for the specimens already reported. PLEASE DO NOT DUPLICATE DATA.

NO OTHER SPORT OR COMMERCIAL FISHING ACTIVITIES or COLLECTION OF UNAUTHORIZED SPECIES is allowed on the same trips or time periods as scientific collection activities. Collected organisms may not be used for commercial profit or personal benefit.
Jenny Giles, PhD, CWFS
Shark Biologist, Forensic Specialist (DNA/ Morphology)
Fin Forensics, LLC
Los Altos CA USA

Qualifications
Doctor of Philosophy (Marine Population Genetics). University of (b)(6)
Bachelor of Environmental Science (Marine Science) – Hon Class 1, University of (b)(6)
Bachelor of Arts (Indonesian Studies) University of (b)(6)
Certified Wildlife Forensic Scientist, Society for Wildlife Forensic Sciences Certification Program (b)(6)
Proficiency tested (b)(6)

Summary of expertise
I am a world expert in the forensic morphological and DNA species identification of shark and ray fins in global trade, and an experienced forensic analyst on shark casework for Federal and State law enforcement agencies in the USA and internationally. I have regularly assisted investigations over the last decade from IUU and domestic fishing vessels, to processed imports and exports, and have delivered shark fin identification training to field agents and fisheries inspectors in North and South America, Asia, and Australia.

I have 15 years' experience working with the global shark fin trade, through governmental and academic collaborations in 15 countries, with a particular focus on Southeast Asia, Australia and the USA. I initially focused on shark fisheries and shark taxonomy, working with Southeast Asian and Northern Australian landings at the supply side of the fin trade, from both legal and IUU fishing. In my PhD, I expanded my focus to international trade and the DNA identification of shark fins at all stages of processing.

I trained and gained experience in forensic DNA analysis in the US Federal context as a Postgraduate Fulbright Scholar at the US Fish and Wildlife Service (USFWS) National Forensics Laboratory in Ashland, Oregon, and during subsequent postdoctoral tenure as a visiting specialist at the National Oceanic and Atmospheric Administration (NOAA) National Marine Fisheries Service's Forensic Laboratory in Seattle, Washington.

Since 2014, I have been an elected member of the Wildlife Forensics Subcommittee of the Organization of Scientific Area Committees for the Forensic Sciences (OSAC), the US Federal advisory body for the cross-disciplinary development of forensic science standards. I have participated in government and non-government delegations representing the US in wildlife forensic science and shark trade enforcement issues to 8 countries. I recently completed a two year academic research appointment at Hopkins Marine Station of Stanford University, focusing on the US shark fin trade.

Key professional activities
Research Associate
Stanford University, Hopkins Marine Station
Pacific Grove, CA, USA

National Research Council Postdoctoral Fellow/ American Australian Association Sir Keith Murdoch Postdoctoral Fellow/ Australian Government Endeavour Fellow
NOAA National Marine Fisheries Service Northwest Fisheries Science Center Forensic Laboratory, Seattle, WA, USA (Administered by National Academy of Sciences/ Veterinary Genetics Laboratory Forensics Unit, University of California, Davis)

Fulbright Postgraduate Scholar Visiting Scientist Genetics Section, US Fish and Wildlife Service National Forensics Laboratory, Ashland, OR, USA
German Academic Exchange Service (DAAD) Fellow
Institute for Zoo and Wildlife Research/ Humboldt University
Berlin, Germany

PhD by research
Title: Phylogeographic variation in selected Indo-West Pacific shark and ray species, and application to monitoring and enforcement of the international shark fin trade
School of Biological Sciences, University of Queensland, Brisbane, QLD, Australia

Fisheries Genetics Technician, Project: Species identification of shark fins in foreign fishing vessel seizures in Northern Australia. Queensland Department of Primary Industries and Fisheries’ Molecular Fisheries Laboratory, St Lucia, QLD, Australia.


Data Co-ordinator Project: Bycatch of sharks and rays in Northern Australian fisheries. CSIRO Marine and Atmospheric Research, Cleveland, QLD, Australia

Additional roles
Member, Wildlife Forensics Subcommittee, Organization of Scientific Area Committees for Forensic Science (NIST-OSAC)
Member, Scientific Working Group for Wildlife Forensic Sciences (SWGWILD)
Language Editor (Bilingual), Indonesian Institute of Sciences (LIPI) journal Marine Research in Indonesia

Training delivered
USA Shark fin identification for CITES/ state statute implementation. CDFW, US Coastguard, NOAA, San Francisco (funded by CDFW)
Ecuador Shark fin identification, trade products recognition. Ecuador Fisheries (MAGAP) and Federal Environment and Customs officials, Manta (funded by NOAA/ WWF)
Vietnam Shark fin trade diagnostics fundamentals and CITES implementation, for Vietnam CITES MA/ SAs, Hanoi (funded by National Fish and Wildlife Foundation)
Sri Lanka Shark fin identification training, for Federal government officials representing Customs, Fisheries and enforcement-relevant agencies from 14 Indo-West Pacific nations. Pew South Asia CITES Workshop: implementing the new CITES Appendix II listings for sharks (funded by Pew)
Australia Shark fin identification training, Northern Territory Water Police, Darwin, NT (funded by DBIRD)
Australia Issues in shark fin identification for enforcing CITES-listed species and Australian federal and state legislation. Australian Federal departments relevant to environment, fisheries and customs inspections: DSEWPAC, AFMA, DAFF, ABRS, ACS, AQIS, Canberra
Indonesia Tuna long-lining observer program shark identification training, Benoa (delivered in Indonesian) (funded by the Australian Center for International Agricultural Research)

Additional international activities
Mexico Commission for Environmental Cooperation (CEC) meeting in Mexico City, CITES II implementation shark fisheries and trade products in North America
Taiwan Assisted the FAO of the UN with testing of the isharkfin program on Taiwanese fisheries landings
Indonesia, Malaysia, Thailand, Philippines, China Member of USFWS’s Forensic Assessment Team for ASEAN’s Wildlife Enforcement Network and USAID- ARREST
Awards and fellowships

National Academy of Sciences National Research Council Research Associate
American Australian Association Sir Keith Murdoch Postdoctoral Fellow
Australian Government Endeavour Research Fellow
Australian-American Postgraduate Fulbright Scholar
German Academic Exchange Service (DAAD) Doctoral Research Scholar
Australian Government Australia Day Certificate of Appreciation
Australian Postgraduate Award

Key professional memberships

International Society for Forensic Genetics, Society for Wildlife Forensic Sciences, Asian Fisheries Society, American Elasmobranch Society, Oceania Chondrichthyan Society

Recent continuing education

Genetics LAW 3004, Stanford Law School (Staff Continuing Education).

Relevant publications

Giles JL, Riginos C, Naylor GJP, Dharmadi, Ovenden JR. (2016) Genetic and phenotypic diversity in the wedgefish Rhynchobatus australiae, a threatened ray of high value in the shark fin trade. Marine Ecology Progress Series 548:165-180


Shark Fin Guide

IDENTIFYING SHARKS FROM THEIR FINS
Fin Forensics, LLC  
4750 El Camino Real  
Los Altos CA  94022

Date 6/1/18

Pay to the order of  
US Fish and Wildlife Service  
$75.00

Seventy-five dollars only

Dollars

(f) (4)
U.S. Fish and Wildlife Service
Division of Management Authority
Branch of Permits, MS:IA
5275 Leesburg Pike
Falls Church, VA 22041-3803

July 13, 2018

Dear Ms. Dziwulski:

Enclosed are documents in application for a USFWS permit to export and re-import artwork and handicrafts made by Alaskan Natives, which species listed as protected under the Convention on International Trade in Endangered Species and/or the U.S. Endangered Species Act, specifically walrus (Odobenus rosmarus). The items are all from the permanent collection of the Anchorage Museum and were accessioned into the collection through donation or purchase.

The items have been selected for a temporary exhibition at the Korundi House of Culture/Rovaniemi Art Museum in Rovaniemi, Finland. The exhibition, titled Place of Origin, will be displayed in Rovaniemi from October 19, 2018 – March 3, 2019, and possibly travel to the Lulea Art Gallery and Cultural Center in Lulea, Sweden. The exhibition items will return to the Anchorage Museum in December 2019.

The animal parts used in the artwork were all either found in the wild (i.e. on the beach) or are from animals that were taken as part of subsistence hunting and fishing by Alaskan Natives.

The approximate time we would like to export these works will be in early October 2018.

The following documents are enclosed:
- Letter of Authorization
- Form 3-200-33 with attachment for question 2 listing species
- Supporting documents required in application
- Correspondence with Alaska Department of Fish and Game
- Exhibition overview
- List of all artwork and handicrafts selected for the exhibition

If additional information or documentation are needed, or if there are any questions, please feel free to contact me. If the permit is approved, I can provide a FedEx label for return shipping.

Best regards,

Maria McWilliams
Loans Registrar
mmcmwilliams@anchoragemuseum.org
907-929-9281
March 5, 2018

To Whom It May Concern:

As Director and Chief Executive Officer of the Anchorage Museum, I wish to authorize the following individual to represent the Anchorage Museum on issues related to Federal Fish and Wildlife permits, permit requests, or applications. I understand that this individual will regularly submit applications to your offices and I am confident that they will work to develop and maintain a good working relationship with your agency.

Maria Elena McWilliams
Loans Registrar
907-929-9281
mcmwilliams@anchoragemuseum.org

Sincerely,

Julie Decker
Director/CEO
Department of the Interior
U.S. Fish and Wildlife Service

Federal Fish and Wildlife Permit Application Form

Return to: U.S. Fish and Wildlife Service
Division of Management Authority (DMA)
Branch of Permits, MS: IA
5275 Leesburg Pike
Falls Church, VA 22041-3803
1-800-358-2104 or 703-358-2104

Type of Activity:
Export/Re-export/Re-import of Circuses and Traveling Animal Exhibitions (and Reissuance) (CITES/ESA)

A. Complete if applying as an individual

1.a. Last name
1.b. First name
1.c. Middle name or initial
1.d. Suffix

2. Date of birth (mm/dd/yyyy)
4. Occupation
5. Affiliation/Doing business as (see instructions)

6.a. Telephone number
6.b. Alternate telephone number
6.c. Fax number
6.d. E-mail address

B. Complete if applying on behalf of a business, corporation, public agency, Tribe, or institution

1.a. Name of business, agency, Tribe or institution
Anchorage Museum

1.b. Doing business as (dba)

2. Tax identification no.
92-6009317

3. Description of business, agency, Tribe, or institution
institution - museum

4.a. Principal officer Last name
Decker

4.b. Principal officer First name
Julie

4.c. Principal officer Middle name/middle initial

4.d. Suffix

5. Principal officer title
Director and Chief Executive Officer

6. Primary contact name
Maria McWilliams

7.a. Business telephone number
907-929-9281

7.b. Alternate telephone number
907-929-9201

7.c. Business fax number
907-929-9290

7.d. Business e-mail address
mmcmwilliams@anchoragemuseum.org

C. All applicants complete address information

1.a. Physical address (Street address, Apartment #, Suite #, or Room #, no P.O. Boxes)
625 C Street

1.b. City
Anchorage

1.c. State
AK

1.d. Zip code/Postal code
99501

1.e. County/Province

1.f. Country
USA

2.a. Mailing Address (include if different than physical address; include name of contact person if applicable)

2.b. City

2.c. State

2.d. Zip code/Postal code

2.e. County/Province

2.f. Country

D. All applicants MUST complete

1. Attach check or money order payable to the U.S. FISH AND WILDLIFE SERVICE in the amount identified on page 2. Federal, Tribal, State, and local government agencies, and those acting on behalf of such agencies, are exempt from the processing fee—attach documentation of fee exempt status as outlined in instructions. (50 CFR 13.11(d))

2. Do you currently have or have you ever had any Federal Fish and Wildlife permits? Yes ☑ No ☐

3. Certification: I hereby certify that I have read and am familiar with the regulations contained in Title 50, Part 13 of the Code of Federal Regulations and the other applicable parts in subchapter B of Chapter 1 of Title 50, and I certify that the information submitted in this application for a permit is complete and accurate to the best of my knowledge and belief. I understand that any false statement herein may subject me to the criminal penalties of 18 U.S.C. 1001.

Signature (in blue ink) of applicant/person responsible for permit (No photocopied or stamped signatures) Maria McWilliams
Date of signature (mm/dd/yyyy) 07/13/2018

Please continue to next page

Form 3-200-30 Rev. 02/2014

Page 1 of 9
E. Export/Re-export/Reimport of Circuses, Traveling Animal Exhibitions, or Museum Exhibitions (and Reissuance) (CITES/ESA)

Note 1. This form is only for the purpose of temporary travel (export and re-import) to exhibit animals, museum exhibitions, or other traveling exhibitions where specimens do not change ownership (e.g., not being bought or sold while outside the United States). If you are intending to transfer ownership or offer specimens for sale outside the United States, submit form 3-200-23 (pre-Convention specimens) or 3-200-37 (ESA/CITES specimens). All applications can be found at http://www.fws.gov/international/permits/by-form-number/index.html.

Note 2. If you are traveling with musical instruments, you can use form 3-200-88 (Musical Instrument Certificate).

Note 3. For activities involving marine mammals, use form 3-200-53 (Export /Re-Export of Live Captive Held Marine Mammals (CITES)).

Note 4. If you are applying on behalf of a client, provide documentation to show that you have a Power of Attorney authorizing you to act on behalf of the client.

Note 5. For Re-issuance and Amendments requests: PLEASE RETURN THE ORIGINAL PERMIT.

Note 6. Please review the complete application before beginning. There are three scenarios under which circus and traveling exhibition are permitted.

Scenario 1. Traveling Exhibition Certificate (Resolution Conf. 12.3(Rev. CoP13)). This applies only to an animal or specimens that qualify as pre-Convention\(^1\) or Bred in Captivity as defined in Resolution Conf. 10.16 (Rev.). A CITES certificate may be issued up to 3 years for a single animal or a group of (non-living) specimens. Follow instructions in Part I below, and complete one application per animal or group of specimens moving as one exhibition. If the animal or specimens do not qualify for the traveling-exhibition certificate, follow instructions in Part II.

Processing fee: $100 for a species listed on both CITES and ESA; $75 for a species listed on CITES only.

Scenario 2. For animals that do not qualify under Scenario 1, a Master File can be established that is valid for up to three years for one or more animals or specimens. A Master file would authorize a number of (re-)exports and/or imports over a three-year period, but you would still be required to obtained CITES re-export documents for the re-exporting country before returning to the United States. Once a Master File is approved, you must obtain single-use permits, valid for 6 months or until the expiration of the master file, whichever is sooner, for each export/re-export or import (50 CFR 13.11). Processing fees: $200 to establish a Master file; $100 for Master file renewal; $5 single use documents. Follow instructions in Part II.

Scenario 3. For animals that do not qualify under Scenario 1 and you do not need/want to conduct multiple shipments, you may apply for a Single Use Permit for multiple animals that is valid for a single export or re-export. If you are making a single import, please use from 3-200-37. Processing fee: $100. Follow instructions in Part II.

Provide the following information. Complete all questions on the application. Mark questions that are not applicable with "N/A". You may need additional sheets of paper. On all attachments or separate sheets you submit, indicate the application question number you are addressing. Please do not submit video tapes.

Complete either Part I or Part II, as appropriate AND Part III and IV.

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\(^{1}\) Specimen was acquired (removed from the wild or held in captivity or a controlled environment) before the date CITES applied to it. The listing date can be found [http://www.cites.org](http://www.cites.org), CFR 23.45 b1
**Part I. Traveling Exhibition Certificate (Scenario 1)**

1. Provide the following for the animal or group of specimens (a separate permit application is needed if more than one animal is involved).

<table>
<thead>
<tr>
<th>Scientific name (genus, species, and if applicable, subspecies) and Common name</th>
<th>Gender, if known</th>
<th>Date of Birth or manufacturing (MM/DD/YYYY)</th>
<th>Source (Wild or Born in captivity)</th>
<th>Country of last re-export</th>
<th>Description (e.g., I.D. #, band #, tattoo #, tag #, size, microchip #, house name, distinguishing marks/features). If microchip #, provide manufacturer and location of microchip. (Border officials must be able to verify that the permit and the animal correspond.)</th>
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<tr>
<td>N/A</td>
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2. Current location of specimen(s):

   N/A -

**Part II. Animals or specimens that do not qualify for a Traveling-exhibition Certificate.**

1. Please indicate which you are requesting (check appropriate box):

   ☑ **Single Use Permit** (Scenario 3) valid for a single shipment in a six-month period.

   Indicate country and location(s) of exhibition:
   
   **Name:** Korundi House of Culture/Rovaniemi Museum
   
   **Address:** Lapinkavijantie 4
   
   **City:** Rovaniemi
   
   **State/Province:** Finland
   
   **Country, Postal Code:** Fl 96100

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2 The exporter may be asked to have a microchip reader on hand to read the microchip at the time of export.
2. Provide the following for each animal or specimen (multiple animals or specimens may appear on a single document).

<table>
<thead>
<tr>
<th>Scientific name (genus, species, and if applicable, subspecies) and Common name</th>
<th>Gender, if known</th>
<th>Date of Birth or Manufacturing (MM/DD/YYYY)</th>
<th>Source (Wild or Born in captivity)</th>
<th>Last Country of last re-export</th>
<th>Description (e.g., I.D. #, band #, tattoo #, tag #, size, microchip #, house name, distinguishing marks/features). If microchip #, provide manufacturer and location of microchip(^3). (Border officials must be able to verify that the permit and the animal correspond.)</th>
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<td>see attached list</td>
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3. Current location of specimens:

   Anchorage Museum, 625 C Street, Anchorage, AK, USA

**Part III (All applicants complete).** For EACH animal or specimen, provide the following. If your application covers more than one animal or specimen, be sure to answer questions 1 and 2 for each animal or specimen being addressed in the application.

If this animal or specimen qualifies as pre-Convention\(^1\), provide documents, signed statements or other evidence that the wildlife was born or removed from the wild prior to the date CITES applied to it (e.g., bill of sale, ISIS record, breeder's record).

1. Was the animal or source of the specimen born/hatched in captivity? Yes ☐ No ☑

**If YES, provide responses to a and b. below:**

   a. Are you the breeder? If so, please provide a statement that the animal was bred and born/hatched at your facility. This statement must include:
      i. Birth/hatch date, and if applicable band/tag number, and sex of each specimen;
      ii. Name and address of your facility where the animal was bred and born;
      iii. Location of parental stock; and
      iv. Your signature and date.

   b. If you are NOT the breeder of the specimen(s), provide copies of documentation showing that you acquired the animal from the breeder or documentation demonstrating the history of transactions (chain of ownership of each animal) and a signed statement from the breeder or breeder's record that includes:
      i. That the animal was bred and born/hatched at his/her facility;
      ii. Birth/hatch date, and, if applicable, band/tag number, or other identifiers;
      iii. Sex of each specimen;
      iv. Location (Name, Street address, City, State) of Parental Stock;
      v. Complete name and address of the breeder's facility.

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\(^3\) If a microchip is used to identify the animal, the exporter may be asked to have a microchip reader on hand to read the microchip at the time of export.

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If NO (animal was not born/hatched in captivity), provide:

i. Location of where, when, and by whom (name and address) the specimen was removed from the wild; see attached
ii. Purpose of removal; subsistence hunting or found on the beach
iii. Copy of any permits or other documents from the State or local wildlife authorities approving the activities; not required by State of Alaska Department of Fish and Game
iv. Documentation showing that the specimens were legally acquired by the applicant; and see attached accession records
v. Copies of any applicable State permits or licenses that are required to house, maintain, and breed these specimens (contact your State for information). not required by State of Alaska Department of Fish and Game

2. If this animal or animal from which the specimen was obtained is protected by the U.S. Endangered Species Act (ESA):
   Is the animal or specimen pre-Act (acquired or held in a controlled environment on or before (a) December 28, 1973 or the date when the species was listed, and (b) has not entered into commerce (e.g., been bought, sold, or offered for sale by you or anyone else) since December 28, 1973, or the date when listed)?

   a. [ ] If yes, provide evidence that the animal meets the above criteria.
   b. [x] If no, you must be able to show that your proposed activity would meet the issuance criteria under ESA.
      For endangered species, permits can be issued for activities that enhance the survival or propagation of the species or scientific research. For threatened species, permits can be issued for the above reasons, as well as education, zoological display, or other purposes that would meet the purpose of the Endangered Species Act.

   Provide a statement, and documentation to support the statement, on how the activities will enhance or benefit the wild population (in-situ and ex-situ projects). While permits cannot be issued solely for educational or display purposes for endangered species, if your activities include conservation education, provide copies of educational materials (e.g., handouts, text of signage or public presentations). If you are submitting more than one application at this time for a group of animals, you can complete this section on one application and refer any subsequent application to this statement. If you need more explanation on this question, please contact the Division of Management Authority. see attached statement

3. (For all applicants) If your activity includes public presentations, please provide the following:
   These activities have not yet occurred. Programs will occur during the exhibition. See attached statement describing the activities.
   i. In what type of presentation are you proposing to use the specimen (e.g., live performance, movie, TV)?
   ii. Provide a copy of the actual script or material that will be presented to the audience at each performance, show, or viewing of the specimen(s). This material must be original in nature (e.g., photocopies from a reference book are not appropriate) and must be the actual material that will be presented each time the animal is viewed by the target audience.
   iii. Will fact sheets, brochures, or posters be used? Is the written material available free-of-charge?
   iv. When will the material be presented? If the material will be presented orally, when will this presentation be given? What activities will be occurring at the same time the presentation of the message is being provided and could the activity diminish the effectiveness of the presentation? If the material will be presented in a written form, will an oral announcement be made regarding the availability of this material? If the material is in poster form, will the posters be placed so that the material will be accessible by the public?
   v. When exhibiting in countries where English is not the primary language, explain how the conservation education information will be presented to the non-English speaking audience.

4. Is the animal a live non-human primate? If so, provide a copy of your current Centers for Disease Control (CDC) registration. No.
Part IV (all applicants complete). If you are submitting more than one application at this time, you may submit the following information once and refer to it in all subsequent applications.

1. For live exhibitions, provide the following on your facilities:
   a. Provide address of the permanent facility where the animal(s) is/are maintained.

   Name:
   Facility Name:
   Address:
   Address:
   City:
   State/Province:
   Country, Postal Code:
   b. A detailed description, including size, construction materials, protection from the elements, and photographs or detailed diagrams clearly depicting the permanent facilities;
   c. Provide the same as above for transportation units used while traveling within the United States and abroad. The transport conditions must comply with 50 CFR Part 13, the CITES Guidelines for Transport of Live Animals, as well as the Animal Welfare Act and, in the case of air transport, with the International Air Transport Association (IATA) (www.iata.org/cargo/live.htm) live animal regulations. Your description must include:
      i. The type, size, and construction of any shipping container; and
      ii. The arrangements for watering or otherwise caring for the wildlife during transport.
   d. Description of the qualifications of the individuals to train and care for the animal, including the number of years’ experience with this species or similar species, and names of current caretakers.

2. For live exhibitions, provide a list all mortalities of ESA listed species which occurred at your facility during the past five years, and explain the cause of the mortalities and measures taken to prevent future mortalities if appropriate. N/A

3. Provide copies of any applicable permits, licenses and registrations (State Fish and Game, U.S. Department of Agriculture Animal Welfare Act (AWA), Center for Disease Control and Prevention).
   See attached correspondence. Other USFWS permits will be provided when they are issued.

4. All international shipment(s) must be through a designated port. A list of designated ports (where an inspector is posted) is available from http://www.fws.gov/le/designated-ports.html. If you wish to use a port not listed, please contact the Office of Law Enforcement for a Designated Port Exemption Permit (form 3-200-2).

   Shipment will depart from Anchorage, AK or Seattle, WA.
5. Name and address where you wish permit mailed, if different from page 1 (All permits will be mailed via the U.S. Postal Service, unless you identify an alternative means below):

same as on page 1

6. If you wish the permit to be delivered by means other than USPS regular mail, provide an air bill, pre-paid envelope, or billing information. If you do not have a pre-paid envelope or air bill and wish to pay for a courier service with your credit card, please check the box below. Please DO NOT include credit card number or other information; you will be contacted for this information.

The Anchorage Museum can provide a FedEx account number if the permit is approved.

☑ If a permit is issued, please send it via a courier service to the address on page 1 or question 5. I understand that you will contact me for my credit card information once the application has been processed.

7. Who should we contact if we have questions about the application? (Include name, phone number, and email):

Maria McWilliams, 907-929-9281
mmcwilliams@anchoragemuseum.org

8. Disqualification Factor. A conviction, or entry of a plea of guilty or nolo contendere, for a felony violation of the Lacey Act, the Migratory Bird Treaty Act, or the Bald and Golden Eagle Protection Act disqualifies any such person from receiving or exercising the privileges of a permit, unless such disqualification has been expressly waived by the Service Director in response to a written petition. (50 CFR 13.21(c)) Have you or any of the owners of the business, if applying as a business, been convicted, or entered a plea of guilty or nolo contendere, forfeited collateral, or are currently under charges for any violations of the laws mentioned above?

☐ Yes ☑ No  If you answered “Yes” provide: a) the individual’s name, b) date of charge, c) charge(s), d) location of incident, e) court, and f) action taken for each violation.
<table>
<thead>
<tr>
<th>Scientific name (genus, species and if applicable subspecies) and common name</th>
<th>Gender if known</th>
<th>Dates of Manufacture</th>
<th>Country of last re-export</th>
<th>Description (e.g., I.D. #, band #, tattoo #, tag #, size, microchip #, house name, distinguishing marks/features). If microchip number provide manufacturer and location of microchip. Border officials must be able to verify that the permit and the animal correspond.)</th>
<th>Part III 1</th>
<th>Part III 2</th>
<th>Part III iv - Documentation showing that the specimens were legally acquired by the applicant</th>
<th>Part III 2 - Pre-act (Dec. 28, 1973) or not, if not how does proposed activity enhance survival or research</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Odobenus rosmarus (walrus)</strong></td>
<td>unknown</td>
<td>1974</td>
<td>Item has never left the United States</td>
<td>1975.049.001 Created by Sylvester Ayek (Inupiat) Title: Mask Mobile Materials: walnut wood (Juglans sp.) and walrus (Odobenus rosmarus) ivory and sinew</td>
<td>No - wild or found in wild Nome, AK subsistence hunting or fishing by Alaska Native or collected on the beach by Alaska Natives</td>
<td>see attached accession records post act</td>
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<tr>
<td><strong>Odobenus rosmarus (walrus)</strong></td>
<td>unknown</td>
<td>c. 1979</td>
<td>Item has never left the United States</td>
<td>1980.031.001 Created by Sam K.Fox (Yup’ik) Title: Untitled wolf transformation mask Materials: Cottonwood (Populus trichocarpa), wolf (Canis lupus) fur, walrus (Odobenus rosmarus) ivory, whale (unknown) baleen, pigment</td>
<td>No - wild or found in wild Dillingham, AK subsistence hunting or fishing by Alaska Native or collected on the beach by Alaska Natives</td>
<td>see attached accession records post act</td>
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<td>Scientific name (genus, species and if applicable subspecies) and common name</td>
<td>Gender if known</td>
<td>Dates of Manufacture</td>
<td>Country of last re-export</td>
<td>Description (e.g., I.D. #, band #, tattoo #, tag #, size, microchip #, house name, distinguishing marks/features). If microchip number provide manufacturer and location of microchip. Border officials must be able to verify that the permit and the animal correspond.)</td>
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<td>Part III ii - Purpose of removal</td>
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<tr>
<td>Odobenus rosmarus (walrus)</td>
<td>unknown</td>
<td>1989</td>
<td>Item has never left the United States</td>
<td>1989.010.001 Created by John Kailukiak (Yup'ik) Title: Untitled, mask Materials: Walnut wood (Juglans sp.), walrus (Odobenus rosmarus) bone and ivory; snowy owl (Bubo scandiacus) feet and feathers; waxed string</td>
<td>No - wild or found in wild</td>
<td>subsistence hunting or fishing by Alaska Native or collected on the beach by Alaska Natives</td>
<td>see attached accession records</td>
<td>post act</td>
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<tr>
<td>Odobenus rosmarus (walrus)</td>
<td>unknown</td>
<td>2001</td>
<td>Item has never left the United States</td>
<td>2001.028.001 Created by Susie Silook (St Lawrence Island Yupik) Title: What Does It Take for You to See My Heart Materials: walrus (Odobenus rosmarus) ivory, stomach, and bone; whale (unknown) bone; metal; purple heart wood (Peltogyne sp.); glass beads; harbor seal (Phoca vitulina) whiskers</td>
<td>No - wild or found in wild</td>
<td>subsistence hunting or fishing by Alaska Native or collected on the beach by Alaska Natives</td>
<td>see attached accession records</td>
<td>post act</td>
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<td>Scientific name (genus, species and if applicable subspecies) and common name</td>
<td>Gender if known</td>
<td>Dates of Manufacture</td>
<td>Country of last re-export</td>
<td>Description (e.g., I.D. #, band #, tattoo #, tag #, size, microchip #, house name, distinguishing marks/features). If microchip number provide manufacturer and location of microchip. Border officials must be able to verify that the permit and the animal correspond.)</td>
<td>Part III i - location of where, when and by whom the specimen was removed from wild</td>
<td>Part III ii - Purpose of removal</td>
<td>Part III iv - Documentation showing that the specimens were legally acquired by the applicant</td>
<td>Part III 2 - Pre-act (Dec. 28, 1973) or not, if not how does proposed activity enhance survival or research</td>
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<td>Odobenus rosmarus (walrus)</td>
<td>unknown</td>
<td>2007</td>
<td>Item has never left the United States</td>
<td>2007.019.001&lt;br&gt;Cenerated by Earl Atchak (Yup'ik)&lt;br&gt;Title: Seal Making Bubbles Mask&lt;br&gt;Materials: Driftwood; pigment; ptarmigan (Lagopus muta) feathers; wolf (Canis lupus) fur; walrus (Odobenus rosmarus) ivory; whale (unknown) baleen; string</td>
<td>No - wild or found in wild</td>
<td>subsistence hunting or fishing by Alaska Native or collected on the beach by Alaska Natives</td>
<td>see attached accession records</td>
<td>post act</td>
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<td>Scientific name (genus, species and if applicable subspecies) and common name</td>
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<td>Odobenus rosmarus (walrus)</td>
<td>unknown</td>
<td>2007</td>
<td>Item has never left the United States</td>
<td>2008.020.017 Created by Rebecca Lyon (Athabascan/Alutiiq) Title: Our Lady of Amchitka Materials: Driftwood; yellow cedar (Cupressus nootkatensis); red cedar (Thuja plicata); pumice; house (Equus ferus) hair; aluminum; steel; brass; littleneck clam (Leujoma staminea) shell; glass; western gull (Larus occidentalis) feather; caribou (Rangifer tarandus) bone; walrus (Odobenus) ivory; commercial leather; nylon rope; cotton rope; glass beads; stone; dentalium shell (Antalis pretiosum); whale (unknown) baleen; paint</td>
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</table>

Part III 1 - Location of where, when and by whom the specimen was removed from wild
Part III ii - Purpose of removal
Part III iv - Documentation showing that the specimens were legally acquired by the applicant
Part III 2 - Pre-act (Dec. 28, 1973) or not, if not how does proposed activity enhance survival or research
1975.049.001
Sylvester Ayek (Inupiaq)
Mask Mobile, 1974
Walnut wood, walrus ivory and sinew
ART ACCESSION RECORD

Anchorage Historical and Fine Arts Museum
121 West Seventh Avenue
Anchorage, Alaska 99501

Catalogue # 75.49.1

ARTIST: Sylvester Ayek

DATES: (b) (6)

DATE EXECUTED: 1974

TITLE: Mask Mobile

MEASUREMENTS:

Height:

Width:

Depth:

MEDIUM AND SUPPORT: Sculpture in wood, ivory

Sheet:

Composition: X

Sight:

FRAME:

MAT:

BASE:

INSCRIPTIONS: "Ayek 74" in bottom left corner.

DESCRIPTION: The mobile, consisting of four centerpieces, formed by joining the eight side wings with a peg, has a boomerang shaped wing on top and a 120° portion of a circle shaped piece at the bottom. The pieces are suspended by a single string passing through the individual members. Two ivory appendages are attached to the second member from the top, and a third ivory piece is suspended just above the bottom piece of wood.

CONDITION: Good

ACQUISITION: GIFT X

PURCHASE ___ PRICE:

EXCHANGE ___

INSURANCE VALUE: $500.

RECEIVED FROM: A.F.A.M.A.: Airport 75 DATE: 8/21/75

ADDRESS:

HISTORY: (Purchased from A.N.A.C.)

RECORDED BY: [Signature] DATE: [Signature]
1980.031.001
Sam K. Fox (Yup’ik)
Untitled wolf transformation mask, c. 1979 Cottonwood, wolf fur, walrus ivory, whale baleen, pigment
MUNICIPALITY OF ANCHORAGE
ANCHORAGE HISTORICAL AND FINE ARTS MUSEUM
121 West Seventh Avenue — Anchorage, Alaska 99501

ACCESSION RECORD — HISTORY, ANTHROPOLOGY

OBJECT
Mask

MAKER AND/OR CULTURE
Sam Fox, Goodnews Bay (Eskimo)

PROVENIENCE

MATERIAL
Wood, wolf fur (?), ivory, baleen (?), ocher red, black stain.

HEIGHT/LENGTH
27.5 cm.  10 13/16"

WIDTH
20 cm.  7 7/8"

DEPTH
22.7 cm.  8 15/16"

INSCRIPTIONS
None

DESCRIPTION
Wolf mask composed of vaguely humanoid face from the mouth of which projects a wolf-like snout with bared wooden and ivory teeth. Surrounding the mask is a ruff of wolf (?) fur. The humanoid face has large, inset eyes with black iris and hole for the pupils: down the nose are inset ivory and baleen circles. The eyebrows are dark, and the remainder of the humanoid face is varying shades of ocher red. The wolf snout has wooden peg teeth at the back, and sharp ivory teeth at the front. The inside of the mouth is red, with a movable wooden tongue; the rest of the snout is stained in shades of black, with baleen insets along the upper lip. The mask is hollowed out from behind, and is pierced for hanging attachments. The tongue in the wolf snout can be moved laterally, and is controlled by an ivory button beneath the jaw.

CONDITION
Good. In several places the mask was shaved too thin, and broke through; in there places what appears like a wood putty has been added, and is obvious at the back.

ACQUISITION:
☐ GIFT  ☐ PURCHASE  ☐ EXCHANGE  PRICE $1500.00

INSURANCE VALUE
$1500.00

RECEIVED FROM
Susan Fair of Fair Trade

ADDRESS

HISTORY

RECORDED BY
WVH  B+W pg 156

DATE
4/14/80

11-001 (Rev. 1/79)
# ANCHORAGE MUSEUM SHOP
ANCHORAGE HISTORICAL AND FINE ARTS MUSEUM
121 W. SEVENTH AVENUE / ANCHORAGE, ALASKA 99501
TELEPHONE (907) 264-4326

## INVOICE

Anchorage Historical and Fine Arts Museum
121 W. Seventh Avenue
Anchorage, Alaska 99501

<table>
<thead>
<tr>
<th>GTY</th>
<th>UNIT</th>
<th>DESCRIPTION</th>
<th>UNIT PRICE</th>
<th>AMOUNT</th>
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<tbody>
<tr>
<td>1</td>
<td></td>
<td>Wooden mask by Sam Fox</td>
<td>$1500.00</td>
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</tbody>
</table>

OK NLS

PLEASE PAY FROM THIS INVOICE

SUB TOTAL $1500.00
TAX
TOTAL $1500.00

Please make check payable to Anchorage Museum Shop
1989.010.001
John Kailukiak (Yup’ik)
Untitled mask, 1989
Walnut wood, walrus bone and ivory, snowy owl feet (2) and feathers (8), waxed string

Snowy owl feathers

Snowy owl foot 1

Snowy owl foot 2
<table>
<thead>
<tr>
<th>Object Number</th>
<th>Classification</th>
<th>Dept</th>
<th>Maker / Culture</th>
<th>Period/Date</th>
<th>Object Name/Title</th>
<th>Medium</th>
<th>Dimensions</th>
</tr>
</thead>
<tbody>
<tr>
<td>1989.010.001</td>
<td>Sculptures</td>
<td>Cont AK Nat Art</td>
<td>John Kailukiak</td>
<td></td>
<td>Mask: Untitled, mask</td>
<td>wood, walrus bone (oosik), snowy owl feet, owl feathers, sinew</td>
<td>28 x 16 in. (71.1 x 40.6 cm)</td>
</tr>
</tbody>
</table>
2001.028.001
Susie Silook (St Lawrence Island Yupik)
What Does It Take for You to See My Heart, 2001
Walrus ivory, stomach, and bone; whale bone, metal, purpleheart wood, glass beads, harbor seal whiskers
Invoice

From: Susie Silcock


Amount: $5,500.00

Date: July 18, 2001

Please hold check at museum 563-5157
2007.019.001
Earl Atchak (Yup’ik)
Mask, Seal Making Bubbles, 2007
Driftwood, Ptarmigan feathers (20), wolf fur, walrus ivory, whale baleen, string, pigment

Ptarmigan feathers
Art Acquisition Initiative Award

DATE: November 23, 2007

TO: Anchorage Museum at Rasmuson Center
   121 West 7th Avenue
   Anchorage, AK 99501

RE: Anchorage Museum at Rasmuson Center Applications 2007-10 and 2007-11
    (submitted November 4, 2007)

   *Aurora Callaimus*, by James Behlke ($3,200)
   *Seal Making Bubbles*, by Earl Atchak ($1,700)

I am very pleased to inform the Anchorage Museum of History and Art that its November 4, 2007 applications (#s 2007-10 and 2007-11) meet the requirements established for the Art Acquisition Initiative. It is a pleasure for me, on behalf of the Rasmuson Foundation and Museums Alaska, to present the enclosed award to enable the Anchorage Museum at Rasmuson Center to purchase for its collections the artwork named above.

Total Award: $4,900.00
Check #: 2162 (November 23, 2007)

Thank you for participating in the Art Acquisition Initiative.

Michael Hawfield
Project Administrator
PO Box 853
Homer, AK 99603
907-299-0290
$1700.00

for the mask by
Earl Achen

Received $1700.00
June 11, 2007

Anchorage, AK 99501

[Signature]
Rebecca Lyon, Unangan and Athabascan
Our Lady of Amchitka, 2007
driftwood, yellow cedar, red cedar, pumice, horse hair, aluminum, steel, brass, littleneck clam shell, glass, western gull feather, caribou bone, walrus ivory, whale baleen, commercial leather, nylon rope, cotton rope, glass beads, stone, dentalium shell, paint
Anchorage Museum  
121 W 7th Ave.  
Anchorage, Alaska 99501  
Attn: Walter Van Horn

Invoice for original artwork from the *All Alaska Juried XXXII*:

"*Our Lady of Amchitka*, 2007  
Rebecca Lyon  
40"H x 30"W x 6"D  
Mixed media sculpture: Yellow and red cedar, driftwood, pumice, gun casings, horse hair, aluminum, steel, ivory, baleen, shells, Russian blue trade beads, found objects.

Sale price $2000.00  
Less 25% commission $500.00  
Total price $1500.00

Thank you,

Rebecca Lyon  
Artist
Project description

Place of Origin - Alaska Native Art
Contemporary Art and Indigenous People of Alaska

Rovaniemi Art Museum, Finland and Luleå Konsthallen, Sweden produce an exhibition of contemporary native art of Alaska in collaboration with the Anchorage Museum, Alaska. The exhibition shows contemporary art of indigenous people focusing on high-quality and challenging works from Anchorage Museum’s collection.

Exhibition Place of Origin will be shown in Rovaniemi Art Museum from October 19, 2018 to March 3, 2019. The dates for the Luleå Konsthallen venue have yet to be determined. The exhibition makes the art as well as the cultural heritage of the Arctic available and enables the better understanding of Northern art. Some of the Alaska Native art speaks of cultural heritage in a whisper; some call out in a loud, clear voice.

The exhibition is accompanied by an extensive program of public work, which provides information and interest in the original culture and the art of northern art. In conjunction with the exhibitions, a seminar and activities related to the theme of the exhibition will be organized for children and young people to enhance their emerging northern identity and to understand the historical continuum of northern culture.

Exhibition

Exhibition Place of Origin will present over 20 contemporary Alaska Native artists with 50-60 art works from Anchorage Museum collection. The exhibition shows art of different Alaska indigenous nations such Inupiaq, Sugpiaq, Cup’ik, Athabascan, Tsimshian and the others.

The Arctic and Indigenous nations are the object of heated political discussion today. This project is taking an active part in the discussion of the most topical issue: the power and role of the indigenous culture in the world changing around us at a high speed.

The exhibition Place of Origin will be the biggest and probably the first ever show of contemporary Alaska Native Art in Nordic countries. This project will increase the knowledge of Alaska Native art in Nordic countries as well as bring together the indigenous artists throughout the circumpolar area. The project will enable the unique characteristics of Alaska Native art and culture to reach professionals and artists, as well as the public. The exhibition and the seminar offer a platform for discussion of the state of indigenous cultures of the north.

Public Program

Public program includes a seminar, workshops, and a publication. The publication will develop further the content and theme of the exhibition. The seminar provides an opportunity to meet the artists from Alaska and Sami land. The seminar allows artists to present their own visions. The essential content of the workshops will be based on the art works of the exhibition.

The aim of the workshops is to give the children and youth, who are living in the arctic areas tools to increase their knowledge and interest in arctic and Alaska Native culture. Project partners have
art education and public programme strategy. They have extended experience of art education especially for children and young people.

Nordic countries share the same cultural heritage and northern identity as in North America. Many indigenous people are living in these Arctic areas. In Nordic countries, live the northernmost indigenous group – the Sami people. The project will bring together the indigenous artists and offer them a unique opportunity to meet and interact with each other. By setting up the international seminar and workshops within the exhibition, the project aims to promote and maintain the intercultural dialogue about the Circumpolar Area’s rich and multifaceted cultural heritage. The confrontation of the center and the periphery is a reality in the whole Circumpolar North area. The project will aim to value arctic proximity and common cultural heritage.

**Main Partners**

The Anchorage Museum’s collections exist primarily as a means of fulfilling the Museum’s mission to collect, preserve, exhibit, and interpret cultural materials which illustrate the art and history of Alaska and the circumpolar North. The museum is particularly proud of its strong collection of contemporary Alaska Native art which contains works by Alvin Amason, James Robert Schoppert, Rebecca Lyon, Da-ka-xeen Mehner, Sonya Kelliher-Combs, as well as many others.

Rovaniemi Art Museum is the northernmost regional art museum in the European Union. Northern and arctic art are main focuses on the exhibition policy, research, and art education. The museum is active not only on the local level, but also internationally.

There are no art museums in the Swedish Lapland. Luleå Konsthallen Korundi offers splendid facilities with large exhibition rooms for this comprehensive overview of contemporary Alaska Native art.

**Northern Art Network**

The exhibition *Place of Origin* is the first big step in the Northern Art network (NAN) co-operation. The Northern Art Network (founded 2014) is an arena and assembly for art museums, culture organizations and art history researchers of the Circumpolar North. Art museum workers, curators, and researchers from Finland, Sweden, Norway, Iceland, Greenland, Russia, and Alaska are invited to the network. NAN network is supported by Nordic Culture Point.

**Future Plans**

The exhibition with the public program will strengthen the co-operation between the Rovaniemi Art Museum, Anchorage Museum, and Luleå Konsthallen. The confrontation of the center and the periphery is a reality in the whole Circumpolar North area. The partners committed to this project will cooperate actively on the basis of good practices, equal partnership, common responsibility, and transparency. The exhibition with the workshops and seminars will strengthen the co-operation and help identifying and exchanging good practices between the Nordic museums as well as museums in Northern Art Network.
August 20, 2018

To Whom It May Concern:

Please find attached to this cover sheet an application for a pre-Convention Brazilian Rosewood (Dalbergia Nigra) CITES Export Certificate, on behalf of the American Swedish Historical Museum.

The object in question containing the Rosewood, a John Ericsson Solar Engine Model, was gifted to the American Swedish Historical Museum in 1956. The object is now to be sent on temporary loan to The Science Museum, London, United Kingdom for a public exhibition titled “The Sun: Living with Our Star” (on view between October 6 2018 and May 6 2019). Since a decision may be made to include this object in a touring version of this exhibition for a longer period of time, we would like to inquire about eligibility and requirements for a CITES Traveling Exhibition Certificate. This object will not be bought or sold while outside of the US and ownership will remain with the American Swedish Historical Museum.

We currently intend to export this object from JFK Airport and validate the CITES Certificate by USDA-APHIS-PPQ (230-59 International Airport Centers Blvd., Bldg. C, Ste. 100, Rm. 109, Jamaica, NY 11433).

We greatly appreciate any expedited attention you can give to this application, as the borrowing institution in London is very anxious to know we have secured the permit, so they may plan on receiving this loan in-time for their exhibition. It is an extremely important object because it highlights Ericsson’s idea to reduce the use of coal through concentrated light, which influenced later solar technology.

We have enclosed the application fee ($75) for pre-Convention specimens. Many thanks in advance for your time and consideration.

Best Regards,

Stephanie Joyce
Exhibition Coordinator
Dietl International, New York
August 17, 2018

To whom it may concern:

The American Swedish Historical Museum ("ASHM" or the "Museum") authorizes Dietl International to negotiate and obtain any export or import certificates, permits, or licenses on behalf of the Museum, in anticipation of lending the "Ericsson Solar Engine Model" to The Science Museum, London, United Kingdom.

This object will be on loan for public exhibition ("The Sun: Living with Our Star") between October 6 2018 and May 6 2019. We hope the US Export can occur in early September 2018 with return US Import in mid-May 2019. We are aware of negotiations to possibly travel this exhibition to other venues, internationally or domestically. ASHM authorizes Dietl International to negotiate and obtain any additional certificates, permits, licenses, or extensions of any existing aforementioned items, on behalf of the Museum, upon any decision to include this object in a touring version of the exhibition.

Tracey Beck
Executive Director
American Swedish Historical Museum
THE SUN: LIVING WITH OUR STAR

The Sun is a constant of human existence, but the way we see it has changed profoundly over the centuries. Early cultures had an intimate relationship with the Sun, using it to organise their days, chart their travels and often worshipping it as a deity of fire, life and rebirth. Modern technologies may have made the Sun appear less relevant to our lives, but it remains fundamental to our survival and continues to influence human activity in new and unexpected ways.

*The Sun: Living with Our Star* charts our ever-changing relationship with the Sun. Bringing together a unique collection of scientific instruments, technological innovations and beautiful artefacts from a wide range of cultures and periods, the exhibition brings the Sun to life and communicates its many qualities and immense power. The content is enhanced by digital interpretation and spectacular immersive elements, including an opportunity to experience the latest solar imagery on a massive scale.

This must-see turnkey exhibition will entrance visitors with fascinating objects, inspiring stories and imaginative design.

**TOUR VENUES**

18 July 2019–5 January 2020  
Museum of Science and Industry, Manchester

6 October 2018–6 May 2019  
Science Museum, London
A. Complete if applying as an individual

<table>
<thead>
<tr>
<th>1.a. Last name</th>
<th>1.b. First name</th>
<th>1.c. Middle name or initial</th>
<th>1.d. Suffix</th>
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<tr>
<th>2. Date of birth (mm/dd/yyyy)</th>
<th>3. Social Security No.</th>
<th>4. Occupation</th>
<th>5. Affiliation/Doing business as (see instructions)</th>
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<tr>
<th>6.a. Telephone number</th>
<th>6.b. Alternate telephone number</th>
<th>6.c. Fax number</th>
<th>6.d. E-mail address</th>
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B. Complete if applying on behalf of a business, corporation, public agency, Tribe, or institution

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<thead>
<tr>
<th>1.a. Name of business, agency, Tribe, or institution</th>
<th>1.b. Doing business as (dba)</th>
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<tbody>
<tr>
<td>American Swedish Historical Museum</td>
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<tr>
<th>2. Tax identification no.</th>
<th>3. Description of business, agency, Tribe, or institution</th>
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<tr>
<td>23-1417519</td>
<td>Museum</td>
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<tr>
<th>4.a. Principal officer Last name</th>
<th>4.b. Principal officer First name</th>
<th>4.c. Principal officer Middle name or initial</th>
<th>4.d. Suffix</th>
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<tbody>
<tr>
<td>Beck</td>
<td>Tracey</td>
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<tr>
<td>Executive Director</td>
<td>Trevor Brandt</td>
<td>215-389-1776</td>
<td>215-389-7701</td>
<td><a href="mailto:tbrandt@americanswedish.org">tbrandt@americanswedish.org</a></td>
</tr>
</tbody>
</table>

C. All applicants complete address information

<table>
<thead>
<tr>
<th>1.a. Physical address (Street address, Apartment #, Suite #, or Room #; no P.O. Boxes)</th>
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<tbody>
<tr>
<td>1900 Pattison Avenue</td>
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<tr>
<th>1.b. City</th>
<th>1.c. State</th>
<th>1.d. Zip code/Postal code</th>
<th>1.e. County/Province</th>
<th>1.f. Country</th>
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<tr>
<td>Philadelphia</td>
<td>PA</td>
<td>19145</td>
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<td>US</td>
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<tr>
<th>2.a. Mailing Address (include if different than physical address, include name of contact person, if applicable)</th>
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<thead>
<tr>
<th>2.b. City</th>
<th>2.c. State</th>
<th>2.d. Zip code/Postal code</th>
<th>2.e. County/Province</th>
<th>2.f. Country</th>
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D. All applicants MUST complete

1. Attach check or money order payable to the U.S. FISH AND WILDLIFE SERVICE in the amount identified on page 2. Federal, Tribal, State, and local government agencies, and those acting on behalf of such agencies, are exempt from the processing fee—attach documentation of fee exempt status as outlined in instructions. (50 CFR 13.11(d))

2. Do you currently have or have you ever had any Federal Fish and Wildlife permits?
   Yes [ ] No [ ]
   If yes, list the number of the most current permit you have held or that you are applying to renew or re-issue:

3. Certification: I hereby certify that I have read and am familiar with the regulations contained in Title 50, Part 11 of the Code of Federal Regulations and the applicable parts in subchapter B of Chapter 1 of Title 50, and I certify that the information submitted in this application for a permit is complete and accurate to the best of my knowledge and belief. I understand that any false statement herein may subject me to the criminal penalties of 18 U.S.C. 1001.

Signature: [Signature]

Date of signature: [08/17/2018]

Please continue to next page
E. EXPORT/RE-EXPORT OF PLANTS (CITES)

Use this application form for a single or multiple exports or re-exports of the following plants or plant products that are regulated under CITES: wild, non-commercial artificially propagated specimens, some commercial artificially propagated plant products, plants for a plant society exhibition, re-export of plants under a carnet, or pre-Convention specimens.

Single Use Permit: A single-use permit is valid for 6 months from the date of issuance. For re-issuance or amendment of a single use permit, the original permit must be returned with this completed application form:

$100 for export - A one-time export of CITES-listed plants or plant products.
$100 for re-export - A one-time export of plants or plant products that were previously imported under a CITES permit.
$75 for pre-Convention specimens - One-time export of plants or plant products that were obtained prior to their listing under CITES and so are considered "pre-Convention." The CITES listing date can be found in the CITES Species Database at http://www.cites.org/eng/resources/species.html. NOTE: No CITES import permit is required for an Appendix-I specimen that qualifies as pre-Convention.
$50 for personal/household plants - A one-time export of personally-owned, live potted plants or plant products that are not intended for commercial sale.

Master File: This application form allows you to set up a Master File, valid for up to 3 years and is renewable, for exports or re-exports of wild, commercial artificially propagated plant parts or products, or pre-Convention specimens. Once the Master File is approved, you must also obtain partially completed permits, valid for 6 months, for each export (50 CFR 13.11).

$200 to establish a new Master File
$100 to re-issue or amend an established Master File - Allows you to renew your Master File that has or will soon expire. You must complete this entire application, including providing information on any changes to your facility, operations, species, or suppliers for the plant specimens that you wish to export.

AND
$5 each for required partially completed permits to accompany each shipment under a Master file - Once the Master File is approved, you must also obtain single-use permits to accompany each export under the Master File (50 CFR 13.11). The Single-use permits will be valid for 6 months and can be requested using this form when establishing or renewing a Master File. For future shipments, additional permits may be requested using FWS Form 3-200-74; http://www.fws.gov/forms/display.cfm?number=3-200

This form should NOT be used to request authorization for commercial exports of plants that are artificially propagated in the United States. For such exports, applicants should complete form 3-200-33 (http://www.fws.gov/forms/3-200-33.pdf).

For certain plants, there are exemptions under CITES that do not require CITES permits for some specimens (www.cites.org). If you are not sure whether an exemption applies to your export, contact the Division of Management Authority.

If you are not sure whether a species is regulated under CITES, please refer to the CITES Appendices (www.cites.org/eng/app/appendices.php).

Review this application carefully and provide complete answers to all of the questions. If a question is not applicable, answer with "N/A". If more space is needed, use a separate sheet of paper. On all attachments or separate sheets you submit, indicate the number of the application question that you are addressing. If you are applying for multiple species, be sure to indicate which species you are addressing in each response.
Electronic submission of inventories, photographs, and receipts: Some applications contain long inventories and/or a large number of photographs or receipts. You may provide electronic versions of these documents. Such a submission may assist to expedite the processing of your application since it will eliminate the need for data entry by U.S. Fish and Wildlife Service. You may include a disk containing your information or

☑ check here to be contacted via e-mail to provide an electronic inventory.

Please contact Stephanie Joyce, Dietl International (sjoyce@dietl.com), for additional information if required.

Part I.

1. What activity are you requesting to carry out?
   ☑ Export or Re-export  ☐ Personal/household plants
   ☐ Pre-Convention  ☐ Other (specify: ________________________)

2. I would like to:
   ☐ Request a single-use permit for an export or re-export ($100 fee)
   ☑ Request a single-use permit for pre-Convention specimens ($75)
   ☐ Request a single-use permit for personal/household plants ($50)
   ☐ Establish a new Master File ($200 fee)
   ☐ Renew and/or Amend an existing Master File; PRT #__________ ($100 fee)

   How many partially completed certificates are you requesting at this time? ___ (fee - $5/certificate)

3. If requesting a single-use permit, provide name and address of recipient (if shipping to yourself, include your foreign address):

   Name: Victoria Sall, Registrar
   The Science Museum
   Address: Exhibition Road
   Address: 
   City: London
   State/Province: 
   County, Postal Code: UK SW7 2DD
4. For EACH plant specimen to be exported, indicate:
   a. Scientific name (genus, species, and if applicable, hybrid, variety, cultivar, or subspecies) and common name;
   b. General description, quantity and size of the specimen(s) to be exported/re-exported (e.g., 100 whole plants; 2,000 seeds; 100 kg dried root; 20 cu' sawn logs; 5 guitars)
   c. For timber, medicinal, nutritional or other plant products, also provide:
      i. Form of product (e.g., plywood, tablet, capsule, fruit bar);
      ii. Type of packaging (if applicable);
      iii. Unit description, including metric weight or volume of specimen(s) and the quantity of plants or plant parts used to produce the unit weight or volume; and
      iv. Product name, if applicable
         E.g., 50 bottles of Hoodia, 30 capsules per bottle, each capsule contains 100 mg of H. gordonii; total Hoodia 3,000mg/bottle
   d. Country where the plant was acquired; and
   e. Source of the specimen (e.g., removed from the wild or artificially propagated).
      Please see the attached for supplemental letter related to Question 4.
5. Current location of specimens?
   Name:
   Business Name: American Swedish Historical Museum
   Address: 1900 Pattison Avenue
   Address: 
   City: Philadelphia
   State/Province: PA
   County, Postal Code: US 19145
6. Is this shipment a sample collection being exported for temporary exhibition or display purposes and accompanied by a valid ATA carnet?
   ☑ NO □ YES; provide ATA carnet document number ____________________
Part II. In this section, applicants should respond to all questions that are applicable to the requested activity.

7 For plants collected from the wild in the United States, provide the following for each species collected from the wild:

a. Number and size class of specimens collected (e.g., 100 juvenile; 50 mature);

b. Specific location and date of collection for each specimen;

c. Who (name and address) collected the specimens;

d. Copies of documents that indicate that the plants were legally collected (e.g., State permits or licenses, landowner’s permission). Be sure to correlate each document to the corresponding plant;

e. Approximate density (e.g., number of plants per acre) and distribution of the species at the collection site(s);

f. Collection methodology (e.g., whether the specimens were removed from an area of few to several patches of plants, percentage of specimens removed; AND

g. Estimate the number of plants collected to how many plants remain at the location.

If you purchased the plants/seeds, provide the invoice or other document that shows the name, address and telephone number of the person from whom you purchased the plants and the date of purchase for each specimen (such documentation should trace back to the original collector).

8 For wild-collected Appendix-I plants, provide a copy of the CITES import permit issued by the Management Authority of the country to which you plan to export the plant(s) or plant specimen(s).

9 For non-commercial artificially propagated plants, provide receipts showing the name, address and telephone number of the person(s) from whom you purchased the plants and the date(s) of purchase for each specimen or, if not available, a signed statement of how, from whom, and when you acquired the plants.

10 For re-export, provide evidence that the specimen(s) was legally imported:

a. Copies of validated CITES export or re-export document issued by the appropriate CITES office in the country from which the plant was imported. The copies must be stamped by Customs and Border Protection or USDA’s Animal and Plant Health Inspection Service (APHIS); AND

b. If you were not the original importer, provide a copy of the invoice or other document that shows how you acquired the plant specimen from the original importer. (Be sure to correlate each document to the corresponding plant.)

11 For pre-Convention plants provide documents, signed statement or other evidence that the plant was obtained prior to its CITES listing date CITES (e.g., bill of sale, USDA or foreign phytosanitary certificate).

Please see the attached for supplemental letter related to Question 11.
Please contact Stephanie Joyce, Dietl International (sjoyce@dietl.com), for additional information if required.
12. For *Dalbergia nigra* (commonly known as Brazilian rosewood or Bahia rosewood), complete one of the following certification statements:

a. **Vintage guitar (musical instrument) exporter.** If you are requesting a single-use permit to export a vintage guitar(s), provide an inventory of your pre-Convention stock of guitars made using *Dalbergia nigra*.

If you are requesting to establish a master file for the export of vintage guitars, you will not need to provide an inventory of all guitars that you intend to export. The master file is typically established for up to 3 years, so it would not be possible to identify guitars that are not currently in your possession. Therefore, if we establish a master file, the master file will not establish a limit on the number that can be exported during the life of the master file. However, you will be restricted to exporting only guitars that were manufactured from pre-Convention *Dalbergia nigra*, harvested prior to June 11, 1992. If this is acceptable, please sign and date the following certification statement:

I certify that all the guitars to be exported under my master file will have been manufactured from pre-Convention *Dalbergia nigra* wood, harvested prior to June 11, 1992, and will be documented by the guitars' serial numbers or other identification. If requested by the Service, I am willing to report on the number of guitars and their identification numbers that may be exported under my master file when requesting additional partially completed CITES documents under my master file.

Applicant's signature: N/A - not exporting instruments Date: 

b. **Guitar (musical instrument) manufacturer/exporter/lumber exporter.** Provide a catalog or inventory of your pre-Convention stock of *Dalbergia nigra* wood and/or guitars.

I certify that all the guitars/guitar pieces/lumber to be re-exported, and identified in my catalog or inventory, are made from my pre-Convention supply of *Dalbergia nigra*, harvested prior to June 11, 1992. I further certify that I will not attempt to export more wood or applying for multiple shipments, I request to export up to N/A guitars/pieces of wood in the next 3 years.

Applicant's signature: N/A Date: 

13. For export of plants by a plant society for exhibition provide:

a. A list of the names of the plant society members who would be exporting their plants;

b. The names and dates of the show(s), countries visited, and the approximate dates of export and re-import of the plants; AND

c. A signed and dated statement from the current society president similar to:

   "This certifies that the plants, transported to [country where show occurs] through the port of [USDA designated port], under a CITES permit to be issued to [your society's name], are for exhibition at [name of plant show]. None of the plants being exported will be sold, and all of these plants will be returned to the United States through the port of [USDA designated port] at the conclusion of the show."

d. Provide documentation or a signed statement of how, from whom, and when you acquired the plants.

14. For commercial shipments, provide a copy of your current State nursery license and your current U. S. Department of Agriculture (USDA) Protected Plant Permit (formerly known as General Permit).

15. For living plants: (a) describe type of shipping container and (b) arrangements for care during shipping.
Part III.

15. Name and address where you wish permit mailed, if different from page 1 (All permits will be mailed via the U.S. Postal Service, unless you identify an alternative means below):
Stephanie Joyce, Diell International, 207 West 25th Street, 3rd Floor, New York, NY 10001. Please send the permit to this address using FedEx Account No. [Redacted] (billing reference (b)(4)). Return Shipping Label Included.

16. If you wish the permit to be delivered by means other than USPS regular mail, provide an air bill, pre-paid envelope, or billing information. If you do not have a pre-paid envelope or air bill and wish to pay for a courier service with your credit card, please state check the box below. Please DO NOT include credit card number or other information; you will be contacted for this information.

☐ If a permit is issued, please send it via a courier service to the address on page 1 or question 2. I understand that you will contact me for my credit card information once the application has been processed.

17. Who should we contact if we have questions about the application? (Include name, phone number, and email):
Stephanie Joyce, Diell International (212-400-9555 or sjoyce@diell.com).

18. Disqualification Factor: A conviction, or entry of a plea of guilty or nolo contendere, for a felony violation of the Lacey Act, the Migratory Bird Treaty Act, or the Bald and Golden Eagle Protection Act disqualifies any such person from receiving or exercising the privileges of a permit, unless such disqualification has been expressly waived by the Service Director in response to a written petition. (50 CFR 13.21(c)) Have you or any of the owners of the business, if applying as a business, been convicted, or entered a plea of guilty or nolo contendere, forfeited collateral, or are currently under charges for any violations of the laws mentioned above?

☐ Yes ☒ No If you answered “Yes” provide: a) the individual’s name, b) date of charge, c) charge(s), d) location of incident, e) court, and f) action taken for each violation.
August 17, 2018

To whom it may concern:

For requested information in USFW Permit Application Form 3-200-32, we ask that you refer to the below.

RE: Part I, Question 4
Information about the Object and Declaration of Species
The American Swedish Historical Museum affirms that the Rosewood used in the Ericsson Solar Engine Model (c. 1860-1870) is Brazilian Rosewood, or Dalbergia Nigra.

Rot-resistant, durable, and beautiful tropical hardwoods accounted for huge capital gains for tropical colonial economies through the 18th and 19th centuries. Of course, mahogany was especially prominent in this trade, but it went through booms and busts as did all luxury commercial goods. An article on the colonial rosewood trade of Belize (Dalbergia spp.) notes that: "[Mahogany] exports peaked in the mid-1840s, a period when the European railway boom led to consistent demand for mahogany. This mahogany boom (like another in the 1920s) was followed by a bust. Mahogany stocks were overcut in Belize; concurrently, the international price crashed. After exporting almost 14 million board-feet of mahogany in 1846 to become one of England's most valued colonies, exports fell to 2 million in 1880" (Joel D. Wainwright and Christopher Zempel, "The Colonial Roots of Forest Extraction: Rosewood Exploitation in Southern Belize," Development and Change 49:1, January 2018).

When mahogany prices fell, Latin American colonies and countries (such as Brazil) saw an increase in demand for woods such as rosewood and chicle, largely to the United States. Rosewood forests near navigable rivers were the most extensively harvested, leading to over-exploitation of these sources by the beginning of the 20th century. With the invention of logging trucks in the 1920s, rosewood exports to the United States saw another boom before dropping off again due to deforestation.

As Ericsson was as much as salesman as inventor, he understood the practicality and popularity of rosewood. Such a durable material could certainly handle any shaking and jarring resulting from Ericsson's working patent models. In addition, their popularity would have recommended them to potential investors when also exhibiting them at international expositions or trade shows.

A similar model can be viewed at:
http://americanhistory.si.edu/collections/search/object/nmah_1063728
Please see the attached Museum database catalog description, as well as a July 2018 memorandum from an independent conservator, for additional information to answer these questions.

We hereby state that, to the best of our knowledge, the Rosewood species used in this model is *Dalbergia Nigra*, and obtained from Brazil.

Re: Part II, Question 11
Information to affirm that this Object/Species is “pre-Convention”

We hereby certify that this object, and the *Dalbergia Nigra* of which it is partially comprised, is a pre-Convention specimen.

This model was included with the rest of the John Ericsson collection loaned to ASHM in 1934 and gifted in 1956. Records note that ASHM initially received this collection from the United Engineering Trustees (UET) with the New York Museum of Science and Industry acting as an agent. The American Institute of Electrical Engineers (AIEE) received the piece from the Metropolitan Museum of Art, which had itself received it as a gift from George H. Robinson in 1890. The AIEE combined with the American Society of Mechanical Engineers, the American Institute of Mining and Metallurgical Engineers, and the American Society of Civil Engineers to form the UET.

Tracey Beck
Executive Director
American Swedish Historical Museum
OBJECT: ENGINE, SOLAR

CLASSIFICATION: Energy Production T&E

MAKER/ARTIST: Ericsson, John-DESIGN

DATE/RANGE OF DATES: 1870s

MARK/INSCRIPTION:

MATERIAL/MEDIUM: Brass, steel, mahogany, paint

COUNTRY/AREA OF ORIGIN: USA/New York

DESCRIPTION: A cylinder runs through a white metal disk; below the disk, the cylinder is black painted metal with fins around the lower end; above the disk the cylinder is shiny metal; double piston with brass cranks; connecting rod is steel; brass flywheel; brass lever on the front of the disk to rotate it; mounted on a wooden box covered with mahogany veneer, turned ring on the top.

            cm: H 35    W 33.2    D 40.7    Dia.


DONOR/SOURCE: United Engineering Trustees Inc

ACCESSION DATE: 1956

HISTORY OF OWNERSHIP: (See caloric engine pump)

EXHIBITION HISTORY: Bloomingdale's, Willow Grove, April-May 1985; In 1988-1989 traveled to South St. Seaport Museum, NYC; Rock Island, IL; San Francisco; Vancouver, BC; Seattle, WA; Philadelphia (?); Wilmington, NJ (?); Norfolk, VA; and ended at Värmlands Museum, Sweden.

PHOTODOCUMENTATION: B&W photos, color negative in file

NOTES:

CATALOGUED BY: Margaretha Talerman

ENTERED BY: Crystal A. Polis

DATE: 04/30/1997

DATE: 12/23/1998
Supporting Material: Question 4 + 11

AMERICAN SWEDISH HISTORICAL MUSEUM

OBJECT: PUMP, AIR WITH CALORIC ENGINE

ACCESSION/CATALOG #: 1982.676
OLD ACCESSION NUMBER: LIB 5823

TITLE:

CLASSIFICATION: Mechanical T&E

MAKER/ARTIST: Ericsson, John-DESIGN

DATE/RANGE OF DATES: 1870-80

LOCATION: XVII-2

COLLECTION: JE

MARK/INSCRIPTION: On back of base is an ownership sticker of United Engineering Society. On top of that is a packing sticker (same sticker as on 1982.684) with "Goteborgs Tullpack hus a Stigergskajen (Gothenburg Customhouse at Stigbergs Dock!)" stamped on it.

MATERIAL/MEDIUM: Brass, steel, lead

COUNTRY/AREA OF ORIGIN: USA/New York?

DESCRIPTION: Two turned horizontal brass cylinders with flanges on each end; drank and open; cranks offset about 130 degrees; at pressure and is a manifold with an air intake on top with discharge at one end; at other end is quadrant to control action with lever to be placed in "P" (pressure) or "S" (suction) position; whole sits on a hollow steel box; inside are two lead (?) weights that hinge on the valve side; two brass screws sit below outlet and perhaps held some device; box painted black; a hole at each end allows access to interior of box.

DIMENSIONS: inch: H 9.75 W 10.25 D 9

cm: H 25 W 26 D 23

(base & object)

Dia.

Dia.


DONOR/SOURCE: United Engineering Trustees Inc

ACCESSION DATE: 1956, 3-14

HISTORY OF OWNERSHIP: ASHM received this object initially as a loan in June, 1934, (later as a gift) from the U.E.T., with the New York Museum of Science and Industry acting as an agent. The American Institute of Electrical Engineers received this piece from the Metropolitan Museum of Art (which had received it as a gift from George H. Robinson in 1890). The A.I.E.E. combined with the American Society of Mechanical Engineers, American Institute of Mining and Metallurgical Engineers, and the American Society of Civil Engineers to form the U.E.T.


PHOTODOCUMENTATION: B&W photo

NOTES: Other old number: UET or NYMSI S27-13. See 1956.042 for accession information. Black and white photo shows an air drum that is not present. Probable use for this artifact was to create vacuum in acentometers while JE was doing solar experiments. "Contributions to the Centennial Exhibition," John Ericsson, pp 386-380. Combined Sosnov & Reibel's catalogue sheets to enter best information.

CATALOGUED BY: J. Sosnov & Dan Reibel

ENTERED BY: Crystal A. Polia

DATE: 01/06/1992

DATE: 12/23/1998

1900 PATTISON AVENUE

TELEPHONE 215-389-1776 • FACSIMILE 215-389-7701

PHILADELPHIA • PA 19145-5901

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The caloric engine was extensively used in pumping operations as late as the middle of the 1880s and later. In a catalog published about 1887 or 1888 by the De Lamater Iron Works, are printed a large number of letters dated in 1886 from satisfied customers. All of them seem to be from companies using the engine for pumping purposes.

There was no mass production in those days and the parts of each machine had to be made separately and finished by human hands. Hence the prices were high compared to what such machines would cost today. The machines manufactured in the decade of their greatest success were relatively small, with cylinders of four inches in diameter, to machines of twelve-inch cylinders. The four-inch type cost $200 and the ten-inch machine, $700. The price was gradually reduced to $150 for the four-inch type and $450 for the twelve-inch machine. Machines for different kinds of fuels were now constructed to burn wood, coal, gas or kerosene. The gas models were slightly cheaper than the other kind. The eight-inch machine burned about one pint of kerosene per hour and the ten-inch motor "about one quart per hour."

The small machine (four inches) would pump 200 gallons of water to a height of fifty feet in an hour, and the ten-inch machine, 3000 gallons to the same height in an hour.

Some time after 1905, the Rider-Ericsson Engine company took over the De Lamater Iron Works, located at Walden, N. Y. As late as 1922, the company had offices at 40 N. 7th, Philadelphia at 235 Franklin St., Boston and at 20 Murray St., New York, the main office. The company is no longer in existence.

As late as 1905, perhaps later, the "Reco Power Pumps" and the "Reco Hot Air Engines" were advertised in the catalogs of the company. The small gasoline engine and the electric motors were now coming into general use, and soon the hot air engine was a thing of the past. A hot air engine is said to have been used in a small printing shop on the West Coast until a few years ago. These engines are now extremely scarce and they are not even found in some museums which specialize in showing the in-
July 27, 2018

Trevor Brandt
American Swedish Historical Museum
1900 Pattison Ave.
Philadelphia, PA 19145

Dear Mr. Brandt,

On the morning of July 27, 2018 I examined the solar engine at the American Swedish Historical Museum, 1900 Pattison Ave., Philadelphia, PA 19145. The primary purpose of the examination was to characterize the species of wood that comprises the object’s veneer.

The solar engine made in America, by John Ericsson, c.1870 is made of copper alloy, ferrous metal, textile, white pine (Pinus Strobus) and Brazilian rosewood (Dalbergia Nigra). The dimensions of the object are H: 13” W: 16” D: 13”. It weights approximately 10lbs. The white pine accounts for approximately .75 lbs, and the Brazilian Rosewood accounts for approximately 1 lb.

The characterization of the wood genus and species were made by eye based on color, density, and grain morphology.

Sincerely yours,

[Signature]

Bret S. Headley
U.S. CUSTOMS IMPORT POWER OF ATTORNEY

(1) Employer Identification Number or Social Security Number

(2) Check Appropriate Box:
- Corporation [X]
- Partnership [ ]
- Sole Proprietorship [ ]
- Limited Liability Company [ ]
- Individual [ ]

Know all men by these presents, that

(3) American Swedish Historical Museum

(4) _________________________________ Principal, dba

(5) Corporation

(6) Pennsylvania

(7) 1900 Pattison Avenue, Philadelphia, PA 19145

hereby constitutes and appoints TECHNO EXPORT, INC., having a principal place of business at 156-15 146th Ave., Suite 110, Jamaica, NY 11434, their subsidiaries, officers, employees, and other customs brokers and/or specifically authorized agents, to act for and on its behalf, as a true and lawful Agent and Attorney of the Principal named above for, and in the name, place, and stead of the Principal, from this date, either in writing, electronically, or by other authorized means, with full power and authority to do and perform every lawful act and thing that the said Agent and Attorney may deem requisite and necessary to be done for and on behalf of the said Principal without limitation of any kind as fully as said Principal could do if present and acting, and Principal hereby ratifies and confirms all that said Agent and Attorney shall lawfully do or cause to be done by virtue of these presents and that the Power of Attorney is to remain in full force and effect until notice of revocation in writing is duly given by the Principal and received by the Agent/Attorney. Such authorization includes acts as Agent/Attorney on behalf of Principal for export control, U.S. Census Bureau reporting, and U.S. Customs and Border Protection purposes.

Principal hereby certifies that all statements and information contained in the documentation provided to Agent/Attorney named above by Principal relating to the exportation and customs transaction will be true and correct. Furthermore, Principal understands that civil and criminal penalties may be imposed for making false or fraudulent statements or for the violation of any U.S. laws or regulations on exportation and customs transactions.

In the execution of this Power of Attorney, Principal expressly acknowledges that DIETL INTERNATIONAL SERVICES will act as the freight forwarder in any and all customs transactions. Principal expressly acknowledges that customs entries will be made by TECHNO EXPORT, INC. or another duly authorized customs broker, and that all charges for such transactions will be billed to Principal by DIETL INTERNATIONAL SERVICES. Principal hereby agrees to such arrangement and waives direct receipt of charges from TECHNO EXPORT, INC. or other duly authorized customs brokers. Principal further agrees that it is liable for any and all charges (including but not limited to duties, taxes, penalties, liquidated damages, or other debts owed to any customs or other governmental authorities imposed for any reason) without restriction or limitation and shall indemnify Agent/Attorney for any and all unpaid charges. Principal may pay for U.S. customs charges by separate check made out to “U.S. Customs & Border Protection” which shall be delivered to customs by the broker, provided Principal has made advance arrangements with the broker for timely receipt of duty checks.

* Include the name of U.S. Principal Party in Interest, if applicable

Rev. 03/20/2016
Included within the powers granted herein are the powers to:

Make, endorse, sign, declare, transmit, or swear to any customs entry, withdrawal, declaration, certificate, bill of lading, air waybill, carnet, or any other documents required by law or regulation in connection with the importation, exportation, or transportation, of any merchandise in or through the customs territory, shipped or consigned by or to said Principal, including authority to act as the Principal's true and lawful agent for purposes of moving cargo and preparing and filing the Electronic Export Information (EEI) and other documents or records required to be filed in accordance with U.S. laws and regulations, whether by signature, electronic filing, or other endorsement;

Perform any act or condition which may be required by law or regulation in connection with the exportation or transportation of any goods shipped or consigned by or to the Principal, and to receive or ship any goods on behalf of Principal;

Make endorsements on bills of lading conferring authority to transfer title; make entry or collect drawback; and make, sign, declare, or swear to any statement or certificate required by law or regulation for drawback purposes, regardless of whether such document is intended for filing with Customs or any other agency of the United States Government;

Sign, seal, and deliver for and as the act of said Principal any bond required by law or regulation in connection with the entry or withdrawal of imported merchandise or merchandise exported with or without benefit of drawback, or in connection with the entry, clearance, lading, unloading or navigation of any vessel or other means of conveyance owned or operated by said Principal, and any and all bonds which may be voluntarily given and accepted under applicable laws and regulations, consignee's and owner's declarations provided for in section 485, Tariff Act of 1930, as amended, or affidavits or statements in connection with the entry of merchandise;

Sign and swear to any document and to perform any act that may be necessary or required by law or regulation in connection with the entering, clearing, lading, unloading, or operation of any vessel or other means of conveyance owned or operated by said Principal;

Authorize other Customs Brokers duly licensed within the territory to act as Principal's agent; to receive, endorse and collect checks issued for Customs duly refunds in Principal's name drawn on the Treasurer of the United States; if Principal is a nonresident of the United States, to accept service of process on behalf of the Principal;

If the Principal is a non-U.S. entity, to accept service of legal process on behalf of the Principal in the United States;

And generally to transact Customs business, including filing of claims or protests under section 514 of the Tariff Act of 1930, or pursuant to other laws of the territories, in which said Principal is or may be concerned or interested and which may properly be transacted or performed by an agent and attorney; and

Giving to said agent and attorney full power and authority to do anything whatever requisite and necessary to be done in the premises as fully as said Principal could do if present and acting, hereby ratifying and confirming all that the said agent and attorney shall lawfully do by virtue of these presents.

Appointment as Forwarding Agent: Principal authorizes the above Agent/Attorney to act within the territory as lawful agent and sign or endorse export documents (i.e., commercial invoices, bill of lading, air waybill, insurance certificates, drafts, and any other documents) necessary for the completion of an export on Principal's behalf as may be required under law and regulation in the territory and to appoint forwarding agents on Principal's behalf.
Principal agrees to abide by the terms, conditions and limits of liability of the freight forwarder herein as applicable to Agent/Attorney. The signatory certifies that he/she has full authority on behalf of the Principal. If the Principal of this power of attorney is a partnership, the said power shall in no case have any force or effect in the United States after the expiration 2 years from the date of its execution.

IN WITNESS WHEREOF, the said (8) Corporation

(9) American Swedish Historical Museum and its subsidiaries and dba's as listed above caused these presents to be signed

(10) Print Name: Tracey Rae Beck Signed: Tracey Rae Beck

(11) Title: Executive Director (12) Date: 8/13/2019

(13) Witness Name: Trevor Carl Brandt (14) Witness Signed: 

INSTRUCTIONS

1. Insert Principal’s Employer Identification Number (EIN) issued by the US Internal Revenue Service.
2. Check the appropriate box that describes how the Principal is legally organized.
3. Insert the legal name of the Principal.
4. Insert any ‘doing business as’ (dba) names that the Principal uses when conducting business.
5. Insert how the Principal is legally organized; this should be the same as #2.
6. Insert the name of the State or other legal jurisdiction under whose laws the Principal is legally organized.
7. Insert the complete address of legal record of the Principal where they accept legal process.
8. Insert how the Principal is legally organized, this should be the same as #5 and #2.
9. Insert the legal name of the Principal; this should be the same as #3.
10. Insert the signature and printed name of officer or other authorized employee of the Principal listed in #3. This person should sign in blue or black ink here.
11. Insert the title of the person signing #10
12. Insert the date when the document was signed.
13. Insert the printed name of a person that witnessed the signing of #10. This person should sign in blue or black ink here.
14. Insert the signature of a person that witnessed the signing of #10. This person should sign in blue or black ink here.

*Indicate the name of U.S. Principal Party in Interest, if applicable

Rev. 03/29/2018

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DIETL INTERNATIONAL SERVICES
158 WEST 27TH STREET - 7TH FL
NEW YORK, NY 10001

DATE 8/15/18

PAY TO THE ORDER OF USFW

$75.00

Seventy Five and 00/100 DOLLARS

FOR 596580

Diane Hill

(b) (4)

(b) (4)
Department of the Interior  
U.S. Fish and Wildlife Service  

Federal Fish and Wildlife Permit Application Form

Return to: U.S. Fish and Wildlife Service  
Division of Management Authority (DMA)  
Branch of Permits, MS: IA  
5275 Leesburg Pike  
Falls Church, VA 22041-3803  
1-800-358-2104 or 703-358-2104

Type of Activity:  
Export/Re-export/Re-import of Circuses and Travelling Animal  
Exhibitions (and Reissuance) (CITES/ESA)

[ ] New Application  
[ ] Master File Permit #: __________  
[ ] Requesting Re-issuance/Amendment of Permit# __________

Complete Sections A or B, and C, D, and E of this application. U.S. address may be required in Section C, see instructions for details.  
See attached instruction pages for information on how to make your application complete and help avoid unnecessary delays.

A.  
Complete if applying as an individual

1.a. Last name

1.b. First name

1.c. Middle name or initial

1.d. Suffix

1.e. Date of birth (mm/dd/yyyy)


4. Occupation

5. Affiliation/Doing business as (see instructions)

6.a. Telephone number

6.b. Alternate telephone number

6.c. Fax number

6.d. E-mail address

B.  
Complete if applying on behalf of a business, corporation, public agency, Tribe, or institution

1.a. Name of business, agency, Tribe or institution: Museum Associates

1.b. Doing business as (dba): Los Angeles County Museum of Art

2. Tax identification no.

95-228408700

3. Description of business, agency, Tribe, or institution: Art Museum

4.a. Principal officer Last name

Rowland

4.b. Principal officer First name

Ann

4.c. Principal officer Middle name/initial

4.d. Suffix

CFO

5. Principal officer title

6. Primary contact name

Erika Franek

7.a. Business telephone number

323-857-6052

7.b. Alternate telephone number

7.c. Business fax number

7.d. Business e-mail address

C.  
All applicants complete address information

1.a. Physical address (Street address, Apartment #, Suite #, or Room #, no P.O. Boxes)

5905 Wilshire Blvd.

1.b. City

1.c. State

1.d. Zip code/Postal code

1.e. County/Province

1.f. Country

Los Angeles  
CA  
90036  
Los Angeles  
US

2.a. Mailing Address (include if different than physical address; include name of contact person if applicable)

Masterpiece International Ltd. 615 N. Nash Street, Suite 300

2.b. City

2.c. State

2.d. Zip code/Postal code

2.e. County/Province

2.f. Country

El Segundo  
CA  
90025  
Los Angeles  
US

D.  
All applicants MUST complete

1. Attach check or money order payable to the U.S. FISH AND WILDLIFE SERVICE in the amount identified on page 2. Federal, Tribal, State, and local government agencies, and those acting on behalf of such agencies, are exempt from the processing fee – attach documentation of fee exempt status as outlined in instructions. (50 CFR 13.11(d))

2. Do you currently have or have you ever had any Federal Fish and Wildlife permits?  

[ ] Yes  
[ ] No

3. Certification: I hereby certify that I have read and am familiar with the regulations contained in Title 50, Part 13 of the Code of Federal Regulations and the other applicable parts in subchapter B of Chapter 1 of Title 50, and I certify that the information submitted in this application for a permit is complete and accurate to the best of my knowledge and belief. I understand that any false statement herein may subject me to the criminal penalties of 18 U.S.C. 1001.

Signature (in blue ink) of applicant/responsible for permit (No photocopied or stamped signatures)  
Date of signature (mm/dd/yyyy)

09/25/2016

Please continue to next page

Form 3-200-30  
Rev. 02/2014  
Page 1 of 9

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E. Export/Re-export/Reimport of Circuses, Traveling Animal Exhibitions, or Museum Exhibitions (and Reissuance) (CITES/ESA)

Note 1. This form is only for the purpose of temporary travel (export and re-import) to exhibit animals, museum exhibitions, or other traveling exhibitions where specimens do not change ownership (e.g., not being bought or sold while outside the United States). If you are intending to transfer ownership or offer specimens for sale outside the United States, submit form 3-200-23 (pre-Convention specimens) or 3-200-37 (ESA/CITES specimens). All applications can be found at http://www.fws.gov/international/permits/by-form-number/index.html.

Note 2. If you are traveling with musical instruments, you can use form 3-200-88 (Musical Instrument Certificate).

Note 3. For activities involving marine mammals, use form 3-200-53 (Export /Re-Export of Live Captive Held Marine Mammals (CITES)).

Note 4. If you are applying on behalf of a client, provide documentation to show that you have a Power of Attorney authorizing you to act on behalf of the client.

Note 5. For Re-issuance and Amendments requests: PLEASE RETURN THE ORIGINAL PERMIT.

Note 6. Please review the complete application before beginning. There are three scenarios under which circus and travelling exhibition are permitted.

Scenario 1. Traveling Exhibition Certificate (Resolution Conf. 12.3(Rev. CoP13)). This applies only to an animal or specimens that qualify as pre-Convention or Bred in Captivity as defined in Resolution Conf. 10.16 (Rev.). A CITES certificate may be issued up to 3 years for a single animal or a group of (non-living) specimens. Follow instructions in Part I below, and complete one application per animal or group of specimens moving as one exhibition. If the animal or specimens do not qualify for the traveling-exhibition certificate, follow instructions in Part II. Processing fee: $100 for a species listed on both CITES and ESA; $75 for a species listed on CITES only.

Scenario 2. For animals that do not qualify under Scenario 1, a Master File can be established that is valid for up to three years for one or more animals or specimens. A Master file would authorize a number of (re-)exports and/or imports over a three-year period, but you would still be required to obtained CITES re-export documents for the re-exporting country before returning to the United States. Once a Master File is approved, you must obtain single-use permits valid for 6 months or until the expiration of the master file, whichever is sooner, for each export/re-export or import (50 CFR 13.11). Processing fees: $200 to establish a Master file; $100 for Master file renewal; $5 single use documents. Follow instructions in Part II.

Scenario 3. For animals that do not qualify under Scenario 1 and you do not need/want to conduct multiple shipments, you may apply for a Single Use Permit for multiple animals that is valid for a single export or re-export. If you are making a single import, please use from 3-200-37. Processing fee: $300. Follow instructions in Part II.

Provide the following information. Complete all questions on the application. Mark questions that are not applicable with "N/A". You may need additional sheets of paper. On all attachments or separate sheets you submit, indicate the application question number you are addressing. Please do not submit video tapes.

Complete either Part I or Part II, as appropriate AND Part III and IV.

---

1 Specimen was acquired (removed from the wild or held in captivity or a controlled environment) before the date CITES applied to it. The listing date can be found http://www.cites.org, CFR 23.45 b1
### Part I. Traveling Exhibition Certificate (Scenario 1)

1. Provide the following for the animal or group of specimens (a separate permit application is needed if more than one animal is involved).

<table>
<thead>
<tr>
<th>Scientific name (genus, species, and if applicable, subspecies) and Common name</th>
<th>Gender, if known</th>
<th>Date of Birth or manufacturing (MM/DD/YYYY)</th>
<th>Source (Wild or Born in captivity)</th>
<th>Country of last re-export</th>
<th>Description (e.g., I.D. #, band #, tattoo #, tag #, size, microchip #, house name, distinguishing marks/features). If microchip #, provide manufacturer and location of microchip². (Border officials must be able to verify that the permit and the animal correspond.)</th>
</tr>
</thead>
</table>

2. Current location of specimen(s):

Los Angeles County Museum of Art, 5905 Wilshire Blvd., Los Angeles CA 90036

### Part II. Animals or specimens that do not qualify for a Traveling-exhibition Certificate.

1. Please indicate which you are requesting (check appropriate box):

- [ ] **Master File** (Scenario 2 - individual CITES documents, valid for up to six months, issued from the Master File)

How many single-use permits do you anticipate using in the next six months if master file is approved? 

Additional CITES documents may be requested via form 3-200-74 (http://www.fws.gov/international/permits/by-form-number/index.html).

OR

- [ ] **Single Use Permit** (Scenario 3) valid for a single shipment in a six-month period.

Indicate country and location(s) of exhibition:

- Name:
- Address:
- Address:
- City:
- State/Province:
- Country, Postal Code:

² The exporter may be asked to have a microchip reader on hand to read the microchip at the time of export.
2. Provide the following for each animal or specimen (multiple animals or specimens may appear on a single document).

<table>
<thead>
<tr>
<th>Scientific name (genus, species, and if applicable, subspecies) and Common name</th>
<th>Gender, if known</th>
<th>Date of Birth or Manufacturing (MM/DD/YYYY)</th>
<th>Source (Wild or Born in captivity)</th>
<th>Last Country of last re-export</th>
<th>Description (e.g., I.D. #, band #, tattoo #, tag #, size, microchip #, house name, distinguishing marks/features). If microchip #, provide manufacturer and location of microchip. (Border officials must be able to verify that the permit and the animal correspond.)</th>
</tr>
</thead>
</table>

3. Current location of specimens:

**Part III (All applicants complete).** For EACH animal or specimen, provide the following. If your application covers more than one animal or specimen, be sure to answer questions 1 and 2 for each animal or specimen being addressed in the application.

If this animal or specimen qualifies as pre-Convention¹, provide documents, signed statements or other evidence that the wildlife was born or removed from the wild prior to the date CITES applied to it (e.g., bill of sale, ISIS record, breeder's record). Enclosed

1. **Was the animal or source of the specimen born/hatched in captivity?** Yes [ ] No [ ]
   **If YES, provide responses to a and b. below:**
   a. Are you the breeder? If so, please provide a statement that the animal was bred and born/hatched at your facility. This statement must include:
      i. Birth/hatch date, and if applicable band/tag number, and sex of each specimen;
      ii. Name and address of your facility where the animal was bred and born;
      iii. Location of parental stock; and
      iv. Your signature and date.

   b. If you are NOT the breeder of the specimen(s), provide copies of documentation showing that you acquired the animal from the breeder or documentation demonstrating the history of transactions (chain of ownership of each animal) and a signed statement from the breeder or breeder's record that includes:
      i. That the animal was bred and born/hatched at his/her facility;
      ii. Birth/hatch date, and, if applicable, band/tag number, or other identifiers;
      iii. Sex of each specimen;
      iv. Location (Name, Street address, City, State) of Parental Stock;
      v. Complete name and address of the breeder's facility.

---

¹ If a microchip is used to identify the animal, the exporter may be asked to have a microchip reader on hand to read the microchip at the time of export.
If NO (animal was not born/hatched in captivity), provide:
   i. Location of where, when, and by whom (name and address) the specimen was removed from the wild; unknown
   ii. Purpose of removal; unknown
   iii. Copy of any permits or other documents from the State or local wildlife authorities approving the activities; n/a
   iv. Documentation showing that the specimens were legally acquired by the applicant; and enclosed
   v. Copies of any applicable State permits or licenses that are required to house, maintain, and breed these specimens (contact your State for information). n/a

2. If this animal or animal from which the specimen was obtained is protected by the U.S. Endangered Species Act (ESA):
   Is the animal or specimen pre-Act (acquired or held in a controlled environment on or before (a) December 28, 1973 or the date when the species was listed, and (b) has not entered into commerce (e.g., been bought, sold, or offered for sale by you or anyone else) since December 28, 1973, or the date when listed)?

   a. Yes, if yes, provide evidence that the animal meets the above criteria.

   b. No, you must be able to show that your proposed activity would meet the issuance criteria under ESA.

   For endangered species, permits can be issued for activities that enhance the survival or propagation of the species or scientific research. For threatened species, permits can be issued for the above reasons, as well as education, zoological display, or other purposes that would meet the purpose of the Endangered Species Act. Provide a statement, and documentation to support the statement, on how the activities will enhance or benefit the wild population (in-situ and ex-situ projects). While permits cannot be issued solely for educational or display purposes for endangered species, if your activities include conservation education, provide copies of educational materials (e.g., handouts, text of signage or public presentations). If you are submitting more than one application at this time for a group of animals, you can complete this section on one application and refer any subsequent application to this statement. If you need more explanation on this question, please contact the Division of Management Authority.

3. (For all applicants) If your activity includes public presentations, please provide the following:

   i. In what type of presentation are you proposing to use the specimen (e.g., live performance, movie, TV)? Museum
   ii. Provide a copy of the actual script or material that will be presented to the audience at each performance, show, or viewing of the specimen(s). This material must be original in nature (e.g., photocopies from a reference book are not appropriate) and must be the actual material that will be presented each time the animal is viewed by the target audience. n/a
   iii. Will fact sheets, brochures, or posters be used? Is the written material available free-of-charge? n/a
   iv. When will the material be presented? If the material will be presented orally, when will this presentation be given? What activities will be occurring at the same time the presentation of the message is being provided and could the activity diminish the effectiveness of the presentation? If the material will be presented in a written form, will an oral announcement be made regarding the availability of this material? If the material is in poster form, will the posters be placed so that the material will be accessible by the public? n/a
   v. When exhibiting in countries where English is not the primary language, explain how the conservation education information will be presented to the non-English speaking audience. n/a

4. Is the animal a live non-human primate? If so, provide a copy of your current Centers for Disease Control (CDC) registration. No
Part IV (all applicants complete). If you are submitting more than one application at this time, you may submit the following information once and refer to it in all subsequent applications.

1. For live exhibitions, provide the following on your facilities: n/a
   a. Provide address of the permanent facility where the animal(s) is/are maintained.
      Name:
      Facility Name:
      Address:
      Address:
      City:
      State/Province:
      Country, Postal Code:
      b. A detailed description, including size, construction materials, protection from the elements, and photographs or detailed diagrams clearly depicting the permanent facilities;
      c. Provide the same as above for transportation units used while traveling within the United States and abroad. The transport conditions must comply with 50 CFR Part 13, the CITES Guidelines for Transport of Live Animals, as well as the Animal Welfare Act and, in the case of air transport, with the International Air Transport Association (IATA) (www.iata.org/cargo/live.htm) live animal regulations. Your description must include:
         i. The type, size, and construction of any shipping container; and
         ii. The arrangements for watering or otherwise caring for the wildlife during transport.
      d. Description of the qualifications of the individuals to train and care for the animal, including the number of years’ experience with this species or similar species, and names of current caretakers.

2. For live exhibitions, provide a list all mortalities of ESA listed species which occurred at your facility during the past five years, and explain the cause of the mortalities and measures taken to prevent future mortalities if appropriate.

3. Provide copies of any applicable permits, licenses and registrations (State Fish and Game, U.S. Department of Agriculture Animal Welfare Act (AWA), Center for Disease Control and Prevention).

4. All international shipment(s) must be through a designated port. A list of designated ports (where an inspector is posted) is available from http://www.fws.gov/le/designated-ports.html. If you wish to use a port not listed, please contact the Office of Law Enforcement for a Designated Port Exemption Permit (form 3-200-2).
5. Name and address where you wish permit mailed, if different from page 1 (All permits will be mailed via the U.S. Postal Service, unless you identify an alternative means below):

Masterpiece International Ltd. LLC, 615 N. Nash Street, Suite 300 El Segundo, CA 90245

6. If you wish the permit to be delivered by means other than USPS regular mail, provide an air bill, pre-paid envelope, or billing information. If you do not have a pre-paid envelope or air bill and wish to pay for a courier service with your credit card, please check the box below. Please DO NOT include credit card number or other information; you will be contacted for this information.  FedEx waybill enclosed

☐ If a permit is issued, please send it via a courier service to the address on page 1 or question 5. I understand that you will contact me for my credit card information once the application has been processed.

7. Who should we contact if we have questions about the application? (Include name, phone number, and email):

Tina Sullivan, Masterpiece International, Tel: 310-321-1020, email: tsullivan@masterpiecointl.com

8. Disqualification Factor. A conviction, or entry of a plea of guilty or nolo contendere, for a felony violation of the Lacey Act, the Migratory Bird Treaty Act, or the Bald and Golden Eagle Protection Act disqualifies any such person from receiving or exercising the privileges of a permit, unless such disqualification has been expressly waived by the Service Director in response to a written petition. (50 CFR 13.21(c)) Have you or any of the owners of the business, if applying as a business, been convicted, or entered a plea of guilty or nolo contendere, forfeited collateral, or are currently under charges for any violations of the laws mentioned above?

☐ Yes    ☑ No  If you answered “Yes” provide: a) the individual’s name, b) date of charge, c) charge(s), d) location of incident, e) court, and f) action taken for each violation.
August 27, 2018

U.S. Fish & Wildlife Service
Office of Management
Authority 4401 N. Fairfax
Drive, Room 432 Arlington, VA
22201

To Whom It May Concern:

To the best of my knowledge and belief, the attached list of items has not been repaired or modified with any part of endangered species on or after December 28, 1973 (50 CFR 14.22). It is therefore pre-convention and is exempt under the Endangered Species Act of 1973 (15 U.S.C. 1531-1543).

The foregoing is based on my knowledge and belief, and to that extent is complete, true and correct. I understand that this affidavit is being submitted for the purpose of inducing the federal government to issue an export certificate for the items on the attached list which are protected under the Endangered Species Act of 1973, and regulations promulgated there under, and that any false statements may subject me to the criminal penalties of 18 U.S.C. 1001.

Items attached hereto are a part of the exhibition Lineage of eccentrics, the miraculous world of Edo painting to be exhibited from February 09, 2019 to April 07, 2019 at the Tokyo Metropolitan Museum of Art.

If you have any questions you can reach me via telephone: 323.932.5860 or via email at jhirx@lacma.org.

Sincerely,

[Signature]

John Hirx
Senior Conservator, Objects

cc: Stephanie Hall, Masterpiece International
CITES CHECKLIST

L.83.59.20
Nagaseawa Rosetsu
Tiger (18th century)
Hanging scroll; ink and color on silk, ivory knobs (Elephas maximus)
64 7/8 x 51 3/4 in. (164.7 x 131.5 cm)

Lender: Los Angeles County Museum of Art on behalf of Etsuko and Joe Price

PROVENANCE
Purchased by Joe Price in 1970

L.83.50.64
Suzuki Kiyosai
Seashells and Plums (19th century)
Hanging scroll; ink and color on silk, ivory knobs (Elephas maximus)
13 11/16 x 11 7/16 in. (34.8 x 29.1 cm)

Lender: Los Angeles County Museum of Art on behalf of Etsuko and Joe Price

PROVENANCE
Purchased by Joe Price in 1971
Pro Forma Invoice

Consignor: Los Angeles County Museum of Art  
5905 Wilshire Boulevard  
Los Angeles, CA 90036  
Contact: Megan Smith, Senior Assistant Registrar, Outgoing Loans  
Telephone: +1.323.857.6053  
Email: msmith@lacma.org

Care of: Masterpiece International  
815 North Nash Street, Suite 300  
El Segundo, CA 90245  
Contact: Stephanie Hall  
Telephone: +1.310.994.1526  
Email: shall@masterpieceintl.com

Consignee: Tokyo Metropolitan Museum of Art  
8-36 Ueno Park, Taito-ku, Tokyo 110-0007  
Japan

Contact: Atsuyuki Nakahara (Mr.), Curator, Chief of Temporary Exhibition Section  
8-36 Ueno Koen, Taito-ku, Tokyo, Japan 110-0007  
Telephone: +81-3-3823-6921

Purpose: Lineage of Eccentrics exhibition

Tokyo Metropolitan Museum of Art (Tokyo, Japan)  
February 9, 2019 – April 7, 2019

Objects:

L.83.45.3a-b  
Nagasawa Rosetsu  
_Bull and Elephant_ (18th century)  
Pair of six-panel screens; ink and gold wash on paper  
Screen: 67 1/4 x 147 3/4 in. (170.8 x 375.3 cm) each  
Etsuko and Joe Price Collection  
Insurance value: $1,000,000.00  
Country of Origin: Japan

L.83.45.25  
Nagasawa Rosetsu  
_Peacock and Peonies_ (1781)  
Two-panel screen; ink, color and gold on paper  
Screen: 67 1/4 x 74 in. (170.8 x 187.9 cm); Panels: 65 5/8 x 36 1/4 in. (166.7 x 92.0 cm)  
Etsuko and Joe Price Collection  
Insurance value: $200,000.00  
Country of Origin: Japan

L.83.45.30  
Suzuki Kiitsu  
_Egret and Willow_ (19th century)  
Two-panel screen; ink and color on silk  
Screen: 58 1/4 x 61 3/8 in. (147.8 x 156.0 cm); Panels: 52 x 27 13/16 in. (132.0 x 70.6 cm)  
Etsuko and Joe Price Collection  
Insurance value: $300,000.00  
Country of Origin: Japan
L.83.50.1
Itō Jakuchū
Rooster, Hen and Hydrangeas  (circa 1755)
Hanging scroll; color and ink on silk
Image: 54 7/8 x 33 1/2 in. (139.3 x 85.0 cm)
Etsuko and Joe Price Collection
Insurance value: $1,000,000.00
Country of Origin: Japan

L.83.50.2
Itō Jakuchū
Mandarin Ducks and Snow-covered Reeds  (18th century)
Hanging scroll; ink and color on silk
Image: 43 1/2 x 20 1/4 in. (110.5 x 51.4 cm)
Etsuko and Joe Price Collection
Insurance value: $800,000.00
Country of Origin: Japan

L.83.50.3
Itō Jakuchū
Tiger  (1755)
Hanging scroll; color on silk
Image: 51 3/16 x 28 1/6 in. (129.8 x 71.5 cm)
Etsuko and Joe Price Collection
Insurance value: $1,000,000.00
Country of Origin: Japan

L.83.50.4
Itō Jakuchū
Rooster and Rising Sun  (18th century)
Hanging scroll; ink and color on silk
Image: 43 1/4 x 19 1/4 in. (109.9 x 48.9 cm)
Etsuko and Joe Price Collection
Insurance value: $500,000.00
Country of Origin: Japan

L.83.50.8
Itō Jakuchū
Grapes and Vine  (18th century)
Hanging scroll; ink on paper
Image: 46 5/8 x 11 1/8 in. (118.5 x 28.3 cm)
Etsuko and Joe Price Collection
Insurance value: $400,000.00
Country of Origin: Japan

L.83.50.20
Nagasawa Rosetsu
Tiger  (18th century)
Hanging scroll; ink and color on silk
Image: 64 7/8 x 51 3/4 in. (164.7 x 131.5 cm)
Etsuko and Joe Price Collection
Insurance value: $300,000.00
Country of Origin: Japan
L.83.50.64
Suzuki Kiitsu
Seashells and Plums (19th century)
Hanging scroll; ink and color on silk
Image: 13 11/16 x 11 7/16 in. (34.8 x 29.1 cm)
Etsuko and Joe Price Collection
Insurance value: $90,000.00
Country of Origin: Japan

Total Value (USD): $ 5,590,000.00

I hereby certify that all statements and information contained in this commercial invoice are true and correct.

Megan Smith
Senior Assistant Registrar, Outgoing Loans
Los Angeles County Museum of Art

8/6/2018
August 6, 2018
Los Angeles, CA
#### U.S. FISH AND WILDLIFE SERVICE

**Declaration for Importation or Exportation of Fish or Wildlife**

1. Date of Import/Export (mm/dd/yyyy): 06/19/2007
2. Import/Export License Number: ****
3. Indicate One:
   - [X] Import
   - [ ] Export
4. Port of Clearance: NY
5. Purpose Code: E
6. Customs Document Number(s): D52-7000189-9

#### 13. (Indicate One)
- [X] U.S. Importer
- [ ] U.S. Exporter

**MUSEUM ASSOCIATES, LOS ANGELES COUNTY MUSEUM OF ART**
3903 WILSHIRE BLVD
LOS ANGELES, CA 90036

14. (Indicate One)
- [ ] Foreign Importer
- [X] Foreign Exporter

**NIHOKAI SHIMBUN, INC.**
1-9-5 OTEMACHI, CHIYODA-KU
TOKYO, JP
81 3 5235 2852

15. Customs Broker, Shipping Agent or Freight Forwarder:
- [ ] Masterpiece International Ltd.

15a. Identifier Number: [ ]
15b. Identifier Number: [ ]
15c. Contact Name: [ ]

#### Species Code
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<td>ELEPHANT MAXIMUS ASIAN ELEPHANT</td>
<td>IVC</td>
<td>134.00 NO</td>
<td>$18,085,000 XX</td>
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**Knowingly making false statements in a Declaration for Importation or Exportation of Fish or Wildlife may subject the declarant to the penalty provided by 18 U.S.C. 1001 and 18 U.S.C. 3372(d).**

**Filed Electronically 06/18/2007 - Confirm Num: 2007NY423607**

Dec Control Num: 2007956895

**CLEARED**

United States

U FISH & WILDLIFE SERVICE

Electronic Filing

Date: 06/19/2007

Wildlife Declared: [ ]
Wildlife Inspected: [ ]
Inspected By: [ ]
Price Collection Japanese Paintings with Ivory Handles/Knobs

1. Permit requested for: ivory knobs (probably Asian elephant ivory) measuring 1 ¾ in (4.5 cm) x diameter 1 ¾ in (4.5 cm) attached to the following artwork:
Artwork: Hanging scroll; color and ink on silk
Artist: Ito Jakuchū (Japan, 1716-1800)
Artwork title: *Rooster, Hen and Hydrangeas*
Artwork size: Image: 54 7/8 x 33 1/2 in. (139.3x 85.0 cm)
Legal owner: Etsuko and Joe Price
LACMA ID #: L.83.50.1; Price ID#: 001.65.OY.X

Purchased by Joe Price in 1965 according to the original purchase receipt and a Price Collection inventory dated 1979. (See attached documentation).

The inclusion of the scroll in the following publications also document that it was owned by the Price family and in the U.S. by 1973 (see catalogue photocopy enclosed):

This work in the Price Collection was published by the Tokyo National Research Institute of Cultural Properties, an official bureau of the Japanese government, demonstrating international recognition of the ownership of the Price family.
*Catalogue of Japanese Art in Foreign Collections, Volume 4: Painting of the Price Collection.*

2. Permit requested for: ivory knobs (probably Asian elephant ivory) measuring 1 1/8 in (2.9 cm) x diameter 1 1/8 in (2.9 cm) attached to the following artwork:
Artwork: Hanging scroll; ink and color on silk
Artist: Ito Jakuchū (Japan, 1716-1800)
Artwork title: *Mandarin Ducks and Snow-covered Reeds*
Artwork size: Image: 43 1/2 x 20 1/4 in. (110.5 x 51.4 cm)
Legal owner: Etsuko and Joe Price
LACMA ID #: L.83.50.2; Price ID#: 002.67.OY.X

Purchased by Joe Price in 1967 according to the original purchase receipt and a Price Collection inventory dated 1979. (See attached documentation).

The inclusion of the scroll in the following publications also documents that it was owned by the Price family and in the U.S. by 1973 (see catalogue photocopy enclosed):
This work in the Price Collection was published by the Tokyo National Research Institute of Cultural Properties, an official bureau of the Japanese government, demonstrating international recognition of the ownership of the Price family. 


3. Permit requested for: ivory knobs (probably Asian elephant ivory) measuring 1 1/4 in (3.2 cm) x diameter 1 1/4 in (3.3 cm) attached to the following artwork:
Artwork: Hanging scroll; color on silk
Artist: Ito Jakuchu (Japan, 1716-1800)
Artwork title: Tiger
Art work date: 1755
Image: 51 3/16 x 28 1/8 in. (129.8 x 71.5 cm)
Legal owner: Etsuko and Joe Price
LACMA ID #: L.83.50.3; Price ID#: 003.65.MI.X

Purchased by Joe Price in 1965 according to Price Collection inventory dated 1979. (See attached documentation).

The inclusion of the scroll in the following publications also documents that it was owned by the Price family and in the U.S. by 1973 (see catalogue photocopy enclosed):


This work in the Price Collection was published by the Tokyo National Research Institute of Cultural Properties, an official bureau of the Japanese government, demonstrating international recognition of the ownership of the Price family. 


4. Permit requested for: ivory knobs (probably Asian elephant ivory) measuring 1 1/8 in. (2.8 cm) x diameter 1 1/8 in. (2.8 cm) attached to the following artwork:
Artwork: Hanging scroll; ink and color on silk
Artist: Ito Jakuchu (Japan, 1716-1800)
Artwork title: Rooster and Rising Sun
Artwork size: Image: 43 1/4 x 19 1/4 in. (109.9 x 48.9 cm)
Legal owner: Etsuko and Joe Price
LACMA ID #: L.83.50.4; Price ID#: 004.66.NN.X

Purchased by Joe Price in 1966 according to Price Collection inventory dated 1979. (See attached documentation).
The inclusion of the scroll in the following publication also document that it was owned by the Price family and in the U.S. by 1973 (see catalogue photocopy enclosed):


This work in the Price Collection was published by the Tokyo National Research Institute of Cultural Properties, an official bureau of the Japanese government, demonstrating international recognition of the ownership of the Price family.

*Catalogue of Japanese Art in Foreign Collections, Volume 4: Painting of the Price Collection.*


5. Permit requested for: ivory knobs (probably Asian elephant ivory) measuring 1 1/8 in. (2.8 cm) x diameter 1 1/8 in. (2.8 cm) attached to the following artwork:

Artwork: Hanging scroll; color on silk
Artist: Itō Jakuchū (Japan, 1716-1800)
Artwork title: Two Cranes
Artwork size: Image: 44 1/8 x 19 1/2 in. (112.08 x 49.53 cm); Mount: 78 x 27 1/8 in. (198.12 x 68.9 cm)
Legal owner: Etsuko and Joe Price
LACMA ID #: L.83.50.157; Price ID#: 005.83.PL.Z

This work in the Price Collection was published by the Tokyo National Research Institute of Cultural Properties, an official bureau of the Japanese government, demonstrating international recognition of the ownership of the Price family.

*Catalogue of Japanese Art in Foreign Collections, Volume 4: Painting of the Price Collection.*


6. Permit requested for: ivory knobs (probably Asian elephant ivory) measuring 1 ¼ in. (3.2 cm) x diameter 1 ¾ in. (3.5 cm) attached to the following artwork:

Artwork: Hanging scroll; color on silk
Artist: Itō Jakuchū (Japan, 1716-1800)
Artwork title: Seven Cranes
Art work date: 1755
Artwork size: Mount: 81 x 25 in. (205.7 X 63.5 cm)
Legal owner: Etsuko and Joe Price
LACMA ID #: L.83.50.191; Price ID#: 006.87.YH.Z

This work in the Price Collection was published by the Tokyo National Research Institute of Cultural Properties, an official bureau of the Japanese government, demonstrating international recognition of the ownership of the Price family.

*Catalogue of Japanese Art in Foreign Collections, Volume 4: Painting of the Price Collection.*

7. Permit requested for: ivory knobs (probably Asian elephant ivory) measuring 1 in. (2.3 cm) x diameter 1 1/16 in. (2.6 cm) attached to the following artwork:
   Artwork: Hanging scroll; ink on paper
   Artist: Ito Jakuchü (Japan, 1716-1800)
   Artwork title: Manpukyōji
   Artwork size: Image: 37 3/4 x 10 7/8 in. (95.9 x 27.6 cm); Mount: 70 x 15 3/4 in. (177.8 x 40.0 cm)
   Legal owner: Etsuko and Joe Price
   LACMA ID #: L.83.50.133; Price ID#: 011.82.KG.Z

This work in the Price Collection was published by the Tokyo National Research Institute of Cultural Properties, an official bureau of the Japanese government, demonstrating international recognition of the ownership of the Price family.


8. Permit requested for: ivory knobs (probably Asian elephant ivory) measuring 1 in. (2.5 cm) x diameter 1 in. (2.5 cm) attached to the following artwork:
   Artwork: Hanging scroll; ink on paper
   Artist: Ito Jakuchü (Japan, 1716-1800)
   Artwork title: Grapevines
   Artwork size: Image: 46 5/8 x 11 1/8 in. (118.5 x 28.3 cm)
   Legal owner: Etsuko and Joe Price
   LACMA ID #: L.83.50.8; Price ID#: 012.61.JS.X

Purchased by Joe Price in 1961 according to original purchase receipt and Price Collection inventory dated 1979. (See attached documentation).

The inclusion of the scroll in the following publications document that it was owned by the Price family and in the U.S. by 1973 (see catalogue photocopy enclosed):


This work in the Price Collection was published by the Tokyo National Research Institute of Cultural Properties, an official bureau of the Japanese government, demonstrating international recognition of the ownership of the Price family.


9. Permit requested for: ivory knobs (probably Asian elephant ivory) measuring 1 in. (2.5 cm) x diameter 1 in. (2.5 cm) attached to the following artwork:
   Artwork: Hanging scroll; ink on silk
Artist: Itō Jakuchū (Japan, 1716-1800)
Artwork title: Eagle
Artwork date: 1800
Artwork size: Image: 40 5/16 x 15 13/16 in. (102.3 x 40.2 cm)
Legal owner: Etsuko and Joe Price
LACMA ID #: L.83.50.9; Price ID#: 013.69.OY.X

Purchased by Joe Price in 1969 according to Price Collection inventory dated 1979. (See attached documentation).

The inclusion of the scroll in the following publication documents that it was owned by the Price family and in the U.S. by 1973 (see catalogue photocopy enclosed):


This work in the Price Collection was published by the Tokyo National Research Institute of Cultural Properties, an official bureau of the Japanese government, demonstrating international recognition of the ownership of the Price family.


10. Permit requested for: ivory knobs (probably Asian elephant ivory) measuring 1 1/8 in. (2.8 cm) x diameter 1 in. (2.6 cm) attached to the following artwork:
Artwork: Hanging scroll; ink on silk
Artist: Itō Jakuchū (Japan, 1716-1800)
Artwork title: Hawk on a Pine Tree
Artwork date: 1752
Artwork size: Mount: 89 x 21 1/2 in.
Legal owner: Etsuko and Joe Price
LACMA ID #: L.83.50.181; Price ID#: 014.89.TH.Z

This work in the Price Collection was published by the Tokyo National Research Institute of Cultural Properties, an official bureau of the Japanese government, demonstrating international recognition of the ownership of the Price family.


11. Permit requested for: ivory knobs (probably Asian elephant ivory) measuring 1 1/16 in. (2.7 cm) x diameter 1 1/16in. (2.7 cm) attached to the following artwork:
Artwork: Hanging scroll; ink on paper
Artist: Itō Jakuchū (Japan, 1716-1800)
Artwork title: Carp
Artwork size: Image: 41 3/4 x 16 1/16 in. (106.0 x 40.8 cm); Mount: 67 x 20 1/4 in. (170.2 x 51.4 cm)
Etsuko and Joe Price Collection
LACMA ID #: L.83.50.14; Price ID#: 015.81.KG.Z

This work in the Price Collection was published by the Tokyo National Research Institute of Cultural Properties, an official bureau of the Japanese government, demonstrating international recognition of the ownership of the Price family.


12. Permit requested for: ivory knobs (probably Asian elephant ivory) measuring approximately 2-3 in. x 1 1/4 in. diameter attached to the following artwork:
   Artwork: Hanging scroll; ink on paper
   Artist: Itō Jakuchū (Japan, 1716-1800)
   Artwork title: Rooster and Banana Plant
   Artwork size: Image: 43 3/8 x 17 3/4 in. (110.2 x 45.0 cm)
   Etsuko and Joe Price Collection
   LACMA ID #: L.83.50.10; Price ID#: 016.67.MI.X

This work in the Price Collection was published by the Tokyo National Research Institute of Cultural Properties, an official bureau of the Japanese government, demonstrating international recognition of the ownership of the Price family.


13. Permit requested for: ivory knobs (probably Asian elephant ivory) measuring 1 in. (2.5 cm) x diameter 1 in. (2.5 cm) attached to the following artwork:
   Artwork: Hanging scroll; ink on paper
   Artist: Itō Jakuen (Japan, active late 18th-early 19th century)
   Artwork title: Banana Leaves
   Artwork size: Image: 37 15/16 x 13 5/16 in. (96.3 x 33.8 cm)
   Legal owner: Etsuko and Joe Price
   LACMA ID #: L.83.50.16; Price ID#: 051.70.MI.X

Purchased by Joe Price in 1970 according to Price Collection inventory dated 1979. (See attached documentation).

The inclusion of the scroll in the following publication also documents that it was owned by the Price family and in the U.S. by 1973 (see catalogue photocopy enclosed):


This work in the Price Collection was published by the Tokyo National Research Institute of Cultural Properties, an official bureau of the Japanese government, demonstrating international recognition of the ownership of the Price family.
Tokyo: Association of Scientific Research on Historic and Artistic Works of Japan, 1994,  
no. 228.

14. Permit requested for: **ivory knobs** (probably Asian elephant ivory) measuring 1 ¼ in. (3 cm) x  
diameter: 1 ¼ in. (3 cm) attached to the following artwork:  
Artwork: Pair of hanging scrolls; ink on paper  
Artist: Soga Shōhaku (Japan, 1730-1781)  
Artwork title: Kanzan; Jittoku  
Art work date: 18th century  
Artwork size: Each image: 50 1/8 x 21 1/8 in. (127.3 x 53.6 cm)  
Legal owner: Etsuko and Joe Price  
LACMA ID #: L.83.50.29a,b; Price ID #: 060a.69.MI.X.

Purchased by Joe Price in 1969 according to original purchase receipt and Price Collection  
inventory dated 1979. (See attached documentation).

This work in the Price Collection was published by the Tokyo National Research Institute of  
Cultural Properties, an official bureau of the Japanese government, demonstrating international  
recognition of the ownership of the Price family.  
Tokyo: Association of Scientific Research on Historic and Artistic Works of Japan, 1994,  
no. 236.1-2

15. Permit requested for: **ivory knobs** (probably Asian elephant ivory) measuring 1 ¼ in. (3 cm) x  
diameter 1 ¼ in. (3 cm) attached to the following artwork:  
Artwork: Hanging scroll; ink and slight color on paper  
Artist: Soga Shōhaku (Japan, 1730-1781)  
Artwork title: _Cranes_  
Japan, 18th century  
Artwork size: Image: 48 1/4 x 20 5/8 in. (122.6 x 52.4 cm)  
Legal owner: Etsuko and Joe Price  
LACMA ID #: L.83.50.31; Price ID#: 062.67.YO.X.

Purchased by Joe Price in 1967 according to Price Collection inventory dated 1979. (See attached  
documentation).

This work in the Price Collection was published by the Tokyo National Research Institute of  
Cultural Properties, an official bureau of the Japanese government, demonstrating international  
recognition of the ownership of the Price family.  
Tokyo: Association of Scientific Research on Historic and Artistic Works of Japan, 1994,  
no. 237.

16. Permit requested for: set of **ivory knobs** (probably Asian elephant ivory) measuring 1 1/16 in.  
(2.7 cm) x diameter 1 1/16 in. (2.7 cm) attached to the following artwork:
Artwork: Set of 12 hanging scrolls; color on silk
Artist: Sakai Hōitsu (Japan, 1761-1828)
Artwork title: *Birds and Flowers of the Twelve Months*
Artwork size: Image: 55 x 19 3/4 in. (139.7 x 50.2 cm); Mount: approx 90 x 25 1/4 in. (228.6 x 64.1 cm) each
Legal owner: Etsuko and Joe Price
LACMA ID #: L.83.50.135a-l; Price ID#: 233a.84.KT.Z

This work in the Price Collection was published by the Tokyo National Research Institute of Cultural Properties, an official bureau of the Japanese government, demonstrating international recognition of the ownership of the Price family.
*Catalogue of Japanese Art in Foreign Collections, Volume 4: Painting of the Price Collection.*

17. Permit requested for: *ivory knobs* (probably Asian elephant ivory) measuring 1 1/4 in. (3 cm) x diameter 1 1/4 in. (3 cm) attached to the following artwork:
Artwork: Hanging scroll; ink and color on silk
Artist: Suzuki Kiitsu (Japan, 1796-1858)
Artwork title: *A Fox's Bridal Procession*
Artwork size: Image: 20 7/8 x 32 1/16 in. (53.0 x 81.4 cm)
Legal owner: Etsuko and Joe Price
LACMA ID #: L.83.50.134; Price ID#: 240.82.KG.Z

This work in the Price Collection was published by the Tokyo National Research Institute of Cultural Properties, an official bureau of the Japanese government, demonstrating international recognition of the ownership of the Price family.
*Catalogue of Japanese Art in Foreign Collections, Volume 4: Painting of the Price Collection.*

18. Permit requested for: *ivory knobs* (probably Asian elephant ivory) measuring 1 in. (2.5 cm) x diameter 1 in. (2.4 cm) attached to the following artwork:
Artwork: Hanging scroll; ink and color on silk
Artist: Suzuki Kiitsu (Japan, 1796-1858)
Artwork title: *Seashells and Plums*
Artwork size: Image: 13 11/16 x 11 7/16 in. (34.8 x 29.1 cm)
Legal owner: Etsuko and Joe Price
LACMA ID #: L.83.50.64; Price ID#: 241.71.MI.X

Purchased by Joe Price in 1971 according to *Price Collection inventory* dated 1979. (See attached documentation).

This work in the Price Collection was published by the Tokyo National Research Institute of Cultural Properties, an official bureau of the Japanese government, demonstrating international recognition of the ownership of the Price family.

19. Permit requested for: ivory knobs (probably Asian elephant ivory) measuring 1 in. (2.5 cm) x diameter 1 in. (2.5 cm) attached to the following artwork:
Artwork: Pair of hanging scrolls; ink and color on silk
Artist: Suzuki Kiitsu (Japan, 1796-1858)
Artwork title: Paulownia and Maple
Artwork size: Each image: 47 x 14 in. (119.3 x 35.5 cm)
Legal owner: Etsuko and Joe Price
LACMA ID #: L.83.50.62a,b; Price ID#: 242a.67.OD.X and 242b.67.OD.X

Purchased by Joe Price in 1967 according to Price Collection inventory dated 1979. (See attached documentation).

The inclusion of the scroll in the following publication also documents that it was owned by the Price family and in the U.S. by 1973 (see catalogue photocopy enclosed):

This work in the Price Collection was published by the Tokyo National Research Institute of Cultural Properties, an official bureau of the Japanese government, demonstrating international recognition of the ownership of the Price family.

20. Permit requested for: ivory knobs (probably Asian elephant ivory) measuring approximately 1 in (2.5 cm) x diameter 1 in (2.5 cm) attached to the following artwork:
Artwork: Hanging scroll; ink and color on silk
Artist: Suzuki Kiitsu (Japan, 1796-1858)
Artwork title: Plovers and Waves under a Full Moon
Artwork size: Image: 32 9/16 x 10 1/2 in. (82.7 x 26.7 cm)
Legal owner: Etsuko and Joe Price
LACMA ID #: L.83.50.63; Price ID#: 248.73.YT.X

Purchased by Joe Price in 1973 according to Price Collection inventory dated 1979. (See attached documentation).

This work in the Price Collection was published by the Tokyo National Research Institute of Cultural Properties, an official bureau of the Japanese government, demonstrating international recognition of the ownership of the Price family.
21. Permit requested for: **ivory knobs** (probably Asian elephant ivory) measuring 1 1/16 in. (2.7 cm) x diameter 1 1/16 in. (2.7 cm) attached to the following artwork:
   Artwork: Hanging scroll; ink and color on silk
   Artist: Nakano Kimei (Japan, 1834-1891)
   Artwork title: *Shōki on a Chinese Lion*
   Artwork size: Image: 35 x 15 in. (88.9 x 38.1 cm); Mount: 71 x 21 in. (180.34 x 53.34 cm)
   Legal owner: Etsuko and Joe Price
   LACMA ID #: L.2000.1.22; Price ID#: 281.96.Y.T.Z

22. Permit requested for: **ivory knobs** (probably Asian elephant ivory) measuring 1 in. (2.6 cm) x diameter 1 in. (2.4 cm) attached to the following artwork:
   Artwork: Hanging scroll; color on silk
   Artist: Suzuki Shōitsu (Japan, circa 1823-1889)
   Artwork title: *Summer Flowers and Butterflies*
   Artwork size: Image: 35 1/2 x 11 1/2 in. (90.17 x 29.21 cm); Mount: 70 1/4 x 18 1/2 in. (178.44 x 46.99 cm)
   Legal owner: Etsuko and Joe Price
   LACMA ID #: L.2000.1.9; Price ID#: 287.00.K.Y.Z

23. Permit requested for: **ivory knobs** (probably Asian elephant ivory) measuring 1 3/16 in. (3.5 cm) x diameter 1 3/16 in. (3.5 cm) attached to the following artwork:
   Artwork: Hanging scroll; ink and color on silk
   Artist: Maruyama Ōkyo (Japan, 1733-1795)
   Artwork title: *The Red Cliff*
   Artwork size: Image approx.: 47 1/2 x 12 in. (120.7 x 30.5 cm)
   Legal owner: Etsuko and Joe Price
   LACMA ID #: L.83.50.161; Price ID#: 304.85.K.D.Z

This work in the Price Collection was published by the Tokyo National Research Institute of Cultural Properties, an official bureau of the Japanese government, demonstrating international recognition of the ownership of the Price family.

*Catalogue of Japanese Art in Foreign Collections, Volume 4: Painting of the Price Collection*

24. Permit requested for: **ivory knobs** (probably Asian elephant ivory) measuring approximately 2-3 in. x 1 1/2 in. diameter attached to the following artwork:
   Artwork: Hanging scroll; light color on silk
   Artist: Maruyama Ōshin (Japan, 1790-1838)
   Artwork title: *Two Camels*
   Art work date: 1824
   Artwork size: Image: 49 1/8 x 22 1/2 in. (124.8 x 57.2 cm)
   Legal owner: Etsuko and Joe Price
This work in the Price Collection was published by the Tokyo National Research Institute of Cultural Properties, an official bureau of the Japanese government, demonstrating international recognition of the ownership of the Price family.


25. Permit requested for: ivory knobs (probably Asian elephant ivory) measuring 1 1/16 in. (2.9 cm) x diameter 1 1/16 in. (2.8 cm) attached to the following artwork:
Artwork: Hanging scroll; ink and color on silk
Artist: Komai Ki (Genki) (Japan, 1747-1797)
Artwork title: Tiger Licking its Leg
Image: 24 1/2 x 33 3/4 in. (62.2 x 85.7 cm)
Legal owner: Etsuko and Joe Price
LACMA ID #: L.83.50.92; Price ID#: 309.68.MI.X

Purchased by Joe Price in 1968 according to Price Collection inventory dated 1979. (See attached documentation).

This work in the Price Collection was published by the Tokyo National Research Institute of Cultural Properties, an official bureau of the Japanese government, demonstrating international recognition of the ownership of the Price family.


26. Permit requested for: ivory knobs (probably Asian elephant ivory) measuring 1 1/2 in. (3.7 cm) x diameter 1 3/4 in. (3.3 cm) attached to the following artwork:
Artwork: Hanging scroll; ink and color on silk
Artist: Nagasawa Rosetsu (Japan, 1754-1799)
Artwork title: Tiger
Artwork size: Image: 64 7/8 x 51 3/4 in. (164.7 x 131.5 cm)
Legal owner: Etsuko and Joe Price
LACMA ID #: L.83.50.20; Price ID#: 321.70.MR.X

Purchased by Joe Price in 1970 according to Price Collection inventory dated 1979. (See attached documentation).

This work in the Price Collection was published by the Tokyo National Research Institute of Cultural Properties, an official bureau of the Japanese government, demonstrating international recognition of the ownership of the Price family.

27. Permit requested for: **ivory knobs** (probably Asian elephant ivory) measuring 1 5/8 in. (3.9 cm) x diameter 1 5/8 in. (3.8 cm) attached to the following artwork:
Artwork: Pair of hanging scrolls; ink and color on paper
Artist: Nagasawa Rosetsu (Japan, 1754-1799)
Artwork title: *Sea God; Turtle*
Artwork size: Each image: 46 3/8 x 21 3/8 in. (117.7 x 54.2 cm)
Legal owner: Etsuko and Joe Price
LACMA ID #: L.83.50.19a-b; Price ID#: 323a.69.OY.X

Purchased by Joe Price in 1969 according to original purchase receipt and Price Collection inventory dated 1979. (See attached documentation).

This work in the Price Collection was published by the Tokyo National Research Institute of Cultural Properties, an official bureau of the Japanese government, demonstrating international recognition of the ownership of the Price family.

*Catalogue of Japanese Art in Foreign Collections, Volume 4: Painting of the Price Collection.*

28. Permit requested for: **ivory knobs** (probably Asian elephant ivory) measuring 1 1/4 in. (3 cm) x diameter 1 1/8 in. (2.8 cm) attached to the following artwork:
Artwork: Hanging scroll; ink and slight color on paper
Artist: Watanabe Nangaku (Japan, 1767-1813)
Artwork title: *Monkey Looking over a Cliff*
Artwork size: Image: 47 1/2 x 19 5/8 in. (120.7 x 49.9 cm)
Legal owner: Etsuko and Joe Price
LACMA ID #: L.83.50.99; Price ID#: 343.71.MI.X

Purchased by Joe Price in 1971 according to Price Collection inventory dated 1979. (See attached documentation).

This work in the Price Collection was published by the Tokyo National Research Institute of Cultural Properties, an official bureau of the Japanese government, demonstrating international recognition of the ownership of the Price family.

*Catalogue of Japanese Art in Foreign Collections, Volume 4: Painting of the Price Collection.*

29. Permit requested for: **ivory knobs** (probably Asian elephant ivory) measuring 1 5/8 in. (4 cm) x diameter 1 5/8 in. (4 cm) attached to the following artwork:
Artwork: Hanging scroll; ink and slight color on paper
Artist: Yoshimura Kōkei (Japan, 1769-1836)
Artwork title: *Chinese Lions*
Artwork size: Image: 55 1/2 x 46 3/8 in. (141.0 x 117.8 cm); Mount: 91 1/2 x 65 1/8 in. (232.4 x 165.4 cm)
Legal owner: Etsuko and Joe Price
LACMA ID #: L.83.50.185; Price ID#: 345.85.OS.X

This work in the Price Collection was published by the Tokyo National Research Institute of Cultural Properties, an official bureau of the Japanese government, demonstrating international recognition of the ownership of the Price family.

30. Permit requested for: ivory knobs (probably Asian elephant ivory) measuring 1 in. (2.5 cm) x diameter 1 in. (2.5 cm) attached to the following artwork:
Artwork: Hanging scroll; ink and color on silk
Artist: Mori Sosen (Japan, 1747-1821)
Artwork title: Monkeys and Plum Tree
Artwork size: Image: 34 15/16 x 13 3/16 in. (88.7 x 33.5 cm)
Legal owner: Etsuko and Joe Price
LACMA ID #: L.83.50.53; Price ID#: 351.69.MN.X

Purchased by Joe Price in 1969 according to Price Collection inventory dated 1979. (See attached documentation).

This work in the Price Collection was published by the Tokyo National Research Institute of Cultural Properties, an official bureau of the Japanese government, demonstrating international recognition of the ownership of the Price family.

31. Permit requested for: ivory knobs (probably Asian elephant ivory) measuring 1 in. (2.3 cm) x diameter 1 in. (2.3 cm) attached to the following artwork:
Artwork: Hanging scroll; ink and light color on paper
Artist: Mori Sosen (Japan, 1747-1821)
Artwork title: Monkey and Wasp
Artwork size: Image: 40 1/4 x 11 3/8 in. (102.2 x 28.9 cm)
Legal owner: Etsuko and Joe Price
LACMA ID #: L.83.50.52; Price ID#: 352.66.NN.X

Purchased by Joe Price in 1966 according to Price Collection inventory dated 1979. (See attached documentation).

The inclusion of the scroll in the following publication also documents that it was owned by the Price family and in the U.S. by 1973 (see catalogue photocopy enclosed):
This work in the Price Collection was published by the Tokyo National Research Institute of Cultural Properties, an official bureau of the Japanese government, demonstrating international recognition of the ownership of the Price family.

*Catalogue of Japanese Art in Foreign Collections, Volume 4: Painting of the Price Collection.*


32. Permit requested for: *ivory knobs* (probably Asian elephant ivory) measuring 1 in. (2.3 cm) x diameter 1 in. (2.5 cm) attached to the following artwork:

Artwork: Hanging scroll; color on silk
Artwork title: *Beauty Leaning on an Armrest*
Japan, Kambun period (1661-1673)
Artwork size: Image: 36 11/16 x 11 7/8 in. (93.2 x 30.2 cm)
Legal owner: Etsuko and Joe Price
LACMA ID #: L.83.50.155; Price ID#: 415.83.YS.Z

This work in the Price Collection was published by the Tokyo National Research Institute of Cultural Properties, an official bureau of the Japanese government, demonstrating international recognition of the ownership of the Price family.

*Catalogue of Japanese Art in Foreign Collections, Volume 4: Painting of the Price Collection.*


33. Permit requested for: *ivory knobs* (probably Asian elephant ivory) measuring 1 5/16 in. (3.3 cm) x diameter 1 1/4 in. (3 cm) attached to the following artwork:

Artwork: Hanging scroll; ink and color on paper
Artist: Attributed to Kitagawa Kikumaro (Tsukimaro) (Japan, active ?-1830)
Artwork title: *Two Beauties*
Artwork size: Image: 49 1/8 x 21 7/8 in. (124.8 x 55.5 cm)
Legal owner: Etsuko and Joe Price
LACMA ID #: L.83.50.35; Price ID#: 417.63.AC.X

Purchased by Joe Price in 1963 according to Price Collection inventory dated 1979. (See attached documentation).

The inclusion of the scroll in the following publication also documents that it was owned by the Price family and in the U.S. by 1973 (see catalogue photocopy enclosed):

*Japanese Paintings from the Collection of Joe D. Price,* Exhibition catalogue. The University of Kansas: Museum of Art, 1967. (No. 20)

This work in the Price Collection was published by the Tokyo National Research Institute of Cultural Properties, an official bureau of the Japanese government, demonstrating international recognition of the ownership of the Price family.

*Catalogue of Japanese Art in Foreign Collections, Volume 4: Painting of the Price Collection.*

34. Permit requested for: **ivory knobs** (probably Asian elephant ivory) measuring 1 in. (2.3 cm) x diameter 1 in. (2.3 cm) attached to the following artwork:
   Artwork: Hanging scroll; ink and color on paper
   Artist: Utagawa Kunisada (Toyokuni III) (Japan, Edo, 1786-1865)
   Artwork title: *Beauty Reading a Letter*
   Artwork size: Image: 33 3/4 x 11 9/16 in. (85.7 x 29.3 cm)
   Legal owner: Etsuko and Joe Price
   LACMA ID #: L.83.50.39; Price ID#: 421.78.HM.X

   This work in the Price Collection was published by the Tokyo National Research Institute of Cultural Properties, an official bureau of the Japanese government, demonstrating international recognition of the ownership of the Price family.

   *Catalogue of Japanese Art in Foreign Collections, Volume 4: Painting of the Price Collection.*

35. Permit requested for: **ivory knobs** (probably Asian elephant ivory) measuring 1 ¼ in. (2.8 cm) x diameter 1 in. (2.4 cm) attached to the following artwork:
   Artwork: Hanging scroll; color on silk
   Artist: Katsukawa Shunshō (Japan, 1726-1792)
   Artwork title: *Two Beauties*
   Artwork size: Image: 39 1/2 x 13 7/8 in. (100.3 x 35.2 cm)
   Legal owner: Etsuko and Joe Price
   LACMA ID #: L.83.50.156; Price ID#: 433.83.PL.Z

   This work in the Price Collection was published by the Tokyo National Research Institute of Cultural Properties, an official bureau of the Japanese government, demonstrating international recognition of the ownership of the Price family.

   *Catalogue of Japanese Art in Foreign Collections, Volume 4: Painting of the Price Collection.*

36. Permit requested for: **ivory knobs** (probably Asian elephant ivory) measuring 1 ¼ in. (3 cm) x diameter 1 in. (2.5 cm) attached to the following artwork:
   Artwork: Hanging scroll; color on silk
   Artist: Isoda Koryūsai (Japan, active 1760s-1780s)
   Artwork title: *Beauty in Snow*
   Artwork size: Image: 33 3/4 x 12 1/4 in. (85.7 x 31.2 cm)
   Legal owner: Etsuko and Joe Price
   LACMA ID #: L.83.50.194; Price ID#: 436.89.CH.Z

   This work in the Price Collection was published by the Tokyo National Research Institute of Cultural Properties, an official bureau of the Japanese government, demonstrating international recognition of the ownership of the Price family.

   *Catalogue of Japanese Art in Foreign Collections, Volume 4: Painting of the Price Collection.*
37. Permit requested for: ivory knobs (probably Asian elephant ivory) measuring 1 ¼ in. (3 cm) x diameter 1 ¼ in. (3 cm) attached to the following artwork:
   Artwork: Hanging scroll; ink and color on paper
   Artist: Tsubaki Chinzan (Japan, 1801-1854)
   Artwork title: Carp
   Artwork size: Image: 21 5/8 x 27 7/16 in. (55.0 x 69.6 cm)
   Legal owner: Etsuko and Joe Price
   LACMA ID #: L.83.50.113; Price ID#: 501.65.ND.X

Purchased by Joe Price in 1965 according to Price Collection inventory dated 1979. (See attached documentation).

The inclusion of the scroll in the following publication also document that it was owned by the Price family and in the U.S. by 1973 (see catalogue photocopy enclosed):

This work in the Price Collection was published by the Tokyo National Research Institute of Cultural Properties, an official bureau of the Japanese government, demonstrating international recognition of the ownership of the Price family.

38. Permit requested for: ivory knobs (probably Asian elephant ivory) measuring 1 in. (2.7 cm) x diameter 1 in. (2.7 cm) attached to the following artwork:
   Artwork: Hanging scroll; color on silk
   Artist: Nakazumi Doun (Japan, active early 20th century)
   Artwork title: Eighty-eight Birds Amidst Pine, Bamboo and Plum Blossoms
   Art work date: 1906
   Artwork size: 85 x 43 in. (216.1 x 108.6 cm)
   Legal owner: Etsuko and Joe Price
   LACMA ID #: L.83.50.183; Price ID#: 505.86.NT.Z

This work in the Price Collection was published by the Tokyo National Research Institute of Cultural Properties, an official bureau of the Japanese government, demonstrating international recognition of the ownership of the Price family.

39. Permit requested for: ivory knobs (probably Asian elephant ivory) measuring approximately 2-3 in. x 1 ½ in. diameter attached to the following artwork:
Artwork: Hanging scroll; ink and color on silk  
Artist: Katayama Yōkoku (Japan, 1762-1803)  
Artwork title: Tiger  
Artwork size: Image: 46 3/8 x 15 1/4 in. (117.9 x 38.7 cm)  
Legal owner: Etsuko and Joe Price  
LACMA ID #: L.83.50.96; Price ID#: 526.69.MI.X  

This work in the Price Collection was published by the Tokyo National Research Institute of Cultural Properties, an official bureau of the Japanese government, demonstrating international recognition of the ownership of the Price family.  
*Catalogue of Japanese Art in Foreign Collections, Volume 4: Painting of the Price Collection.*  

40. Permit requested for: ivory knobs (probably Asian elephant ivory) measuring 1 in. (2.5 cm) x diameter 1 ¼ in. (3 cm) attached to the following artwork:  
Artwork: Hanging scroll; color on silk  
Artist: Masaki Koun (Japan, 18th century)  
Artwork title: Peaches  
Artwork size: Overall mount length: 79 3/4 in. (202.6 cm)  
Legal owner: Etsuko and Joe Price  
LACMA ID #: L.83.50.179; Price ID#: 530.85.KD.Z

This work in the Price Collection was published by the Tokyo National Research Institute of Cultural Properties, an official bureau of the Japanese government, demonstrating international recognition of the ownership of the Price family.  
*Catalogue of Japanese Art in Foreign Collections, Volume 4: Painting of the Price Collection.*  

41. Permit requested for: ivory knobs (probably Asian elephant ivory) measuring 1 in. (2.5 cm) x diameter 1 in. (2.5 cm) attached to the following artwork:  
Artwork: Hanging scroll; color on silk  
Artist: Kawanabe Gyōsai (Japan, 1831-1889)  
Artwork title: The King of Hell and the Courtesan Jigoku Tayu  
Artwork size: Image: 46 1/4 x 20 7/16 in. (117.5 x 51.8 cm)  
Legal owner: Etsuko and Joe Price  
LACMA ID #: L.83.50.129; Price ID#: 553.73.JS.X

This work in the Price Collection was published by the Tokyo National Research Institute of Cultural Properties, an official bureau of the Japanese government, demonstrating international recognition of the ownership of the Price family.  
*Catalogue of Japanese Art in Foreign Collections, Volume 4: Painting of the Price Collection.*  
42. Permit requested for: ivory knobs (probably Asian elephant ivory) measuring 1 ¼ in. (3 cm) x diameter 1 1/4 in. (3 cm) attached to the following artwork:
Artwork: Hanging scroll; ink on paper
Artist: Itō Jakuchū (Japan, 1716-1800)
Artwork title: Rooster Defending a Hen
Legal owner: Eisuko and Joe Price
LACMA ID #: NA; Price ID#: 000.05.KY.Z

43. Permit requested for: ivory knobs (probably Asian elephant ivory) measuring approximately 2-3 in. x 1 ½ in. diameter attached to the following artwork:
Artwork: Hanging scroll; color on paper
Attributed to Sosetsu (Japan, flourished 17th century)
Artwork title: Poppy Flowers, Thistles, and Chinese Milk Vetches
Artwork size: Image: 47 1/2 x 18 7/8 in. (120.7 x 47.9 cm)
Legal owner: Eisuko and Joe Price
LACMA ID#: L.83.50.109; Price ID#: 230.63.Y.A.X

This work in the Price Collection was published by the Tokyo National Research Institute of Cultural Properties, an official bureau of the Japanese government, demonstrating international recognition of the ownership of the Price family.


44. Permit requested for: ivory knobs (probably Asian elephant ivory) measuring approximately 2-3 in. x 1 ½ in. diameter attached to the following artwork:
Artwork: Hanging scroll; ink on paper
Artist: Suzuki Kiitsu (Japan, 1796-1858)
Artwork title: Candy Seller
Artwork size: Mount: 48 1/2 x 11 1/4 in. (123.19 x 28.58 cm); Image: 19 3/4 x 9 in. (50.17 x 22.86 cm)
Legal owner: Eisuko and Joe Price
LACMA ID#: L.2000.1.8; Price ID#: 283.98.Y.T.Z

45. Permit requested for: ivory knobs (probably Asian elephant ivory) measuring approximately 2-3 in. x 1 ½ in. diameter attached to the following artwork:
Artwork: Hanging scroll, ink on paper
Artist: Watanabe Shikō (Japan, 1683-1755)
Artwork title: Carp Climbing a Waterfall
Artwork size: Mount: 81 1/2 x 24 1/2 in. (207.0 x 62.2 cm)
Legal owner: Eisuko and Joe Price
LACMA ID#: L.98.34.3; Price ID#: 286.98.Y.T.Z

46. Permit requested for: ivory knobs (probably Asian elephant ivory) measuring approximately 2-3 in. x 1 ½ in. diameter attached to the following artwork:
Artwork:
Artist: Nakano Kigyoku (Japan, active 1868-1912)
Artwork title: Iris and Egret
Artwork size: Image: 41 1/2 x 13 3/8 in. (105.41 x 33.97 cm); Mount: 77 x 18 7/8 in. (195.58 x 47.94 cm)
Legal owner: Etsuko and Joe Price
LACMA ID#: L.2001.2.4; Price ID#: 289.00.RH.Z

47. Permit requested for: ivory knobs (probably Asian elephant ivory) measuring approximately 2-3 in. x 1 1/2 in. diameter attached to the following artwork:
Artwork: Hanging scroll; color on silk
Artist: Kameoka Kirei (Japan, 1770-1835)
Artwork title: Pinks
Artwork size: Overall mount: L: 195.6, image? 54.6 x 48.4. Confirm
Legal owner: Etsuko and Joe Price
LACMA ID#: L.83.50.186; Price ID#: 308.92.FB.Z

This work in the Price Collection was published by the Tokyo National Research Institute of Cultural Properties, an official bureau of the Japanese government, demonstrating international recognition of the ownership of the Price family.

48. Permit requested for: ivory knobs (probably Asian elephant ivory) measuring approximately 2-3 in. x 1 1/2 in. diameter attached to the following artwork:
Artwork: Hanging scroll; ink and light color on silk
Artist: Nagasawa Rosetsu (Japan, 1754-1799)
Artwork title: Ghost
Artwork size: Image: 63 5/8 x 15 13/16 in. (161.6 x 40.1 cm)
Legal owner: Etsuko and Joe Price
LACMA ID#: L.83.50.24; Price ID#: 320.68.YD.X

This work in the Price Collection was published by the Tokyo National Research Institute of Cultural Properties, an official bureau of the Japanese government, demonstrating international recognition of the ownership of the Price family.

49. Permit requested for: ivory knobs (probably Asian elephant ivory) measuring approximately 2-3 in. x 1 1/2 in. diameter attached to the following artwork:
Artwork: Hanging scroll; color on silk
Artist: Kishi Ganku (Japan, 1749/56-1838)
Artwork title: Rooster and Peonies
Artwork size: Mount: 83 x 20 1/2 in. (210.82 x 52.07 cm); Image: 47 x 14 1/2 in. (119.38 x 36.83 cm)
Legal owner: Etsuko and Joe Price
LACMA ID#: L.2000.1.19; Price ID#: 349.97.YT.Z

50. Permit requested for: ivory knobs (probably Asian elephant ivory) measuring approximately 2-3 in. x 1 ½ in. diameter attached to the following artwork:
Artwork: Pair of hanging scrolls; ink and color on paper
Artist: Ike Kanryo (Japan, 1753-1830)
Artwork title: Summer and Autumn Landscapes
Artwork size: Each image: 51 3/8 x 20 5/8 in. (130.4 x 52.3 cm)
Legal owner: Etsuko and Joe Price
LACMA ID#: L.83.50.114a,b; Price ID#: 500a.69.ND.X and 500b.69.ND.X

This work in the Price Collection was published by the Tokyo National Research Institute of Cultural Properties, an official bureau of the Japanese government, demonstrating international recognition of the ownership of the Price family.

52. Permit requested for: ivory knobs (probably Asian elephant ivory) measuring approximately 2-3 in. x 1 ½ in. diameter attached to the following artwork:
Artwork: Hanging scroll; color on silk
Artist: Shibata Zeshin (Japan, 1807-1891)
Artwork title: Water-moon Kannon
Artwork size: Overall mount length: 198.1, remeasure
Legal owner: Etsuko and Joe Price
LACMA ID#: L.83.50.166; Price ID#: 570.85.ND.Z

This work in the Price Collection was published by the Tokyo National Research Institute of Cultural Properties, an official bureau of the Japanese government, demonstrating international recognition of the ownership of the Price family.

53. Permit requested for: ivory knobs (probably Asian elephant ivory) measuring approximately 2-3 in. x 1 ½ in. diameter attached to the following artwork:
Artwork: Fan mounted as hanging scroll; ink and lacquer on paper
Artist: Shibata Zeshin (Japan, 1807-1891)
Artwork title: Landscape
Artwork size: Image: 10 7/16 x 9 7/8 in. (26.5 x 25.0 cm)
Legal owner: Etsuko and Joe Price
LACMA ID#: L.83.50.79; Price ID#: 571.66.HT.X
This work in the Price Collection was published by the Tokyo National Research Institute of Cultural Properties, an official bureau of the Japanese government, demonstrating international recognition of the ownership of the Price family. 

*Catalogue of Japanese Art in Foreign Collections, Volume 4: Painting of the Price Collection.*

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28-Sep-18

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210
US Fish and Wildlife Service
Office of Management Authority
4401 N. Fairfax Drive, Room 432
Arlington, VA 22201

September 28, 2018

Dear Biologist,

The following application refers to a specimen believed by the conservators at the Metropolitan Museum of Art to be Hawksbill Sea Turtle (*Eretmochelys imbricata*). The specimen was used in the manufacture of a covered box ca. 12th century and acquired into the collection of the Metropolitan Museum of Art in 1925. The sculpture has been requested by the National Museum of Korea as a loan to their upcoming exhibition, "Goryeo: The Glory of Korea". We request a travelling exhibition CITES permit on behalf of the Metropolitan Museum of Art for the export of the specimen to this exhibition, and for its return to the Metropolitan Museum after the close of the exhibition.

Our application includes the following documentation:

1. Form 3-200-30
   a. Signature page (parts A-D)
   b. Supplemental information (part E)
2. A letter from Christina Hagelskamp, Associate Conservator in the Objects Conservation Department of the Metropolitan Museum of Art, attesting to the species of the specimen and the date of its acquisition, with object fact sheet.
3. A Power of Attorney from the Metropolitan Museum to Masterpiece International
4. A check made out to U.S Fish and Wildlife Service in the amount of $75
5. A pre-paid, self-addressed Fedex envelope for shipment of the permit to Masterpiece International.

Thank you for reviewing this application. Please contact me should you have any questions about our application.

Sincerely,

K W SWENSON

Katherine Swenson
Museum and Exhibition Services
212-825-4815
kswenson@masterpieceintl.com
Department of Interior
U.S. Fish and Wildlife Service
Federal Fish and Wildlife Permit Application Form

Type of Activity
EXPORT/RE-EXPORT/RE-IMPORT OF TRAVELING EXHIBITIONS (AND
REISSUANCE) under the Convention on International Trade In
Endangered Species (CITES) and/or U.S. Endangered Species Act (ESA)

Complete Sections A or B, and C, D, and E of this application. U.S. address may be required in Section C; see instructions for details.
Instructions on how to make your application complete and help avoid unnecessary delays are attached.

Section A: Complete if applying as an individual

<table>
<thead>
<tr>
<th>1.a. Last Name</th>
<th>1.b. First Name</th>
<th>1.c. Middle Name/Initial</th>
<th>1.d. Suffix</th>
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<tr>
<th>2. Date of Birth (mm/dd/yyyy)</th>
<th>3. Telephone Number</th>
<th>3.a. Alternate Telephone Number</th>
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Section B: Complete if applying on behalf of a business, corporation, public agency, Tribe, or institution

<table>
<thead>
<tr>
<th>1.a. Name of business, agency, Tribe, or institution</th>
<th>1.b. Doing business as (DBA)</th>
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<th>3. Description of business, agency, Tribe, or institution</th>
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<td>Art museum</td>
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<tr>
<th>4.a. Principal officer Last name</th>
<th>4.b. Principal officer First Name</th>
<th>4.c. Principal officer Middle name/Initial</th>
<th>4.d. Suffix</th>
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<tbody>
<tr>
<td>Weiss</td>
<td>Daniel</td>
<td>H.</td>
<td></td>
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</table>

<table>
<thead>
<tr>
<th>5. Principal officer title</th>
<th>6. Primary contact name</th>
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<tbody>
<tr>
<td>President and Chief Executive Officer</td>
<td>Caitlin Corrigan</td>
</tr>
</tbody>
</table>

<table>
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<tr>
<th></th>
<th></th>
<th></th>
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</tr>
</thead>
<tbody>
<tr>
<td>212-650-2243</td>
<td>212-879-5500</td>
<td>212-988-2140</td>
<td><a href="mailto:caitlin.corrigan@metmuseum.org">caitlin.corrigan@metmuseum.org</a></td>
</tr>
</tbody>
</table>

Section C: All applicants complete address information

<table>
<thead>
<tr>
<th>1.a. Physical address (Street address, Apartment #, Suite #, or Room #, no P.O. Box)</th>
<th>1.b. City</th>
<th>1.c. State</th>
<th>1.d. Zip code/Postal code</th>
<th>1.e. County/Province</th>
<th>1.f. Country</th>
</tr>
</thead>
<tbody>
<tr>
<td>1000 Fifth Avenue</td>
<td>New York</td>
<td>New York</td>
<td>10028</td>
<td>New York</td>
<td>USA</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>2.a. Mailing address (Include if different than physical address; include name of contact person if applicable)</th>
<th>2.b. City</th>
<th>2.c. State</th>
<th>2.d. Zip code/Postal code</th>
<th>2.e. County/Province</th>
<th>2.f. Country</th>
</tr>
</thead>
</table>

Section D: All applicants MUST complete

1. Attach the non-refundable application processing fee in the form of a check or money order payable to the U.S. FISH AND WILDLIFE SERVICE in the amount identified on pages 2 and 3. Federal, Tribal, State, and local government agencies, and those acting on behalf of such agencies are exempt from the processing fee – attach documentation of fee exempt status as outlined in instructions (50 CFR 13.11(d)).

2. Certification: I hereby certify that I have read and am familiar with the regulations contained in Title 50 Part 13 of the Code of Federal Regulations and the other applicable parts in subchapter B of Chapter I of Title 50, and I certify that the information submitted in this application for a permit is complete and accurate to the best of my knowledge and belief. I understand that any false statement herein may subject me to the criminal penalties of 18 U.S.C. 1001.

Signature of applicant/Principal Officer for permit (No photocopied or stamped signatures) Date of signature (mm/dd/yyyy)

K W SWENSON 09/28/2018
E. Export/Re-export/Reimport of Circuses, Traveling Animal Exhibitions, or Museum Exhibitions (and Reissuance) (CITES/ESA)

Part I. All applicants must complete (pgs. 4-5).
1. Name and address where you wish the permit to be mailed, if different from page 1. If you would like expedited shipping, please enclose a self-addressed, pre-paid, computer-generated, courier service airway bill. If unspecified, all documents will be mailed via regular mail through the U.S. Postal Service.
   Masterpiece International
   Attn: Katherine Swenson
   39 Broadway, Suite 1410
   New York, NY 10006

2. Who should we contact if we have questions about the application (name, phone number, and e-mail)?
   Katherine Swenson
   212-825-4820
   kswenson@masterpieceintl.com

3. Disqualification factor. A conviction, or entry of a plea of guilty or nolo contendere, for a felony violation of the Lacey Act, the Migratory Bird Treaty Act, or the Bald and Golden Eagle Protection Act disqualifies any such person from receiving or exercising the privileges of a permit, unless such disqualification has been expressly waived by the Service Director in response to a written petition. (50 CFR 13.21(c)) Have you or any of the owners of the business, if applying as a business, been convicted, or entered a plea of guilty or nolo contendere, forfeited collateral, or are currently under charges for any violations of the laws mentioned above?
   No

4. Activity for which you are applying:
   Request a CITES/ESA pre-Convention/Bred-in-Captivity Traveling Exhibition Certificate ($75)

5. If requesting a single-use permit, provide the name and address of foreign recipient (if shipping to yourself, include your foreign address):
   Not applicable

6. If requesting reissuance, amendment, or establishment of a Master File, please be aware that partially completed permits can only be issued from a valid Master File in order to ship the requested specimen(s). Considering that partially completed permits are only valid for a 6-month period, please specify the number you are requesting at this time: (Provide an additional $5 per requested permit).
   Not applicable
Part II. Live Animals (pgs. 5-7).
Not applicable

Part III. Non-living Specimens (pgs. 8-10)

1. For EACH non-living specimen, provide the following. If your application covers more than one specimen, be sure to answer questions 19 through 28 for each specimen being addressed in the application.

<table>
<thead>
<tr>
<th>Scientific name (genus, species, and if applicable, subspecies) and Common name</th>
<th>Date of Manufacture</th>
<th>Description of item (published description from a catalog or art book)</th>
<th>Size (in metrics)</th>
<th>Date of acquisition (e.g. bill of sale, US Customs import declaration, etc.)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Hawksbill Sea Turtle (Eretmochelys imbricata)</td>
<td>Ca. 12th century</td>
<td>Lacquer box inlaid with mother of pearl and tortoiseshell over pigment</td>
<td>H. 4.1 cm; L. 10.2 cm; D. 4.4 cm</td>
<td>The specimen was acquired by the Metropolitan in 1925.</td>
</tr>
</tbody>
</table>

19. If you are the breeder of the animal from which the specimen was obtained, provide a statement that the animal was bred and born/hatched at your facility. This statement must include:
   a. Birth/hatch date, and if applicable band/tag number, and sex of each specimen;
   b. Name and address of your facility where the animal was bred and born;
   c. Location of parental stock; and
   d. Your signature and date.
Not applicable

20. If you are NOT the breeder of the animal from which the specimen was obtained, provide copies of documentation showing that you acquired the animal from the breeder or documentation demonstrating the history of transactions (chain of ownership of each animal) and a signed statement from the breeder or breeder's record that includes:
   a. That the animal was bred and born/hatched at his/her facility;
   b. Birth/hatch date, and, if applicable, band/tag number, or other identifiers;
   c. Sex of each specimen;
d. Location (Name, Street address, City, State) of Parental Stock;
   Not applicable

e. Complete name and address of the breeder’s facility.
   Not applicable

21. If the specimen was collected from the wild, provide the following:
   a. Location of where, when, and by whom (name/address) the specimen was removed from the wild;
      Unknown – the specimen dates to ca. 12th century.
   b. Purpose of removal;
      Unknown
   c. Copy of any permits or other documents from the State or local wildlife authorities approving the activities;
      Not applicable
   d. Documentation showing that the specimens were legally acquired by the applicant
      Not applicable
   e. Copies of any applicable State permits or licenses that are required to house, maintain, and breed these specimens (contact your State for information).
      Not applicable

22. If this specimen qualifies as pre-Convention, provide documents, signed statements or other evidence that the wildlife was born or removed from the wild prior to the date CITES applied to it (e.g., bill of sale, ISIS record, breeder’s record).
   The enclosed letter from Christina Hagelskamp, Associate Conservator in the Objects Conservation Department of the Metropolitan Museum of Art, attests that the specimen referred to in this application was acquired by the Metropolitan in 1925, before Eretmochelys spp. was first CITES listed.

23. For specimens protected by the U.S. Endangered Species Act (ESA): Is the specimen is pre-Act (acquired or held in a controlled environment on or before (a) December 28, 1973 or the date when the species was listed, and (b) has not entered into commerce (e.g., been bought, sold, or offered for sale by you or anyone else) since December 28, 1973, or the date when listed)?
   a. If yes, provide evidence that meets the above criteria.
      The specimen referred to in this application was acquired by the Metropolitan in 1925, before December 28, 1973; the date that the Endangered Species Act applied to Eretmochelys spp. The enclosed letter from Christina Hagelskamp, Associate Conservator in the Objects Conservation Department of the Metropolitan Museum of Art, attests that the object was acquired into the Metropolitan’s collection in 1925 and has not entered into commerce since December 28, 1973.

24. If your activity includes public presentations, please provide the following (as an attachment):
   The specimen has been requested by the National Museum of Korea as a loan to their upcoming exhibition, “Goryeo: The Glory of Korea”. The exhibition dates are December 4, 2018 – March 3, 2019.
   a. In what type of presentation are you proposing to use the specimen (e.g., live performance, movie, TV)?
b. Provide a copy of the actual script or material that will be presented to the audience at each performance, show, or viewing of the specimen(s). This material must be original in nature (e.g., photocopies from a reference book are not appropriate) and must be the actual material that will be presented each time the animal is viewed by the target audience.
Not applicable

c. Will fact sheets, brochures, or posters be used? Is the written material available free-of-charge?
Not applicable

d. When will the material be presented? If the material will be presented orally, when will this presentation be given? What activities will be occurring at the same time the presentation of the message is being provided and could the activity diminish the effectiveness of the presentation? If the material will be presented in a written form, will an oral announcement be made regarding the availability of this material? If the material is in poster form, will the posters be placed so that the material will be accessible by the public?
Not applicable

e. When exhibiting in countries where English is not the primary language, explain how the conservation education information will be presented to the non-English speaking audience.
Not applicable

25. Current location of specimen(s):
The Metropolitan Museum of Art
U.S. Fish & Wildlife Service
Office of Management Authority
4401 N. Fairfax Drive, Room 432
Arlington, VA 22201

August 30, 2018

To whom it may concern,

The object described on the following pages is being lent to the National Museum of Korea for inclusion in their exhibition Goryeo: The Glory of Korea, which will take place from December 4, 2018 to March 3, 2019.

This letter attests that the item listed on the following page contains Hawksbill turtle (Eretmochelys imbricata).

The lacquered container (25.215.41a, b), dating from the twelfth century CE, is decorated with minute sections of a translucent, pale-amber colored material, intensified with a pigmented substrate containing of vermillion (red) and orpiment (yellow). Scientific analysis using Raman Spectroscopy, executed in May 2018, determined the material to be proteinaceous. Under long-wave ultra-violet light, the material displays a strong, pale blue fluorescence, typical for keratinaceous materials. Under magnification, the surface shows areas with a characteristic pattern, comparable to the effect deterioration processes have on the surfaces of worked tortoise shell. The absence of natural pigmentation in the material suggests the use of the plastron plates (belly) of the Hawksbill turtle, commonly referred to as ‘blond tortoiseshell.’

According to museum records, the object has not been repaired or modified with any parts of endangered species on or after December 28, 1973.

To the best of my knowledge and belief, the tortoiseshell incorporated in these objects is over 100 years of age.

This will certify that the item listed was acquired by the Metropolitan Museum via purchase in 1925 and has not entered into commerce since.

Sincerely,

Christina Hagelskamp, Associate Conservator, Objects Conservation
25.215.41a, b
Friday, September 14, 2018

Photograph and Digital Image © The Metropolitan Museum of Art. Not for reproduction or publication.

**Department:** Asian Art  
**Object Name:** Covered box  
**Title:** Trefoil-shaped covered box with decoration of chrysanthemums

**Title:** 나전 대모 절 국화 널굴 무늬 꽃 모양 합 고려

**Classification:** Lacquer  
**Date Label:** ca.12th century  
**Culture:** Korea  
**Period:** Goryeo dynasty (918–1392)  
**Medium:** Lacquer inlaid with mother-of-pearl and tortoiseshell over pigment; brass wire  
**Dimensions:** H. 1 5/8 in. (4.1 cm); L. 4 in. (10.2 cm); D. 1 3/4 in. (4.4 cm)

**Credit Line:** Fletcher Fund, 1925
IMPORT/EXPORT CUSTOMS POWER OF ATTORNEY

Department of the Treasury
U.S. Customs Service
14132, C.R.

301 F. 3d. Corporation
68 Broadway, Suite 1100, New York, NY 10006-3503

KNOW ALL MEN BY THESE PRESENTS: That, The Metropolitan Museum of Art
(The "Art Museum") authorizes the undersigned, hereby, to act as its agent in any and all matters relating to the transportation of goods in and out of the United States, under the laws of the United States and the laws of the State of New York.

The undersigned hereby accepts such power of attorney on behalf of The Metropolitan Museum of Art, and hereby accepts all liabilities and responsibilities thereunder.

DATED this day of , 201

The Metropolitan Museum of Art

General Counsel

WITNESS

[Signature]

[Title]

[Name]

[Signature]

[Title]

[Name]

[Signature]

[Title]

[Name]

[Signature]

[Title]

[Name]

[Signature]

[Title]

[Name]

Complete all information with an arrow pointing

Please fax signed copy to: 212-825-7019

file:///C:/Users/kluynes/Desktop/The_Metropolitan.gif
MASTERPIECE INTERNATIONAL, LTD.
39 BROADWAY
NEW YORK, NY 10006

"SEVENTY FIVE DOLLARS ONLY*****

PAY TO THE U.S. FISH AND WILDLIFE SERVICE
ORDER OF 4401 N. FAIRFAX DRIVE, ROOM 212
ARLINGTON VA 22203

TRANS. NO: 00034465

0213093794

28-Sep-18
DATE

62873

***75.00
AMOUNT

TWO SIGNATURES REQUIRED ON AMOUNTS ABOVE $10,000

AUTHORIZED SIGNATURE

6018673101

OCT 03 2018
Division of Management Authority

The Schiele Museum of Natural History and Planetarium, Inc. located in Gastonia, NC and has been serving this community and region since 1961. Twenty-five years ago we became a Sister City with Gotha, Germany. One of our goals has been to exchange exhibits on our town and region with each other. In September 2017, we hosted an exhibit from Gotha at the Schiele Museum, Gotha and the Thuringia Forest. On May 3, 2018 we are opening an exhibit in Gotha, Gastonia and the North Carolina Piedmont. Our exhibit will display objects and artifacts from the museum’s collections. One of the displays is a mannequin dressed as an American Indian in traditional clothing: buckskin shirt, leggings, necklace and moccasin’s with a variety of tools: bows, arrows, quiver, headdress, and buckskin pouches. All the items are replicas and do not contain any parts of endangered or protected animals. In consultation with our shipping and customs broker, we were not told we would need a CITES permit for the American Black Bear skin used in some of the materials: Black bear skin on the quiver and ties for the leggings; two bear claws on a buckskin pouch, and teeth on a necklace. These items were donated to the museum by a nationally known primitive skills educator and artifact replicator specialist. He had purchased an old bear skin rug years ago and used to make the materials for the mannequin.

It is now the 20th of March and we are packing the materials on March 24. The shipment needs to be in Gotha, Germany by April 10 or 11. As you can see we are deeply concerned about the timing. We did not know that we needed the CITES permit and are now in an emergency situation.

V. Ann Tippitt

3/20/18
**Department of Interior**
**U.S. Fish and Wildlife Service**

**Federal Fish and Wildlife Permit Application Form**

**Type of Activity**

Export/Re-export/Re-import of Traveling Exhibitions (and Reissuance) (CITES/ESA)

Complete Sections A or B, and C, D, and E of this application. U.S. address may be required in Section C, see instructions for details. You may find instructions on how to make your application complete and help avoid unnecessary delays at the following link:

Section A: Complete if applying as an Individual

<table>
<thead>
<tr>
<th>1.a. Last Name</th>
<th>1.b. First Name</th>
<th>1.c. Middle Name/Initial</th>
<th>1.d. Suffix</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>2. Date of Birth</th>
<th>3. Telephone Number</th>
<th>3.a. Alternate Telephone Number</th>
<th>4. E-mail address</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</tr>
</tbody>
</table>

Section B: Complete if applying on behalf of a business, corporation, public agency, Tribe, or Institution

<table>
<thead>
<tr>
<th>1.a. Name of business, agency, Tribe, or institution</th>
<th>1.b. Doing business as (DBA)</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Schiele Museum Inc.</td>
<td>The Schiele Museum of Natural History</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>2. Tax Identification no.</th>
<th>3. Description of business, agency, Tribe, or Institution</th>
</tr>
</thead>
<tbody>
<tr>
<td>560-0770432</td>
<td>Museum</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>4.a. Principal officer Last name</th>
<th>4.b. Principal officer First Name</th>
<th>4.c. Principal officer Middle name/Initial</th>
<th>4.d. Suffix</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tippitt</td>
<td>Verma</td>
<td>Ann</td>
<td>Dr</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
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<th></th>
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<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>President</td>
<td>Leigh Ann Calvert</td>
<td>(704)866-6901</td>
<td>(704)866-6902</td>
<td></td>
<td><a href="mailto:ann@cityofgaston.com">ann@cityofgaston.com</a></td>
</tr>
</tbody>
</table>

Section C: All applicants complete address information

<table>
<thead>
<tr>
<th>1.a. Physical address (Street address, Apartment #, Box # or Room #, no P.O. Box)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1500 E Garrison Blvd</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>1.b. City</th>
<th>1.c. State</th>
<th>1.d. Zip code/Postal code</th>
</tr>
</thead>
<tbody>
<tr>
<td>Gastonia</td>
<td>NC</td>
<td>28054</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>2.a. Mailing address (include if different than physical address, include name of contact person if applicable)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>2.b. City</th>
<th>2.c. State</th>
<th>2.d. Zip code/Postal code</th>
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<table>
<thead>
<tr>
<th>2.e. Country/Province</th>
<th>2.f. Country</th>
</tr>
</thead>
<tbody>
<tr>
<td>Gaston</td>
<td>USA</td>
</tr>
</tbody>
</table>

Section D: All applicants MUST complete

1. Attach check or money order payable to the U.S. FISH AND WILDLIFE SERVICE in the amount identified on page 2, nonrefundable processing fee. Federal, Tribal, State, and local government agencies, and those acting on behalf of such agencies, are exempt from the processing fee – attach documentation of fee exempt status as outlined in instructions. (50 CFR 13.11(d))

2. Certification: I hereby certify that I have read and am familiar with the regulations contained in Title 50 Part 13 of the Code of Federal Regulations and the other applicable parts in subchapter B of Chapter 1 of Title 56, and I certify that the information submitted in this application for a permit is complete and accurate to the best of my knowledge and belief. I understand that any false statement herein may subject me to the criminal penalties of 16 U.S.C. 1001.

Signature of applicant/Principal Officer for permit (No photocopied or stamped signatures) Date of signature (mm/dd/yyyy)

Please continue to next page

Rev: 8/2017
E. EXPORT/RE-EXPORT/REIMPORT OF CIRCUSES, TRAVELING ANIMAL EXHIBITIONS, OR MUSEUM EXHIBITIONS (AND REISSUANCE) (CITES/ESA)

PURPOSE

This application covers a wide range of CITES and/or ESA-listed animals, whether live or dead. To determine whether the species is regulated under CITES, when the species was listed, and whether exemptions apply to your requested activity and would then not require a CITES permit. To determine whether the species is regulated under the ESA, when the species was listed, and whether exemptions apply to your requested activity and would not need ESA authorization, see. A Traveling Exhibition Certificate (Resolution Conf. 12.3 (Rev. CoP13)) applies only to an animal or non-living specimens that qualify as pre-Convention¹ or Bred in Captivity² as defined in Resolution Conf. 10.16 (Rev.). A CITES certificate may be issued up to 3 years for a single animal or a group of (non-living) specimens. For animals or non-living specimens that do not qualify for a Traveling Exhibition Certificate, a Master File can be established that is valid for up to three years for one or more animals or specimens. A Master File would authorize a number of (re-)exports and/or imports over a three-year period, but you would still be required to obtain CITES re-export documents for the re-exporting country before returning to the United States. Once a Master File is approved, you must obtain single-use permits, valid for 6 months or until the expiration of the Master File, whichever is sooner, for each export/re-export or import (50 CFR 13.11).

Use this application form for exports/re-exports and re-import for:
Temporary travel (export and re-import) to exhibit animals, museum exhibitions, or other traveling exhibitions where specimens do not change ownership (e.g., not being bought or sold while outside the United States).

This form should NOT be used for:
- Transferring ownership or offer specimens for sale outside the United States, submit form 3-200-23 (pre-Convention specimens) or 3-200-37 (ESA/CITES specimens)
- Traveling with musical instruments, submit form 3-200-88 (Musical Instrument Certificate)
- Activities involving live marine mammals, use form 3-200-53 (Export/Re-Export of Live Captive Held Marine Mammals (CITES))

All forms are located on our website.

If you are applying on behalf of a client, provide documentation such as a Power of Attorney authorizing you to act on behalf of the client.

PERMIT TYPES AND PROCESSING FEES

Please review the complete application before beginning.

Single-use Permit: A single-use permit is valid for six months from the date of issuance. For re-issuance or amendment of a single-use permit, the original permit must be returned with this completed application form. You may apply for a single-use permit for multiple animals or non-living specimens that is valid for a single export or re-export. If you are making a single import, please use form 3-200-37.

$100 for export: A one-time export of CITES-listed animals or non-living specimens.

$100 for re-export: A one-time export of animals or non-living specimens that were previously imported under a CITES permit.

¹ Specimen was acquired (removed from the wild or held in captivity or a controlled environment) before the date CITES applied to it (CFR 23.45 b1).
² Specimen was born/hatched from parents mated in captivity in the United States with reliable documentation to that effect. See Appendix I.
Rev. 08/2017
$75 for pre-Convention specimens: A one-time export of animals or non-living specimens that were obtained before the species was listed under CITES. NOTE: No CITES Import permit is required for an Appendix-I specimen that qualifies as pre-Convention.

Master File: This application form allows you set up a Master File, valid for up to 3 years and is renewable, for exports or re-exports of one or more animals or non-living specimens. Once the Master File is approved, it authorizes a number of (re-)exports and/or imports over a three-year period, but you would still be required to obtained CITES re-export documents for the re-exporting country before returning to the United States. You must also obtain partially completed permits, valid for 6 months, for each export/re-export or import (50 CFR 13.11).

$200 to establish a new Master File

$100 to amend an established Master File: Allows you to amend a currently valid Master File. You must complete the relevant sections within the application (3-200-52 may not be used to amend or renew this Master File), providing information on any changes to the quantity, your facility, operations, or species for the animals or non-living specimens that you wish to export.

$100 to reissue, or amend and reissue an established Master File: Allows you to renew your Master File that has or will soon expire. You must complete relevant sections within the application (3-200-52 may not be used to amend or reissue this Master File), including providing information on any changes to the quantity, your facility, operations, or species for the animals or non-living specimens that you wish to export.

AND

$5 each for required partially completed permits to accompany each shipment under a Master File: Once the Master File is approved, you must also obtain partially-completed permits to accompany each export (50 CFR 13.11). The partially-completed permits will be valid for six months and can be requested using this form when establishing or renewing a Master File. For future shipments, additional permits may be requested using FWS Form 3-200-74.

GENERAL INFORMATION

Review this application carefully and provide complete answers to all of the questions in the sections relevant to the activity for which you are requesting authorization. If you are applying for multiple species, be sure to indicate which species you are addressing in each response. If a question is not applicable, answer with "N/A". If more space is needed, attach a separate sheet with your responses numbered according to the questions.

To accommodate the different purposes of this application, please complete the sections that are applicable to your request as laid out below:

Part I. All applicants must complete (pgs. 4-5).
Part II. Live Animals (pgs. 5-7).
Part III. Non-living Specimens (pgs. 8-10).

Electronic submission of inventories, photographs, and receipts: Some applications contain extensive inventories and/or a large number of photographs or receipts. You may provide electronic versions of the documents. Such a submission will assist in expediting the processing of your application since it may reduce data entry by the U.S. Fish and Wildlife Service. If you wish to provide information electronically, please either include a disk containing your information or, once you have received an application number via the e-mailed acknowledgement letter, e-mail your information to Permits@fws.gov. Be sure to include the application number provided in the acknowledgement e-mail that will be sent to you when we receive your application.

I will be submitting documents electronically.

Rev. 08/2017
**PART I.**

**ALL APPLICANTS MUST COMPLETE**

1. Name and address where you wish the permit to be mailed, if different from page 1. If you would like expedited shipping, please enclose a self-addressed, pre-paid, computer-generated, courier service airway bill. If unspecified, all documents will be mailed via regular mail through the U.S. Postal Service.

   *same as page 1*

2. Who should we contact if we have questions about the application (name, phone number, and e-mail)?

   **Leigh Ann Calvert**
   (704) 866-6901  leighann.c@cityofgastonia.com

3. Have you or any of the owners of the business (if applying as a business, corporation, or institution), been assessed a civil penalty or convicted of any criminal provision of any statute or regulation relating to the activity for which the application is filed; been convicted, or entered a plea of guilty or nolo contendere, for a felony violation of the Lacey Act, the Migratory Bird Treaty Act, or the Bald and Golden Eagle Protection Act; forfeited collateral; OR are currently under charges for any violation of the laws mentioned above?

   ✓ No ___ Yes

   If you answered “Yes” to Question 3, provide: a) the individual's name; b) date of charge; c) charge(s); d) location of incident; e) court, and f) action taken for each violation. Please be aware that a “Yes” response does not automatically disqualify you from getting a permit.

4. Activity for which you are applying:

   ✓ Request a CITES/ESA pre-Convention/BRed-in-Captivity Traveling Exhibition Certificate ($100)
   ___ Request for a Traveling Exhibition permit ($75)
   ___ Request for a single-use permit ($75)
   ___ Establish a new Master File ($200)
   ___ Amend an existing Master File; PRT # _____________ ($100)
   ___ Renew an expired/soon to be expired Master File; PRT # _____________ ($100)
   ___ Amend and Renew an expired or soon to be expired Master File; PRT# _____________ ($100)

How many partially completed permits do you anticipate using in the next six months if Master File is approved?  

   **N/A**
5. If requesting a single-use permit, provide the name and address of foreign recipient (if shipping to yourself, include your foreign address):
   Name: Kuntsforum
   Business Name:
   Address: Querstraße
   City: Gotha
   State/Province: Germany
   Country, Postal Code: 99867

6. If requesting renewal, amendment, or establishment of a Master File, please be aware that partially completed permits must be issued off of the Master File in order to ship the requested specimen(s). Considering that partially completed permits are only valid for a 6-month period, please specify the number you are requesting at this time:  
   (Provide an additional $5 per requested permit).

---

PART II
LIVE ANIMALS

7. For EACH animal, provide the following. If your application covers more than one animal, be sure to answer questions 8 through 16 for each animal being addressed in the application.

Live animals [N/A]

<table>
<thead>
<tr>
<th>Scientific name (genus, species, and if applicable, subspecies) and Common name</th>
<th>Gender, if known</th>
<th>Date of Birth (MM/DD/YYYY)</th>
<th>Source (Wild or Born in captivity)</th>
<th>Country of last re-export</th>
<th>Description (e.g., I.D. #, band #, tattoo #, tag #, size, microchip #, house name). If microchip #, provide manufacturer and location of microchip³. (Border officials must be able to verify that the permit and the animal correspond.)</th>
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BORN IN CAPTIVITY

8. If you are the breeder, provide a statement that the animal was bred and born/hatched at your facility. This statement must include:
   a. Birth/hatch date, and if applicable band/tag number, and sex of each specimen;
   b. Name and address of your facility where the animal was bred and born;
   c. Location of parental stock; and
   d. Your signature and date.

---

³The exporter may be asked to have a microchip reader on hand to read the microchip at the time of export.
9. If you are NOT the breeder, provide copies of documentation showing that you acquired the animal from the breeder or documentation demonstrating the history of transactions (chain of ownership of each animal) and a signed statement from the breeder or breeder's record that includes:
   a. That the animal was bred and born/hatched at his/her facility;
   b. Birth/hatch date, and, if applicable, band/flag number, or other identifiers;
   c. Sex of each specimen;
   d. Location (Name, Street address, City, State) of Parental Stock;
   e. Complete name and address of the breeder's facility.

**COLLECTED FROM THE WILD**

10. If the animal was collected from the wild, provide the following:
   a. Location of where, when, and by whom (name/address) the specimen was removed from the wild;
   b. Purpose of removal;
   c. Copy of any permits or other documents from the State or local wildlife authorities approving the activities;
   d. Documentation showing that the specimens were legally acquired by the applicant; and
   e. Copies of any applicable State permits or licenses that are required to house, maintain, and breed these specimens (contact your State for information).

11. If this animal qualifies as pre-Convention, provide documents, signed statements or other evidence that the wildlife was born or removed from the wild prior to the date CITES applied to it (e.g., bill of sale, ISIS record, breeder's record).

12. For animals protected by the U.S. Endangered Species Act (ESA):
   Is the animal pre-Act (acquired or held in a controlled environment on or before (a) December 28, 1973 or the date when the species was listed, and (b) has not entered into commerce (e.g., been bought, sold, or offered for sale by you or anyone else) since December 28, 1973, or the date when listed)?
   a. If yes, provide evidence that meets the above criteria.
   b. If no, you must be able to show that your proposed activity would meet the issuance criteria under ESA. For endangered species, permits can be issued for activities that enhance the survival or propagation of the species or scientific research. For threatened species, permits can be issued for the above reasons, as well as education, zoological display, or other purposes that would meet the purpose of the Endangered Species Act.

   Provide a statement, and documentation to support the statement, on how the activities will enhance or benefit the wild population (in-situ and ex-situ projects). While permits cannot be issued solely for educational or display purposes for endangered species, if your activities include conservation education, provide copies of educational materials (e.g., handouts, text of signage or public presentations). If you are submitting more than one application at this time for a group of animals, you can complete this section on one application and refer any subsequent application to this statement. If you need more explanation on this question, please contact the Division of Management Authority.
13. If your activity includes public presentations, please provide the following:
   a. In what type of presentation are you proposing to use the specimen (e.g., live performance, movie, TV)?
   b. Provide a copy of the actual script or material that will be presented to the audience at each performance, show, or viewing of the specimen(s). This material must be original in nature (e.g., photocopies from a reference book are not appropriate) and must be the actual material that will be presented each time the animal is viewed by the target audience.
   c. Will fact sheets, brochures, or posters be used? Is the written material available free-of-charge?
   d. When will the material be presented? If the material will be presented orally, when will this presentation be given? What activities will be occurring at the same time the presentation of the message is being provided and could the activity diminish the effectiveness of the presentation? If the material will be presented in a written form, will an oral announcement be made regarding the availability of this material? If the material is in poster form, will the posters be placed so that the material will be accessible by the public?
   e. When exhibiting in countries where English is not the primary language, explain how the conservation education information will be presented to the non-English speaking audience.

14. If the animal a non-human primate, provide a copy of your current Centers for Disease Control (CDC) registration.

15. For live exhibitions, provide the following on your facilities:
   a. Provide address of the permanent facility where the animal(s) is/are maintained.
      i. Name of Facility
      ii. Address
      iii. City, State, Zip code
   b. A detailed description, including size, construction materials, protection from the elements, and photographs or detailed diagrams clearly depicting the permanent facilities;
   c. Provide the same as above for transportation units used while traveling within the United States and abroad. The transport conditions must comply with 50 CFR Part 13, the CITES Guidelines for Transport of Live Animals, as well as the Animal Welfare Act and, in the case of air transport, with the International Air Transport Association (IATA) (www.iata.org/cargo/live.htm) live animal regulations. Your description must include:
      i. The type, size, and construction of any shipping container; and
      ii. The arrangements for watering or otherwise caring for the wildlife during transport
      iii. Description of the qualifications of the individuals to train and care for the animal, including the number of years' experience with this species or similar species, and names of current caretakers.

16. For live exhibitions, provide a list all mortalities of ESA listed species which occurred at your facility during the past five years, and explain the cause of the mortalities and measures taken to prevent future mortalities if appropriate.

17. Provide copies of any applicable permits, licenses and registrations (State Fish and Game, U.S. Department of Agriculture Animal Welfare Act (AWA), Center for Disease Control and Prevention).

All international shipment(s) must be through a designated port. A list of designated ports (where an inspector is posted) is available. If you wish to use a port not listed, please contact the Office of Law Enforcement for a Designated Port Exemption Permit (form 3-200-2).
PART III NON-LIVING SPECIMENS

18. For EACH non-living specimen, provide the following. If your application covers more than one specimen, be sure to answer questions 19 through 28 for each specimen being addressed in the application.

<table>
<thead>
<tr>
<th>Scientific name (genus, species, and if applicable, subspecies) and Common name</th>
<th>Date of Manufacture</th>
<th>Description of item (published description from a catalog or art book)</th>
<th>Size (in metrics)</th>
<th>Date of acquisition (e.g. bill of sale, US Customs import declaration, transfer document)</th>
</tr>
</thead>
<tbody>
<tr>
<td>American Black Bear</td>
<td></td>
<td>Bear tooth necklace Bear skin quiver Bear claws Bear legging ties</td>
<td></td>
<td>Deed of gift 3/20/18</td>
</tr>
</tbody>
</table>

BORN IN CAPTIVITY

19. If you are the breeder of the animal from which the specimen was obtained, provide a statement that the animal was bred and born/hatched at your facility. This statement must include:

   a. Birth/hatch date, and if applicable band/tag number, and sex of each specimen;
   b. Name and address of your facility where the animal was bred and born;
   c. Location of parental stock; and
   d. Your signature and date.

20. If you are NOT the breeder of the animal from which the specimen was obtained, provide copies of documentation showing that you acquired the animal from the breeder or documentation demonstrating the history of transactions (chain of ownership of each animal) and a signed statement from the breeder or breeder's record that includes:

   a. That the animal was bred and born/hatched at his/her facility;
   b. Birth/hatch date, and, if applicable, band/tag number, or other identifiers;
   c. Sex of each specimen;
   d. Location (Name, Street address, City, State) of Parental Stock;
   e. Complete name and address of the breeder's facility.
COLLECTED FROM THE WILD

21. If the specimen was collected from the wild, provide the following:
   a. Location of where, when, and by whom (name/address) the specimen was removed from the wild;
   b. Purpose of removal;
   c. Copy of any permits or other documents from the State or local wildlife authorities approving the activities;
   d. Documentation showing that the specimens were legally acquired by the applicant; and
   e. Copies of any applicable State permits or licenses that are required to house, maintain, and breed these specimens (contact your State for information).

22. If this specimen qualifies as pre-Convention, provide documents, signed statements or other evidence that the wildlife was born or removed from the wild prior to the date CITES applied to it (e.g., bill of sale, ISIS record, breeder's record).

23. For specimens protected by the U.S. Endangered Species Act (ESA):
   a. If yes, provide evidence that meets the above criteria.
   b. If no, you must be able to show that your proposed activity would meet the issuance criteria under ESA. For endangered species, permits can be issued for activities that enhance the survival or propagation of the species or scientific research. For threatened species, permits can be issued for the above reasons, as well as education, zoological display, or other purposes that would meet the purpose of the Endangered Species Act.

   Provide a statement, and documentation to support the statement, on how the activities will enhance or benefit the wild population (in-situ and ex-situ projects). While permits cannot be issued solely for educational or display purposes for endangered species, if your activities include conservation education, provide copies of educational materials (e.g., handouts, text of signage or public presentations). If you are submitting more than one application at this time for a group of animals, you can complete this section on one application and refer any subsequent application to this statement. If you need more explanation on this question, please contact the Division of Management Authority.
24. If your activity includes public presentations, please provide the following:
   a. In what type of presentation are you proposing to use the specimen (e.g., live performance, movie, TV)?
   b. Provide a copy of the actual script or material that will be presented to the audience at each performance, show, or viewing of the specimen(s). This material must be original in nature (e.g., photocopies from a reference book are not appropriate) and must be the actual material that will be presented each time the animal is viewed by the target audience.
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   e. When exhibiting in countries where English is not the primary language, explain how the conservation education information will be presented to the non-English speaking audience.

25. Current location of specimen(s):
Object List for Gotha Exhibit

Catawba Indian Mannequin

Turkey - *Meleagris gallopavo* : feather headdress

1. **Bear Tooth Necklace**: 6 teeth and 11 clay beads strung on a brain-tanned leather thong; 17"L

1 pair buckskin Pucker toe moccasins: 10"L on bottom; 8"L on top
1 pair buckskin leggings: 22"L x 9"W and 6"W; 24"L x 9"W and 6.25"W

1. **Black Bear skin Quiver** with brain-tanned strap and rawhide lining with brain-tanned collar:
quiver is 25"L x 10"W; strap is 41"L x 1.25"W; collar is 1.5"H

6. **River cane arrows with rhyolite arrowheads, turkey feather fletching, and sinew binding:**
29.5"L; 30.5"L; 30.75"L; 31"L; 31"L; 31.25"L
1. **Buckskin pouch with two bear claws** hanging from buckskin strips: 8"H x 3"W x .75"D

1. **Knife made from rhyolite point attached to sinew-wrapped cedar handle with pine pitch:**
6.24"L x 1"W x .75"D

1. **Knife Sheath made from buckskin with rawhide insert**: 5"H x 2"W x 1"D

1. **Buckskin string (to be wrapped around the mannequin’s wrist)**: 43"L

1. **River cane blowgun**: 65.5"L x 1"W

1. **Bottle gourd with a scalloped edge and brain-tanned loop attached**: 7.5"H x 2.25"W

4. **Blowgun darts: river cane shaft, dogbane, and thistle fletching**: 12.75"L; 13"L; 14.75"L; 15"L

2. **Blowgun darts (short): split and twisted river cane shaft, dogbane, and thistle fletching**: 13.5"L;

14"L

2. **Blowgun darts (long): split and twisted river cane shaft, dogbane, and thistle fletching**: 18"L;

19"L

1. **Pair of leggings made of brain-tanned leather and bear skin**: 24"L and 25"L with ties

1. **Buckskin shirt**: 41"H x 21"L (sleeves) x 19.5"W (between shoulders)

All the string bracelet, shirt, leggings, moccasins, headdress band, small bag, knife sheath are all made with tanned White Tailed Deer skin – *Odocoileus virginanus*

Pack Your Wagon Hands-On Activity

Wood wagon with wood blocks
Object List for Gotha Exhibit

Prehistory Case
1 clay pipe from 31GS55
1 large complicated stamped pottery bowl rim
1 chunky stone
1 hafted stone celt
1 replica cooking pot
1 chipped stone axe from 31WR142
1 celt (82-82C-1R)
1 bow
1 arrow
1 grooved axe
5 ceramics fragments
10 points/lithics
37 points attached to one of the archaeology panels (chronology of stone tools)
1 brown board with 7 ceramics and 21 lithics attached
1 reconstructed pottery piece made from eight fragments with brushed surface treatment

Catawba Case
1 head pipe (2005.19.118)
1 small canoe (87-172)
1 small plain bowl (2014.2.44)
1 Rebecca pitcher (2014.2.39)
1 turtle effigy (97-12)
1 large pot - snake and heads (87-141)
1 small gypsy pot (2005.19.45)
1 medium snake bowl (2014.2.4)
1 large head pot (2017.9)
1 large cross-hatched (incised) pot (2017.10)

Cherokee Case #1
1 large river cane basket (double weave) (96-2)
1 medium river cane basket (single weave) (90-5)
1 river cane quiver (99-34)
1 miniature river cane basket (double weave) (94-35)
1 small wall-hanging river cane basket (94-19)
1 large river cane basket (single weave) (2017.11)

Cherokee Case #2
Blue Clan mask (94-26)
Long Hair Clan mask (94-27)
Paint Clan mask (94-28)
Potato Clan mask (94-29)
Deer Clan mask (94-30)
Wolf Clan mask (94-31)
Object List for Gotha Exhibit

Bird Clan mask (94-32)
1 woven split oak mat with natural dyes (91-3)
1 corn grinding doll (m/f) set on small wooden plate (94-13)

Settler Case
1 slip decorated redware plate - reproduction from Alamance County
(1 slip decorated redware plate - reproduction of a piece by Jacob Weaver in Tryon) [To be shipped separately?]
1 forged fork – reproduction
1 forged spoon – reproduction
1 chip-carved candle box
1 pewter bread plate
1 wrought iron courting candlestick holder
1 wrought iron heart-shaped trivet
1 green and white glazed ink pot
8 beeswax candles
1 schoolgirl sampler (loaned from Thornburgs)
1 white on white ladies’ pocket (loaned from Thornburgs)
1 bark berry basket and walnuts (loaned from Suzanne Simmons)
1 round split oak basket (loaned from Suzanne Simmons)
3 hand carved cake molds (loaned from Suzanne Simmons)
2 turkey tail feather – *Meleagris gallopavo*: quill writing pins (loaned from Suzanne Simmons)
Pressed cakes (loaned from Suzanne Simmons)
1 linen-backed copybook (loaned from Kay Moss)
3 skeins of hand-dyed woolen yarn-cochineal, indigo, and walnut (loaned from Eve King)
3 hand-dyed silk scarves-walnut, indigo, cochineal (loaned from Eve King)

Three (3) insect drawers
Drawer 1 contains 26 pinned specimens.
Drawer 2 contains 35 pinned specimens.
Drawer 3 contains 32 pinned specimens.

**Please do not remove any bracing pins. Leave all bracing pins in place. **

Twelve (12) mineral specimens
60-2.143-90A Kyanite Crystals
MN-137 Purple Apatite
MN-142 Spudomene
MN-154 Gold Ore
MN-167 Garnet Crystals
MN-263 Smoky Quartz Crystals
MN-402 Fluorite Crystals
MN-529 Gneiss
MN-533 Quartz
MN-535 Mica
Object List for Gotha Exhibit

MN-536 Feldspar
NAA-Granite

Opossum taxidermy mount
   Opossum – *Didelphis virginiana*
   mount on a base with a small tree limb

Samples of NC tree types
   5 small sections of different trees of NC

Reptile and Amphibian Models
   Bullfrog – *Lithobates catesbeianus*
   Eastern Spade Foot Toad – *Leptobrachium*
   Spotted Salamander – *Ambystoma maculatum*
   Copper head snake – *Agkistrodon contortrix*
   Eastern King Snake – *Lampropeltis getula*
   Fence Lizard – *Sceloporus undulatus*
   Shell Eastern Box Turtle – *Terrapene Carolina carolina*
   Snapping Turtle – *Chelydra serpentina*
   Black Rat Snake – *Pantherophis Obsoletus*
   Rattlesnake – *Crotalus*
   2 Water Snake – *Nerodia Sipedon*

Backcountry Housewife Mannequin
   1 German style ladies linen cap with tucked band
   1 straw hat with hand-woven tape
   1 linen shift
   3 neckerchiefs (white cotton, light blue linen, rust woolen)
   1 short gown
   1 dark indigo with beige stripe over-petticoat
   1 medium blue cotton stockings
   1 pair leather shoes with hand-woven ties
   1 hoe with hand wrought blade and hand-carved handle
   5 herbs (1 sage, 1 lavender blush, 2 lavender stems, 1 rosemary stem)
   1 white linen apron with hand-woven tape (loaned by Suzanne Simmons)
   1 white brocade with light green satin ribbon stays
   1 grey woolen and black stripe petticoat
   4 thorns (short gown closures)
   2 brass pins for the mannequin
CASH ONLY IF ALL CHECK SECURITY FEATURES LISTED ON BACK INDICATE NO TAILORING OR COPYING

SCHLELE MUSEUM OF NATURAL HISTORY, INC
1500 EAST BANNOCKTON BLVD.
GASTonia, NC 28054

23388

PNM BANK N.A. 840
16-0040

3/20/2018

TO THE ORDER OF US Fish & Wildlife Service

$100.00

One Hundred and 00/100***

Dollars

US Fish & Wildlife Service
1875 Century Blvd. Suite 380
Atlanta, GA 30345

Gotha Exhibit Permits

Voldafer 90 days

Ann Fojutie
# Federal Fish and Wildlife Permit Application Form

**Return to:** Division of Management Authority (DMA)  
U.S. Fish and Wildlife Service  
5275 Leesburg Pike, MS 1A  
Falls Church, VA 22041  
1-800-358-2104 or 703-358-2104

**Type of Activity:**  
☑️ EXPORT/RE-EXPORT OF PLANTS and PLANT PRODUCTS (CITES)  
☐ Amendment or ☐ Re-issue of Permit #

Complete Sections A or B, and C, D, and E of this application. U.S. address may be required in Section C, see instructions for details. See attached instruction pages for information on how to make your application complete and help avoid unnecessary delays.

## A. Complete if applying as an individual

<table>
<thead>
<tr>
<th>1.a. Last name</th>
<th>1.b. First name</th>
<th>1.c. Middle name or initial</th>
<th>1.d. Suffix</th>
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<tr>
<th>2. Date of birth (mm/dd/yyyy)</th>
<th>3. Social Security No.</th>
<th>4. Occupation</th>
<th>5. Affiliation/ Doing business as (see Instructions)</th>
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<tr>
<th>6.a. Telephone number</th>
<th>6.b. Alternate telephone number</th>
<th>6.c. Fax number</th>
<th>6.d. E-mail address</th>
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## B. Complete if applying on behalf of a business, corporation, public agency, Tribe, or institution

<table>
<thead>
<tr>
<th>1.a. Name of business, agency, Tribe, or institution</th>
<th>1.b. Doing business as (dba)</th>
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<tbody>
<tr>
<td>World Chess Hall of Fame</td>
<td>Chess Hall of Fame and Museum</td>
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<tr>
<th>2. Tax identification no</th>
<th>3. Description of business, agency, Tribe, or institution</th>
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<tr>
<td>20895330</td>
<td>Museum non-profit</td>
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<tr>
<th>4.a. Principal officer Last name</th>
<th>4.b. Principal officer First name</th>
<th>4.c. Principal officer Middle name/ initial</th>
<th>4.d. Suffix</th>
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<tbody>
<tr>
<td>Bray</td>
<td>Joy</td>
<td>M</td>
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<tr>
<th>5. Principal officer title</th>
<th>6. Primary contact name</th>
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<tbody>
<tr>
<td>General Manager</td>
<td>Nicole Tessmer</td>
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<tr>
<td>314-243-1541</td>
<td>314-367-9243 x.124</td>
<td>314-367-7501</td>
<td><a href="mailto:nicole.tessmer@worldchesshof.org">nicole.tessmer@worldchesshof.org</a></td>
</tr>
</tbody>
</table>

## C. All applicants complete address information

<table>
<thead>
<tr>
<th>1.a. Physical address (Street address; Apartment #, Suite #, or Room #; no P.O. Boxes)</th>
</tr>
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<tbody>
<tr>
<td>4652 Maryland Ave</td>
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<tbody>
<tr>
<td>St. Louis</td>
<td>MO</td>
<td>63018</td>
<td>United States</td>
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<tr>
<th>2.a. Mailing Address (include if different than physical address; include name of contact person if applicable)</th>
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<thead>
<tr>
<th>2.b. City</th>
<th>2.c. State</th>
<th>2.d. Zip code/Postal code:</th>
<th>2.e. County/Province</th>
<th>2.f. Country</th>
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## D. All applicants MUST complete

1. Attach check or money order payable to the U.S. FISH AND WILDLIFE SERVICE in the amount identified on page 2. Federal, Tribal, State, and local government agencies, and those acting on behalf of such agencies, are exempt from the processing fee – attach documentation of fee exempt status as outlined in instructions. 15 U.S.C 1311(d)

2. Do you currently have or have you ever had any Federal Fish and Wildlife permits?  
   Yes ☐   No ☑ If yes, list the number of the most current permit you have held or that you are applying to renew/re-issue:  

3. Certification: I hereby certify that I have read and am familiar with the regulations contained in **Title 50, Part 13 of the Code of Federal Regulations and the other applicable parts in subchapter B of Chapter I of Title 50**, and I certify that the information submitted in this application for a permit is complete and accurate to the best of my knowledge and belief. I understand that any false statement herein may subject me to the criminal penalties of 18 U.S.C. 1001.  

Signature (in blue ink) of applicant/person responsible for permit (No photocopied or stamped signatures)  
Date of signature (mm/dd/yyyy)

Please continue to next page

3-200-32  
Rev. 02/2014  
Page 1 of 9
E. EXPORT/RE-EXPORT OF PLANTS (CITES)

Use this application form for a single or multiple exports or re-exports of the following plants or plant products that are regulated under CITES: wild, non-commercial artificially propagated specimens, some commercial artificially propagated plant products, plants for a plant society exhibition, re-export of plants under a carnet, or pre-Convention specimens.

Single Use Permit: A single-use permit is valid for 6 months from the date of issuance. For re-issuance or amendment of a single use permit, the original permit must be returned with this completed application form:

$100 for export - A one-time export of CITES-listed plants or plant products.

$100 for re-export - A one-time export of plants or plant products that were previously imported under a CITES permit.

$75 for pre-Convention specimens - A one-time export of plants or plant products that were obtained prior to their listing under CITES and so are considered “pre-Convention.” The CITES listing date can be found in the CITES Species Database at http://www.cites.org/eng/resources/species.html. NOTE: No CITES import permit is required for an Appendix-I specimen that qualifies as pre-Convention.

$50 for personal/household plants - A one-time export of personally-owned, live potted plants or plant products that are not intended for commercial sale.

Master File: This application form allows you set up a Master File, valid for up to 3 years and is renewable, for exports or re-exports of wild, commercial artificially propagated plant parts or products, or pre-Convention specimens. Once the Master File is approved, you must also obtain partially completed permits, valid for 6 months, for each export (50 CFR 13.11).

$200 to establish a new Master File

$100 to re-issue or amend an established Master File – Allows you to renew your Master File that has or will soon expire. You must complete this entire application, including providing information on any changes to your facility, operations, species, or suppliers for the plant specimens that you wish to export.

AND

$5 each for required partially completed permits to accompany each shipment under a Master file - Once the Master File is approved, you must also obtain single-use permits; to accompany each export under the Master File (50 CFR 13.11). The Single-use permits will be valid for 6 months and can be requested using this form when establishing or renewing a Master File. For future shipments, additional permits may be requested using FWS Form 3-200-74; http://www.fws.gov/forms/display.cfm?number=200

This form should NOT be used to request authorization for commercial exports of plants that are artificially propagated in the United States. For such exports, applicants should complete form 3-200-33 (http://www.fws.gov/forms/3-200-33.pdf).

For certain plants, there are exemptions under CITES that do not require CITES permits for some specimens (www.cites.org). If you are not sure whether an exemption applies to your export, contact the Division of Management Authority.

If you are not sure whether a species is regulated under CITES, please refer to the CITES Appendices (www.cites.org/eng/app/appendices.php).

Review this application carefully and provide complete answers to all of the questions. If a question is not applicable, answer with "N/A". If more space is needed, use a separate sheet of paper. On all attachments or separate sheets you submit, indicate the number of the application question that you are addressing. If you are applying for multiple species, be sure to indicate which species you are addressing in each response.
Electronic submission of inventories, photographs, and receipts: Some applications contain long inventories and/or a large number of photographs or receipts. You may provide electronic versions of these documents. Such a submission may assist to expedite the processing of your application since it will eliminate the need for data entry by U.S. Fish and Wildlife Service. You may include a disk containing your information or

☑ check here to be contacted via e-mail to provide an electronic inventory.

Part I.

1. What activity are you requesting to carry out?
   - Export or Re-export
   - Pre-Convention
   - Personal/household plants
   - Other (specify:

2. I would like to:
   - ☐ Request a single-use permit for an export or re-export ($100 fee)
   - ☐ Request a single-use permit for pre-Convention specimens ($75)
   - ☐ Request a single-use permit for personal/household plants ($50)
   - ☑ Establish a new Master File ($200 fee)
   - ☐ Renew and/or Amend an existing Master File; PRT #_________ ($100 fee)

   How many partially completed certificates are you requesting at this time? ___ (fee - $5/certificate)

3. If requesting a single-use permit, provide name and address of recipient (if shipping to yourself, include your foreign address):
   - Name: N/A
   - Address:
   - Address:
   - City:
   - State/Province:
   - County, Postal Code:
4. For EACH plant specimen to be exported, indicate:
   a. Scientific name (genus, species, and if applicable, hybrid, variety, cultivar, or subspecies) and common name; **Dalbergia Stevensonii**
   b. General description, quantity and size of the specimen(s) to be exported/re-exported (e.g., 100 whole plants; 2,000 seeds; 100 kg dried root; 20 cu^3 sawn logs; 5 guitars) *1 trophy made of Silver + rosewood 11 x 11 x 24 in.*
   c. For timber, medicinal, nutritional or other plant products, also provide:
      i. Form of product (e.g., plywood, tablet, capsule, fruit bar);
      ii. Type of packaging (if applicable); *Shipped in cardboard box inside crate made of Kiln dried pine*
      iii. Unit description, including metric weight or volume of specimen(s) and the quantity of plants or plant parts used to produce the unit weight or volume; and
      iv. Product name, if applicable
         E.g., 50 bottles of Hoodia, 30 capsules per bottle, each capsule contains 100 mg of *H. gordonii*; total Hoodia 3,000 mg/bottle
   d. Country where the plant was acquired; and **Guatemala**
   e. Source of the specimen (e.g., removed from the wild or artificially propagated), *removed from the wild*

5. Current location of specimens?

<table>
<thead>
<tr>
<th>Name:</th>
<th>Nicole Tessmer</th>
</tr>
</thead>
<tbody>
<tr>
<td>Business Name:</td>
<td>World Chess Hall of Fame</td>
</tr>
<tr>
<td>Address:</td>
<td>4652 Maryland Ave.</td>
</tr>
<tr>
<td>City:</td>
<td>St. Louis</td>
</tr>
<tr>
<td>State/Province:</td>
<td>MO</td>
</tr>
<tr>
<td>County, Postal Code:</td>
<td>63108</td>
</tr>
</tbody>
</table>

6. Is this shipment a sample collection being exported for temporary exhibition or display purposes and accompanied by a valid ATA carnet?
   ✔ NO □ YES; provide ATA carnet document number ____________________
Part II. In this section, applicants should respond to all questions that are applicable to the requested activity.

7. For plants collected from the wild in the United States, provide the following for each species collected from the wild:
   
a. Number and size class of specimens collected (e.g., 100 juvenile; 50 mature);
   
b. Specific location and date of collection for each specimen;
   
c. Who (name and address) collected the specimens;
   
d. Copies of documents that indicate that the plants were legally collected (e.g., State permits or licenses, landowner's permission). Be sure to correlate each document to the corresponding plant;
   
e. Approximate density (e.g., number of plants per acre) and distribution of the species at the collection site(s);
   
f. Collection methodology (e.g., whether the specimens were removed from an area of few to several patches of plants, percentage of specimens removed; AND
   
g. Estimate the number of plants collected to how many plants remain at the location.

If you purchased the plants/seeds, provide the invoice or other document that shows the name, address and telephone number of the person from whom you purchased the plants and the date of purchase for each specimen (such documentation should trace back to the original collector).

8. For wild-collected Appendix I plants, provide a copy of the CITES import permit issued by the Management Authority of the country to which you plan to export the plant(s) or plant specimen(s).

9. For non-commercial artificially propagated plants, provide receipts showing the name, address and telephone number of the person(s) from whom you purchased the plants and the date(s) of purchase for each specimen or, if not available, a signed statement of how, from whom, and when you acquired the plants.

10. For re-export, provide evidence that the specimen(s) was legally imported:
    a. Copies of validated CITES export or re-export document issued by the appropriate CITES office in the country from which the plant was imported. The copies must be stamped by Customs and Border Protection or USDA's Animal and Plant Health Inspection Service (APHIS); AND
    b. If you were not the original importer, provide a copy of the invoice or other document that shows how you acquired the plant specimen from the original importer. (Be sure to correlate each document to the corresponding plant.)

11. For pre-Convention plants provide documents, signed statement or other evidence that the plant was obtained prior to its CITES listing date CITES (e.g., bill of sale, USDA or foreign phytosanitary certificate).
12. For *Dalbergia nigra* (commonly known as Brazilian rosewood or Bahia rosewood), complete one of the following certification statements:

   a. **Vintage guitar (musical instrument) exporter.** If you are requesting a single-use permit to export a vintage guitar(s), provide an inventory of your pre-Convention stock of guitars made using *Dalbergia nigra*.

      If you are requesting to establish a master file for the export of vintage guitars, you will not need to provide an inventory of all guitars that you intend to export. The master file is typically established for up to 3 years, so it would not be possible to identify guitars that are not currently in your possession. Therefore, if we establish a master file, the master file will not establish a limit on the number that can be exported during the life of the master file. However, you will be restricted to exporting only guitars that were manufactured from pre-Convention *Dalbergia nigra*, harvested prior to June 11, 1992. If this is acceptable, please sign and date the following certification statement:

      I certify that all the guitars to be exported under my master file will have been manufactured from pre-Convention *Dalbergia nigra* wood, harvested prior to June 11, 1992, and will be documented by the guitars' serial numbers or other identification. If requested by the Service, I am willing to report on the number of guitars and their identification numbers that may be exported under my master file when requesting additional partially completed CITES documents under my master file.

      Applicant's signature: ___________________________ Date: __________

   b. **Guitar (musical instrument) manufacturer/exporter/lumber exporter.** Provide a catalog or inventory of your pre-Convention stock of *Dalbergia nigra* wood and/or guitars.

      I certify that all the guitars/guitar pieces/lumber to be re-exported, and identified in my catalog or inventory, are made from my pre-Convention supply of *Dalbergia nigra*, harvested prior to June 11, 1992. I further certify that I will not attempt to export more wood or applying for multiple shipments, I request to export up to ________ guitars/pieces of wood in the next 3 years.

      Applicant's signature: ___________________________ Date: __________

13. **For export of plants by a plant society for exhibition** provide:
   a. A list of the names of the plant society members who would be exporting their plants;
   b. The names and dates of the show(s), countries visited, and the approximate dates of export and re-import of the plants; AND
   c. A signed and dated statement from the current society president similar to:
      "This certifies that the plants, transported to [country where show occurs] through the port of [USDA designated port], under a CITES permit to be issued to [your society's name], are for exhibition at [name of plant show]. None of the plants being exported will be sold, and all of these plants will be returned to the United States through the port of [USDA designated port] at the conclusion of the show."
   d. Provide documentation or a signed statement of how, from whom, and when you acquired the plants.

14. For **commercial shipments**, provide a copy of your current State nursery license and your current U.S. Department of Agriculture (USDA) Protected Plant Permit (formerly known as General Permit).

15. For **living plants**; (a) describe type of shipping container and (b) arrangements for care during shipping:
Part III.

15. Name and address where you wish permit mailed, if different from page 1 (All permits will be mailed via the U.S. Postal Service, unless you identify an alternative means below):
   N/A

16. If you wish the permit to be delivered by means other than USPS regular mail, provide an air bill, pre-paid envelope, or billing information. If you do not have a pre-paid envelope or air bill and wish to pay for a courier service with your credit card, please state check the box below. Please DO NOT include credit card number or other information; you will be contacted for this information.

☐ If a permit is issued, please send it via a courier service to the address on page 1 or question 2. I understand that you will contact me for my credit card information once the application has been processed.

17. Who should we contact if we have questions about the application? (Include name, phone number, and email):
   Nicole Tesmer, Registrar Work Phone: 314-367-9243 x. 124; Cell: 314-243-1541;
   nicole.tessmer@worldchesshof.org

18. Disqualification Factor. A conviction, or entry of a plea of guilty or nolo contendere, for a felony violation of the Lacey Act, the Migratory Bird Treaty Act, or the Bald and Golden Eagle Protection Act disqualifies any such person from receiving or exercising the privileges of a permit, unless such disqualification has been expressly waived by the Service Director in response to a written petition. (50 CFR 13.21(c)) Have you or any of the owners of the business, if applying as a business, been convicted, or entered a plea of guilty or nolo contendere, forfeited collateral, or are currently under charges for any violations of the laws mentioned above?

☐ Yes  ☑ No  If you answered “Yes” provide: a) the individual’s name, b) date of charge, c) charge(s), d) location of incident, e) court, and f) action taken for each violation.
**Department of Homeland Security**  
**U.S. Customs and Border Protection**  
**Entry/Immediate Delivery**

**John M. Brining Co., Inc.**  
202 Congress Street  
Mobile, AL 36603 US

<table>
<thead>
<tr>
<th>CST#</th>
<th>19 GPR</th>
<th>142.5</th>
<th>142.21</th>
<th>142.24</th>
<th>142.26</th>
<th>142.29</th>
<th><strong>ABI Certified</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>472</td>
<td>472</td>
<td>472</td>
<td>472</td>
<td>472</td>
<td>472</td>
<td>472</td>
<td>B96-00772125-0</td>
</tr>
</tbody>
</table>

**Entry Information**  
- **Commodity:** Wood  
- **Quantity:** 63,472 lbs  
- **Value:** $554,751.20

**Cargo Information**  
- **Nature of Goods:** Lumber  
- **Description:** Rosewood Lumber  
- **Identification:** M-CLM-900-006034

**Certification**  
I hereby certify that the goods are authorized for entry under the provisions of the Tariff Act of 1930, as amended, for transportation to the United States by water and for entry in accordance with the provisions of the Tariff Act and the regulations issued thereunder under the laws and treaty agreements of the United States.  
I declare that the statements made on this entry are true and correct to the best of my knowledge and belief.

**Signature:**  
John M. Brining Co.

**Date:** 01/04/2010

**Physical Examination:**  
- **Inspected:** Yes  
- **Inspected by:** [Signature]

**Certificate of Authenticity:**  
- **Certificate Number:** [Number]

**Entry Number:** B96-00772125-0

**Total Page:** 82
EXIMESA
Exportadora Importadora
Mercantil, S.A.
Planta Masagua, Escuintla
Oficinas Teculután, Zumpa.
Tel.: 7994-5115, 7994-5116, FAX: 7934-7238

INVOICE
No. 0532

NIT: 465242-7 Patente 13226 - 67391

GUATEMALA DECEMBER 1st, 2020

KIRDOM HARDWOOD INC.
1410 N. BROADWAY ST. LOUIS, MO.
63102-2303

Escritura: EVERGLADES PORT

<table>
<thead>
<tr>
<th>Cantidad</th>
<th>Descripción</th>
<th>Precio</th>
<th>Importe</th>
</tr>
</thead>
<tbody>
<tr>
<td>5,000.00</td>
<td>BOARD PEST OF ROSEWOOD WOOD (DALVERIA (11.75 MTS) STEVENSCHII).</td>
<td>$</td>
<td>$</td>
</tr>
</tbody>
</table>

ASSI: THIRTY FIVE THOUSAND DOLLARS 00/100
Plant and Plant Product Destination Form

Table:

<table>
<thead>
<tr>
<th>Item</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td></td>
</tr>
</tbody>
</table>

Address:

1610 N. BROADWAY ST., LOUIS, MO. 63102-2302

Name:

NORTHERN HARDWOOD INC.

Address:

1610 R. BROADWAY ST., LOUIS, MO. 63102-2302

Signed:

[Signature]

Date: 12-18-2009
### Plant and Plant Product Import Declaration

#### Section 3 - Compliance with Law and Regulations (C.I.G.R.E. 01)

**5,000.00 Board Feet of Rosewood Lumber**

<table>
<thead>
<tr>
<th>Country</th>
<th>Quantity</th>
<th>Lumber Grade</th>
<th>Lumber Type</th>
<th>Lumber Species</th>
<th>Lumber Quality</th>
</tr>
</thead>
<tbody>
<tr>
<td>ROSEWOOD</td>
<td>5,000.00</td>
<td>AABBB</td>
<td>31.7%</td>
<td>11.7%</td>
<td>0%</td>
</tr>
</tbody>
</table>

**Date:** 12-15-2005

**Certified:**

**Page 2**

**252**
Protected Plant Permit

To engage in the business of importing, exporting, or re-exporting terrestrial plants or plant products that are protected and regulated by 50 CFR 17.12 or 23.23 (Threatened or Endangered Species)

This permit was generated electronically via the ePermits system

<table>
<thead>
<tr>
<th>PERMITTEE NAME</th>
<th>1st Street Inc.</th>
</tr>
</thead>
<tbody>
<tr>
<td>CONTACT:</td>
<td>Mr. William Thomas Hobson</td>
</tr>
<tr>
<td>ADDRESS:</td>
<td>1410 N. Broadway</td>
</tr>
<tr>
<td>Mailing Address:</td>
<td>St. Louis, MO 63102</td>
</tr>
<tr>
<td>PHONE:</td>
<td>(314) 621-2911</td>
</tr>
<tr>
<td>FAX:</td>
<td>(314) 621-2309</td>
</tr>
<tr>
<td>PERMIT NUMBER:</td>
<td>1585-17-00384</td>
</tr>
<tr>
<td>APPLICATION NUMBER:</td>
<td>1621-17-004-014</td>
</tr>
<tr>
<td>DATE ISSUED:</td>
<td>04/14/2017</td>
</tr>
<tr>
<td>EXPIRES:</td>
<td>04/14/2019</td>
</tr>
</tbody>
</table>

SPECIAL INSTRUCTIONS TO INSPECTORS
Free permit conditions below

PERMIT CONDITIONS

A copy of this permit (including all conditions) must accompany all shipments authorized under this permit. Upon arrival in the United States, the articles and shipping containers are subject to inspection by officials of Customs and Border Protection, Agriculture Inspection (CBP) or Plant Protection and Quarantine (PPQ).

Convention on International Trade in Endangered Species (CITES) documentation must be obtained prior to importing, exporting or reexporting Threatened or Endangered Species.

This APHIS-issued import permit only covers compliance with APHIS regulations and requirements. Therefore, this APHIS permit for the commodity to be imported does not reduce or eliminate the permittee's legal duty and responsibility to ensure that the commodity is otherwise in compliance with applicable Federal and State regulatory requirements applicable to the commodity to be imported.

Protected species of timber and timber products are regulated under the Lacey Act (16 U.S.C. 3371 et seq.) as amended in 2008, and importers may be required to submit the Lacey Act Plant and Plant Product Declaration Form (PPQ Form 505) when filing for entry into the United States. To determine if a particular product is subject to these requirements, please consult the current implementation schedule for the enforcement of declaration requirements at http://www.aphis.usda.gov/plant_health/lacey_a_c demanded/ImplementationSchedule.pdf Additional information on the Lacey Act Program is available at: http://www.aphis.usda.gov/plant_health/lacey_act/index.shtml.

1. If you are importing CITES/ESA regulated live plant material for planting, you may also need to complete a PPQ Form 587 to import plants or plant products. Please see the following site for a list of plants and plant parts intended for planting that require a permit:

2. If you are engaging in the business of importing CITES/ESA regulated timber or timber products complete PPQ
Form 621 and PIQ Form 385. Please see the link below for the CITES I, II, III Timber Species Manual for additional information and regulated species:


4. If the shipment is for export or re-export, a copy of the USDA APHIS ePermits-issued Protected Plant Permit must be presented, for the re-exporter to engage in the commercial trade of CITES/ESA listed plants and plant products.

5. If the USFWS-issued CITES Re-export Certificate or Other Certificate requires that the permittee attach a copy of the CITES Export Permit or Certificate issued by the Management Authority in the country of origin, CBP or USDA will verify that the CITES Appendix I, Appendix II, or Appendix III regulated timber or articles were originally legally imported into the U.S.

6. The permittee must provide CBP or USDA with a legible copy of a valid foreign CITES Export Permit or Certificate that was previously endorsed (stamped, released, signed, and dated by a PPQ Plant Health Safeguarding Specialist, PPQ Export Certification Specialist or a CBP Agriculture Specialist) at the CITES-designated port where the shipment was originally imported.

7. In addition to any CITES re-export documents, a Federal Phytosanitary Certificate may also be required for the re-export of CITES Appendix I, II, or III regulated timber or articles and can ONLY be issued at a designated port that is to re-export CITES-regulated logs and lumber and contingent upon compliance with all CITES requirements.

END OF PERMIT CONDITIONS

THIS PERMIT HAS BEEN APPROVED ELECTRONICALLY BY THE FOLLOWING PIQ HEADQUARTER OFFICIAL VIA EPERMITS.

Kathleen Kitchell

DATE

04/14/2017
# Permit to Import Timber or Timber Products

**Regulated by 7 CFR 319.40**

This permit was generated electronically via the ePermits system.

<table>
<thead>
<tr>
<th>Permittee Name</th>
<th>Organization</th>
<th>Permit Number</th>
<th>Application Number</th>
<th>Date Issued</th>
<th>Expires</th>
</tr>
</thead>
<tbody>
<tr>
<td>W. T. Hinton</td>
<td>Hibdon Hardwood, Inc</td>
<td>P40-18-00175</td>
<td>PS85-150313-002</td>
<td>05/21/2015</td>
<td>05/21/2018</td>
</tr>
</tbody>
</table>

## Ports of Entry

Designated Ports Listed in 30 CFR Part 24 12(a), (d), and (e)

Under the conditions specified, this permit authorizes the following:

<table>
<thead>
<tr>
<th>Article(s)</th>
<th>Countries of Origin</th>
<th>Type of Timber</th>
<th>Bark</th>
<th>Before Import Processing</th>
</tr>
</thead>
<tbody>
<tr>
<td>Dalbergia spp.</td>
<td>Various countries</td>
<td>Billets, Carpa, Logs, Lumber</td>
<td>Without Bark</td>
<td>Kiln Dried</td>
</tr>
<tr>
<td>Other, Bulnesia sarmientoi</td>
<td>Various countries</td>
<td>Billets, Carpa, Logs, Lumber</td>
<td>With Bark, more than 15 pieces</td>
<td>Other, Fumigated</td>
</tr>
<tr>
<td>Tropical Hardwood Burrs, Flitches, Logs, and Lumber with and without bark</td>
<td>Various countries</td>
<td>Billets, Carpa, Logs, Lumber</td>
<td>With Bark, more than 15 pieces</td>
<td>Other, Fumigated</td>
</tr>
<tr>
<td>Other, Cedrela odorata</td>
<td>Various countries</td>
<td>Billets, Carpa, Logs, Lumber</td>
<td>With Bark, more than 15 pieces</td>
<td>Other, Fumigated</td>
</tr>
<tr>
<td>Tropical Hardwood Burrs, Flitches, Logs, and Lumber with and without bark</td>
<td>Various countries</td>
<td>Billets, Carpa, Logs, Lumber</td>
<td>With Bark, more than 15 pieces</td>
<td>Other, Fumigated</td>
</tr>
<tr>
<td>Other, Dalbergia calycina</td>
<td>Various countries</td>
<td>Billets, Carpa, Logs, Lumber</td>
<td>With Bark, more than 15 pieces</td>
<td>Other, Fumigated</td>
</tr>
<tr>
<td>Tropical Hardwood Burrs, Flitches, Logs and Lumber with and without bark</td>
<td>Various countries</td>
<td>Billets, Carpa, Logs, Lumber</td>
<td>With Bark, more than 15 pieces</td>
<td>Other, Fumigated</td>
</tr>
<tr>
<td>Other, Dalbergia cuneifolia</td>
<td>Various countries</td>
<td>Billets, Carpa, Logs, Lumber</td>
<td>With Bark, more than 15 pieces</td>
<td>Other, Fumigated</td>
</tr>
<tr>
<td>Tropical Hardwood Burrs, Flitches, Logs and Lumber with and without bark</td>
<td>Various countries</td>
<td>Billets, Carpa, Logs, Lumber</td>
<td>With Bark, more than 15 pieces</td>
<td>Other, Fumigated</td>
</tr>
<tr>
<td>Other, Dalbergia glomerata</td>
<td>Various countries</td>
<td>Billets, Carpa, Logs, Lumber</td>
<td>With Bark, more than 15 pieces</td>
<td>Other, Fumigated</td>
</tr>
<tr>
<td>Tropical Hardwood Burrs, Flitches, Logs and Lumber with and without bark</td>
<td>Various countries</td>
<td>Billets, Carpa, Logs, Lumber</td>
<td>With Bark, more than 15 pieces</td>
<td>Other, Fumigated</td>
</tr>
<tr>
<td>Other, Dalbergia grandiflora</td>
<td>Various countries</td>
<td>Billets, Carpa, Logs, Lumber</td>
<td>With Bark, more than 15 pieces</td>
<td>Other, Fumigated</td>
</tr>
<tr>
<td>Tropical Hardwood Burrs, Flitches, Logs and Lumber with and without bark</td>
<td>Various countries</td>
<td>Billets, Carpa, Logs, Lumber</td>
<td>With Bark, more than 15 pieces</td>
<td>Other, Fumigated</td>
</tr>
<tr>
<td>Country/Region</td>
<td>Other, Dalbergia reusa Tropical Hardwood Burls, Flitches, Logs and Lumber with and without bark</td>
<td>Billats, Cants, Logs, Lumber</td>
<td>With Bark, more than 15 pieces</td>
<td>Other, Fumigated</td>
</tr>
<tr>
<td>----------------</td>
<td>-----------------------------------------------</td>
<td>-----------------------------</td>
<td>-------------------------------</td>
<td>-----------------</td>
</tr>
<tr>
<td>Various Countries</td>
<td>Other, Dalbergia stevensoni Tropical Hardwood Burls, Flitches, Logs and Lumber with and without bark</td>
<td>Billats, Cants, Logs, Lumber</td>
<td>With Bark, more than 15 pieces</td>
<td>Other, Fumigated</td>
</tr>
<tr>
<td>Various Countries</td>
<td>Other, Dalbergia xerocarpos Tropical Hardwood Burls, Flitches, Logs and Lumber with and without bark</td>
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<td>With Bark, more than 15 pieces</td>
<td>Other, Fumigated</td>
</tr>
<tr>
<td>Various Countries</td>
<td>Other, Gnimia sanctum Tropical Hardwood Burls, Flitches, Logs, and Lumber with and without bark</td>
<td>Billats, Cants, Logs, Lumber</td>
<td>With Bark, more than 15 pieces</td>
<td>Other, Fumigated</td>
</tr>
<tr>
<td>Various Countries</td>
<td>Other, Stwietienia humilis (CITES) Tropical Hardwood Burls, Flitches, Logs, and Lumber with and without bark</td>
<td>Billats, Cants, Logs, Lumber</td>
<td>With Bark, more than 15 pieces</td>
<td>Other, Fumigated</td>
</tr>
<tr>
<td>Various Countries</td>
<td>Other, Swietenia mahagoni Tropical Hardwood Burls, Flitches, Logs, and Lumber with and without bark</td>
<td>Billats, Cants, Logs, Lumber</td>
<td>With Bark, more than 15 pieces</td>
<td>Other, Fumigated</td>
</tr>
</tbody>
</table>

**SPECIAL INSTRUCTIONS TO INSPECTORS**

See permit conditions below.

**PERMIT CONDITIONS**

This permit authorizes the importation of the listed articles, under the conditions specified below. A copy of this permit (including all conditions) must accompany all shipments authorized under this permit.

The applicant for a permit for the importation of regulated articles into the United States must designate the person who will be named as the permittee upon the permit issuance. The applicant and the permittee may be the same person or different persons and the submission of this form affirms that the applicant is at least 18 years of age.

The permittee is the legal importer of an article and is responsible for complying with the permit conditions. The permittee must be at least 18 years of age and have and maintain an address in the United States that is specified on the permit and be physically present during normal business hours at that address during any periods when articles are being imported or moved interstate under the permit; or if another legal entity maintains an address or business office in the United States with a designated individual for service of process, and serve as the contact for the purpose of communications associated with the movement of the regulated article for the duration of the permit. The FPPQ Permit Unit must be informed of a change in contact information for the permittee within 10 business days of such change.

Upon arrival in the United States, the articles and shipping container(s) are subject to inspection by officials of Customs and Border Protection, Agriculture Inspection (CBP-AS) and Plant Protection and Quarantine (PPQ).

---

**THIS PERMIT HAS BEEN APPROVED ELECTRONICALLY BY THE FOLLOWING FPPQ HEADQUARTER OFFICIAL VIA EPERMITS**

Karen Brady

---

**DATE**

05/21/2015

**WARNING**: Any alteration, forgery or unpermitted use of this Federal Form is subject to civil penalties of up to $5,000 and/or imprisonment of not more than 5 years, or both (18 U.S.C. §1001).
Any person who violates the Plant Protection Act (PPA) of the United States, individuals or corporations who fail to comply with these conditions and authorizations, or who forge, counterfeit, or deface permits may be criminally or administratively prosecuted and found guilty of a misdemeanor which can result in penalties, a one-year prison term, or both. Additionally, any person violating the PPA may be assessed civil penalties of up to $250,000 per violation or twice the gross gain or gross loss for a violation that results in the person deriving pecuniary gain or a pecuniary loss to another, whichever is greater. In addition, all current permits may be cancelled and future permit applications denied.

All logs, lumber, and other unmanufactured wood products, (with or without bark), are not authorized from areas in Asia that are east of 60 degrees East Longitude and North of the Tropic of Cancer. However, heat treated and/or kiln dried materials are allowed entry with a written permit.

Some species of timber may be subject to regulations under the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES). To determine if a particular species is regulated under Appendix I, II, or III of CITES, please consult the appendices for CITES located at:
http://www.fws.gov/international/DMA_DSA/CITES/timber/timber.htm

This APHIS-issued import permit only covers compliance with APHIS regulations and requirements. Therefore, this APHIS permit for the commodity to be imported does not reduce or eliminate the permittee’s legal duty and responsibility to likewise comply with all other Federal and State regulatory requirements applicable to the commodity to be imported.

Timber and timber products are regulated under the Lacey Act (16 U.S.C. 3371 et seq.) as amended in 2008, and importers may be required to submit the Lacey Act Plant and Plant Product Declaration Form (PPQ Form 305) when filing for entry into the United States. To determine if a particular product is subject to these requirements, please consult the current implementation schedule for the enforcement of declaration requirements at

1. Mahogany (Swietenia macrophylla) tropical hardwood lumber without bark, CITES regulated listed in 50 CFR Part 23.23: (You must also have a valid Protected Plant Permit to Engage in the Business of Importing, Exporting, or Re-Exporting Terrestrial Plants listed in 50 CFR 17.12 or 23.23, PPQ Form 622, issued by the USDA, APHIS, PPQ, Permit Unit): Annex -A-, Annex -D-, and Annex -R-

Bulnesia armstenol, Dalbergia retusa, Dalbergia stevensonii, Gualacum sanctum, and Swietenia humilis tropical hardwood lumber, without bark, CITES regulated listed in 50 CFR Part 23.23: (You must also have a valid Protected Plant Permit to Engage in the Business of Importing, Exporting, or Re-Exporting Terrestrial Plants listed in 50 CFR 17.12 or 23.33, PPQ Form 622, issued by the USDA, APHIS, PPQ, Permit Unit): Annex -A-, Annex -D-, and Annex -T-

Cedrela odorata tropical hardwood lumber without bark, CITES regulated listed in 50 CFR Part 23.23: (You must also have a valid Protected Plant Permit to Engage in the Business of Importing, Exporting, or Re-Exporting Terrestrial Plants listed in 50 CFR 17.12 or 23.23, PPQ Form 622, issued by the USDA, APHIS, PPQ, Permit Unit): Annex -A-, Annex -D-, and Annex -U-

You may obtain a copy of 7CFR 319.40 by downloading them from our website at:

2. ANNEX -A-
GENERAL REQUIREMENTS

In accordance with 319.40-2, documentation accompanying each shipment (an importer document) must identify the commodity, quantity, and origin of the regulated material.

THIS PERMIT HAS BEEN APPROVED ELECTRONICALLY BY THE FOLLOWING PPQ HEADQUARTER OFFICIAL VIA EPERMITS.

Karen Ready
05/21/2013

Statement: Any violation, forgery, or unauthorized use of this Federal Form is subject to civil penalties of up to $250,000 ($1,000,000 for a knowing violation) or imprisonment for a term of not more than 5 years, or both (18 U.S.C. 1001).

Page 3 of 5
In accordance with 319.40-9, all shipments are subject to inspection and may require other actions deemed necessary by Plant Protection and Quarantine as a result of inspection. Notice of arrival may be required at the discretion of the Officer in Charge at the port of first arrival.

The regulated commodity, the container in which it is shipped, or the documents accompanying shipments will adequately describe the shipment in accordance with 319.40-9(c) under this Office in Charge for Plant Protection and Quarantine at the port of first arrival in a timely manner. All permits and consents within 30 days of such changes occurring or 30 days prior to a shipment being authorized under this permit.

3. ANNEX D:
TROPICAL HARDWOOD LOGS AND LUMBER
(GREATER THAN 15 PIECES, NOT DEBARKED)

1. In accordance with 319.40-5(c) must be fumigated in accordance with section 319.40-7(f)(1)(ii) prior to arrival.

2. All pallets and other regulated wood packing materials used in the shipment are subject to inspection and must conform to 7 CFR 319.40-3.

4. ANNEX E:
CITES RESTRICTIONS FOR BUTTERFLY MAHOGANY (SWietenia Macrophylla)

In addition to the requirements of Title 7 CFR 319.40, all imports of logs, lumber, plywood, and veneer of Swietenia macrophylla (Bigleaf Mahogany) must comply with the regulations set forth in Title 50 CFR parts 23 and 24, and Title 7 CFR 355. Those requirements include, but are not limited to, the following:

Shipments of logs, lumber, plywood, or veneer of Swietenia macrophylla, CITES regulated materials may enter only at an approved designated port (Sec 50 CFR part 23 and/or http://www.aphis.usda.gov/ppq/permits/cites for details).

A shipment of logs, lumber, plywood, or veneer of Swietenia macrophylla imported from a country in the Neotropics (Mexico, Central America, South America, and the Caribbean), must be accompanied by an original, valid CITES export permit that was issued by the CITES Management Authority of the exporting country.

A shipment of logs, lumber, plywood, or veneer of Swietenia macrophylla that originated in the Neotropics, but which is being imported into the United States from a country other than the country of origin, must be accompanied by a CITES re-export certificate issued by the CITES Management Authority of the re-exporting country.

Businesses in the United States which import, export, or reexport logs, lumber, plywood, or veneer of Swietenia macrophylla must possess a valid Permittted Plant Permit to Engage in the Business of Importing, Exporting, or Re-Exporting Terrestrial Plants (PPQ Form 6223) issued by the U.S. Department of Agriculture, Animal and Plant Health Inspection Service, Plant Protection and Quarantine Permit Unit.

Shipments of imported, exported, or reexported Swietenia macrophylla must comply with marketing, notification, and/or mail requirements described in 7 CFR 355.20 or 355.21.

CITES import documents must be surrendered at the time of entry into the United States to the Department of Homeland Security, Customs and Border Protection - Agriculture Quarantine Inspection (CBP-AQI).

Importers of logs, lumber, plywood, or veneer of Swietenia macrophylla should also supply additional copies of the CITES document to CBP-AQI. A copy of the CITES export document validated by CBP-AQI will be returned to the importer for his/her records provided the shipment and permits are in compliance with CITES.

THIS PERMIT HAS BEEN APPROVED ELECTRONICALLY BY THE FOLLOWING PPQ HEADQUARTER OFFICIAL VIA EPERMIT

Karen Brady

DATE 08/21/2015

WARNING: Any person, firm, or corporation, principal, or other person, or employee, or agent of any person, who violates any of the provisions of Title 7 CFR 319.40 (TINS 1937) or is subject to a fine of not more than $10,000, or imprisonment of not more than 5 years, or both (18 U.S.C. 101).
All pallets and other regulated wood packing materials used in the shipment are subject to inspection and must conform to 7 CFR 319.40-3.

5. ANNEX T - CITES REGULATED MATERIAL

(1) In accordance with the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) regulations, each shipment must have CITES export permit or certificate from the exporting country and if listed on Appendix I and a CITES import permit from the U.S. Fish and Wildlife Service will be required as well. Additional information should be obtained from the U.S. Fish and Wildlife Service, Office of Management Authority, at Area Code (703) 358-2095. You may also consult the CITES website at: http://www.cites.org/

(2) A valid Protected Plant Permit to Engage in the Business of Importing, Exporting, or Re-Exporting Terrestrial Plants (PPQ Form 622) issued by the U.S. Department of Agriculture, Animal Plant Health Inspection Service, Plant Protection and Quarantine, Permit Unit, is also required.

(3) All pallets and other regulated wood packing materials used in the shipment are subject to inspection and must conform to 7 CFR 319.40-3.

6. ANNEX U - CITES III FOR CEDRELÀ ODORATAI

In addition to the requirements of Title 7 CFR 319.40, importations of logs, lumber, and veneer of Cedrelà odorata must comply with the regulations set forth in Title 50 CFR parts 23 and 24, and Title 7 CFR 355. Those requirements include:

A shipment of Cedrelà odorata imported from Colombia, Peru, or any other country that may list this plant in Appendix III of the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES), must be accompanied by an original CITES export permit issued by the CITES Management Authority of the exporting country.

A shipment of Cedrelà odorata that originated in Colombia or Peru, but which is being imported into the United States from a country other than the country of origin, must be accompanied by a CITES re-export certificate issued by the CITES Management Authority of the re-exporting country.

Each commercially traded shipment of CITES-regulated Cedrelà odorata must be accompanied by a valid Protected Plant Permit to Engage in the Business of Importing, Exporting, or Re-Exporting Terrestrial Plants (PPQ Form 622) issued by the U.S. Department of Agriculture, Animal and Plant Health Inspection Service, Plant Protection and Quarantine (PPQ) Permit Unit.

Regulated articles of Cedrelà odorata, the container in which it is shipped, or the documents accompanying shipments of Cedrelà odorata must adequately describe the shipment in accordance with 7 CFR 355.20 or 355.21.

CITES documents must be surrendered to PPQ at the time of entry.

CITES regulated materials may enter only at an approved designated ports (see 50 CFR part 24 and/or http://www.asphia.usda.gov/ppq/permits/cites/).

Importers must receive a legible copy of the CITES export document validated by PPQ for their records. Therefore, importers should supply PPQ with additional copies of the CITES document for this purpose at the time of import.

All pallets and other regulated wood packing materials used in the shipment are subject to inspection and must conform to 7 CFR 319.40-3.

END OF PERMIT CONDITIONS

THIS PERMIT HAS BEEN APPROVED ELECTRONICALLY BY THE FOLLOWING PPQ HEADQUARTER OFFICIAL VIA EPERMITS

Karen Brady

DATE

09/21/2015

WARNING: Any alteration, forgery or unlawful use of this Federal Permit is subject to civil penalties of up to $20,000 (7 U.S.C. 1774(a)), as well as a fine of not more than $10,000, or imprisonment for not more than 5 years, or both (18 U.S.C. 1521).
<table>
<thead>
<tr>
<th>ITEM</th>
<th>QUANTITY</th>
<th>DESCRIPTION</th>
<th>RATE</th>
<th>AMOUNT</th>
</tr>
</thead>
<tbody>
<tr>
<td>Rosewood, 4/4 Figured Sales Tax</td>
<td>169</td>
<td></td>
<td>6.491%</td>
<td></td>
</tr>
</tbody>
</table>

Total
<table>
<thead>
<tr>
<th>Item</th>
<th>Description</th>
<th>Quantity</th>
<th>Price Each</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Award</td>
<td>Create one 24&quot; &quot;Sinquefield Cup&quot; trophy: silver-plated with rosewood base and collar</td>
<td>10,000.00</td>
<td>10,000.00</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Cost: $15,180.00</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Create one 15&quot; trophy, identical to larger one</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Cost: $9,330.00</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>TOTAL: $24,510.00</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Deposit Requested: $10,000.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>PAID: Thank You!</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Balance: $14,510.00</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Total $10,000.00
Department of the Interior  
U.S. Fish and Wildlife Service  
Federal Fish and Wildlife Permit Application Form

Return to:  U.S. Fish and Wildlife Service  
Division of Management Authority (DMA)  
Branch of Permits, MS: IA  
5275 Leesburg Pike  
Falls Church, VA 22041-3803  
1-800-358-2104 or 703-358-2104  

Type of Activity:  
Export/Re-export/Ra-import of Circuses and Travelling Animal Exhibitions (and Reissuance) (CITES/ESA)  

Complete Sections A or B, and C, D, and E of this application. U.S. address may be required in Section C, see instructions for details.  
See attached instruction pages for information on how to make your application complete and help avoid unnecessary delays.

A. Complete if applying as an individual

<table>
<thead>
<tr>
<th>1a. Last name</th>
<th>1b. First name</th>
<th>1c. Middle name or initial</th>
<th>1d. Suffix</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>2. Date of birth (mm/dd/yyyy)</th>
<th>3. Social Security No</th>
<th>4. Occupation</th>
<th>5. Affiliation/Doing business as (see instructions)</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>6a. Telephone number</th>
<th>6b. Alternate telephone number</th>
<th>6c. Fax number</th>
<th>6d. E-mail address</th>
</tr>
</thead>
</table>

B. Complete if applying on behalf of a business, corporation, public agency, Tribe, or institution

<table>
<thead>
<tr>
<th>1a. Name of business, agency, Tribe or institution</th>
<th>1b. Doing business as (dbia)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Museum Associates</td>
<td>Los Angeles County Museum of Art</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>2. Tax identification no.</th>
<th>3. Description of business, agency, Tribe, or institution</th>
</tr>
</thead>
<tbody>
<tr>
<td>95-226406700</td>
<td>Art Museum - non profit</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>4a. Principal officer Last name</th>
<th>4b. Principal officer First name</th>
<th>4c. Principal officer Middle name/initial</th>
<th>4d. Suffix</th>
</tr>
</thead>
<tbody>
<tr>
<td>Franek</td>
<td>Erika</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

| 5. Principal officer title | 6. Primary contact name | |
|---------------------------|------------------------||
| Registrar | Tina Sullivan, Masterpiece Intl' Atty in Fact |

<table>
<thead>
<tr>
<th>7a. Business telephone number</th>
<th>7b. Alternate telephone number</th>
<th>7c. Business fax number</th>
<th>7d. Business e-mail address</th>
</tr>
</thead>
<tbody>
<tr>
<td>310-643-7990</td>
<td></td>
<td></td>
<td><a href="mailto:tsullivan@masterpieceintl.com">tsullivan@masterpieceintl.com</a></td>
</tr>
</tbody>
</table>

C. All applicants complete address information

<table>
<thead>
<tr>
<th>1a. Physical address (Street address, Apartment #, Suite #, or Room #, no P.O. Boxes)</th>
</tr>
</thead>
<tbody>
<tr>
<td>5805 Wilsheen Blvd.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>1b. City</th>
<th>1c. State</th>
<th>1d. Zip code/Postal code</th>
<th>1e. County/Province</th>
<th>1f. Country</th>
</tr>
</thead>
<tbody>
<tr>
<td>Los Angeles</td>
<td>CA</td>
<td>90036</td>
<td></td>
<td>US</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>2a. Mailing Address (include different than physical address; include name of contact person if applicable)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Masterpiece International Ltd., 615 N. Nash Street, Suite 300, El Segundo, CA, 90025</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>2b. City</th>
<th>2c. State</th>
<th>2d. Zip code/Postal code</th>
<th>2e. County/Province</th>
<th>2f. Country</th>
</tr>
</thead>
</table>

D. All applicants MUST complete

1. Attach check or money order payable to the U.S. FISH AND WILDLIFE SERVICE in the amount identified on page 2. Federal, Tribal, State, and local government agencies, and those acting on behalf of such agencies, are exempt from the processing fee – attach documentation of fee status as outlined in instructions. (50 CFR 13.11(d))

2. Do you currently have or have you ever had any Federal Fish and Wildlife permits?
   Yes [ ] No [ ]

3. Certification: I hereby certify that I have read and am familiar with the regulations contained in Title 50, Part 13 of the Code of Federal Regulations and the other applicable parts of Subchapter B of Chapter 1 of Title 30, and I certify that the information submitted in this application for a permit is complete and accurate to the best of my knowledge and belief. I understand that any false statement herein may subject me to the criminal penalties of 18 U.S.C. 1001.

Signature (in blue ink) of applicant or person responsible for permit (No photocopied or stamped signatures)  

Date of signature (mm/dd/yyyy)

Please continue to next page

Form 3-200-30  
Rev. 02/2014  
Page 1 of 9
E. Export/Re-export/Reimport of Circuses, Traveling Animal Exhibitions, or Museum Exhibitions (and Reissues) (CITES/ESA)

Note 1. This form is only for the purpose of temporary travel (export and re-import) to exhibit animals, museum exhibitions, or other traveling exhibitions where specimens do not change ownership (e.g., not being bought or sold while outside the United States). If you are intending to transfer ownership or offer specimens for sale outside the United States, submit form 3-200-23 (pre-Convention specimens) or 3-200-37 (ESA/CITES specimens). All applications can be found at http://www.fws.gov/international/permits/by-form-number/index.html.

Note 2. If you are traveling with musical instruments, you can use form 3-200-88 (Musical Instrument Certificate).

Note 3. For activities involving marine mammals, use form 3-200-53 (Export/Re-Export of Live Captive Held Marine Mammals (CITES)).

Note 4. If you are applying on behalf of a client, provide documentation to show that you have a Power of Attorney authorizing you to act on behalf of the client.

Note 5. For Re-issuance and Amendments requests: PLEASE RETURN THE ORIGINAL PERMIT.

Note 6. Please review the complete application before beginning. There are three scenarios under which circus and traveling exhibition are permitted.

Scenario 1. Traveling Exhibition Certificate (Resolution Conf. 12.3(Rev. CoP13)). This applies only to an animal or specimens that qualify as pre-Convention or Bred in Captivity as defined in Resolution Conf. 10.16 (Rev.). A CITES certificate may be issued up to 3 years for a single animal or a group of (non-living) specimens. Follow instructions in Part I below, and complete one application per animal or group of specimens moving as one exhibition. If the animal or specimens do not qualify for the traveling-exhibition certificate, follow instructions in Part II. Processing fee: $100 for a species listed on both CITES and ESA; $75 for a species listed on CITES only.

Scenario 2. For animals that do not qualify under Scenario 1, a Master File can be established that is valid for up to three years for one or more animals or specimens. A Master file would authorize a number of (re-)exports and/or imports over a three-year period, but you would still be required to obtained CITES re-export documents for the re-exporting country before returning to the United States. Once a Master File is approved, you must obtain single-use permits, valid for 6 months or until the expiration of the master file, whichever is sooner, for each export/re-export or import (50 CFR 13.11). Processing fees: $200 to establish a Master file; $100 for Master file renewal; $5 single use documents. Follow instructions in Part II.

Scenario 3. For animals that do not qualify under Scenario 1 and you do not need/want to conduct multiple shipments, you may apply for a Single Use Permit for multiple animals that is valid for a single export or re-export. If you are making a single import, please use from 3-200-37. Processing fee: $100. Follow instructions in Part II.

Provide the following information. Complete all questions on the application. Mark questions that are not applicable with "N/A". You may need additional sheets of paper. On all attachments or separate sheets you submit, indicate the application question number you are addressing. Please do not submit video tapes.

Complete either Part I or Part II, as appropriate AND Part III and IV.

---

1 Specimen was acquired (removed from the wild or held in captivity or a controlled environment) before the date CITES applied to it. The listing date can be found http://www.cites.org. CFR 23.45 b1
Part I. Traveling Exhibition Certificate (Scenario 1)

1. Provide the following for the animal or group of specimens (a separate permit application is needed if more than one animal is involved).

<table>
<thead>
<tr>
<th>Scientific name (genus, species, and if applicable, subspecies) and Common name</th>
<th>Gender, if known</th>
<th>Date of Birth or manufacturing (MM/DD/YYYY)</th>
<th>Source (Wild or Born in captivity)</th>
<th>Country of last re-export</th>
<th>Description (e.g., I.D. #, band #, tattoo #, tag #, size, microchip #, house name, distinguishing marks/features). If microchip #, provide manufacturer and location of microchip 2. (Border officials must be able to verify that the permit and the animal correspond.)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Elephantidae Elephant</td>
<td>n/a</td>
<td>circa 13th Century</td>
<td>unknown</td>
<td></td>
<td>cupboard door</td>
</tr>
</tbody>
</table>

2. Current location of specimen(s):

Los Angeles County Museum of Art, 5905 Wilshire Blvd., Los Angeles, CA 90036

Part II. Animals or specimens that do not qualify for a Traveling-exhibition Certificate.

1. Please indicate which you are requesting (check appropriate box):

- [ ] Master File (Scenario 2 - individual CITES documents, valid for up to six months, issued from the Master File)

How many single-use permits do you anticipate using in the next six months if master file is approved?

- Additional CITES documents may be requested via form 3-200-74 (http://www.fws.gov/international/permits/by-form-number/index.html).

- OR

- [ ] Single Use Permit (Scenario 3) valid for a single shipment in a six-month period.

Indicate country and location(s) of exhibition:

- Name:

- Address:

- Address:

- City:

- State/Province:

- Country, Postal Code:

---

2 The exporter may be asked to have a microchip reader on hand to read the microchip at the time of export.
2. Provide the following for each animal or specimen (multiple animals or specimens may appear on a single document).

<table>
<thead>
<tr>
<th>Scientific name (genus, species, and if applicable, subspecies) and Common name</th>
<th>Gender, if known</th>
<th>Date of Birth or Manufacturing (MM/DD/YYYY)</th>
<th>Source (Wild or Born in captivity)</th>
<th>Last Country of last re-export</th>
<th>Description (e.g., I.D. #, band #, tattoo #, tag #, size, microchip #, house name, distinguishing marks/features). If microchip #, provide manufacturer and location of microchip. (Border officials must be able to verify that the permit and the animal correspond.)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Elephantidae Elephant</td>
<td>n/a</td>
<td>Circa 1640</td>
<td>n/a</td>
<td></td>
<td>Box</td>
</tr>
<tr>
<td>Chelonidea Sea Turtle</td>
<td>&quot;</td>
<td>&quot;</td>
<td>&quot;</td>
<td></td>
<td>same piece as above</td>
</tr>
<tr>
<td>Elephantidae Elephant</td>
<td>n/a</td>
<td>Circa 15-30-1550</td>
<td>n/a</td>
<td></td>
<td>Gamesboard</td>
</tr>
</tbody>
</table>

3. Current location of specimens:

5905 Wilshire Blvd. Los Angeles, CA 90036

Part III (All applicants complete). For EACH animal or specimen, provide the following. If your application covers more than one animal or specimen, be sure to answer questions 1 and 2 for each animal or specimen being addressed in the application.

If this animal or specimen qualifies as pre-Convention¹, provide documents, signed statements or other evidence that the wildlife was born or removed from the wild prior to the date CITES applied to it (e.g., bill of sale, ISIS record, breeder's record).

1. Did you acquire the animal or its source born/hatched in captivity? Yes ☐ No ☐ X Unknown

IF YES, provide responses to a and b below:

a. Are you the breeder? If so, please provide a statement that the animal was bred and born/hatched at your facility. This statement must include:
   i. Birth/hatch date, and if applicable band/tag number, and sex of each specimen;
   ii. Name and address of your facility where the animal was bred and born;
   iii. Location of parental stock; and
   iv. Your signature and date.

b. If you are NOT the breeder of the specimen(s), provide copies of documentation showing that you acquired the animal from the breeder or documentation demonstrating the history of transactions (chain of ownership of each animal) and a signed statement from the breeder or breeder's record that includes:
   i. That the animal was bred and born/hatched at his/her facility;
   ii. Birth/hatch date, and, if applicable, band/tag number, or other identifiers;
   iii. Sex of each specimen;
   iv. Location (Name, Street address, City, State) of Parental Stock;
   v. Complete name and address of the breeder's facility.

¹ If a microchip is used to identify the animal, the exporter may be asked to have a microchip reader on hand to read the microchip at the time of export.

3-200-30 Rev. 02/2014 Page 4 of 9
If NO (animal was not born/hatched in captivity), provide:

i. Location of where, when, and by whom (name and address) the specimen was removed from the wild;
ii. Purpose of removal;
iii. Copy of any permits or other documents from the State or local wildlife authorities approving the activities;
iv. Documentation showing that the specimens were legally acquired by the applicant; and
v. Copies of any applicable State permits or licenses that are required to house, maintain, and breed these specimens (contact your State for information).

2. If this animal or animal from which the specimen was obtained is protected by the U.S. Endangered Species Act (ESA): Items are all antiques and acquired by the museum legally in 2002, 2005, & 2007 accordingly

Is the animal or specimen pre-Act (acquired or held in a controlled environment on or before (a) December 28, 1973 or the date when the species was listed, and (b) has not entered into commerce (e.g., been bought, sold, or offered for sale by you or anyone else) since December 28, 1973, or the date when listed)?

a. If yes, provide evidence that the animal meets the above criteria.

b. If no, you must be able to show that your proposed activity would meet the issuance criteria under ESA.

For endangered species, permits can be issued for activities that enhance the survival or propagation of the species or scientific research. For threatened species, permits can be issued for the above reasons, as well as education, zoological display, or other purposes that would meet the purpose of the Endangered Species Act.

Provide a statement, and documentation to support the statement, on how the activities will enhance or benefit the wild population (in-situ and ex-situ projects). While permits cannot be issued solely for educational or display purposes for endangered species, if your activities include conservation education, provide copies of educational materials (e.g., handouts, text of signage or public presentations). If you are submitting more than one application at this time for a group of animals, you can complete this section on one application and refer any subsequent application to this statement. If you need more explanation on this question, please contact the Division of Management Authority.

3. (For all applicants) If your activity includes public presentations, please provide the following:

i. In what type of presentation are you proposing to use the specimen (e.g., live performance, movie, TV)?
ii. Provide a copy of the actual script or material that will be presented to the audience at each performance, show, or viewing of the specimen(s). This material must be original in nature (e.g., photocopies from a reference book are not appropriate) and must be the actual material that will be presented each time the animal is viewed by the target audience. n/a not live animal

iii. Will fact sheets, brochures, or posters be used? Is the written material available free-of-charge? no

iv. When will the material be presented? If the material will be presented orally, when will this presentation be given? What activities will be occurring at the same time the presentation of the message is being provided and could the activity diminish the effectiveness of the presentation? If the material will be presented in a written form, will an oral announcement be made regarding the availability of this material? If the material is in poster form, will the posters be placed so that the material will be accessible by the public?

v. When exhibiting in countries where English is not the primary language, explain how the conservation education information will be presented to the non-English speaking audience. art exhibition not related to conservation

4. Is the animal a live non-human primate? If so, provide a copy of your current Centers for Disease Control (CDC) registration. no
Part IV (all applicants complete). If you are submitting more than one application at this time, you may submit the following information once and refer to it in all subsequent applications.

1. For live exhibitions, provide the following on your facilities:
   a. Provide address of the permanent facility where the animal(s) is/are maintained.
      
      Name: n/a
      Facility Name:
      Address:
      Address:
      City:
      State/Province:
      Country, Postal Code:

   b. A detailed description, including size, construction materials, protection from the elements, and photographs or detailed diagrams clearly depicting the permanent facilities;

   c. Provide the same as above for transportation units used while traveling within the United States and abroad. The transport conditions must comply with 50 CFR Part 13, the CITES Guidelines for Transport of Live Animals, as well as the Animal Welfare Act and, in the case of air transport, with the International Air Transport Association (IATA) (www.iata.org/cargo/live.htm) live animal regulations. Your description must include:
      i. The type, size, and construction of any shipping container; and
      ii. The arrangements for watering or otherwise caring for the wildlife during transport.

   d. Description of the qualifications of the individuals to train and care for the animal, including the number of years' experience with this species or similar species, and names of current caretakers.

2. For live exhibitions, provide a list all mortalities of ESA listed species which occurred at your facility during the past five years, and explain the cause of the mortalities and measures taken to prevent future mortalities if appropriate: n/a

3. Provide copies of any applicable permits, licenses and registrations (State Fish and Game, U.S. Department of Agriculture Animal Welfare Act (AWA), Center for Disease Control and Prevention): n/a

4. All international shipment(s) must be through a designated port. A list of designated ports (where an inspector is posted) is available from http://www.fws.gov/le/designated-ports.html. If you wish to use a port not listed, please contact the Office of Law Enforcement for a Designated Port Exemption Permit (form 3-200-2).

3-200-30 Rev. 02/2014 Page 6 of 9
5. Name and address where you wish permit mailed, if different from page 1 (All permits will be mailed via the U.S. Postal Service, unless you identify an alternative means below):

Masterpiece International Ltd., 615 N. Nash Street, Suite 300, El Segundo, CA 90025
Attn: Tina Sullivan

6. If you wish the permit to be delivered by means other than USPS regular mail, provide an air bill, pre-paid envelope, or billing information. If you do not have a pre-paid envelope or air bill and wish to pay for a courier service with your credit card, please check the box below. Please DO NOT include credit card number or other information; you will be contacted for this information. See attached FedEx waybill for return of CITES.

☐ If a permit is issued, please send it via a courier service to the address on page 1 or question 5. I understand that you will contact me for my credit card information once the application has been processed.

7. Who should we contact if we have questions about the application? (Include name, phone number, and email):

Tina Sullivan, Masterpiece International Ltd., Tel: 310-643-7990 email: tsullivan@masterpieceintl.com

8. Disqualification Factor. A conviction, or entry of a plea of guilty or nolo contendere, for a felony violation of the Lacey Act, the Migratory Bird Treaty Act, or the Bald and Golden Eagle Protection Act disqualifies any such person from receiving or exercising the privileges of a permit, unless such disqualification has been expressly waived by the Service Director in response to a written petition. (50 CFR 13.21(c)). Have you or any of the owners of the business, if applying as a business, been convicted, or entered a plea of guilty or nolo contendere, forfeited collateral, or are currently under charges for any violations of the laws mentioned above?

☐ Yes ☑ No If you answered "Yes" provide: a) the individual's name, b) date of charge, c) charge(s), d) location of incident, e) court, and f) action taken for each violation.
September 18, 2017

U.S. Fish & Wildlife Service
Office of Management Authority
4401 N. Fairfax Drive, Room 432
Arlington, VA 22201

To Whom It May Concern:

To the best of my knowledge and belief, the objects on the attached list have not been repaired or modified with any part of endangered species on or after December 28, 1973 (50 CFR 14.22). It is therefore pre-convention and is exempt under the Endangered Species Act of 1973 (15 U.S.C. 1531-1543). To the best of my knowledge, based on the origins of the objects, it is believed the ivory is of African origin, sourced from Loxodonta Africana, Asia origin, sourced from Elephas maximus and possibly from India, sourced from Elephas maximus indicus.

The foregoing is based on my knowledge and belief, and to that extent is complete, true and correct. I understand that this affidavit is being submitted for the purpose of inducing the federal government to issue an export certificate for the items on the attached list which are protected under the Endangered Species Act of 1973, and regulations promulgated there under, and that any false statements may subject me to the criminal penalties of 18 U.S.C. 1001.

The item attached hereto is part of the exhibition Beauty and Identity: Islamic Art from the Los Angeles County Museum of Art, organized by the Los Angeles County Museum of Art, to be exhibited in Dammam, Saudi Arabia at King Abdulaziz Center for World Culture from March 15, 2018 – March 15, 2020.

If you have any questions you can reach me via telephone: 323-857-6052, via fax: 323-857-6213, or via email at efraney@lacma.org

Sincerely,

[Signature]

John Hix
Senior Conservator and Head, Objects
The Los Angeles County Museum of Art

cc: Tina Sullivan, Masterpiece International
## CITES Checklist

**M.2002.1.31**  
**Unknown**  
**Cupboard Door**  
Second half of 13th century  
Wood, carved ivory, and marquetry  
36 x 10 3/4 x 1 1/2 in. (91.44 x 27.31 x 3.81 cm)

**M.2005.125**  
**Unknown**  
**Box**  
Circa 1640  
Tortoiseshell, mother-of-pearl, wood, ivory and bone inlay  
8 3/4 x 13 x 8 3/4 in. (22.23 x 33.02 x 22.23 cm)

**M.2007.56**  
**Unknown**  
**Fall-Front Cabinet**  
Circa 1650-1670  
Rosewood inlaid with ivory; brass fittings  
15 1/8 x 21 3/4 x 16 in. (38.42 x 55.25 x 40.64 cm)

**M.2007.100**  
**Unknown**  
**Turkish Gamesboard**  
Circa 1530-1550  
Wood inlaid with ebony, ivory, micromosaic and silver  
Closed: 18 x 13 1/2 x 2 1/8 in. (45.72 x 34.29 x 2 1/8 cm);  
Open: 18 1/4 x 26 3/4 x 1 in. (46.36 x 67.95 x 2.54 cm)
CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA

3. Permittee (name and address, country)
   MUSEUM ASSOCIATES
   LOS ANGELES COUNTY MUSEUM OF ART
   5901 WILSHIRE BOULEVARD
   LOS ANGELES, CA 90020
   U.S.A.

4. Consignee (name and address, country)
   CENTRO CULTURAL PALACIO LA MONEDA
   PLAZA DE LA CIUDADANIA 26
   SANTIAGO
   CHILE

5. Special Conditions
   MUST COMPLY WITH ENCLOSED GENERAL PERMIT CONDITIONS.

6. U.S. ENDANGERED SPECIES ACT ANTIQUE (SECTION 16(h)).

For live animals: only valid if the transport conditions comply with the CITES Guidelines for Transport of Live Animals or, in the case of air transport, with IATA Live Animals Regulations.

7B. Common Name and Scientific name (genus and species) of Animal or Plant

<table>
<thead>
<tr>
<th>A. Common Name</th>
<th>Scientific Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>ALL ELEPHANTS</td>
<td>ELEPHANTIDAE</td>
</tr>
</tbody>
</table>

9. Description of Part or Component

<table>
<thead>
<tr>
<th>9. Description of Part or Component</th>
<th>Date of Issue</th>
<th>12b. Breeding Operation No.</th>
<th>12c. Pre-Convention Date of Acquisition</th>
</tr>
</thead>
<tbody>
<tr>
<td>9A. PRE-CONVENTION: CUPBOARD DOOR COMPRISED OF WOOD, CARVED IVORY, AND MARQUETRY; 91 X 27 X 4 cm.; CIRCA 13TH CENTURY.</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

10. Quantity (including units)

<table>
<thead>
<tr>
<th>10. Quantity (including units)</th>
<th>11a. Total Exported/Quota</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>NO</td>
</tr>
</tbody>
</table>

13. Export / Re-export Endorsement

The official who inspects shipment upon exportation / re-exportation must enter the total quantities of specimens being exported / re-exported in this block.

14. Bill of Lading/Air Way-Bill Number

15. This document valid only with inspecting official's ORIGINAL stamp, signature and date in this block.
CUSTOMS POWER OF ATTORNEY
DESIGNATION AS EXPORT FORWARDING AGENT
and
Acknowledgement of Terms and Conditions

Fed ID/IRS# 95-33646700

KNOW ALL MEN BY THESE PRESENTS: That, Museum Associates DBA Los Angeles County Museum of Art doing business as an agent under the laws of the State of CA

Having an office and place of business at 5805 Wilshire Blvd, Los Angeles, CA 90036

hereby constitutes and appoints MASTERPIECE INTERNATIONAL SHIPPING, 580 S. Doheny St, El Segundo, CA 90245

its officers, employees, and/or specifically authorized agents to act for and on its behalf as a true and lawful agent and attorney of the grantor for and in the same, place and stead of said grantor, from the date hereof, in the United States, its territories, possessions, and elsewhere, to do all lawful acts and things in relation to any commercial transaction in connection with the manufacture, sale, transportation, or use of any merchandise he or through the said territory, shipped or consigned to or from said grantor. Perform any act or service which may be required by law or regulation in connection with such merchandise deliverable to said grantor, or to receive any merchandise;

Make endorsements on bills of lading authorizing transfer; make notes or Rewrite documents; and to make, sign, deliver, or perform any act or service required by law or regulation in connection with the manufacture, sale, transportation, or use of any merchandise deliverable to said grantor, or to receive any merchandise; and for all purposes, to do and perform all acts and things as may be necessary or required by law or regulation in connection with the manufacture, sale, transportation, or use of any merchandise deliverable to said grantor, or to receive any merchandise;

Sign and deliver all documents necessary to effectuate the intent of the grantor, including but not limited to, invoices, shipping documents, and any other documents required by law or regulation in connection with the manufacture, sale, transportation, or use of any merchandise deliverable to said grantor, or to receive any merchandise;

Sign and deliver all documents necessary to effectuate the intent of the grantor, including but not limited to, invoices, shipping documents, and any other documents required by law or regulation in connection with the manufacture, sale, transportation, or use of any merchandise deliverable to said grantor, or to receive any merchandise;

Authorize other Customs Brokers duly licensed within the territory to act as grantor's agents to receive, discharge and collect documents, or to perform other acts on the behalf of the grantor within the United States, or its territories and possessions, or to perform other acts on the behalf of the grantor within the United States, or its territories and possessions;

And generally to empower Customs brokers, including employers or employees, to receive, discharge and collect documents, or to perform other acts on the behalf of the grantor within the United States, or its territories and possessions, or to perform other acts on the behalf of the grantor within the United States, or its territories and possessions;

Giving to said agent and attorney full power and authority to do anything whatsoever necessary and expedient to be done in the premises as fully as said grantor could do if personally acting, and hereby authorizing and empowering said agent and attorney to do all such acts, and it is hereby understood that the said agent and attorney shall be fully justified by virtue of these presents;

The power of attorney to remain full force and effect until revoked in writing is duly given to and received by grantor. If the donor of this power of attorney is a partnership, the said power shall in no case have any force in the United States after the expiration of two years from the date of its execution;

Appointees as Forwarding Agent;承担者 to act within the territory of the State of California, and all other territories and possessions of the United States, or its territories and possessions, or to perform other acts on the behalf of the grantor within the United States, or its territories and possessions, to perform other acts on the behalf of the grantor within the United States, or its territories and possessions;

Grantor acknowledges receipt of MASTERPIECE'S Terms and Conditions of Service governing all transactions between the Parties. If the Grantor is a Limited Liability Company, the Signature certifies that the same has fully authorized to execute this power on behalf of the Grantor;

IN WITNESS WHEREOF, the said Museum Associates DBA Los Angeles County Museum of Art

has caused these presents to be sealed and signed. (Signature) Ann Bowland

Chief Financial Officer
(Capacity)

(Date) 9/16/2004

WITNESS, (Seal)
(Seal)

If you are the owner of this power to act, you will sign your name in full. If you are authorized to act by someone else, whose signature appears above, you will sign your own name. You are allowed to act only if you are authorized by law, and only for the purpose set forth in the power of attorney.

*Complete all information with an arrow pointing

Please fax signed copy to: 310-643-7991

274
<table>
<thead>
<tr>
<th>OBJECT</th>
<th>Scientific Name</th>
<th>Common Name</th>
<th>Description</th>
<th>Date of Manufacture</th>
<th>Date of Acquisition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cupboard Door</td>
<td>Elephantidae</td>
<td>Elephant</td>
<td>carved ivory</td>
<td>13th century</td>
<td>2/7/2002</td>
</tr>
<tr>
<td>Box</td>
<td>Elephantidae</td>
<td>Elephant</td>
<td>carved ivory</td>
<td>Cheloniidea</td>
<td>Sea Turtle</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>circa 1640</td>
<td>Carved shell</td>
</tr>
<tr>
<td></td>
<td></td>
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<td></td>
<td></td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Gamesboard</td>
<td>Elephantidae</td>
<td>Elephant</td>
<td>carved ivory</td>
<td>circa 1530-1550</td>
<td>8/1/2007</td>
</tr>
</tbody>
</table>
MASTERPIECE INTERNATIONAL, LTD.
615 N. NASH STREET, SUITE 300
EL SEGUNDO, CA 90245

ONE HUNDRED AND 00 / 00

PAY TO THE ORDER OF
U.S. FISH AND WILDLIFE SERVICE
4401 N. FAIRFAX DRIVE, ROOM 212
ARLINGTON, VA 22203, US

DATE
9/25/2017

AMOUNT
$100.00

TWO SIGNATURES REQUIRED ON AMOUNTS ABOVE $500.00

RCVD SEP 27 2017
January 2, 2018

U.S. Fish & Wildlife Service
Department of Management Authority
Atten: Kathleen Moore
5275 Leesburg Pike
Falls Church, VA 22041-3803

Re: Permit 17US58151c/9

Dear Ms. Moore,

As per our conversation, we need the above referenced permit amended to show the 4th item listed on the affidavit. Note that there were not enough spaces for this on the application and our back up list was mistakenly not included. Please find the updated list of item on the attached spreadsheet as well as a check for the permit fee of $100, and a return FedEx waybill.

We thank you for your assistance with this. Please urgently let us know if you require any further information.

Best Regards,

Tina Sullivan
<table>
<thead>
<tr>
<th>Scientific Name/common Name</th>
<th>Gender</th>
<th>Date of birth</th>
<th>Source</th>
<th>Country of last re-export</th>
<th>Description</th>
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<tbody>
<tr>
<td>Elephantidae/Elephant</td>
<td>n/a</td>
<td>Circa 13th century</td>
<td>unknown</td>
<td>Cupboard Door</td>
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<td>Elephantidae/Elephant</td>
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<td>Circa 1640</td>
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<tr>
<td>Cheloniidea/Sea Turtle</td>
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<tr>
<td>Elephantidae/Elephant</td>
<td>n/a</td>
<td>Circa 1530-1550</td>
<td>unknown</td>
<td>Gamesboard</td>
<td></td>
</tr>
<tr>
<td>Elephantidae/Elephant</td>
<td>n/a</td>
<td>Circa 1650-1670</td>
<td>unknown</td>
<td>Fall front cabinet</td>
<td></td>
</tr>
<tr>
<td>Dalbergia spp/Rosewood</td>
<td>&quot;</td>
<td>&quot;</td>
<td>&quot;</td>
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</tr>
</tbody>
</table>

Note: Missing from original application but an original affidavit.
**Department of the Interior**  
**U.S. Fish and Wildlife Service**  
**Federal Fish and Wildlife Permit Application Form**

**Return to:** U.S. Fish and Wildlife Service  
(Enter address from pages 5 and 6 of application)  
**Type of Activity:**  
**REISSUANCE, RENEWAL, OR AMENDMENT OF A PERMIT**  
(For this application, all permits, registrations, and certificates are referred to as a permit.)

Complete Sections A or B, C, D, and E of this application. U.S. address may be required in Section C, see instructions for details.  
See attached instruction pages for information on how to make your application complete and help avoid unnecessary delays.

### A. Complete if applying as an individual

<table>
<thead>
<tr>
<th>1.a. Last name</th>
<th>1.b. First name</th>
<th>1.c. Middle name or initial</th>
<th>1.d. Suffix</th>
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</thead>
<tbody>
<tr>
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</table>

<table>
<thead>
<tr>
<th>2. Date of birth (mm/dd/yyyy)</th>
<th>3. Social Security No.</th>
<th>4. Occupation</th>
<th>5. Affiliation/ Doing business as (see instructions)</th>
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<tbody>
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<table>
<thead>
<tr>
<th>6.a. Telephone number</th>
<th>6.b. Alternate telephone number</th>
<th>6.c. Fax number</th>
<th>6.d. E-mail address</th>
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</thead>
<tbody>
<tr>
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</tbody>
</table>

### B. Complete if applying on behalf of a business, corporation, public agency, Tribe, or institution

**Museum Associates**  
Los Angeles County Museum of Art

<table>
<thead>
<tr>
<th>2.a. Tax identification no.</th>
<th>3.b. Description of business, agency, Tribe, or institution</th>
</tr>
</thead>
<tbody>
<tr>
<td>95-226406700</td>
<td>Art Museum - non profit</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>4.a. Principal officer Last name</th>
<th>4.b. Principal officer First name</th>
<th>4.c. Principal officer Middle name/ initial</th>
<th>4.d. Suffix</th>
</tr>
</thead>
<tbody>
<tr>
<td>Franek</td>
<td>Erika</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>5. Principal officer title</th>
<th>6. Primary contact name</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registrar</td>
<td>Tina Sullivan, Masterpiece Int’l. Atty in Fact</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>7.a. Business telephone number</th>
<th>7.b. Alternate telephone number</th>
</tr>
</thead>
<tbody>
<tr>
<td>310-843-7990</td>
<td>310-321-1020</td>
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</table>

<table>
<thead>
<tr>
<th>7.c. Business fax number</th>
<th>7.d. Business e-mail address</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td><a href="mailto:tsullivan@masterpieceintl.com">tsullivan@masterpieceintl.com</a></td>
</tr>
</tbody>
</table>

### C. All applicants complete address information

<table>
<thead>
<tr>
<th></th>
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<tbody>
<tr>
<td>Los Angeles</td>
<td>CA</td>
<td>90036</td>
<td></td>
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<tbody>
<tr>
<td>5905 Wilshire Blvd.</td>
<td>El Segundo</td>
<td>CA</td>
<td>90245</td>
<td></td>
<td>US</td>
</tr>
</tbody>
</table>

### D. All applicants MUST complete

1. Attach check or money order payable to the U.S. FISH AND WILDLIFE SERVICE in the amount indicated on pages 6 and 7. Federal, Tribal, State, and local government agencies, and those acting on behalf of such agencies, are exempt from the processing fee – attach documentation of fee exempt status as outlined in instructions. (50 CFR 13.11(d))

2. Do you currently have or have you ever had any Federal Fish and Wildlife permits?  
   Yes [ ] No [X]  
   If yes, list the number of the most current permit you have held or that you are applying to renew/re-issue:  

3. Certification: I hereby certify that I have read and am familiar with the regulations contained in Title 50, Part 13 of the Code of Federal Regulations and the other applicable parts in subchapter B of Chapter I of Title 50, and I certify that the information submitted in this application for a permit is complete and accurate to the best of my knowledge and belief. I understand that any false statement herein may subject me to the criminal penalties of 18 U.S.C. 1001.

   Signature (in blue ink) of applicant/person responsible for permit. (Do not photocopied or stamped signatures)  
   Date of signature (mm/dd/yyyy)
E. REISSUANCE, RENEWAL, OR AMENDMENT OF A PERMIT (For this application, all permits, registrations, and certificates are referred to as a permit.)

NOTE 1: If you are renewing your Designated Port Exemption permit, use form 3-200-2 (http://www.fws.gov/forms/3-200-2.pdf) and submit to appropriate Office of Law Enforcement address. If you are renewing your Import/Export license (required for commercial activities), use form 3-200-3 (http://www.fws.gov/forms/3-200-3.pdf) and submit to appropriate Office of Law Enforcement address.

NOTE 2: This form cannot be used for lost or damaged permit. If you need to replace a lost or damaged permit, please use form 3-200-66, http://www.fws.gov/international/pdf/permit-application-form-3-200-66-replacement-document.pdf. The application must be submitted to the office that issued the initial permit. Lost or damaged permit

NOTE 3: Some activities, such as all master files for multiple shipments, Certificate of Scientific Exchange (COSE), circus/traveling exhibits, and artificially propagated plants, can only be re-issued, renewed, or amended by submitting a new application for permits for those activities. Please refer to http://www.fws.gov/international/permits/by-form-number/index.html to determine if another application form would be more appropriate or contact the Division of Management Authority for more information.

1. **Permit number.** Enter the permit number to be reissued/renewed/amend 17US58151C/9.

2. Submit the original permit with this application. enclosed

3. **Past activities.**
   a. Provide copies of all cleared documents and form 3-177 (FWS declaration of wildlife) associated with this permit.
   b. Provide a summary detailing activities conducted under this permit, as well as a brief statement of why you are seeking reissuance/renewal.

4. **Annual Report.** If required by your permit, provide an annual report as conditioned (Please disregard if you have already submitted your annual report.)

5. **Sport-hunted trophies:** If you did not hunt during the hunting season stated in your original application, you are not eligible for a renewal. Please submit a new application form.
6. **Certification** - Complete one of the statements below and supply any additional documentation requested: (original signature is required)

   a. For **NO CHANGES** to original application:

      I certify that the information submitted in support of my original application for the permit indicated above has not changed and is still currently correct. I hereby request reissuance or renewal of this permit.

      Permitee’s signature: ___________________________ Date: ________________

   b. For **CHANGES** to original application:

      On an attached page(s), provide a complete description of any changes (e.g., change in principal officer, personnel, address, location of activities, types of activities). Please sign each attached page. Also note that we need to request additional information regarding the changes after reviewing your initial request.

      I certify that the information submitted in support of my original application for the permit indicated above is still currently correct EXCEPT for the changes noted on the attached, signed page(s). I hereby request re-issuance or renewal of this permit with the indicated changes.

      Permitee’s signature: ___________________________ Date: 01/01/2015

7. All international shipment(s) must be through a designated port, unless otherwise authorized. A list of designated ports (where an inspector is posted) is available from [http://www.fws.gov/le/designated-ports.html](http://www.fws.gov/le/designated-ports.html). If you wish to use a port not listed, please contact either the Office of Law Enforcement for a Designated Port Exemption Permit (form 3-200-2) or the Division of Management Authority.

8. Name and address where you wish the permit to be mailed, if different from page 1 (All permits will be mailed via the U.S. Postal Service, unless you identify an alternative means below):

   Please return via the enclosed FedEx waybill to Masterpiece International Ltd., 615 N. Nash Street, Suite 300, El Segundo, CA 90245

9. If you wish the permit to be delivered by means other than USPS regular mail, provide an air bill, pre-paid envelope, or billing information. If you do not have a pre-paid envelope or air bill and wish to pay for a courier service with your credit card, please check the box below. Please DO NOT include credit card number or other information; you will be contacted for this information.

   ☐ If a permit is issued, please send it via a courier service to the address on page 1 or question 8. I understand that you will contact me for my credit card information once the application has been processed.
11. Who should we contact if we have questions about the application? (Include name, phone number, and email):
Tina Sullivan, Masterpiece International Ltd. Tel: 310-643-7990 email: tsullivan@masterpieceintl.com

12. Disqualification Factor. A conviction, or entry of a plea of guilty or nolo contendere, for a felony violation of the Lacey Act, the Migratory Bird Treaty Act, or the Bald and Golden Eagle Protection Act disqualifies any such person from receiving or exercising the privileges of a permit, unless such disqualification has been expressly waived by the Service Director in response to a written petition. [50 CFR 13.21(c)]. Have you or any of the owners of the business, if applying as a business, been convicted, or entered a plea of guilty or nolo contendere, forfeited collateral, or are currently under charges for any violations of the laws mentioned above?

☐ Yes ☑ No If you answered “Yes” provide: a) the individual’s name, b) date of charge, c) charge(s), d) location of incident, e) court, and f) action taken for each violation.
CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA

CITISES TRAVELING EXHIBITION CERTIFICATE

3. Permittee (name and address, country)
MUSEUM ASSOCIATES
dba LOS ANGELES COUNTY MUSEUM OF ART
5905 WILSHIRE BLVD
LOS ANGELES, CA 90036
U.S.A.

5. Special Conditions
ALL APPLICABLE FOREIGN, LOCAL, STATE, OR OTHER FEDERAL LAWS, INCLUDING THOSE REQUIRING PERMITS, MUST BE OBSERVED.

U.S. ENDANGERED SPECIES ACT: ANTIQUE [SECTION 18(h)]
CERTIFICATE ISSUED IN ACCORDANCE WITH RESOLUTION CONF. 12.3 (Rev. CIP 17) PERMIT VALID FOR MULTIPLE SHIPMENTS. PERMITTEE TO RETAIN ORIGINAL CERTIFICATE ENDORSEMENTS MUST BE ON CONTINUATION SHEET.

THE ITEM COVERED BY THIS CERTIFICATE PERMITS MULTIPLE CROSS-BORDER MOVEMENTS. ITEM CANNOT BE SOLD OR OTHERWISE TRANSFERRED WHILE OUTSIDE ITS STATE OF USUAL RESIDENCE. THIS CERTIFICATE IS NON-TRANSFERABLE. IF THE CERTIFICATE HOLDER IS NO LONGER IN POSSESSION OF THE SPECIMEN, THIS CERTIFICATE MUST BE IMMEDIATELY RETURNED TO THE U.S. MANAGEMENT AUTHORITY.

PERMITTEE MUST RETURN THE TRAVELING EXHIBIT TO THE U.S. BEFORE THE CERTIFICATE EXPIRES.

For live animals, only valid if the transport conditions comply with the CITES Guidelines for Transport of Live Animals or, in the case of air transport, with IATA Live Animals Regulations.

<table>
<thead>
<tr>
<th>7/8. Common Name and Scientific name (genus and species) of Animal or Plant</th>
<th>9. Description of Part or Derivative, including identifying marks or numbers (age/sex if live)</th>
<th>10. Appendix No. and Source</th>
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</thead>
<tbody>
<tr>
<td>A. Common Name</td>
<td>9. PRE-CONVENTION: CUPBOARD DOOR COMPRISED OF WOOD, CARVED IVORY, AND MARQUETRY; 91cm X 27cm X 4cm; CIRCA 13TH CENTURY.</td>
<td>10. 1 0</td>
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<tr>
<td>Scientific Name</td>
<td>11. Quantity (including units)</td>
<td>11a. Total Exported/Quota</td>
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<tr>
<td>ALL ELEPHANTS</td>
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<tr>
<td>ELEPHANTIDAE</td>
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<tbody>
<tr>
<td>UNKNOWN</td>
<td></td>
<td>CIRCA 1640</td>
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9. PRE-CONVENTION: BOX COMPRISED OF TORTOISE SHELL, MOTHER-OF-PEARL, WOOD, IVORY, AND BONE INLAY; 22cm X 33cm X 22cm; CIRCA 1640.

11a. Total Exported/Quota

<table>
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<th>11. Quantity (including units)</th>
<th>11a. Total Exported/Quota</th>
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<td>1</td>
<td>NO</td>
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14. Endorsements on Continuation Sheet
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<th>Scientific Name</th>
<th>Country of Origin</th>
<th>Permit/Certificate No.</th>
<th>Date of Issue</th>
<th>Breeding Operation No.</th>
<th>Pre-Convention: Date of Acquisition</th>
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<td>CIRCA 1640</td>
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<tr>
<td>ALL ELEPHANTS</td>
<td>ELEPHANTIDAE</td>
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<td></td>
<td></td>
<td></td>
<td>CIRCA 1530 TO 1550</td>
</tr>
</tbody>
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9. **PRE-CONVENTION:**

**INLAY:** 46 cm X 68 cm X 2cm; CIRCA 1530 to 1550.
5/6. THIS PERMIT IS ISSUED UNDER AUTHORITY OF THE ENDANGERED SPECIES ACT OF 1973 (16 U.S.C. 1531 et seq.) BY:

FALLS CHURCH, VA

12/28/2017

15. EXPORT/RE-EXPORT ENDORSEMENT: I, the inspecting official, certify that the information provided in this certificate is accurate. This document is valid only with inspecting official's ORIGINAL stamp, signature and date in the block below.

16. IMPORT ENDORSEMENT: I, the inspecting official, certify that the information provided in this certificate is accurate. This document is valid only with inspecting official's ORIGINAL stamp, signature and date in the block below.

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<th>Port of import</th>
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16. IMPORT ENDORSEMENT: I, the inspecting official, certify that the information provided in this certificate is accurate. This document is valid only with inspecting official's ORIGINAL stamp, signature and date in the block below.
**ONE HUNDRED DOLLARS ONLY****

PAY TO THE ORDER OF U.S. FISH AND WILDLIFE SERVICE
5275 LEESBURG PIKE
FALLS CHURCH VA 22041-3803

TRANS. NO: 00001000

02-Jan-18

AMOUNT

TWO SIGNATURES REQUIRED ON AMOUNTS ABOVE $10,000

AUTHORIZED SIGNATURE

MASTERPIECE INTERNATIONAL, LTD.
U.S. FISH AND WILDLIFE SERVICE

REF. # DESCRIPTION INV. DATE INVOICE NO.
SLAXAE0000608 SLAXAE00005086 02-Jan-18 02-Jan-18 17US57151C/9

INVOICE NO.

INV. AMOUNT PAID AMOUNT
100.00 USD 100.00 USD

Pay Amount: $100.00
Pay Trans No: 00001000

Check: 587859
Bank: CHASE

587859