

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

CHAPTER I

DEFINITIONS

Article 1

Definitions

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

- (1) [^{F1}‘date of acquisition’ means the date on which a specimen was taken from the wild, born in captivity or artificially propagated, or, if such date is unknown, the earliest provable date on which it was possessed by any person;]
- (2) ‘second-generation offspring (F2)’ and ‘subsequent generation offspring (F3, F4, and so on)’ means specimens produced in a controlled environment from parents that were also produced in a controlled environment, as distinct from specimens produced in a controlled environment from parents at least one of which was conceived in or taken from the wild (first-generation offspring (F1));
- (3) ‘breeding stock’ means all the animals in a breeding operation that are used for reproduction;
- (4) ‘controlled environment’ means an environment that is manipulated for the purpose of producing animals of a particular species, that has boundaries designed to prevent animals, eggs or gametes of the species from entering or leaving, and the general characteristics of which may include but are not limited to artificial housing, waste removal, health care, protection from predators and the artificial supply of food;
- (4a) [^{F2}‘cultivated parental stock’ means the ensemble of plants grown under controlled conditions that are used for reproduction, and which must have been, to the satisfaction of the ^{F3}... management authority, in consultation with [^{F4}the competent scientific authority of the United Kingdom]:
 - (i) established in accordance with the provisions of CITES and relevant national laws and in a manner not detrimental to the survival of the species in the wild; and
 - (ii) maintained in sufficient quantities for propagation so as to minimise or eliminate the need for augmentation from the wild, with such augmentation occurring only as an exception and limited to the amount necessary to maintain the vigour and productivity of the cultivated parental stock;
- (4b) ‘hunting trophy’ means a whole animal, or a readily recognisable part or derivative of an animal, specified on any accompanying CITES permit or certificate that fulfils the following conditions:
 - (i) is raw, processed or manufactured;

Changes to legislation: There are currently no known outstanding effects for the Commission regulation (EC) No 865/2006. (See end of Document for details)

- (ii) was legally obtained by the hunter through hunting for the hunter's personal use;
 - (iii) is being imported, exported or re-exported by or on behalf of the hunter, as part of the transfer from its country of origin, ultimately to the hunter's State of usual residence;]
- (5) ‘a person normally residing in [^{F5}Great Britain]’ means a person who lives in [^{F5}Great Britain] for at least 185 days in each calendar year because of occupational ties, or, in the case of a person with no occupational ties, because of personal ties which show close links between that person and the place where he is living;
- (6) [^{F1}‘travelling exhibition’ means a sample collection, circus, menagerie, plant exhibition, orchestra or museums exhibition that is used for commercial display for the public;]
- (7) [^{F6}‘transaction-specific certificates’ means certificates issued in accordance with Article 48 that are valid only for one or more specified transactions;]
- (8) ‘specimen-specific certificates’ means certificates issued in accordance with Article 48, other than transaction-specific certificates[^{F6};]
- (9) [^{F7}‘sample collection’ means a collection of legally acquired dead specimens, parts and derivatives thereof, that are transported across borders for presentation purposes;
- (10) ‘pre-Convention specimen’ means a specimen acquired before the species concerned was first included in the Appendices to the Convention.]

Textual Amendments

- F1** Substituted by Commission Regulation (EU) 2015/870 of 5 June 2015 amending, as regards the trade in species of wild fauna and flora, Regulation (EC) No 865/2006 laying down detailed rules concerning the implementation of Council Regulation (EC) No 338/97.
- F2** Inserted by Commission Regulation (EU) No 791/2012 of 23 August 2012 amending, as regards certain provisions relating to the trade in species of wild fauna and flora, Regulation (EC) No 865/2006 laying down detailed rules for the implementation of Council Regulation (EC) No 338/97.
- F3** Word in Art. 1(4a) omitted (31.12.2020) by virtue of The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(2)(a)(i)**
- F4** Words in Art. 1(4a) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(2)(a)(ii)**
- F5** Words in Art. 1(5) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(2)(b)**
- F6** Substituted by Commission Regulation (EC) No 100/2008 of 4 February 2008 amending, as regards sample collections and certain formalities relating to the trade in species of wild fauna and flora, Regulation (EC) No 865/2006 laying down detailed rules for the implementation of Council Regulation (EC) No 338/97.
- F7** Inserted by Commission Regulation (EC) No 100/2008 of 4 February 2008 amending, as regards sample collections and certain formalities relating to the trade in species of wild fauna and flora, Regulation (EC) No 865/2006 laying down detailed rules for the implementation of Council Regulation (EC) No 338/97.

Changes to legislation: There are currently no known outstanding effects for the Commission regulation (EC) No 865/2006. (See end of Document for details)

[^{F8}Article 1a

References to importation etc.

In this Regulation—

- (a) references to the importation or introduction of anything into Great Britain includes the importation or introduction of anything into Northern Ireland before IP completion day;
- (b) references to the export, or re-export of anything from Great Britain includes the export, or re-export of anything from Northern Ireland before IP completion day;
- (c) references to anything acquired in Great Britain includes anything acquired in Northern Ireland before IP completion day;
- (d) references to the transit of specimens through Great Britain includes the transit of specimens through Northern Ireland before IP completion day.]

Textual Amendments

F8 [Art. 1a](#) inserted (31.12.2020) by [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\)](#), regs. 1(2), **8(3)**

CHAPTER II

FORMS AND TECHNICAL REQUIREMENTS

^{F9}[^{F9}Article 2

Forms

Textual Amendments

F9 Deleted by [Commission Implementing Regulation \(EU\) No 792/2012 of 23 August 2012 laying down rules for the design of permits, certificates and other documents provided for in Council Regulation \(EC\) No 338/97 on the protection of species of wild fauna and flora by regulating trade therein and amending Commission Regulation \(EC\) No 865/2006.](#)

^{F9}Article 3

Technical specifications with regard to forms]

Changes to legislation: There are currently no known outstanding effects for the Commission regulation (EC) No 865/2006. (See end of Document for details)

Textual Amendments

- F9** Deleted by [Commission Implementing Regulation \(EU\) No 792/2012 of 23 August 2012 laying down rules for the design of permits, certificates and other documents provided for in Council Regulation \(EC\) No 338/97 on the protection of species of wild fauna and flora by regulating trade therein and amending Commission Regulation \(EC\) No 865/2006.](#)

F⁶ Article 4

Completion of forms

[^{F101} Forms referred to in Article 2 of Commission Implementing Regulation (EU) No 792/2012⁽¹⁾ shall be completed in typescript.]

[^{F1} However, applications for import and export permits, for re-export certificates, for the certificates provided for in Articles 5(2)(b), 5(3), 5(4), 8(3) and 9(2)(b) of Regulation (EC) No 338/97, for personal ownership certificates, for sample collection certificates, for musical instrument certificates and for travelling exhibition certificates as well as import notifications, continuation sheets and labels may be completed in manuscript, provided this is done legibly, in ink and in block capitals.]]

[^{F102} Forms 1 to 4 of Annex I provided for in Implementing Regulation (EU) No 792/2012, forms 1 and 2 of Annex II provided for in Implementing Regulation (EU) No 792/2012, forms 1 and 2 of Annex III provided for in Implementing Regulation (EU) No 792/2012, forms 1 and 2 of Annex V provided for in Implementing Regulation (EU) No 792/2012, the continuation sheets referred to in Article 2(4) of Implementing Regulation (EU) No 792/2012 and the labels referred to in Article 2(6) of Implementing Regulation (EU) No 792/2012 may not contain any erasures or alterations, unless those erasures or alterations have been authenticated by the stamp and signature of the issuing management authority. In the case of the import notifications as referred to in Article 2(2) of Implementing Regulation (EU) No 792/2012 and the continuation sheets referred to in Article 2(4) of Implementing Regulation (EU) No 792/2012, erasures or alterations may also be authenticated by the stamp and signature of the customs office of introduction.]

Textual Amendments

- F1** Substituted by [Commission Regulation \(EU\) 2015/870 of 5 June 2015 amending, as regards the trade in species of wild fauna and flora, Regulation \(EC\) No 865/2006 laying down detailed rules concerning the implementation of Council Regulation \(EC\) No 338/97.](#)
- F6** Substituted by [Commission Regulation \(EC\) No 100/2008 of 4 February 2008 amending, as regards sample collections and certain formalities relating to the trade in species of wild fauna and flora, Regulation \(EC\) No 865/2006 laying down detailed rules for the implementation of Council Regulation \(EC\) No 338/97.](#)
- F10** Substituted by [Commission Regulation \(EU\) No 791/2012 of 23 August 2012 amending, as regards certain provisions relating to the trade in species of wild fauna and flora, Regulation \(EC\) No 865/2006 laying down detailed rules for the implementation of Council Regulation \(EC\) No 338/97.](#)

Article 5

Contents of permits, certificates and applications for the issue of such documents

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

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

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

[^{F7}Article 5a

Specific content of permits, certificates and applications for plant specimens

[^{F10}In case of plant specimens that cease to qualify for an exemption from the provisions of the Convention or Regulation (EC) No 338/97 in accordance with the 'Notes on the interpretation of Annexes A, B, C and D' in the Annex thereto, under which they were legally exported and imported, the country to be indicated in box 15 of the forms in Annexes I and III provided for in Implementing Regulation (EU) No 792/2012, box 4 of the forms in Annex II provided for in Implementing Regulation (EU) No 792/2012 and box 10 of the forms in Annex V provided for in Implementing Regulation (EU) No 792/2012 may be the country in which the specimens ceased to qualify for the exemption.]

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

Textual Amendments

- F7** Inserted by [Commission Regulation \(EC\) No 100/2008 of 4 February 2008 amending, as regards sample collections and certain formalities relating to the trade in species of wild fauna and flora,](#)

Changes to legislation: There are currently no known outstanding effects for the Commission regulation (EC) No 865/2006. (See end of Document for details)

Regulation (EC) No 865/2006 laying down detailed rules for the implementation of Council Regulation (EC) No 338/97.

- F10** Substituted by Commission Regulation (EU) No 791/2012 of 23 August 2012 amending, as regards certain provisions relating to the trade in species of wild fauna and flora, Regulation (EC) No 865/2006 laying down detailed rules for the implementation of Council Regulation (EC) No 338/97.

[^{F11}Article 5b

Specific content of permits and certificates for live rhinoceros and live elephants

Permits and certificates issued under Article 4 or Article 5 of Regulation (EC) No 338/97 for import or re-export of live rhinoceroses or live elephants from populations included in Annex B to that Regulation shall contain a condition stating that horn or ivory from those animals or from their progeny may not enter commercial trade or commercial activities within [^{F12}Great Britain]. In addition, live rhinoceroses or live elephants from those populations shall not be subject to trophy hunting outside of their historic range.]

Textual Amendments

- F11** Inserted by Commission Regulation (EU) 2019/220 of 6 February 2019 amending Regulation (EC) No 865/2006 laying down detailed rules concerning the implementation of Council Regulation (EC) No 338/97 on the protection of species of wild fauna and flora by regulating trade therein.
- F12** Words in Art. 5b substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(4)**

[^{F10}Article 6

Annexes to forms

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

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

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

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

4 Where the forms referred to in Article 2(5) of Implementing Regulation (EU) No 792/2012 are used for more than one species, an annex shall be attached which, in addition to

the information required under paragraph 1 of this Article, shall, for each species, reproduce boxes 4 to 18 of the form concerned.]

Textual Amendments

- F10** Substituted by [Commission Regulation \(EU\) No 791/2012 of 23 August 2012 amending, as regards certain provisions relating to the trade in species of wild fauna and flora, Regulation \(EC\) No 865/2006 laying down detailed rules for the implementation of Council Regulation \(EC\) No 338/97.](#)

Article 7

Permits and certificates issued by third countries

1 Article 4(1) and (2), Article 5(3), (4) and (5) and Article 6 shall apply in the case of decisions on the acceptability of permits and certificates issued by third countries for specimens to be introduced into [^{F13}Great Britain].

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

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

[^{F7} Permits and certificates issued by third countries with source code 'O' shall be accepted only if they cover specimens that conform to the definition of pre-Convention specimen set out in Article 1(10) and include either the date of acquisition of the specimens or a statement that the specimens were acquired before a specific date.]

[^{F25} Export permits and re-export certificates shall be endorsed, with quantity, signature and stamp, by an official from the export or re-export country, in the export endorsement block of the document. If the export document has not been endorsed at the time of export, the management authority of the importing country should liaise with the exporting country's management authority, considering any extenuating circumstances or documents, to determine the acceptability of the document.]

[^{F146} Export permits and re-export certificates issued by third countries shall be accepted only if the competent authority from the third country concerned provides, where requested to do so, satisfactory information that the specimens were obtained in accordance with the legislation on the protection of the species concerned.]

Textual Amendments

- F2** Inserted by [Commission Regulation \(EU\) No 791/2012 of 23 August 2012 amending, as regards certain provisions relating to the trade in species of wild fauna and flora, Regulation \(EC\) No 865/2006 laying down detailed rules for the implementation of Council Regulation \(EC\) No 338/97.](#)
- F7** Inserted by [Commission Regulation \(EC\) No 100/2008 of 4 February 2008 amending, as regards sample collections and certain formalities relating to the trade in species of wild fauna and flora,](#)

Changes to legislation: There are currently no known outstanding effects for the Commission regulation (EC) No 865/2006. (See end of Document for details)

Regulation (EC) No 865/2006 laying down detailed rules for the implementation of Council Regulation (EC) No 338/97.

- F13** Words in Art. 7(1) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(5)**
- F14** Inserted by Commission Regulation (EU) 2015/870 of 5 June 2015 amending, as regards the trade in species of wild fauna and flora, Regulation (EC) No 865/2006 laying down detailed rules concerning the implementation of Council Regulation (EC) No 338/97.

CHAPTER III

ISSUE, USE AND VALIDITY OF DOCUMENTS

Article 8

Issue and use of documents

[^{F10} Documents shall be issued and used in accordance with the provisions and under the conditions laid down in this Regulation and in Regulation (EC) No 338/97, and in particular in Article 11(1) to (4) of the latter Regulation. Permits and certificates may be issued in paper format or in electronic format.]

In order to ensure compliance with those Regulations and with the provisions of [^{F15}United Kingdom legislation (as that legislation applies in Great Britain)] adopted for their implementation, the ^{F16}... management authority may impose stipulations, conditions and requirements, which shall be set out in the documents concerned.

2 The use of documents shall be without prejudice to any other formalities relating to the movement of goods within [^{F17}Great Britain], to the introduction of goods into [^{F17}Great Britain] or to their export or re-export therefrom, or to the issue of the documents used for such formalities.

3 [^{F18}The management authority] shall decide on the issue of permits and certificates within one month of the date of submission of a complete application.

However, where the ^{F19}... management authority consults third parties, such a decision may be taken only after the satisfactory completion of such consultation. Applicants shall be notified of significant delays in processing their applications.

Textual Amendments

- F10** Substituted by Commission Regulation (EU) No 791/2012 of 23 August 2012 amending, as regards certain provisions relating to the trade in species of wild fauna and flora, Regulation (EC) No 865/2006 laying down detailed rules for the implementation of Council Regulation (EC) No 338/97.
- F15** Words in Art. 8(1) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(6)(a)**
- F16** Word in Art. 8(1) omitted (31.12.2020) by virtue of The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(6)(a)**
- F17** Words in Art. 8(2) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(6)(b)**
- F18** Words in Art. 8(3) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(6)(c)(i)**

Changes to legislation: There are currently no known outstanding effects for the Commission regulation (EC) No 865/2006. (See end of Document for details)

F19 Word in Art. 8(3) omitted (31.12.2020) by virtue of The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(6)(c)(ii)**

[^{F1}Article 9

Shipments of specimens

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

Textual Amendments

F1 Substituted by Commission Regulation (EU) 2015/870 of 5 June 2015 amending, as regards the trade in species of wild fauna and flora, Regulation (EC) No 865/2006 laying down detailed rules concerning the implementation of Council Regulation (EC) No 338/97.

[^{F1}Article 10]

Validity of import and export permits, re-export certificates, travelling exhibition certificates, personal ownership certificates, sample collection certificates and musical instrument certificates

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

[^{F7}As regards caviar of sturgeon species (*Acipenseriformes* spp.) from shared stocks subject to export quotas, which is covered by an export permit, import permits referred to in the first subparagraph shall not be valid beyond the last day of the quota year in which the caviar was harvested and processed or the last day of the 12-month period referred to in the first subparagraph, whichever is the earlier.

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

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

[^{F7}As regards caviar of sturgeon species (*Acipenseriformes* spp.) from shared stocks subject to export quotas, export permits referred to in the first subparagraph shall not be valid beyond the last day of the quota year in which the caviar was harvested and processed or the last day of the six-month period referred to in the first subparagraph, whichever is the earlier.

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

Changes to legislation: There are currently no known outstanding effects for the Commission regulation (EC) No 865/2006. (See end of Document for details)

[^{F7}2a For the purpose of paragraph 1, second subparagraph and paragraph 2 second subparagraph, the quota year shall be that agreed by the Conference of the Parties to the Convention.]

[^{F1}3 The period of validity of the travelling exhibition certificates, personal ownership certificates and musical instrument certificates issued in accordance with Articles 30, 37 and 44h respectively shall not exceed three years.]

[^{F7}3a The period of validity of sample collection certificates issued in accordance with Article 44a shall not exceed six months. The date of expiry of a sample collection certificate shall not be later than that of the ATA carnet accompanying it.]

[^{F6}4 After their expiry, the permits and certificates referred to in paragraphs 1, 2, 3 and 3a shall be considered as void.]

[^{F1}5 Travelling exhibition certificates, personal ownership certificates or musical instrument certificates shall cease to be valid if the specimen is sold, lost, destroyed or stolen, or if ownership of the specimen is otherwise transferred, or, in the case of a live specimen, if it has died, escaped or been released to the wild.

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

Textual Amendments

- F1** Substituted by [Commission Regulation \(EU\) 2015/870 of 5 June 2015 amending, as regards the trade in species of wild fauna and flora, Regulation \(EC\) No 865/2006 laying down detailed rules concerning the implementation of Council Regulation \(EC\) No 338/97.](#)
- F6** Substituted by [Commission Regulation \(EC\) No 100/2008 of 4 February 2008 amending, as regards sample collections and certain formalities relating to the trade in species of wild fauna and flora, Regulation \(EC\) No 865/2006 laying down detailed rules for the implementation of Council Regulation \(EC\) No 338/97.](#)
- F7** Inserted by [Commission Regulation \(EC\) No 100/2008 of 4 February 2008 amending, as regards sample collections and certain formalities relating to the trade in species of wild fauna and flora, Regulation \(EC\) No 865/2006 laying down detailed rules for the implementation of Council Regulation \(EC\) No 338/97.](#)

Article 11

Validity of used import permits and of the certificates referred to in Articles 47, 48, 49, 60 and 63

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

- a where live specimens referred to therein have died;
- b where live animals referred to therein have escaped or have been released to the wild;
- [^{F1}c where specimens referred to therein have been lost, destroyed or stolen;]
- d where any of the entries in boxes 3, 6 or 8 no longer reflects the actual situation.

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

Changes to legislation: There are currently no known outstanding effects for the Commission regulation (EC) No 865/2006. (See end of Document for details)

- a where live specimens referred to therein have died;
- b where live animals referred to therein have escaped or have been released to the wild;
- [^{F1}c where specimens referred to therein have been lost, destroyed or stolen;]
- d where any of the entries in boxes 2 and 4 no longer reflects the actual situation[^{F6};
- [^{F7}e where any special conditions specified in box 20 are no longer fulfilled.]

[^{F10}3 Certificates issued in accordance with Articles 48 and 63 shall be transaction-specific unless the specimens covered by such certificates are uniquely and permanently marked or, in the case of dead specimens which can not be marked, identified by other means.]

The management authority ^{F20}... may also, in consultation with the relevant scientific authority, decide to issue transaction-specific certificates where it is considered that there are other factors relating to the conservation of the species that militate against the issuance of a specimen-specific certificate.

[^{F7}Where a transaction specific certificate is issued for the purpose of allowing several transactions, it shall be valid only within [^{F21}Great Britain]. Where transaction specific certificates are to be used ^{F22}... for one transaction only [^{F23}, their validity] shall be limited to that transaction. It shall be indicated in box 20 whether the certificate is for one or more transactions ^{F24}....]

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

^{F25} ...

[^{F65} Documents that cease to be valid in accordance with this Article shall, without undue delay, be returned to the ^{F26}... management authority which, where appropriate, may issue a certificate reflecting the required changes in accordance with Article 51.]

Textual Amendments

- F1** Substituted by Commission Regulation (EU) 2015/870 of 5 June 2015 amending, as regards the trade in species of wild fauna and flora, Regulation (EC) No 865/2006 laying down detailed rules concerning the implementation of Council Regulation (EC) No 338/97.
- F6** Substituted by Commission Regulation (EC) No 100/2008 of 4 February 2008 amending, as regards sample collections and certain formalities relating to the trade in species of wild fauna and flora, Regulation (EC) No 865/2006 laying down detailed rules for the implementation of Council Regulation (EC) No 338/97.
- F7** Inserted by Commission Regulation (EC) No 100/2008 of 4 February 2008 amending, as regards sample collections and certain formalities relating to the trade in species of wild fauna and flora, Regulation (EC) No 865/2006 laying down detailed rules for the implementation of Council Regulation (EC) No 338/97.
- F10** Substituted by Commission Regulation (EU) No 791/2012 of 23 August 2012 amending, as regards certain provisions relating to the trade in species of wild fauna and flora, Regulation (EC) No 865/2006 laying down detailed rules for the implementation of Council Regulation (EC) No 338/97.
- F20** Words in Art. 11(3) omitted (31.12.2020) by virtue of The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(7)(a)(i)**
- F21** Words in Art. 11(3) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(7)(a)(ii)(aa)**
- F22** Words in Art. 11(3) omitted (31.12.2020) by virtue of The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(7)(a)(ii)(bb)**
- F23** Words in Art. 11(3) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(7)(a)(ii)(bb)**

Changes to legislation: There are currently no known outstanding effects for the Commission regulation (EC) No 865/2006. (See end of Document for details)

- F24** Words in Art. 11(3) omitted (31.12.2020) by virtue of [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\)](#), regs. 1(2), **8(7)(a)(ii)(cc)**
- F25** Deleted by [Commission Regulation \(EC\) No 100/2008 of 4 February 2008 amending, as regards sample collections and certain formalities relating to the trade in species of wild fauna and flora, Regulation \(EC\) No 865/2006 laying down detailed rules for the implementation of Council Regulation \(EC\) No 338/97.](#)
- F26** Word in Art. 11(5) omitted (31.12.2020) by virtue of [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\)](#), regs. 1(2), **8(7)(b)**

Article 12

Documents cancelled, lost, stolen, destroyed or expired

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

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

Article 13

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

1 Import permits, export permits and re-export certificates shall, taking account of Article 8(3), be applied for in sufficient time to allow their issue prior to the introduction of specimens into or their export or re-export from [^{F27}Great Britain].

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

Textual Amendments

- F27** Words in Art. 13(1) substituted (31.12.2020) by [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\)](#), regs. 1(2), **8(8)**

Article 14

Validity of documents from third countries

In the case of the introduction of specimens into [^{F28}Great Britain], the requisite documents from third countries shall be considered valid only where they have been issued for export or re-export from that country and used for that purpose prior to their last day of validity and are used for introduction of specimens into [^{F28}Great Britain] no later than six months from their date of issue.

[^{F1}However, certificates of origin for specimens of species listed in Annex C to Regulation (EC) No 338/97 may be used for the introduction of specimens into [^{F29}Great

Changes to legislation: There are currently no known outstanding effects for the Commission regulation (EC) No 865/2006. (See end of Document for details)

Britain] until 12 months from their date of issue and travelling exhibition certificates, personal ownership certificates and musical instrument certificates may be used for the introduction of specimens into [^{F29}Great Britain] and for the purpose of applying for respective certificates in accordance with Articles 30, 37 and 44h of this Regulation until three years from their date of issue.]

Textual Amendments

- F1** Substituted by [Commission Regulation \(EU\) 2015/870 of 5 June 2015 amending, as regards the trade in species of wild fauna and flora, Regulation \(EC\) No 865/2006 laying down detailed rules concerning the implementation of Council Regulation \(EC\) No 338/97.](#)
- F28** Words in Art. 14 substituted (31.12.2020) by [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\), regs. 1\(2\), 8\(9\)\(a\)](#)
- F29** Words in Art. 14 substituted (31.12.2020) by [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\), regs. 1\(2\), 8\(9\)\(b\)](#)

Article 15

Retrospective issue of certain documents

1 By way of derogation from Article 13(1) and Article 14 of this Regulation, and provided that the importer or (re-)exporter informs the ^{F30}... management authority on arrival or before departure of the shipment of the reasons why the required documents are not available, documents for specimens of species listed in Annex B or C to Regulation (EC) No 338/97, as well as for specimens of species listed in Annex A to that Regulation and referred to in Article 4(5) thereof, may exceptionally be issued retrospectively.

2 The derogation provided for in paragraph 1 shall apply where the ^{F31}... management authority of the [^{F32}United Kingdom], in consultation with the competent authorities of a third country where appropriate, is satisfied that any irregularities which have occurred are not attributable to the importer or the (re-)exporter, and that the import or (re-)export of the specimens concerned is otherwise in compliance with Regulation (EC) No 338/97, the Convention and the relevant legislation of the third country.

[^{F7}As regards specimens imported or (re-)exported as personal and household effects, to which the provisions of Chapter XIV apply, and as regards personally owned live animals, which are legally acquired and held for personal non-commercial purposes, the derogation provided for in paragraph 1 shall also apply where the ^{F33}... management authority of the [^{F34}United Kingdom], in consultation with the relevant enforcement authority, is satisfied that there is evidence that a genuine error has been made and that there was no attempt to deceive and the import or (re-)export of the specimens concerned is in compliance with Regulation (EC) No 338/97, the Convention and the relevant legislation of a third country.]

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

[^{F35}In the case of import permits, export permits and re-export certificates issued in Great Britain], that information shall be indicated in box 23.

[^{F10}3a For personally owned live animals, which are legally acquired and held for personal non-commercial purposes, for which an import permit is issued pursuant to the second subparagraph of paragraph 2, commercial activities, as laid down in Article 8(1) of Regulation

Changes to legislation: There are currently no known outstanding effects for the Commission regulation (EC) No 865/2006. (See end of Document for details)

(EC) No 338/97, shall be prohibited for two years from the date of issuance of the permit and no exemptions for specimens of Annex A species, as provided for in Article 8(3) of that Regulation, shall be granted during that period.

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

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

Textual Amendments

- F7** Inserted by [Commission Regulation \(EC\) No 100/2008 of 4 February 2008 amending, as regards sample collections and certain formalities relating to the trade in species of wild fauna and flora, Regulation \(EC\) No 865/2006 laying down detailed rules for the implementation of Council Regulation \(EC\) No 338/97.](#)
- F10** Substituted by [Commission Regulation \(EU\) No 791/2012 of 23 August 2012 amending, as regards certain provisions relating to the trade in species of wild fauna and flora, Regulation \(EC\) No 865/2006 laying down detailed rules for the implementation of Council Regulation \(EC\) No 338/97.](#)
- F30** Word in Art. 15(1) omitted (31.12.2020) by virtue of [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\), regs. 1\(2\), 8\(10\)\(a\)](#)
- F31** Word in Art. 15(2) omitted (31.12.2020) by virtue of [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\), regs. 1\(2\), 8\(10\)\(b\)\(i\)\(aa\)](#)
- F32** Words in Art. 15(2) substituted (31.12.2020) by [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\), regs. 1\(2\), 8\(10\)\(b\)\(i\)\(bb\)](#)
- F33** Word in Art. 15(2) omitted (31.12.2020) by virtue of [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\), regs. 1\(2\), 8\(10\)\(b\)\(ii\)](#)
- F34** Words in Art. 15(2) substituted (31.12.2020) by [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\), regs. 1\(2\), 8\(10\)\(b\)\(ii\)](#)
- F35** Words in Art. 15(3) substituted (31.12.2020) by [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\), regs. 1\(2\), 8\(10\)\(c\)](#)

Article 16

Specimens in transit through [^{F36}Great Britain]

Articles 14 and 15 of this Regulation shall apply *mutatis mutandis* to specimens of species listed in Annexes A and B to Regulation (EC) No 338/97 which are in transit through [^{F37}Great Britain] where that transit is otherwise in accordance with the latter Regulation.

Textual Amendments

- F36** Words in Art. 16 heading substituted (31.12.2020) by [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\), regs. 1\(2\), 8\(11\)](#)
- F37** Words in Art. 16 substituted (31.12.2020) by [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\), regs. 1\(2\), 8\(11\)](#)

Article 17

Phytosanitary certificates

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

- a [F38 the management authority] may decide that a phytosanitary certificate is to be issued instead of an export permit;
- b phytosanitary certificates issued by third countries shall be accepted instead of an export permit.

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

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

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

Textual Amendments

- F38** Words in [Art. 17\(1\)\(a\)](#) substituted (31.12.2020) by [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\)](#), regs. 1(2), **8(12)**

Article 18

Simplified procedures with regard to certain trade in biological samples

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

- a [F39 the management authority] must establish and maintain a register of the persons and bodies that may benefit from simplified procedures, hereinafter ‘registered persons and bodies’, as well as of the species that they may trade under such procedures, and must ensure that the register is reviewed by the management authority every five years;
- b [F40 the management authority] must provide registered persons and bodies with partially completed permits and certificates;
- c [F41 the management authority] must authorise registered persons or bodies to enter specific information on the face of the permit or certificate where the management authority F42... has included the following items in box 23, or in an equivalent place, or in an annex to the permit or certificate:
 - (i) a list of the boxes that registered persons or bodies are authorised to complete for each shipment;

Changes to legislation: There are currently no known outstanding effects for the Commission regulation (EC) No 865/2006. (See end of Document for details)

- (ii) a place for the signature of the person who completed the document.

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

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

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

Textual Amendments

- F39** Words in Art. 18(1)(a) substituted (31.12.2020) by [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\)](#), regs. 1(2), **8(13)(a)**
- F40** Words in Art. 18(1)(b) substituted (31.12.2020) by [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\)](#), regs. 1(2), **8(13)(b)**
- F41** Words in Art. 18(1)(c) substituted (31.12.2020) by [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\)](#), regs. 1(2), **8(13)(c)**
- F42** Words in Art. 18(1)(c) omitted (31.12.2020) by virtue of [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\)](#), regs. 1(2), **8(13)(c)**

Article 19

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

1 In the case of the export or re-export of dead specimens of species, including any parts or derivatives thereof, listed in Annexes B and C to Regulation (EC) No 338/97, [^{F43}the management authority] may provide for the use of simplified procedures on the basis of pre-issued export permits or re-export certificates, provided that the following conditions are satisfied:

- a [^{F44}the competent scientific authority of the United Kingdom] must advise that such export or re-export will have no detrimental impact on the conservation of the species concerned;
- b [^{F45}the management authority] must establish and maintain a register of the persons and bodies that may benefit from simplified procedures, hereinafter ‘registered persons and bodies’, as well as of the species that they may trade under such procedures, and must ensure that the register is reviewed by the management authority every five years;
- c [^{F46}the management authority] must provide registered persons and bodies with partially completed export permits and re-export certificates;
- d [^{F47}the management authority] must authorise registered persons or bodies to enter specific information in boxes 3, 5, 8 and 9 or 10 of the permit or certificate provided that they comply with the following requirements:

- (i) they sign the completed permit or certificate in box 23;

Changes to legislation: There are currently no known outstanding effects for the Commission regulation (EC) No 865/2006. (See end of Document for details)

- (ii) they immediately send a copy of the permit or certificate to the issuing management authority;
- (iii) they maintain a record which they produce to the competent management authority on request and which contains details of the specimens sold, including the species name, the type of specimen, the source of the specimen, the dates of sale and the names and addresses of the persons to whom they were sold.

2 The export or re-export referred to in paragraph 1 shall otherwise be in accordance with Article 5(4)^{F48} ... of Regulation (EC) No 338/97.

Textual Amendments

- F43** Words in Art. 19(1) substituted (31.12.2020) by [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\)](#), regs. 1(2), **8(14)(a)(i)**
- F44** Words in Art. 19(1)(a) substituted (31.12.2020) by [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\)](#), regs. 1(2), **8(14)(a)(ii)**
- F45** Words in Art. 19(1)(b) substituted (31.12.2020) by [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\)](#), regs. 1(2), **8(14)(a)(iii)**
- F46** Words in Art. 19(1)(c) substituted (31.12.2020) by [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\)](#), regs. 1(2), **8(14)(a)(iv)**
- F47** Words in Art. 19(1)(d) substituted (31.12.2020) by [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\)](#), regs. 1(2), **8(14)(a)(iv)**
- F48** Words in Art. 19(2) omitted (31.12.2020) by virtue of [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\)](#), regs. 1(2), **8(14)(b)**

CHAPTER IV

IMPORT PERMITS

Article 20

Applications

1 The applicant for an import permit shall, where appropriate, complete boxes 1, 3 to 6 and 8 to 23 of the application form and boxes 1, 3, 4, 5 and 8 to 22 of the original and all copies. [^{F49}The management authority] may, however, provide that only an application form is to be completed, in which case such an application may relate to more than one shipment.

2 The duly completed form shall be submitted to the management authority^{F50} ... and shall contain the information and be accompanied by the documentary evidence that the authority deems necessary in order to enable it to determine whether, on the basis of Article 4 of Regulation (EC) No 338/97, a permit should be issued.

The omission of information from the application must be justified.

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

Changes to legislation: There are currently no known outstanding effects for the Commission regulation (EC) No 865/2006. (See end of Document for details)

4 For import permits concerning the specimens referred to in Article 64(1)(a) to (f), the applicant shall satisfy the management authority that the marking requirements laid down in Article 66 have been fulfilled.

Textual Amendments

- F49** Words in Art. 20(1) substituted (31.12.2020) by [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\)](#), regs. 1(2), **8(15)(a)**
- F50** Words in Art. 20(2) omitted (31.12.2020) by virtue of [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\)](#), regs. 1(2), **8(15)(b)**

[^{F7}Article 20a

Rejection of applications for import permits

[^{F51}The management authority] shall reject applications for import permits for caviar and meat of sturgeon species (*Acipenseriformes* spp.) from shared stocks unless export quotas have been set for the species in accordance with the procedure approved by the Conference of the Parties to the Convention.]

Textual Amendments

- F7** Inserted by [Commission Regulation \(EC\) No 100/2008 of 4 February 2008 amending, as regards sample collections and certain formalities relating to the trade in species of wild fauna and flora, Regulation \(EC\) No 865/2006 laying down detailed rules for the implementation of Council Regulation \(EC\) No 338/97](#).
- F51** Words in Art. 20a substituted (31.12.2020) by [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\)](#), regs. 1(2), **8(16)**

Article 21

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

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

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

Changes to legislation: There are currently no known outstanding effects for the Commission regulation (EC) No 865/2006. (See end of Document for details)

Article 22

Documents to be surrendered by the importer to the customs office

Without prejudice to Article 53, the importer or his authorised representative shall surrender all the following documents to the border customs office at the point of introduction into [^{F52}Great Britain], designated in accordance with Article 12(1) of Regulation (EC) No 338/97:

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

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

Textual Amendments

F52 Words in [Art. 22](#) substituted (31.12.2020) by [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\)](#), regs. 1(2), **8(17)**

Article 23

Handling by the customs office

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

F53
.....

Textual Amendments

F53 Words in [Art. 23](#) omitted (31.12.2020) by virtue of [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\)](#), regs. 1(2), **8(18)**

CHAPTER V

IMPORT NOTIFICATIONS

Article 24

Documents to be surrendered by the importer to the customs office

1 The importer or his authorised representative shall, where appropriate, complete boxes 1 to 13 of the original import notification (form 1) and the ‘copy for the importer’ (form 2)

Changes to legislation: There are currently no known outstanding effects for the Commission regulation (EC) No 865/2006. (See end of Document for details)

and, without prejudice to Article 25, surrender them together with any documentation from the country of export or re-export to the border customs office at the point of introduction into [F⁵⁴Great Britain] designated in accordance with Article 12(1) of Regulation (EC) No 338/97.

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

Textual Amendments

F54 Words in [Art. 24\(1\)](#) substituted (31.12.2020) by [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\)](#), regs. 1(2), **8(19)**

Article 25

Handling by the customs office

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

F55
.....

Textual Amendments

F55 Words in [Art. 25](#) omitted (31.12.2020) by virtue of [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\)](#), regs. 1(2), **8(20)**

CHAPTER VI

EXPORT PERMITS AND RE-EXPORT CERTIFICATES

Article 26

Applications

1 The applicant for an export permit or re-export certificate shall, where appropriate, complete boxes 1, 3, 4, 5 and 8 to 23 of the application form and boxes 1, 3, 4 and 5 and 8 to 22 of the original and all copies. [F⁵⁶The management authority] may, however, provide that only an application form is to be completed, in which case such an application may relate to more than one shipment.

2 The duly completed form shall be submitted to the management authority of the [F⁵⁷United Kingdom] and shall contain the information and be accompanied by the documentary evidence that the authority deems necessary to enable it to determine whether, on the basis of Article 5 of Regulation (EC) No 338/97, a permit/certificate should be issued.

The omission of information from the application must be justified.

Changes to legislation: There are currently no known outstanding effects for the Commission regulation (EC) No 865/2006. (See end of Document for details)

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

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

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

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

6 The management authority shall establish the validity of any supporting documents, where necessary in consultation with a management authority of [^{F58}a third country].

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

8 Where, under the supervision of [^{F59}the management authority], specimens have been individually marked so as to allow an easy reference to the documents referred to in paragraphs 5 and 7, those documents shall not be required to be physically presented together with the application, provided that their number is included in the application.

9 In the absence of the supporting evidence referred to in paragraphs 5 to 8, the management authority shall establish the legal introduction into or acquisition in [^{F60}Great Britain] of the specimens to be (re-)exported, where necessary in consultation with a management authority of [^{F61}a third country].

^{F62}10

Textual Amendments

- F56** Words in Art. 26(1) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(21)(a)**
- F57** Words in Art. 26(2) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(21)(b)**
- F58** Words in Art. 26(6) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(21)(c)**
- F59** Words in Art. 26(8) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(21)(d)**
- F60** Words in Art. 26(9) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(21)(e)(i)**
- F61** Words in Art. 26(9) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(21)(e)(ii)**
- F62** Art. 26(10) omitted (31.12.2020) by virtue of The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(21)(f)**

Changes to legislation: There are currently no known outstanding effects for the Commission regulation (EC) No 865/2006. (See end of Document for details)

[^{F7}Article 26a

Rejection of applications for export permits

[^{F63}The management authority] shall reject applications for export permits for caviar and meat of sturgeon species (*Acipenseriformes* spp.) from shared stocks unless export quotas have been set for the species in accordance with the procedure approved by the Conference of the Parties to the Convention.]

Textual Amendments

- F7** Inserted by Commission Regulation (EC) No 100/2008 of 4 February 2008 amending, as regards sample collections and certain formalities relating to the trade in species of wild fauna and flora, Regulation (EC) No 865/2006 laying down detailed rules for the implementation of Council Regulation (EC) No 338/97.
- F63** Words in Art. 26a substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(22)**

Article 27

Documents to be surrendered by the (re-)exporter to the customs office

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

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

Article 28

Handling by the customs office

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

F64
.....

Textual Amendments

- F64** Words in Art. 28 omitted (31.12.2020) by virtue of The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(23)**

Article 29

Pre-issued permits for nurseries

Where, in compliance with the guidelines adopted by the Conference of the Parties to the Convention, [^{F65}the management authority] registers nurseries which export artificially propagated specimens of species included in Annex A to Regulation (EC) No 338/97, it may make pre-issued export permits for species listed in Annexes A or B to that Regulation available to the nurseries concerned.

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

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

Textual Amendments

F65 Words in [Art. 29](#) substituted (31.12.2020) by [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\)](#), regs. 1(2), **8(24)**

CHAPTER VII

TRAVELLING EXHIBITION CERTIFICATES

Article 30

Issue

1 [^{F66}The management authority] may issue travelling exhibition certificates in respect of legally acquired specimens which form part of a travelling exhibition and which meet [^{F66}at least one] of the following criteria:

- a they were born and bred in captivity in accordance with Articles 54 and 55, or artificially propagated in accordance with Article 56;
- ^{F67}aa they were—
 - i acquired in, or introduced into, a member State before the provisions relating to species listed in Appendices I, II or III to the Convention, or in Annex C to Regulation (EEC) No 3626/82, or in Annexes A, B and C to Regulation 338/97 (pre-exit) became applicable to them; and
 - ii acquired in, or introduced into, the United Kingdom before IP completion day; or]
- b they were acquired in, or introduced into, the [^{F68}United Kingdom] before the provisions relating to species listed in Appendices I, II or III to the Convention, or in Annex C to Regulation (EEC) No 3626/82, or in Annexes A, B and C to [^{F69}Regulation 338/97 (pre-exit)] became applicable to them.

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

Changes to legislation: There are currently no known outstanding effects for the Commission regulation (EC) No 865/2006. (See end of Document for details)

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

[^{F104} In the case of specimens other than live animals, the management authority shall attach to the travelling exhibition certificate an inventory sheet displaying, in respect of each specimen, all the information required by boxes 8 to 18 of the model form set out in Annex III provided for in Implementing Regulation (EU) No 792/2012.]

Textual Amendments

- F10** Substituted by Commission Regulation (EU) No 791/2012 of 23 August 2012 amending, as regards certain provisions relating to the trade in species of wild fauna and flora, Regulation (EC) No 865/2006 laying down detailed rules for the implementation of Council Regulation (EC) No 338/97.
- F66** Words in Art. 30(1) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(25)(a)**
- F67** Art. 30(1)(aa) inserted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(25)(b)**
- F68** Words in Art. 30(1)(b) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(25)(c)(i)**
- F69** Words in Art. 30(1)(b) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(25)(c)(ii)**

Article 31

Use

A travelling exhibition certificate may be used as follows:

- (1) as an import permit, in accordance with Article 4 of Regulation (EC) No 338/97;
- (2) as an export permit or re-export certificate, in accordance with Article 5 of Regulation (EC) No 338/97;
- (3) [^{F6}as a certificate in accordance with Article 8(3) of Regulation (EC) No 338/97 for the sole purpose of allowing the specimens to be displayed to the public for commercial purposes.]

Textual Amendments

- F6** Substituted by Commission Regulation (EC) No 100/2008 of 4 February 2008 amending, as regards sample collections and certain formalities relating to the trade in species of wild fauna and flora, Regulation (EC) No 865/2006 laying down detailed rules for the implementation of Council Regulation (EC) No 338/97.

Article 32

Issuing authority

1 Where the travelling exhibition originates in [^{F70}Great Britain]₂, the issuing authority for a travelling exhibition certificate shall be the management authority ^{F71}....

Changes to legislation: There are currently no known outstanding effects for the Commission regulation (EC) No 865/2006. (See end of Document for details)

2 Where the travelling exhibition originates in a third country, the issuing authority for a travelling exhibition certificate shall be the management authority ^{F72}... and the issue of that certificate shall be based on the provision of an equivalent certificate, issued by that third country.

3 Where, during a stay in [^{F73}Great Britain], an animal covered by a travelling exhibition certificate gives birth, the management authority ^{F74}... shall be notified and shall issue a permit or certificate as appropriate.

Textual Amendments

- F70** Words in Art. 32(1) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(26)(a)**
- F71** Words in Art. 32(1) omitted (31.12.2020) by virtue of The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(26)(a)**
- F72** Words in Art. 32(2) omitted (31.12.2020) by virtue of The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(26)(b)**
- F73** Words in Art. 32(3) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(26)(c)**
- F74** Words in Art. 32(3) omitted (31.12.2020) by virtue of The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(26)(c)**

Article 33

Requirement for specimens

1 Where a specimen is covered by a travelling exhibition certificate, all the following requirements shall be met:

- a the specimen must be registered by the issuing management authority;
- b the specimen must be returned to the [^{F75}third country] in which it is registered before the date of expiry of the certificate;
- c the specimen must be uniquely and permanently marked, in accordance with Article 66 in the case of live animals, or otherwise identified in such a way that the authorities of [^{F76}the third countries] into which the specimen enters can verify that the certificate corresponds to the specimen being imported or exported.

2 In the case of travelling exhibition certificates issued in accordance with Article 32(2), points (a) and (b) of paragraph 1 of this Article shall not apply. In such cases, the certificate shall include the following text in box 20:

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

Textual Amendments

- F75** Words in Art. 33(1)(b) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(27)(a)**
- F76** Words in Art. 33(1)(c) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(27)(b)**

Changes to legislation: There are currently no known outstanding effects for the Commission regulation (EC) No 865/2006. (See end of Document for details)

Article 34

Applications

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

[^{F77}The management authority] may, however, provide that only an application form is to be completed, in which case such an application may be for more than one certificate.

2 The duly completed form shall be submitted to the management authority ^{F78}..., together with the necessary information and the documentary evidence that that authority deems necessary so as to enable it to determine whether a certificate should be issued.

The omission of information from the application must be justified.

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

Textual Amendments

F77 Words in Art. 34(1) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(28)(a)**

F78 Words in Art. 34(2) omitted (31.12.2020) by virtue of The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(28)(b)**

Article 35

Documents to be surrendered to the customs office by the holder

1 [^{F79}For] a travelling exhibition certificate issued in accordance with [^{F80}this Regulation, Regulation 338/97 (pre-exit), or the Convention], the holder or his authorised representative shall, for verification purposes, surrender the original of that certificate (form 1), and the original and a copy of the continuation sheet, to a customs office designated in accordance with Article 12(1) of Regulation (EC) No 338/97.

F81 ...

F82 2

Textual Amendments

F79 Word in Art. 35(1) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(29)(a)(i)(aa)**

F80 Words in Art. 35(1) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(29)(a)(i)(bb)**

F81 Words in Art. 35(1) omitted (31.12.2020) by virtue of The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(29)(a)(ii)**

Changes to legislation: There are currently no known outstanding effects for the Commission regulation (EC) No 865/2006. (See end of Document for details)

F82 Art. 35(2) omitted (31.12.2020) by virtue of The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(29)(b)**

Article 36

Replacement

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

[^{F6}The replacement shall bear the same number, if possible, and the same date of validity as the original document, and shall include, in box 20, one of the following statements:

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

Textual Amendments

F6 Substituted by Commission Regulation (EC) No 100/2008 of 4 February 2008 amending, as regards sample collections and certain formalities relating to the trade in species of wild fauna and flora, Regulation (EC) No 865/2006 laying down detailed rules for the implementation of Council Regulation (EC) No 338/97.

CHAPTER VIII

PERSONAL OWNERSHIP CERTIFICATE

Article 37

Issue

[^{F101} [^{F83}The management authority] may issue personal ownership certificates to the legal owner of legally acquired live animals, held for personal non-commercial purposes.]

2 A personal ownership certificate shall cover only one specimen.

3 A continuation sheet shall be attached to the certificate for use in accordance with Article 42.

Textual Amendments

F10 Substituted by Commission Regulation (EU) No 791/2012 of 23 August 2012 amending, as regards certain provisions relating to the trade in species of wild fauna and flora, Regulation (EC) No 865/2006 laying down detailed rules for the implementation of Council Regulation (EC) No 338/97.

F83 Words in Art. 37(1) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(30)**

Changes to legislation: There are currently no known outstanding effects for the Commission regulation (EC) No 865/2006. (See end of Document for details)

Article 38

Use

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

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

Article 39

Issuing authority

1 Where the specimen originates within [^{F84}Great Britain], the issuing authority for a personal ownership certificate shall be the management authority ^{F85}....

2 Where the specimen is introduced from a third country, the issuing authority for a personal ownership certificate shall be the management authority ^{F86}... and the issue of that certificate shall be based on the provision of an equivalent document, issued by that third country.

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

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

The specimen covered by this certificate may not be sold or otherwise transferred except in accordance with Article 43 ^{F87}.... This certificate is non-transferable. If the specimen dies, is stolen, destroyed or lost, or if it is sold or if ownership of the specimen is otherwise transferred, this certificate must be immediately returned to the issuing management authority.

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

^{F88}
...

4 Where, during a stay in [^{F89}Great Britain], an animal covered by a personal ownership certificate gives birth, the management authority ^{F90}... shall be notified and shall issue a permit or certificate as appropriate.

Textual Amendments

- F84** Words in Art. 39(1) substituted (31.12.2020) by [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\)](#), regs. 1(2), **8(31)(a)**
- F85** Words in Art. 39(1) omitted (31.12.2020) by virtue of [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\)](#), regs. 1(2), **8(31)(a)**
- F86** Words in Art. 39(2) omitted (31.12.2020) by virtue of [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\)](#), regs. 1(2), **8(31)(b)**

Changes to legislation: There are currently no known outstanding effects for the Commission regulation (EC) No 865/2006. (See end of Document for details)

- F87** Words in Art. 39(3) omitted (31.12.2020) by virtue of The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(31)(c)(i)**
- F88** Words in Art. 39(3) omitted (31.12.2020) by virtue of The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(31)(c)(ii)**
- F89** Word in Art. 39(4) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(31)(d)**
- F90** Words in Art. 39(4) omitted (31.12.2020) by virtue of The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(31)(d)**

Article 40

Requirements for specimens

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

- a the specimen must be registered by the management authority of the [^{F91}country] in which the owner has his usual residence;
- ^{F92}b
- c the specimen may not be used for commercial purposes except subject to the conditions provided for in Article 43;
- d the specimen must be uniquely and permanently marked in accordance with Article 66.

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

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

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

Textual Amendments

- F91** Word in Art. 40(1)(a) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(32)(a)**
- F92** Art. 40(1)(b) omitted (31.12.2020) by virtue of The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(32)(b)**

Article 41

Applications

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

[^{F93}The management authority] may, however, provide that only an application form is to be completed, in which case such an application may be for more than one certificate.

Changes to legislation: There are currently no known outstanding effects for the Commission regulation (EC) No 865/2006. (See end of Document for details)

2 The duly completed form shall be submitted to [^{F94}the management authority], together with the necessary information and the documentary evidence that that authority deems necessary so as to enable it to determine whether a certificate should be issued.

The omission of information from the application must be justified.

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

Textual Amendments

- F93** Words in Art. 41(1) substituted (31.12.2020) by [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\)](#), regs. 1(2), **8(33)(a)**
- F94** Words in Art. 41(2) substituted (31.12.2020) by [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\)](#), regs. 1(2), **8(33)(b)**

Article 42

Documents to be surrendered by the holder to the customs office

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

F95
...

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

F96
...

Textual Amendments

- F95** Words in Art. 42(1) omitted (31.12.2020) by virtue of [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\)](#), regs. 1(2), **8(34)(a)**
- F96** Words in Art. 42(2) omitted (31.12.2020) by virtue of [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\)](#), regs. 1(2), **8(34)(b)**

Article 43

Sales of specimens covered

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

Article 44

Replacement

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

[^{F6}The replacement shall bear the same number, if possible, and the same date of validity as the original document, and shall include, in box 23, one of the following statements:

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

Textual Amendments

- F6** Substituted by [Commission Regulation \(EC\) No 100/2008 of 4 February 2008 amending, as regards sample collections and certain formalities relating to the trade in species of wild fauna and flora, Regulation \(EC\) No 865/2006 laying down detailed rules for the implementation of Council Regulation \(EC\) No 338/97.](#)

[^{F7}CHAPTER VIIIa

SAMPLE COLLECTION CERTIFICATES

Article 44a

Issue

[^{F97}The management authority] may issue sample collection certificates in respect of sample collections, provided the collection is covered by a valid ATA carnet and includes specimens, parts or derivatives of species listed in Annexes A, B or C of Regulation (EC) No 338/97.

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

Textual Amendments

- F97** Words in [Art. 44a](#) substituted (31.12.2020) by [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\)](#), regs. 1(2), **8(35)**

Article 44b

Use

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

Changes to legislation: There are currently no known outstanding effects for the Commission regulation (EC) No 865/2006. (See end of Document for details)

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

Article 44c

Issuing authority

- 1 Where the sample collection originates within [^{F98}Great Britain] the issuing authority for a sample collection certificate shall be the management authority ^{F99}....
- 2 Where the sample collection originates in a third country, the issuing authority for a sample collection certificate shall be the management authority ^{F100}... and the issuance of that certificate shall be based on the provision of an equivalent document, issued by that third country.

Textual Amendments

- F98** Words in Art. 44c(1) substituted (31.12.2020) by [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\)](#), regs. 1(2), **8(36)(a)**
- F99** Words in Art. 44c(1) omitted (31.12.2020) by virtue of [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\)](#), regs. 1(2), **8(36)(a)**
- F100** Words in Art. 44c(2) omitted (31.12.2020) by virtue of [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\)](#), regs. 1(2), **8(36)(b)**

Article 44d

Requirements

- 1 A sample collection covered by a sample collection certificate must be re-imported into [^{F101}Great Britain] before the date of expiry of the certificate.
- 2 The specimens covered by a sample collection certificate may not be sold or otherwise transferred whilst outside the territory of the State that issued the certificate.
- 3 A sample collection certificate shall not be transferable. If the specimens covered by a sample collection certificate are stolen, destroyed, or lost, the issuing management authority and the management authority of the country in which this occurred shall be immediately informed.
- 4 A sample collection certificate shall indicate that the document is for 'other: Sample Collection' and shall include the number of the accompanying ATA carnet in box 23.

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

For sample collection accompanied by ATA carnet No: xxx

Changes to legislation: There are currently no known outstanding effects for the Commission regulation (EC) No 865/2006. (See end of Document for details)

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

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

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

Textual Amendments

F101 Words in Art. 44d(1) substituted (31.12.2020) by [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\)](#), regs. 1(2), **8(37)**

Article 44e

Applications

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

[^{F102}The management authority] may, however, provide that only an application form is to be completed.

2 The duly completed form shall be submitted to [^{F103}the management authority], together with the necessary information and the documentary evidence that that authority deems necessary so as to allow it to determine whether a certificate should be issued.

The omission of information from the application must be justified.

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

Textual Amendments

F102 Words in Art. 44e(1) substituted (31.12.2020) by [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\)](#), regs. 1(2), **8(38)(a)**

F103 Words in Art. 44e(2) substituted (31.12.2020) by [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\)](#), regs. 1(2), **8(38)(b)**

Changes to legislation: There are currently no known outstanding effects for the Commission regulation (EC) No 865/2006. (See end of Document for details)

Article 44f

Documents to be surrendered by the holder to the customs office

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

F104 ...

F105 ...

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

Textual Amendments

F104 Words in Art. 44f(1) omitted (31.12.2020) by virtue of [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\)](#), regs. 1(2), **8(39)(a)**

F105 Words in Art. 44f(1) omitted (31.12.2020) by virtue of [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\)](#), regs. 1(2), **8(39)(b)**

Article 44g

Replacement

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

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

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

[^{F14}CHAPTER VIIIb

MUSICAL INSTRUMENT CERTIFICATE

Article 44h

Issue

1 [^{F106}The management authority] may issue a musical instrument certificate for non-commercial cross-border movement of musical instruments for purposes including, but not

limited to, personal use, performance, production (recordings), broadcast, teaching, display or competition, where such instruments meet all of the following requirements:

- a they are derived from species listed in Annexes A, B or C of Regulation (EC) No 338/97, other than specimens of species listed in Annex A of Regulation (EC) No 338/97 acquired after the species was included in Appendices to the Convention;
- b the specimen used in the manufacture of the musical instrument has been legally acquired;
- c the musical instrument is appropriately identified.

2 A continuation sheet shall be attached to the certificate for use in accordance with Article 44m.

Textual Amendments

F106 Words in Art. 44h(1) substituted (31.12.2020) by [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\)](#), regs. 1(2), **8(40)**

Article 44i

Use

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

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

Article 44j

Issuing authority

F107₁

2 The musical instrument certificate shall include the following text in box 23 or in an appropriate annex to the certificate:

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

The musical instrument covered by this certificate, which permits multiple cross-border movements, is for non-commercial use for purposes including, but not limited to, personal use, performance, production (recordings), broadcast, teaching, display or competition. The musical instrument covered by this certificate may not be sold or possession of it transferred whilst it is outside [^{F108}Great Britain].

This certificate must be returned to the management authority of the [^{F109}United Kingdom] before the expiration of the certificate.

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

Changes to legislation: There are currently no known outstanding effects for the Commission regulation (EC) No 865/2006. (See end of Document for details)

Textual Amendments

- F107** Art. 44j(1) omitted (31.12.2020) by virtue of [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\)](#), regs. 1(2), **8(41)(a)**
- F108** Words in Art. 44j substituted (31.12.2020) by [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\)](#), regs. 1(2), **8(41)(b)**
- F109** Words in Art. 44j substituted (31.12.2020) by [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\)](#), regs. 1(2), **8(41)(c)**

Article 44k

Requirements for specimens

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

- (a) the musical instrument must be registered by the issuing management authority;
- (b) the musical instrument must be returned to [F110Great Britain] before the date of expiry of the certificate;
- (c) the specimen may not be sold or possession of it transferred whilst outside [F111Great Britain] except subject to the conditions provided for in Article 44n;
- (d) the musical instrument must be appropriately identified.

Textual Amendments

- F110** Words in Art. 44k(b) substituted (31.12.2020) by [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\)](#), regs. 1(2), **8(42)(a)**
- F111** Words in Art. 44k(c) substituted (31.12.2020) by [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\)](#), regs. 1(2), **8(42)(b)**

Article 44l

Applications

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

[F112The management authority] may provide that only an application form is to be completed, in which case such an application may be for more than one certificate.

2 The duly completed application form shall be submitted to [F113the management authority] together with the necessary information and the documentary evidence that that authority deems necessary in order for it to determine whether a certificate should be issued.

Any omission of information from the application must be justified.

Changes to legislation: There are currently no known outstanding effects for the Commission regulation (EC) No 865/2006. (See end of Document for details)

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

Textual Amendments

- F112** Words in Art. 44l(1) substituted (31.12.2020) by [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\)](#), regs. 1(2), **8(43)(a)**
- F113** Words in Art. 44l(2) substituted (31.12.2020) by [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\)](#), regs. 1(2), **8(43)(b)**

Article 44m

Documents to be surrendered by the holder to the customs office

In the case of the introduction into [^{F114}Great Britain], export or re-export of a specimen covered by a musical instrument certificate issued in accordance with Article 44j, the holder of the certificate shall, for verification purposes, surrender the original of that certificate and the original and a copy of the continuation sheet to a customs office designated in accordance with Article 12(1) of Regulation (EC) No 338/97.

F115

Textual Amendments

- F114** Words in Art. 44m substituted (31.12.2020) by [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\)](#), regs. 1(2), **8(44)(a)**
- F115** Words in Art. 44m omitted (31.12.2020) by virtue of [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\)](#), regs. 1(2), **8(44)(b)**

Article 44n

Sales of specimens covered

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

Article 44o

Replacement

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

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

Changes to legislation: There are currently no known outstanding effects for the Commission regulation (EC) No 865/2006. (See end of Document for details)

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

Article 44p

Introduction of musical instruments into [^{F116}Great Britain] with certificates issued by third countries

The introduction into [^{F117}Great Britain] of a musical instrument shall not require the presentation of an export document or an import permit provided that it is covered by a musical instrument certificate issued by a third country under similar conditions to those set out in Articles 44h and 44j. Re-export of that musical instrument shall not require the presentation of a re-export certificate.]

Textual Amendments

F116 Words in Art. 44p heading substituted (31.12.2020) by [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\)](#), regs. 1(2), **8(45)**

F117 Words in Art. 44p substituted (31.12.2020) by [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\)](#), regs. 1(2), **8(45)**

CHAPTER IX

CUSTOMS PROCEDURE

^{F118} *Article 45*

Forwarding of documents presented to customs offices

Textual Amendments

F118 Art. 45 omitted (31.12.2020) by virtue of [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\)](#), regs. 1(2), **8(46)**

[^{F119}CHAPTER 9A

NON-DESIGNATED CUSTOMS OFFICES

Article 45a

Introduction, export or re-export through a non-designated customs office

1. For the purpose of Article 12(4) of Regulation (EC) No 338/97, the criteria are set out in paragraphs 2 and 3.
2. The first criterion is that the relevant person did not know—

Changes to legislation: There are currently no known outstanding effects for the Commission regulation (EC) No 865/2006. (See end of Document for details)

- a that the relevant person was required to use a customs office for carrying out the checks and formalities which is designated in accordance with Article 12(1) of Regulation (EC) No 338/97, or
 - b that the customs office used by the relevant person for carrying out the checks and formalities is not designated in accordance with Article 12(1) of Regulation (EC) No 338/97.
3. The second criterion is that the relevant person has not previously used a customs office for carrying out the checks and formalities which was the subject of an authorisation under Article 12(4) of Regulation (EC) No 338/97 in relation to that relevant person.
4. In this Article, “the relevant person” means—
- a the importer,
 - b the (re-)exporter, or
 - c the authorised representative of the importer or the (re-)exporter.

Article 45b

Treatment of references to customs offices

Where authorisation is given under Article 12(4) of Regulation (EC) No 338/97—

- (a) references in Articles 22, 23, 24, and 25 of this Regulation to a border customs office at the point of introduction are to be treated as references to the border customs office at the point of introduction which is the subject of such authorisation;
- (b) references in Articles 27, 28, 35, 42, 44f, 44m, and 53 of this Regulation to a customs office are to be treated as references to the customs office which is the subject of such authorisation.]

Textual Amendments

F119 Ch. 9A inserted (31.12.2020 at 11.30 p.m.) by [The Trade in Endangered Species of Wild Fauna and Flora \(Commission Regulation \(EC\) No 865/2006\) \(Amendment\) Regulations 2020 \(S.I. 2020/1668\)](#), regs. 1, 2

CHAPTER X

CERTIFICATES PROVIDED FOR IN ARTICLES ^{F120}... 5(3), 5(4), 8(3) AND 9(2)(b) OF REGULATION (EC) No 338/97

Article 46

Issuing authority

Certificates provided for in Articles ^{F121}... 5(3), 5(4), 8(3) and 9(2)(b) of Regulation (EC) No 338/97 may be issued by the management authority ^{F122}... on receiving an application in accordance with Article 50 of this Regulation.

Changes to legislation: There are currently no known outstanding effects for the Commission regulation (EC) No 865/2006. (See end of Document for details)

Textual Amendments

- F121** Word in Art. 46 omitted (31.12.2020) by virtue of The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(48)**
- F122** Words in Art. 46 omitted (31.12.2020) by virtue of The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(48)**

Article 47

Certificates provided for in ^{F123}Article 5] (3) and (4) of Regulation (EC) No 338/97 (certificates required for export or re-export)

The certificates provided for in ^{F124}Article 5] (3) and (4) of Regulation (EC) No 338/97 shall indicate which of the following statements apply in the case of the specimens covered:

- (1) they were taken from the wild in accordance with the legislation of the ^{F125}United Kingdom (as that legislation applies in Great Britain)];
- (2) they were abandoned or had escaped and were recovered in accordance with the legislation of the ^{F126}United Kingdom (as that legislation applies in Great Britain)];
- (3) they were acquired in, or introduced into ^{F127}Great Britain after IP completion day], in accordance with Regulation (EC) No 338/97;
- (3A) ^{F128}they were acquired in, or were introduced into, the United Kingdom before IP completion day, in accordance with Regulation 338/97 (pre-exit);]
- (4) they were acquired in, or introduced into the ^{F129}United Kingdom], before 1 June 1997 in accordance with Regulation (EEC) No 3626/82;
- (5) they were acquired in, or introduced into, the ^{F130}United Kingdom] before 1 January 1984 in accordance with the Convention;
- (6) they were acquired in, or introduced into, the territory of a Member State before the Regulations referred to in points ^{F131}(3A)] or (4) or the Convention became applicable to them, or became applicable in that Member State ^{F132}, and were acquired in, or were introduced into, the United Kingdom before IP completion day].

Textual Amendments

- F123** Words in Art. 47 heading substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(49)(a)**
- F124** Words in Art. 47 substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(49)(b)**
- F125** Words in Art. 47(1) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(49)(c)**
- F126** Words in Art. 47(2) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(49)(d)**
- F127** Words in Art. 47(3) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(49)(e)**
- F128** Art. 47(3A) inserted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(49)(f)**

Changes to legislation: There are currently no known outstanding effects for the Commission regulation (EC) No 865/2006. (See end of Document for details)

- F129** Words in Art. 47(4) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(49)(g)**
- F130** Words in Art. 47(5) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(49)(h)**
- F131** Word in Art. 47(6) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(49)(i)(i)**
- F132** Words in Art. 47(6) inserted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(49)(i)(ii)**

Article 48

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

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

- [^{F133}a they were—
- i acquired in, or introduced into, a member State before the provisions relating to species listed in Annex A to Regulation 338/97 (pre-exit), or in Appendix I to the Convention, or in Annex C1 to Regulation (EEC) No 3626/82 became applicable to them; and
 - ii acquired in, or introduced into, the United Kingdom before IP completion day;]

[^{F134}aa they were acquired in, or were introduced into, the United Kingdom before the provisions relating to species listed in Annex A to Regulation 338/97 (pre-exit), or in Appendix I to the Convention, or in Annex C1 to Regulation (EEC) No 3626/82 became applicable to them;]

 - b they originate in [^{F135}Great Britain] and were taken from the wild in accordance with the legislation of [^{F135}the United Kingdom (as that legislation applies in Great Britain)];
 - c they are, or are parts of, or are derived from animals born and bred in captivity;
 - d they are authorised to be used for one of the purposes referred to in Article 8(3)(c) and (e) to (g) of Regulation (EC) No 338/97.

2 The ^{F136}... management authority ^{F136}... may deem an import permit acceptable as a certificate for the purposes of Article 8(3) of Regulation (EC) No 338/97 upon presentation of, the ‘copy for the holder’ (form 2), if that form states that, as provided for in Article 8(3) thereof, the specimens are exempted from one or more of the prohibitions laid down in Article 8(1) of that Regulation.

Textual Amendments

- F133** Art. 48(1)(a) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(50)(a)(i)**
- F134** Art. 48(1)(aa) inserted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(50)(a)(ii)**
- F135** Words in Art. 48(1)(b) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(50)(a)(iii)**
- F136** Words in Art. 48(2) omitted (31.12.2020) by virtue of The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(50)(b)**

Changes to legislation: There are currently no known outstanding effects for the Commission regulation (EC) No 865/2006. (See end of Document for details)

Article 49

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

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

Article 50

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

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

[^{F137}The management authority] may, however, provide that only an application form is to be completed, in which case such an application may be for more than one certificate.

2 The duly completed form shall be submitted to [^{F138}the management authority], together with the necessary information and the documentary evidence that that authority deems necessary so as to enable it to determine whether a certificate should be issued.

The omission of information from the application must be justified.

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

Textual Amendments

F137 Words in Art. 50(1) substituted (31.12.2020) by [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\)](#), regs. 1(2), **8(51)(a)**

F138 Words in Art. 50(2) substituted (31.12.2020) by [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\)](#), regs. 1(2), **8(51)(b)**

Article 51

Amendments to permits, notifications and certificates

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

- a it may make the necessary amendments to those documents in accordance with Article 4(2).

Changes to legislation: There are currently no known outstanding effects for the Commission regulation (EC) No 865/2006. (See end of Document for details)

- b it may issue one or more corresponding certificates for the purposes referred to in Articles 47 and 48.

For the purposes of point (b), the management authority must first establish the validity of the document to be replaced, where necessary in consultation with the management authority of [^{F139}a third country].

2 Where certificates are issued to replace a ‘copy for the holder’ (form 2) of an import permit, or a ‘copy for the importer’ (form 2) of an import notification, or a previously issued certificate, that document shall be retained by the management authority ^{F140}....

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

^{F141}4

Textual Amendments

F139 Words in Art. 51(1) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(52)(a)**

F140 Words in Art. 51(2) omitted (31.12.2020) by virtue of The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(52)(b)**

F141 Art. 51(4) omitted (31.12.2020) by virtue of The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(52)(c)**

Textual Amendments

F120 Word in Ch. 10 heading omitted (31.12.2020) by virtue of The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(47)**

CHAPTER XI

LABELS

Article 52

Use of labels

[^{F101} The labels referred to in Article 2(6) of Implementing Regulation (EU) No 792/2012 shall be used only for the movement between duly registered scientists and scientific institutions of non-commercial loans, donations and exchanges of herbarium specimens, preserved, dried or embedded museum specimens and live plant material for scientific study.]

2 A registration number shall be attributed to the scientists and scientific institutions referred to in paragraph 1 by the management authority ^{F142}....

That registration number shall contain five digits, the first two of which shall be the two-letter ISO country code for the [^{F143}United Kingdom] and the last three a unique number assigned to each institution by the competent management authority.

Changes to legislation: There are currently no known outstanding effects for the Commission regulation (EC) No 865/2006. (See end of Document for details)

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

Textual Amendments

- F10** Substituted by [Commission Regulation \(EU\) No 791/2012 of 23 August 2012 amending, as regards certain provisions relating to the trade in species of wild fauna and flora, Regulation \(EC\) No 865/2006 laying down detailed rules for the implementation of Council Regulation \(EC\) No 338/97.](#)
- F142** Words in [Art. 52\(2\)](#) omitted (31.12.2020) by virtue of [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\)](#), regs. 1(2), **8(53)(a)**
- F143** Words in [Art. 52\(2\)](#) substituted (31.12.2020) by [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\)](#), regs. 1(2), **8(53)(b)**

CHAPTER XII

DEROGATIONS FROM CUSTOMS PROCEDURES AS REFERRED TO IN ARTICLE 4(7) OF REGULATION (EC) No 338/97

Article 53

Customs offices other than the border customs office at the point of introduction

1 Where a shipment to be introduced into [^{F144}Great Britain] arrives at a border customs office by sea, air or rail for dispatch by the same mode of transport, and without intermediate storage, to another customs office in [^{F144}Great Britain] designated in accordance with Article 12(1) of Regulation (EC) No 338/97, the completion of checks and the presentation of import documents shall take place at the latter.

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

Textual Amendments

- F144** Words in [Art. 53\(1\)](#) substituted (31.12.2020) by [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\)](#), regs. 1(2), **8(54)**

CHAPTER XIII

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

Without prejudice to Article 55, a specimen of an animal species shall be considered to be born and bred in captivity only if [^{F145}the] management authority, in consultation with [^{F146}the competent scientific authority of the United Kingdom], is satisfied that the following criteria are met:

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

Textual Amendments

F145 Word in [Art. 54](#) substituted (31.12.2020) by [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\)](#), regs. 1(2), [8\(55\)\(a\)](#)

F146 Words in [Art. 54](#) substituted (31.12.2020) by [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\)](#), regs. 1(2), [8\(55\)\(b\)](#)

Changes to legislation: There are currently no known outstanding effects for the Commission regulation (EC) No 865/2006. (See end of Document for details)

Article 55

Establishment of ancestry

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

Article 56

Artificially propagated specimens of plant species

1 A specimen of a plant species shall be considered to be artificially propagated only if [^{F147}the management authority], in consultation with [^{F148}the competent scientific authority]^{F149}..., is satisfied that the following criteria are met:

- a the specimen is, or is derived from, plants grown from seeds, cuttings, divisions, callus tissues or other plant tissues, spores or other propagules under controlled conditions;
- [^{F10}b the cultivated parental stock is established and maintained in accordance with the definition set out in Article 1(4a);]
- [^{F150}(c)] ^{F150}.....
- [^{F10}d in the case of grafted plants, both the root stock and the graft have been artificially propagated in accordance with points (a) and (b).]

[^{F1}For the purposes of point (a), controlled conditions refers to a non-natural environment that is intensively manipulated by human intervention, which may include but is not limited to tillage, fertilisation, weed control, irrigation, or nursery operations such as potting, bedding and protecting from weather. For agarwood producing taxa, which are grown from seeds, cuttings, grafting, marcoting-air-layering, divisions, callus tissues or other plant tissues, spores or other propagules 'under controlled conditions' refers to a tree plantation, including other non-natural environment that is manipulated by human intervention for the purpose of producing plants or plant's parts and derivatives.]

[^{F102} Timber and other parts or derivatives of trees taken from trees grown in monospecific plantations shall be considered to be artificially propagated in accordance with paragraph 1.]

[^{F143} Trees of agarwood producing taxa grown in cultivation such as:

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

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

Textual Amendments

- F1** Substituted by [Commission Regulation \(EU\) 2015/870 of 5 June 2015 amending, as regards the trade in species of wild fauna and flora, Regulation \(EC\) No 865/2006 laying down detailed rules concerning the implementation of Council Regulation \(EC\) No 338/97.](#)

Changes to legislation: There are currently no known outstanding effects for the Commission regulation (EC) No 865/2006. (See end of Document for details)

- F10** Substituted by Commission Regulation (EU) No 791/2012 of 23 August 2012 amending, as regards certain provisions relating to the trade in species of wild fauna and flora, Regulation (EC) No 865/2006 laying down detailed rules for the implementation of Council Regulation (EC) No 338/97.
- F14** Inserted by Commission Regulation (EU) 2015/870 of 5 June 2015 amending, as regards the trade in species of wild fauna and flora, Regulation (EC) No 865/2006 laying down detailed rules concerning the implementation of Council Regulation (EC) No 338/97.
- F147** Words in Art. 56(1) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(56)(a)**
- F148** Words in Art. 56(1) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(56)(b)**
- F149** Words in Art. 56(1) omitted (31.12.2020) by virtue of The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(56)(c)**
- F150** Deleted by Commission Regulation (EU) No 791/2012 of 23 August 2012 amending, as regards certain provisions relating to the trade in species of wild fauna and flora, Regulation (EC) No 865/2006 laying down detailed rules for the implementation of Council Regulation (EC) No 338/97.

CHAPTER XIV

PERSONAL AND HOUSEHOLD EFFECTS

Article 57

Introduction and reintroduction into [^{F151}Great Britain] of personal and household effects

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

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

- a they are contained in the personal luggage of travellers coming from a third country;
- b they are contained in the personal property of a natural person transferring his normal place of residence from a third country to [^{F152}Great Britain];
- c they are hunting trophies taken by a traveller and imported at a later date.

2 The derogation from Article 4 of Regulation (EC) No 338/97 for personal or household effects, provided for in Article 7(3) of that Regulation, shall not apply to specimens of species listed in Annex A thereto where they are introduced into [^{F153}Great Britain] for the first time by a person normally residing in, or taking up residence in, [^{F153}Great Britain].

3 The first introduction into [^{F154}Great Britain] of personal or household effects, including hunting trophies, by a person normally residing in [^{F154}Great Britain] and involving specimens of species listed in Annex B to Regulation (EC) No 338/97 shall not require the presentation to customs of an import permit, provided that the original of a (re-)export document and a copy thereof are presented.

^{F155}
...

[^{F143a} By way of derogation from paragraph 3, the first introduction into [^{F156}Great Britain] of hunting trophies of specimens of species or populations listed in Annex B to Regulation (EC)

Changes to legislation: There are currently no known outstanding effects for the Commission regulation (EC) No 865/2006. (See end of Document for details)

No 338/97 and in Annex XIII to this Regulation shall be subject to Article 4 of Regulation (EC) No 338/97.]

4 The reintroduction into [^{F157}Great Britain], by a person normally residing in [^{F157}Great Britain], of personal or household effects, including hunting trophies, that are specimens of species listed in Annex A or B to Regulation (EC) No 338/97 shall not require the presentation to customs of an import permit, provided that one of the following is presented:

- a the customs-endorsed ‘copy for the holder’ (form 2) of a previously used [^{F158}import or export permit issued in Great Britain];
- b the copy of the (re-)export document referred to in paragraph 3;
- c proof that the specimens were acquired within [^{F157}Great Britain].

[^{F65} By way of derogation from paragraphs 3 and 4, the introduction or re-introduction into [^{F159}Great Britain] of the following items listed in Annex B to Regulation (EC) No 338/97 shall not require the presentation of a (re-)export document or an import permit:

- a caviar of sturgeon species (*Acipenseriformes* spp.), up to a maximum of 125 grams per person, in containers that are individually marked in accordance with Article 66(6);
- b rainsticks of *Cactaceae* spp., up to three per person;
- c dead worked specimens of *Crocodylia* spp., excluding meat and hunting trophies, up to four per person;
- d shells of *Strombus gigas*, up to three per person;
- e *Hippocampus* spp. up to four dead specimens per person;
- f shells of *Tridacnidae* spp. up to three specimens per person not exceeding three kg in total, where a specimen may be one intact shell or two matching halves[^{F1};

[^{F14}g specimens of agarwood (*Aquilaria* spp. and *Gyrinops* spp.) — up to 1 kg woodchips, 24 ml oil, and two sets of beads or prayer beads (or two necklaces or bracelets) per person.]]

Textual Amendments

- F1** Substituted by Commission Regulation (EU) 2015/870 of 5 June 2015 amending, as regards the trade in species of wild fauna and flora, Regulation (EC) No 865/2006 laying down detailed rules concerning the implementation of Council Regulation (EC) No 338/97.
- F6** Substituted by Commission Regulation (EC) No 100/2008 of 4 February 2008 amending, as regards sample collections and certain formalities relating to the trade in species of wild fauna and flora, Regulation (EC) No 865/2006 laying down detailed rules for the implementation of Council Regulation (EC) No 338/97.
- F14** Inserted by Commission Regulation (EU) 2015/870 of 5 June 2015 amending, as regards the trade in species of wild fauna and flora, Regulation (EC) No 865/2006 laying down detailed rules concerning the implementation of Council Regulation (EC) No 338/97.
- F151** Words in Art. 57 heading substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(57)(a)**
- F152** Words in Art. 57(1)(b) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(57)(a)**
- F153** Words in Art. 57(2) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(57)(a)**
- F154** Words in Art. 57(3) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(57)(b)(i)**
- F155** Words in Art. 57(3) omitted (31.12.2020) by virtue of The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(57)(b)(ii)**
- F156** Words in Art. 57(3a) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(57)(c)**

Changes to legislation: There are currently no known outstanding effects for the Commission regulation (EC) No 865/2006. (See end of Document for details)

- F157** Words in Art. 57(4) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(57)(a)**
- F158** Words in Art. 57(4)(a) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(57)(d)**
- F159** Words in Art. 57(5) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(57)(a)**

Article 58

Export and re-export from [^{F160}Great Britain] of personal and household effects

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

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

- a they are contained in the personal luggage of travellers going to a third country;
- b they are contained in the personal property of a natural person transferring his normal place of residence from [^{F161}Great Britain] to a third country.

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

3 The re-export, by a person normally residing in [^{F162}Great Britain], of personal or household effects, including personal hunting trophies, that are specimens of species listed in Annexes A or B to Regulation (EC) No 338/97 shall not require the presentation to customs of a re-export certificate, provided that one of the following is presented:

- a the customs-endorsed 'copy for the holder' (form 2) of a previously used [^{F163}import or export permit issued in Great Britain];
- b the copy of the (re-)export document referred to in Article 57(3) of this Regulation;
- c proof that the specimens were acquired within [^{F164}Great Britain].

[^{F14}The provisions in the previous subparagraph do not apply to re-export of rhino horn or elephant ivory contained in personal or household effects; for these specimens the presentation to customs of a re-export certificate shall be required.]

[^{F13a} The re-export by a person not normally residing in [^{F165}Great Britain] of personal or household effects acquired outside his/her [^{F166}country] of usual residence, including personal hunting trophies, that are specimens of species listed in Annex A to Regulation (EC) No 338/97, shall be subject to the presentation to customs of a re-export certificate. The same requirement applies to the re-export as personal or household effects of rhino horn or elephant ivory from specimens from populations listed in Annex B to Regulation (EC) No 338/97.

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

Changes to legislation: There are currently no known outstanding effects for the Commission regulation (EC) No 865/2006. (See end of Document for details)

Textual Amendments

- F1** Substituted by Commission Regulation (EU) 2015/870 of 5 June 2015 amending, as regards the trade in species of wild fauna and flora, Regulation (EC) No 865/2006 laying down detailed rules concerning the implementation of Council Regulation (EC) No 338/97.
- F14** Inserted by Commission Regulation (EU) 2015/870 of 5 June 2015 amending, as regards the trade in species of wild fauna and flora, Regulation (EC) No 865/2006 laying down detailed rules concerning the implementation of Council Regulation (EC) No 338/97.
- F160** Words in Art. 58 heading substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(58)(a)**
- F161** Words in Art. 58(1)(b) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(58)(a)**
- F162** Words in Art. 58(3) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(58)(b)(i)**
- F163** Words in Art. 58(3)(a) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(58)(b)(ii)**
- F164** Words in Art. 58(3)(c) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(58)(b)(i)(iii)**
- F165** Word in Art. 58(3a) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(58)(c)**
- F166** Words in Art. 58(3a) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(58)(c)**

[^{F2}Article 58a

Commercial use of personal and household effects within [^{F167}Great Britain]

[^{F11} Commercial activities for specimens of species listed in Annex B to Regulation (EC) No 338/97 which are introduced into [^{F168}Great Britain] in accordance with Article 7(3) of Regulation (EC) No 338/97 may be authorised by [^{F168}the management authority] only under the following conditions:]

- [^{F169}a where the specimen was acquired in, or was introduced into, the United Kingdom before IP completion day or was introduced into Great Britain after that day, the applicant needs to demonstrate that the specimen has been so introduced for at least two years before it can be used for commercial purpose; and]
- b the management authority [^{F170}... has verified that the specimen in question could have been imported for commercial purposes in accordance with Article 4(2) of Regulation (EC) No 338/97 at the time when it was introduced into [^{F171}Great Britain].

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

[^{F12} Commercial activities shall be prohibited for specimens of species listed in Annex A to Regulation (EC) No 338/97 which were introduced into [^{F172}Great Britain] in accordance with Article 7(3) of Regulation (EC) No 338/97, or for specimens of species listed in Appendix I to the Convention or in Annex C1 to Regulation (EEC) No 3626/82 and introduced into [^{F172}Great Britain] as personal and household effects.]]

Changes to legislation: There are currently no known outstanding effects for the Commission regulation (EC) No 865/2006. (See end of Document for details)

Textual Amendments

- F1** Substituted by Commission Regulation (EU) 2015/870 of 5 June 2015 amending, as regards the trade in species of wild fauna and flora, Regulation (EC) No 865/2006 laying down detailed rules concerning the implementation of Council Regulation (EC) No 338/97.
- F2** Inserted by Commission Regulation (EU) No 791/2012 of 23 August 2012 amending, as regards certain provisions relating to the trade in species of wild fauna and flora, Regulation (EC) No 865/2006 laying down detailed rules for the implementation of Council Regulation (EC) No 338/97.
- F167** Words in Art. 58a heading substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(59)(a)**
- F168** Words in Art. 58a(1) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(59)(b)(i)**
- F169** Art. 58a(1)(a) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(59)(b)(ii)**
- F170** Words in Art. 58a(1)(b) omitted (31.12.2020) by virtue of The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(59)(b)(iii)**
- F171** Words in Art. 58a(1)(b) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(59)(b)(iii)**
- F172** Words in Art. 58a(2) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(59)(c)**

CHAPTER XV

EXEMPTIONS AND DEROGATIONS

Article 59

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

1 The exemption for specimens referred to in Article 8(3)(a), (b) and (c) of Regulation (EC) No 338/97 shall be granted only if the applicant has satisfied the ^{F173}... management authority that the conditions referred to therein and in Article 48 of this Regulation are met.

[^{F2}1a The exemption for specimens referred to in Article 8(3) of Regulation (EC) No 338/97 shall be granted only if the applicant has satisfied the ^{F174}... management authority that the specimens concerned have been acquired in accordance with the legislation in force for the conservation of wild fauna and flora.]

2 The exemption for specimens referred to in Article 8(3)(d) of Regulation (EC) No 338/97 shall be granted only if the applicant has satisfied the ^{F175}... management authority, the latter having consulted [^{F176}the competent] scientific authority, that the conditions referred to in Article 48 of this Regulation are met and that the specimens concerned were born and bred in captivity or artificially propagated in accordance with Articles 54, 55 and 56 of this Regulation.

3 The exemption for specimens referred to in Article 8(3)(e), (f) and (g) of Regulation (EC) No 338/97 shall be granted only if the applicant has satisfied the ^{F177}... management authority, the latter having consulted with [^{F178}the competent] scientific authority, that the conditions referred to therein and in Article 48 of this Regulation are met.

Changes to legislation: There are currently no known outstanding effects for the Commission regulation (EC) No 865/2006. (See end of Document for details)

4 The exemption for specimens referred to in Article 8(3)(h) of Regulation (EC) No 338/97 shall be granted only if the applicant has satisfied the ^{F179}... management authority that the specimens concerned were taken from the wild in a [^{F180}third country] in compliance with its legislation.

5 An exemption provided for in Article 8(3) of Regulation (EC) No 338/97 shall be granted with regard to live vertebrates only if the applicant has satisfied the ^{F181}... management authority that the relevant provisions of Article 66 of this Regulation have been met.

Textual Amendments

- F2** Inserted by Commission Regulation (EU) No 791/2012 of 23 August 2012 amending, as regards certain provisions relating to the trade in species of wild fauna and flora, Regulation (EC) No 865/2006 laying down detailed rules for the implementation of Council Regulation (EC) No 338/97.
- F173** Word in Art. 59(1) omitted (31.12.2020) by virtue of The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(60)(a)**
- F174** Word in Art. 59(1a) omitted (31.12.2020) by virtue of The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(60)(a)**
- F175** Word in Art. 59(2) omitted (31.12.2020) by virtue of The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(60)(b)(i)**
- F176** Words in Art. 59(2) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(60)(b)(ii)**
- F177** Word in Art. 59(3) omitted (31.12.2020) by virtue of The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(60)(b)(i)**
- F178** Words in Art. 59(3) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(60)(b)(ii)**
- F179** Word in Art. 59(4) omitted (31.12.2020) by virtue of The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(60)(c)**
- F180** Words in Art. 59(4) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(60)(c)**
- F181** Word in Art. 59(5) omitted (31.12.2020) by virtue of The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(60)(a)**

Article 60

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

Without prejudice to Article 9 of Regulation (EC) No 338/97 a derogation from the prohibition laid down in Article 8(1) thereof may be granted to scientific institutions, approved by [^{F182}the management authority in consultation with the competent scientific authority] in consultation with a scientific authority, by the issue of a certificate covering all specimens in their collection of species listed in Annex A to that Regulation, that are intended for either of the following:

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

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

Changes to legislation: There are currently no known outstanding effects for the Commission regulation (EC) No 865/2006. (See end of Document for details)

Textual Amendments

F182 Words in [Art. 60](#) substituted (31.12.2020) by [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\)](#), regs. 1(2), **8(61)**

Article 61

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

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

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

Article 62

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

The provision laid down in Article 8(3) of Regulation (EC) No 338/97, to the effect that exemptions from the prohibitions in Article 8(1) are to be granted by the issue of a certificate on a case-by-case basis, shall not apply to, and no certificate shall be required for, the following:

- (1) specimens of captive born and bred animals of the species listed in Annex X to this Regulation, and hybrids thereof, provided that specimens of annotated species are marked in accordance with Article 66(1) of this Regulation;
- (2) artificially propagated specimens of plant species;
- (3) worked specimens that were acquired more than 50 years previously as defined in Article 2(w) of Regulation (EC) No 338/97^{[F10];}
- (4) ^[F2]dead specimens of *Crocodylia* species included in Annex A with source code D, provided that they are marked or identified via other means in accordance with this Regulation;
- (5) caviar of *Acipenser brevirostrum* and its hybrids, with source code D, provided that it is contained in a container marked in accordance with this Regulation.]

Textual Amendments

F2 Inserted by [Commission Regulation \(EU\) No 791/2012 of 23 August 2012 amending, as regards certain provisions relating to the trade in species of wild fauna and flora, Regulation \(EC\) No 865/2006 laying down detailed rules for the implementation of Council Regulation \(EC\) No 338/97.](#)

Changes to legislation: There are currently no known outstanding effects for the Commission regulation (EC) No 865/2006. (See end of Document for details)

F10 Substituted by Commission Regulation (EU) No 791/2012 of 23 August 2012 amending, as regards certain provisions relating to the trade in species of wild fauna and flora, Regulation (EC) No 865/2006 laying down detailed rules for the implementation of Council Regulation (EC) No 338/97.

Article 63

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

1 For the purposes of Article 8(3)(d) of Regulation (EC) No 338/97, [^{F183}the management authority may make pre-issued certificates available to breeders approved by the management authority for that purpose], provided that they maintain breeding records and that they produce those records, on request, to the ^{F184}... management authority.

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

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

2 For the purposes of Article 8(3)(d) and (h) of Regulation (EC) No 338/97, [^{F185}the management authority may make pre-issued certificates available to persons who have been approved by the management authority] to sell on the basis of such certificates dead captive-bred specimens and/or small numbers of dead specimens legally taken from the wild within [^{F186}Great Britain], provided that any such person meets the following requirements:

- a he maintains a record, which is produced on request to the ^{F187}... management authority and which contains details of specimens/species sold, the cause of death if known, the persons from whom specimens were acquired and the persons to whom they were sold;
- b he submits an annual report to the ^{F188}... management authority which contains details of sales during that year, the type and number of specimens, the species concerned and how the specimens were acquired.

[^{F23} Pre-issued certificates shall only be valid once they have been completed and a copy of the certificate is transmitted to the issuing management authority by the applicant.]

Textual Amendments

- F2** Inserted by Commission Regulation (EU) No 791/2012 of 23 August 2012 amending, as regards certain provisions relating to the trade in species of wild fauna and flora, Regulation (EC) No 865/2006 laying down detailed rules for the implementation of Council Regulation (EC) No 338/97.
- F183** Words in Art. 63(1) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(62)(a)(i)**
- F184** Word in Art. 63(1) omitted (31.12.2020) by virtue of The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(62)(a)(ii)**
- F185** Words in Art. 63(2) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(62)(b)(i)**
- F186** Words in Art. 63(2) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(62)(b)(ii)**
- F187** Word in Art. 63(2)(a) omitted (31.12.2020) by virtue of The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(62)(b)(iii)**
- F188** Word in Art. 63(2)(b) omitted (31.12.2020) by virtue of The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(62)(b)(iii)**

CHAPTER XVI

MARKING REQUIREMENTS

Article 64

**Marking of specimens for the purpose of imports
and commercial activities within [F189]Great Britain]**

1 Import permits for the following items shall be issued only if the applicant has satisfied the ^{F190}... management authority that the specimens have been individually marked in accordance with Article 66(6):

- a specimens that derive from a captive breeding operation that was approved by the Conference of the Parties to the Convention;
- b specimens that derive from a ranching operation that was approved by the Conference of the Parties to the Convention;
- c specimens from a population of a species listed in Appendix I to the Convention for which an export quota has been approved by the Conference of the Parties to the Convention;
- d raw tusks of African elephant and cut pieces thereof that are both 20 cm or more in length and 1 kg or more in weight;
- e raw, tanned and/or finished crocodylian skins, flanks, tails, throats, feet, backstrips and other parts thereof that are exported to [F191]Great Britain], and entire raw, tanned, or finished crocodylian skins and flanks that are re-exported to [F191]Great Britain];
- f live vertebrates of species listed in Annex A to Regulation (EC) No 338/97 that belong to a travelling exhibition;
- g any container of caviar of *Acipenseriformes* spp., including tins, jars or boxes into which such caviar is directly packed.

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

Textual Amendments

F189 Words in Art. 64 heading substituted (31.12.2020) by [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\)](#), regs. 1(2), **8(63)(a)**

F190 Word in Art. 64(1) omitted (31.12.2020) by virtue of [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\)](#), regs. 1(2), **8(63)(b)(i)**

F191 Words in Art. 64(1)(e) substituted (31.12.2020) by [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\)](#), regs. 1(2), **8(63)(b)(ii)**

Article 65

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

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

Changes to legislation: There are currently no known outstanding effects for the Commission regulation (EC) No 865/2006. (See end of Document for details)

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

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

4 Export permits shall be issued with regard to live vertebrates of species listed in Annex A to Regulation (EC) No 338/97 only if the applicant has satisfied the competent management authority that the relevant requirements laid down in Article 66 of this Regulation have been met. ^[F2]This does not apply to specimens of species listed in Annex X to this Regulation unless an annotation in Annex X prescribes marking.]

Textual Amendments

F2 Inserted by [Commission Regulation \(EU\) No 791/2012 of 23 August 2012 amending, as regards certain provisions relating to the trade in species of wild fauna and flora, Regulation \(EC\) No 865/2006 laying down detailed rules for the implementation of Council Regulation \(EC\) No 338/97.](#)

Article 66

Marking methods

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

2 Captive born and bred birds shall be marked in accordance with paragraph 8, or, where the ^{F192}... management authority is satisfied that this method is not appropriate because of the physical or behavioural properties of the animal, by means of a uniquely numbered, unalterable microchip transponder conforming to ISO Standards 11784: 1996 (E) and 11785: 1996 (E).

3 Live vertebrates other than captive born and bred birds shall be marked by means of a uniquely numbered unalterable microchip transponder conforming to ISO Standards 11784: 1996 (E) and 11785: 1996 (E), or, where the ^{F193}... management authority is satisfied that this method is not appropriate because of the physical or behavioural properties of the specimen/species, the specimens concerned shall be marked by means of uniquely numbered rings, bands, tags, tattoos or similar means, or be made identifiable by any other appropriate means.

4 Articles 33(1), 40(1), 48(2), 59(5) and 65(4) shall not apply where the ^{F194}... management authority is satisfied that, at the time of issue of the relevant certificate, the physical properties of the specimens involved do not allow the safe application of any marking method.

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

^[F10]Specimen-specific certificates, travelling exhibition certificates and personal ownership certificates shall not be issued in respect of live specimens covered by this paragraph.]

5 Specimens marked by means of a microchip transponder other than one conforming to ISO Standards 11784: 1996 (E) and 11785: 1996 (E) before 1 January 2002, or by means of one of the methods referred to in paragraph 3 before 1 June 1997, or in compliance with paragraph 6 before their introduction into [^{F195}Great Britain], shall be deemed to have been marked in compliance with paragraphs 2 and 3.

[^{F66} The specimens referred to in Articles 64 and 65 shall be marked in accordance with the method approved or recommended by the Conference of the Parties to the Convention for the specimens concerned and, in particular, the containers of caviar referred to in Articles 57(5)(a), 64(1)(g), 64(2) and 65(3) shall be individually marked by means of non-reusable labels affixed to each primary container. Where the non-reusable label does not seal the primary container, the caviar shall be packaged in such a manner as to permit visual evidence of any opening of the container.

[^{F14}Caviar from different Acipenseriformes species shall not be mixed into a primary container, except in the case of pressed caviar (i.e. caviar composed of unfertilized eggs (roe) of one or more sturgeon or paddlefish species, remaining after the processing and preparation of higher quality caviar).]

7 Only those processing plants and (re-)packaging plants that are licensed by the management authority [^{F196}... shall be entitled to process and package or re-package caviar for export [^{F197}or] re-export [^{F198}....

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

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

The list of facilities licensed in accordance with this paragraph, as well as any changes thereto, shall be notified to the Secretariat of the Convention [^{F199}....

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

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

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

Textual Amendments

- F6** Substituted by [Commission Regulation \(EC\) No 100/2008 of 4 February 2008 amending, as regards sample collections and certain formalities relating to the trade in species of wild fauna and flora, Regulation \(EC\) No 865/2006 laying down detailed rules for the implementation of Council Regulation \(EC\) No 338/97.](#)
- F10** Substituted by [Commission Regulation \(EU\) No 791/2012 of 23 August 2012 amending, as regards certain provisions relating to the trade in species of wild fauna and flora, Regulation \(EC\) No 865/2006 laying down detailed rules for the implementation of Council Regulation \(EC\) No 338/97.](#)

Changes to legislation: There are currently no known outstanding effects for the Commission regulation (EC) No 865/2006. (See end of Document for details)

- F14** Inserted by Commission Regulation (EU) 2015/870 of 5 June 2015 amending, as regards the trade in species of wild fauna and flora, Regulation (EC) No 865/2006 laying down detailed rules concerning the implementation of Council Regulation (EC) No 338/97.
- F192** Word in Art. 66(2) omitted (31.12.2020) by virtue of The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(64)(a)**
- F193** Word in Art. 66(3) omitted (31.12.2020) by virtue of The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(64)(a)**
- F194** Word in Art. 66(4) omitted (31.12.2020) by virtue of The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(64)(a)**
- F195** Words in Art. 66(5) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(64)(b)**
- F196** Words in Art. 66(7) omitted (31.12.2020) by virtue of The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(64)(c)(i)(aa)**
- F197** Word in Art. 66(7) inserted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(64)(c)(i)(bb)**
- F198** Words in Art. 66(7) omitted (31.12.2020) by virtue of The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(64)(c)(i)(cc)**
- F199** Words in Art. 66(7) omitted (31.12.2020) by virtue of The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(64)(c)(ii)**

Article 67

Humane marking methods

Where, in [^{F200}Great Britain], the marking of live animals requires the attachment of a tag, band, ring or other device, or the marking of a part of the animal's anatomy, or the implantation of microchip transponders, this shall be undertaken with due regard to humane care, well-being and natural behaviour of the specimen concerned.

Textual Amendments

- F200** Words in Art. 67 substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(65)**

Article 68

Mutual recognition of marking methods

1 The [^{F201}relevant competent authorities of the United Kingdom] shall recognise marking methods approved by the competent authorities of [^{F201}third countries] that comply with Article 66.

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

Textual Amendments

- F201** Words in Art. 68(1) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(66)**

CHAPTER XVII

REPORTS AND INFORMATION

*Article 69***Reports on imports, exports and re-exports**

1 [F202The Secretary of State] shall collect data on imports into and exports and re-exports from [F203Great Britain] that have taken place on the basis of permits and certificates issued by [F204the management authority]^{F205}....

[F206The Secretary of State] shall, in compliance with [F207Article 15(4)(b)] of Regulation (EC) No 338/97, [F208publish] that information ^{F209}... in accordance with the Guidelines for the preparation and submission of CITES annual reports issued by the Secretariat of the Convention.

The reports shall include information on seized and confiscated shipments.

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

- a a part on imports, exports and re-exports of specimens of species listed in the Appendices to the Convention;
- b a part on imports, exports and re-exports of specimens of other species listed in Annexes A, B and C to Regulation (EC) No 338/97 and on the introduction into [F210Great Britain] of specimens of species listed in Annex D thereto.

3 With regard to imports of shipments containing live animals, [F211the Secretary of State] shall, where possible, maintain records of the percentage of specimens of species listed in Annexes A and B to Regulation (EC) No 338/97 which were dead at the time of introduction into [F211Great Britain].

[F2124 The Secretary of State shall publish the information referred to in paragraphs 1, 2 and 3 when reporting that information under the Convention, to the Convention Secretariat.]

5 The information referred to in [F213Article 15(4)(d)] of Regulation (EC) No 338/97 shall include details on legislative, regulatory and administrative measures taken to implement and enforce the provisions of Regulation (EC) No 338/97 and of this Regulation.

In addition, [F214the Secretary of State] shall [F215publish a] report on the following aspects:

- a persons and bodies registered in accordance with Articles 18 and 19 of this Regulation;
- b scientific institutions registered in accordance with Article 60 of this Regulation;
- c breeders approved in accordance with Article 63 of this Regulation;
- d caviar (re-)packaging plants licensed in accordance with Article 66(7) of this Regulation;
- e their use of phytosanitary certificates in accordance with Article 17 of this Regulation^[F6;]

[F7f cases where export permits and re-export certificates were issued retrospectively in accordance with Article 15 of the Regulation.]

[F2166 The Secretary of State shall publish the information referred to in paragraph 5 when reporting that information under the Convention to the Convention Secretariat.]

Changes to legislation: There are currently no known outstanding effects for the Commission regulation (EC) No 865/2006. (See end of Document for details)

Textual Amendments

- F6** Substituted by Commission Regulation (EC) No 100/2008 of 4 February 2008 amending, as regards sample collections and certain formalities relating to the trade in species of wild fauna and flora, Regulation (EC) No 865/2006 laying down detailed rules for the implementation of Council Regulation (EC) No 338/97.
- F7** Inserted by Commission Regulation (EC) No 100/2008 of 4 February 2008 amending, as regards sample collections and certain formalities relating to the trade in species of wild fauna and flora, Regulation (EC) No 865/2006 laying down detailed rules for the implementation of Council Regulation (EC) No 338/97.
- F202** Words in Art. 69(1) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(67)(a)(i)(aa)**
- F203** Words in Art. 69(1) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(67)(a)(i)(bb)**
- F204** Words in Art. 69(1) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(67)(a)(i)(cc)**
- F205** Words in Art. 69(1) omitted (31.12.2020) by virtue of The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(67)(a)(i)(dd)**
- F206** Words in Art. 69(1) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(67)(a)(ii)(aa)**
- F207** Words in Art. 69(1) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(67)(a)(ii)(bb)**
- F208** Word in Art. 69(1) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(67)(a)(ii)(cc)**
- F209** Words in Art. 69(1) omitted (31.12.2020) by virtue of The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(67)(a)(ii)(dd)**
- F210** Words in Art. 69(2)(b) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(67)(b)**
- F211** Words in Art. 69(3) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(67)(c)**
- F212** Art. 69(4) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(67)(d)**
- F213** Words in Art. 69(5) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(67)(e)(i)**
- F214** Words in Art. 69(5) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(67)(e)(ii)**
- F215** Words in Art. 69(5) inserted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(67)(e)(ii)**
- F216** Art. 69(6) substituted (31.12.2020) by The Environment and Wildlife (Miscellaneous Amendments etc.) (EU Exit) Regulations 2020 (S.I. 2020/1395), regs. 1(2), **8(67)(f)**

F217 Article 70

Amendments to the Annexes to Regulation (EC) No 338/97

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Textual Amendments

F217 Art. 70 omitted (31.12.2020) by virtue of [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\)](#), regs. 1(2), **8(68)**

CHAPTER XVIII

FINAL PROVISIONS

[^{F6}Article 71]

Rejection of applications for import permits following the establishment of restrictions

1 Immediately on the establishment of a restriction in accordance with Article 4(6) of Regulation (EC) No 338/97 and until such time as it is lifted, [^{F218}the management authority] shall reject applications for import permits concerning specimens exported from the affected country or countries of origin.

2 By way of derogation from paragraph 1, an import permit may be issued where an application for an import permit was submitted prior to the establishment of the restriction, and the ^{F219}... management authority ^{F219}... is satisfied that a contract or order exists for which payment has been made or as a result of which the specimens have already been shipped.

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

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

- a specimens born and bred in captivity in accordance with Articles 54 and 55, or artificially propagated in accordance with Article 56;
- b specimens being imported for the purposes specified in Article 8(3)(e), (f) or (g) of Regulation (EC) No 338/97;
- c specimens, alive or dead, that are part of the household possessions of persons moving into [^{F220}Great Britain] to take up residence there.

Textual Amendments

F6 Substituted by [Commission Regulation \(EC\) No 100/2008 of 4 February 2008 amending, as regards sample collections and certain formalities relating to the trade in species of wild fauna and flora, Regulation \(EC\) No 865/2006 laying down detailed rules for the implementation of Council Regulation \(EC\) No 338/97](#).

F218 Words in Art. 71(1) substituted (31.12.2020) by [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\)](#), regs. 1(2), **8(69)(a)**

F219 Words in Art. 71(2) omitted (31.12.2020) by virtue of [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\)](#), regs. 1(2), **8(69)(b)**

F220 Words in Art. 71(4)(c) substituted (31.12.2020) by [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\)](#), regs. 1(2), **8(69)(c)**

Changes to legislation: There are currently no known outstanding effects for the Commission regulation (EC) No 865/2006. (See end of Document for details)

Article 72

Transitional measures

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

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

F221³

Textual Amendments

F221 Art. 72(3) omitted (31.12.2020) by virtue of [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\)](#), regs. 1(2), **8(70)**

F222 Article 73

Notification of implementing provisions

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Textual Amendments

F222 Art. 73 omitted (31.12.2020) by virtue of [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\)](#), regs. 1(2), **8(71)**

F223 Article 74

Repeal

.....

Textual Amendments

F223 Art. 74 omitted (31.12.2020) by virtue of [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\)](#), regs. 1(2), **8(71)**

F224 Article 75

Entry into force

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Changes to legislation: There are currently no known outstanding effects for the Commission regulation (EC) No 865/2006. (See end of Document for details)

.....

Textual Amendments

F224 Art. 75 omitted (31.12.2020) by virtue of [The Environment and Wildlife \(Miscellaneous Amendments etc.\) \(EU Exit\) Regulations 2020 \(S.I. 2020/1395\)](#), regs. 1(2), **8(71)**

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

Changes to legislation: There are currently no known outstanding effects for the Commission regulation (EC) No 865/2006. (See end of Document for details)

- (1) [^{F6}[^{F10}OJ L 242, 7.9.2012, p. 13.]]
- (2) OJ L 344, 7.12.1983, p. 1.

Textual Amendments

- F6** Substituted by Commission Regulation (EC) No 100/2008 of 4 February 2008 amending, as regards sample collections and certain formalities relating to the trade in species of wild fauna and flora, Regulation (EC) No 865/2006 laying down detailed rules for the implementation of Council Regulation (EC) No 338/97.
- F10** Substituted by Commission Regulation (EU) No 791/2012 of 23 August 2012 amending, as regards certain provisions relating to the trade in species of wild fauna and flora, Regulation (EC) No 865/2006 laying down detailed rules for the implementation of Council Regulation (EC) No 338/97.

Changes to legislation:

There are currently no known outstanding effects for the Commission regulation (EC) No 865/2006.