

CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES
OF WILD FAUNA AND FLORA



Twenty-ninth meeting of the Animals Committee
Geneva (Switzerland), 18-22 July 2017

Interpretation and implementation matters

General compliance and enforcement

Captive-bred and ranched specimens

REVIEW OF TRADE IN ANIMAL SPECIMENS REPORTED AS PRODUCED IN CAPTIVITY

1. This document has been submitted by the Secretariat.

Background

2. At its 17th meeting (CoP17, Johannesburg 2016), the Conference of the Parties adopted a new compliance procedure through Resolution Conf. 17.7 on *Review of trade in animal specimens reported as produced in captivity*. It concerns trade in specimens using the source codes C, D, F or R as defined in paragraph 3 i) of Resolution Conf. 12.3 (Rev. CoP17) on *Permits and certificates*. The Animals Committee, together with the Standing Committee and in cooperation with the Secretariat, is directed to play a key role in the implementation of this Resolution.
3. In Decision 17.105, the Conference of the Parties further directed the Animals Committee to prepare at its 30th meeting, a report for the Standing Committee on its observations and recommendations regarding this first iteration of Resolution Conf. 17.7, including opportunities for harmonisation with the process in Resolution Conf. 12.8 (Rev. CoP17) on *Review of Significant Trade in specimens of Appendix-II species* and other opportunities to achieve the aims of the Resolution most effectively and cost efficiently.

Summary from the CITES Trade Database

4. Paragraph 2 a) of Resolution Conf. 17.7 states that:

The Secretariat shall produce a summary from the CITES Trade Database of annual report statistics of species traded, derived from the five most recent years, under source codes C, D, F or R and will undertake, or appoint consultants to undertake, an analysis of such data to identify species-country combinations for review using the following criteria:

- i) *significant increases in trade in specimens declared as captive-produced (source codes C, D, F and R);*
- ii) *trade in significant numbers of specimens declared as produced in captivity;*
- iii) *shifts and fluctuations between different captive-production source codes;*
- iv) *inconsistencies between source codes reported by exporting and importing Parties for specimens declared as produced in captivity;*

- v) *apparent incorrect application of captive production codes such as: 'A' for animal species or 'D' for Appendix-I species that have not been registered in compliance with the provisions of Resolution Conf. 12.10 (Rev. CoP15) on Registration of operations that breed Appendix-I animal species in captivity for commercial purposes; and*
- vi) *trade from non-range States of specimens declared as produced in captivity with no evidence of lawful acquisition of parental breeding stock (i.e. no recorded imports)*

5. The Secretariat commissioned the World Conservation Monitoring Centre of the United Nations Environment Programme (UNEP-WCMC), to produce such a summary and analysis. The analysis can be found within the Annex of the present document, while the full summary of trade data upon which it is based can be found in information document AC29 Inf. 3. The Secretariat would like to warmly thank the European Union, Switzerland and the United States of America for providing the funds which made this work possible.

Consultation workshop

6. In view of the fact that this was the first time that such an exercise had been undertaken and of the scope for interpretation in sub-paragraphs 2 a) i) to vi) of Resolution Conf. 17.7, the Secretariat and UNEP-WCMC sought guidance from a representative selection of Parties and members of the Animals Committee. This was achieved during a consultation workshop on the regulation of trade in CITES specimens of captive bred and ranched source, held in Cambridge, United Kingdom, 29-30 March 2017. The workshop drew no formal conclusions, but the contents of the discussions held were taken fully into account by the Secretariat and UNEP-WCMC in producing the trade summary and analysis. The Secretariat would like to record its grateful thanks to the European Union for providing the financial support which enabled this workshop to take place.

Other relevant information with respect to concerns about captive production

7. Paragraph 2 b) of Resolution Conf. 17.7 states that the Secretariat shall also compile any other relevant information made available to it with respect to concerns about captive production, including any cases identified under Resolution Conf. 12.8 (Rev. CoP17) on *Review of Significant Trade in specimens of Appendix-II species* and information referred to it by Parties or available in relevant reports, including the global conservation status by species published in the *Red List of Threatened Species* by the International Union for Conservation of Nature (IUCN) or noted as not evaluated.
8. In this regard, the Secretariat draws the attention of the Committee to the following species-country combinations which came to its attention during the last five years:

– Cases identified from the Review of Significant Trade under Resolution Conf. 12.8 (Rev. CoP17):

Species-country combination	Reference
<i>Macaca fascicularis</i> / Cambodia and Viet Nam	See document AC28 Com.8 (Rev. by Sec.)
<i>Tridacna</i> spp. / Solomon Islands	See documents AC27 WG1 Doc. 1 and SC65 Doc. 26.1
<i>Macaca fascicularis</i> / Lao People's Democratic Republic (Lao PDR), Cambodia, Viet Nam	See documents AC27 WG1 Doc. 1 and SC67 Doc. 12.1
<i>Psittacus erithacus</i> / Central African Republic	See document AC27 WG1 Doc. 1
<i>Ptyas mucosus</i> / Lao PDR	See documents AC27 WG1 Doc. 1 and SC67 Doc. 12.1
<i>Python reticulatus</i> / Lao PDR	See documents AC27 WG1 Doc. 1 and SC67 Doc. 12.1
<i>Podocnemis unifilis</i> / Peru	See document AC27 WG1 Doc. 1
<i>Kinixys homeana</i> / Benin, Togo	See document AC27 WG1 Doc. 1
<i>Amyda cartilaginea</i> / Indonesia	See document SC65 Doc. 26.1
<i>Balearica pavonina</i> / Nigeria	See document AC26 WG7 Doc. 1 (Rev. 1)
<i>Hippocampus kuda</i> / Viet Nam	See document AC26 WG7 Doc. 1 (Rev. 1)

- Cases referred to it by Parties:

Species-country combination	Reference
<i>Falco</i> spp. / Serbia	See document SC66 Doc. 41.1
<i>Panthera tigris</i> / Kazakhstan	See document SC66 Doc. 41.1
<i>Conolophus subcristatus</i> and <i>Amblyrhynchus cristatus</i> / Switzerland	See document SC66 Doc. 41.1
<i>Neureergus kaiseri</i> / Germany	See document SC66 Doc. 41.1
<i>Astrochelys radiata</i> / Spain	See document SC66 Doc. 41.1
Psittacidae spp / Bahrain	See document SC65 Doc. 34.1
Primates spp. / Guinea	See document SC65 Doc. 34.1
<i>Agalychnis callidryas</i> / Central America	See documents SC62 Doc. 26 and SC66 Doc. 41.1
<i>Macaca</i> spp. / Southeast and East Asia	See documents SC62 Doc. 26 and SC66 Doc. 41.1
Dendrobatidae spp. / Central America	See documents SC62 Doc. 26 and SC66 Doc. 41.1
Reptilia and Amphibia spp. / Kazakhstan and Lebanon	See documents SC62 Doc. 26 and SC66 Doc. 41.1
Reptilia spp. / Slovenia	See documents SC62 Doc. 26 and SC66 Doc. 41.1
Testudinidae spp. / Zambia	See documents SC62 Doc. 26 and SC66 Doc. 41.1
<i>Testudo horsfieldii</i> / Ukraine	See documents SC62 Doc. 26 and SC66 Doc. 41.1
<i>Geochelone elegans</i> / Jordan, Lebanon, Ukraine, and the United Arab Emirates	See documents SC62 Doc. 26 and SC66 Doc. 41.1
<i>Rhyticeros plicatus</i> / Solomon Islands	See documents SC62 Doc. 26 and SC66 Doc. 41.1
<i>Caiman crocodilus fuscus</i> / Colombia	See documents SC62 Doc. 26 , SC66 Doc. 41.1 and SC67 Doc. 16
Pythonidae spp. / Lao PDR and Viet Nam	See documents SC62 Doc. 26 , SC66 Doc. 41.1 and SC67 Doc. 12.1
<i>Crocodylus niloticus</i> / Madagascar	See documents SC62 Doc. 25 and SC63 Doc. 13

- Cases in relevant reports, including the global conservation status by species published in the IUCN *Red List of Threatened Species* or noted as not evaluated:

The Secretariat has not had the resources to undertake a literature review of cases in published reports or the IUCN *Red List of Threatened Species*. However, the global conservation status of species published in the IUCN *Red List of Threatened Species* has been taken into account in developing the methodologies for the analysis, and the Red List categories are also provided as contextual information within the outputs (Tables 3, 4 and 5 of the analysis in the Annex to the present document and the full summary of trade data in information document AC29 Inf.3) in order to assist the Committee with prioritisation.

Selection process at the present meeting

- In accordance with paragraph 2 c) of Resolution Conf. 17.7, the Animals Committee may select a limited number of species-country combinations for review, taking into account the biology of the species. The paragraph concerned is silent on the reasoning to be used in the selection process. However, paragraph 2 e) of the Resolution refers to the need to “determine if the correct source codes have been used, under the applicable Resolutions, for specimens claimed to be produced in captivity” and paragraph 2 g) to the need to “determine if trade is in compliance with Article III and Article IV of the Convention, as well as Article VII, paragraphs 4 and 5”. Paragraph 2 e) of the Resolution requires the Animals Committee to provide a brief explanation of the selection. In order to provide clarity, the Secretariat suggests that in this explanation, the Committee specify the Article of the Convention text and paragraph of any associated Resolution that it believes may not be being complied with.
- For each species-country combinations for review, paragraph 2 c) of the Resolution requires the Animals Committee to draft general or specific questions to be addressed by the Secretariat to the Parties concerned. In drafting these questions, the Committee may wish to consider using the CITES [Guidance for inspection of captive breeding and ranching facilities](#) (information document AC29 Inf. 1) and in particular the data collection forms and production capacity calculator contained in that publication. In terms of the determination of the correct source code, the Committee may wish to take account of the publication [A Guide to the application of CITES source codes](#) (information document AC29 Inf. 2).

11. Paragraph 2 f) of the Resolution directs the Animals Committee to determine for which species it should request the Secretariat to commission short reviews of known information relating to the breeding biology and captive husbandry and any impacts, if relevant, of removal of founder stock from the wild. The Committee is asked to note that the number of such reviews that can be commissioned will depend on the external funding available at the time and, for that reason, the Secretariat requests the Committee to list such requests in order of priority.
12. Any urgent enforcement matters identified during the course of the review at the present meeting should be referred to the Secretariat and the country concerned and subsequently reported to the Standing Committee.

Next steps following the present meeting

13. Following the activities to be undertaken at the present meeting and described in paragraphs 9 to 12 of the present document, the Secretariat is instructed, within 30 days (i.e. by 21 August 2017), to notify the country or countries concerned that species produced in captivity in their country have been selected for review, provide them with an overview of the review process and an explanation for the selection provided by the Committee and convey to them the Committee's questions.
14. At its 30th meeting, the Committee will review the responses to the questions received from countries, any reviews commissioned by the Secretariat as described in paragraph 11 of the present document and any additional relevant information, and determine if the trade in question is in compliance with Article III and Article IV of the Convention, as well as Article VII, paragraphs 4 and 5.

Review of the implementation of Resolution Conf. 17.7

15. As noted in paragraph 3 of the present document, the Conference of the Parties directed the Animals Committee to prepare a report of its observations and recommendations regarding the first iteration of Resolution Conf. 17.7, including opportunities for harmonisation with the process in Resolution Conf. 12.8 (Rev. CoP17) and other opportunities to achieve the aims of the Resolution most effectively and cost efficiently, for transmission to the Standing Committee. Although this report is to be prepared at the 30th meeting of the Animals Committee, the Secretariat recommends that the Committee take notes of observations made which could contribute to such a report, as part of the work it undertakes intersessionally.

Recommendations

16. Taking into account the information referred to in paragraphs 7 and 8 of the present document, the Animals Committee is invited to:
 - a) select a limited number of species-country combinations for review in accordance with paragraph 9 of the present document;
 - b) prepare a brief explanation of the reason for each selection;
 - c) draft general or specific questions for the countries selected for review;
 - d) determine for which species a request should be made for the commissioning of a short review of the breeding biology, captive husbandry and any impacts, if relevant, of removal of founder stock from the wild as described in paragraph 10 of the present document; and
 - e) identify any urgent enforcement matters which need the attention of the Secretariat, the country concerned and the Standing Committee.

UNEP-WCMC **technical report**

Selection of species for inclusion in the Review of trade in animal specimens reported as produced in captivity following CoP17

CITES Project No. A-498

Selection of species for inclusion in the Review of trade in animal specimens reported as produced in captivity following CoP17

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1. Overview

To support the implementation of paragraph 2 a) i) to iv) of Resolution Conf. 17.7, the UN Environment World Conservation Monitoring Centre (UNEP-WCMC) has produced two outputs of trade in animal specimens reported as produced in captivity (an analysis and a summary output). These outputs will assist the Animals Committee with their work in selecting a limited number of species/country combinations of potential concern for inclusion in the Review of trade in animal specimens reported as produced in captivity following CoP17.

The six selection criteria defined in paragraph 2 a) of Resolution Conf. 17.7 form the basis for the analysis; these are as follows, with abbreviated terms as used throughout this report:

- i) significant increases in trade in specimens declared as captive-produced (source codes C, D, F and R) ("**significant increase**");
- ii) trade in significant numbers of specimens declared as produced in captivity ("**significant numbers**");
- iii) shifts and fluctuations between different captive-production source codes ("**shifts in source codes**");
- iv) inconsistencies between source codes reported by exporting and importing Parties for specimens declared as produced in captivity ("**reporting inconsistencies**");
- v) apparent incorrect application of captive production codes such as: 'A' for animal species or 'D' for Appendix-I species that have not been registered in compliance with the provisions of Resolution Conf. 12.10 (Rev. CoP15) on Registration of operations that breed Appendix-I animal species in captivity for commercial purposes ("**incorrect application of source codes**"); and
- vi) trade from non-range States of specimens declared as produced in captivity with no evidence of lawful acquisition of parental breeding stock (i.e. no recorded imports) ("**legal acquisition**").

The two outputs produced to support the selection of species-country combinations are:

1. An **analysis** applying the six selection criteria above to the trade in captive-bred and ranched specimens for 2011-2015 (sources C, D, F and R) (see Section 2 for data used, methods and detailed results); and
2. A **summary output from the CITES Trade Database of annual report statistics** of relevant trade in captive-bred and ranched specimens for 2011-2015, sources C, D, F and R (see Section 3 for details and AC29 Inf. 3 for the summary output in Excel). This output provides an opportunity for Parties to scrutinise trade levels for any species reported as captive produced in recent years, including taxa that did not meet the selection criteria in the analysis above.

In total **160 species** and **227 species/country combinations** met at least one of the six criteria in paragraph 2 a) of Resolution Conf. 17.7 based on the methodologies presented. Results of the analysis can be found in Tables 3-5.

2. Analysis

2.1 Introduction and scope

Based on the criteria specified in paragraph 2 a) of Resolution Conf. 17.7, the methodology for the analysis was developed by UNEP-WCMC with advice from the Secretariat and taking into consideration the guidance provided by regional representatives of the Animals Committee and other relevant Parties at a consultation workshop co-hosted by the CITES Secretariat and UNEP-WCMC in Cambridge, United Kingdom (March 2017), hereafter referred to as the ‘workshop’. Discussions at the workshop focussed on how best to translate the criteria in the Resolution into a series of filters applied to the trade data in order to select a reasonable number of species/country combinations that may be in most need of scrutiny by the Animals Committee (see Methods section below). The scope of the criteria, in terms of the data included (e.g. Appendices, years of trade data, sources, purposes, reporter type, etc.), was also considered by the workshop.

Data included

Details of the data used (e.g. year range, Appendix, trade data output type, etc.) in the selection process for each criterion are provided in Table 1. While the focus of each criterion was on captive-produced trade (source codes C, D, F and R), wild-sourced trade (source codes W, U and trade reported without a source specified) was also considered in the context of criterion iii) relating to shifts between source codes and criterion vi) relating to reporting inconsistencies.

Data were extracted from the CITES Trade Database (trade.cites.org) on 20th April 2017.

Table 1. Data included for the criteria in paragraph 2 a) of Res. Conf. 17.7.

	Criteria i), ii) and iii)	Criteria iv) and v)	Criterion vi)
CITES Trade Database report type	Direct trade only (re-exports are excluded) Report type is dependent on the criterion: <ul style="list-style-type: none"> Criteria i) & ii): Gross exports¹ Criterion iii): Exporter-reported data only 	Direct trade only (re-exports are excluded) Report type is dependent on the criterion: <ul style="list-style-type: none"> Criterion iv): Exporter- and importer-reported data; Criterion v): Exporter-reported data only 	Direct and indirect trade <u>into</u> the focal country, but species/country combinations were selected on the basis of direct trade <u>from</u> the focal country. Gross exports were analysed for Criterion vi)
Appendix	Appendix I & II	Appendix I only ²	Appendix I & II
Year range	2011-2015 provided in the output <i>[Data from 2008-2015 used in the analysis/selection process]</i>		
Source codes³	Criteria i) – iv) & vi): C, D, F, R Criteria v): D only <i>[For Criteria iii) and vi), trade in wild specimens (W= wild, U = unknown, and no source reported) was also used in the analysis in order to assess shifts or differences in reporting between wild to captive-produced sources.]</i>		
Purpose codes³	All Purposes		
Terms included	Selected terms⁴: baleen, bodies, bones, carapaces, carvings, caviar, cloth, eggs, egg (live), fins, gall and gall bladders, horns and horn pieces, ivory pieces, ivory carvings, live, meat, musk, plates, raw corals, scales, shells, skin pieces, skins, skeletons, skulls, teeth, trophies, and tusks.		Live only <u>into</u> the focal country, but selected on the basis of trade exported for any of the selected terms listed for i) – v)
Units of measure	Number (unit = blank) <i>[Trade in other units of measure (e.g. kilograms, metres, etc.) were excluded]</i>		

¹ Gross exports: the quantities reported by the exporter and importer were compared and the larger quantity was used in the analysis

² On the basis that Parties do not report consistently on imports of Appendix II species (in relation to importer-exporter discrepancies for criteria iv), and on the basis that criteria v) relates to the use of source code D (which is applicable only to specimens of Appendix I species).

³ A full list and description of source and purpose codes is specified in Res. Conf. 12.3 (Rev. CoP17).

⁴ Note that when applying the individual criteria, the analysis is conducted on the combined values for all the terms outlined above, but that quantities for each individual trade term have been included in the outputs in order to provide a more complete picture of the trade. A full list of “terms” (i.e. descriptions of specimens in trade) traded is available in the CITES Trade Database interpretation guide, see:
https://trade.cites.org/cites_trade_guidelines/en-CITES_Trade_Database_Guide.pdf

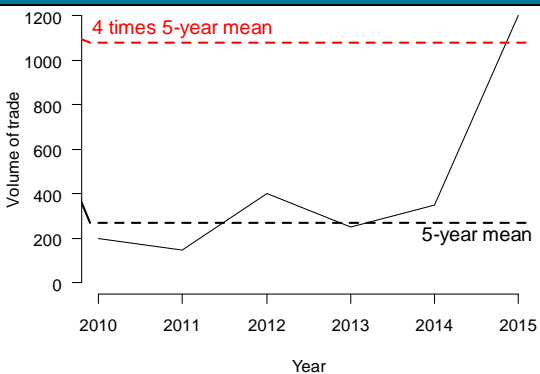
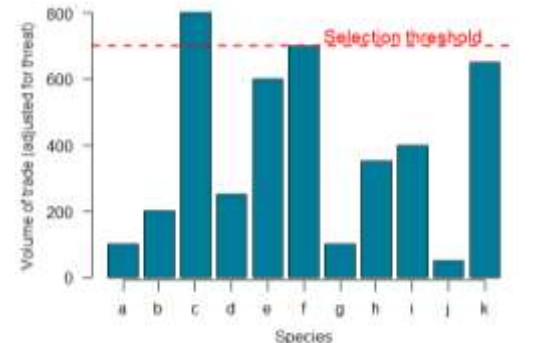
2.2 Methodology

To produce a list of species/country combinations for consideration by the Animals Committee, the CITES trade data were filtered using a set of criteria to extract the species showing noteworthy patterns of trade in accordance with paragraph 2 a) of Res. Conf. 17.7. Details of the methodology applied to select species/country combinations for each of the six criteria are described below (Table 2).

When defining the methodologies that should be applied for each criteria, key points under consideration at the workshop and by UNEP-WCMC when testing the methods on the trade data subsequently were: the scope of the data included (as described above), defining the most relevant contextual information to include in order to help inform the discussions at the Animals Committee; defining thresholds in order to select a reasonable number of species for consideration; and the importance of inclusion of species global threat status (as defined by the IUCN) for certain criteria, amongst others. These aspects were taken into consideration when defining the data included and methods applied.

As there was overlap with the species/country combinations selected under various criteria, some criteria were combined when presenting the results of the analysis in order to simplify the number of tables produced. To avoid compiling one table for each of the six criteria, the criteria have been combined where possible to ease the work of the Animals Committee. The criteria that were considered by the workshop to have highest relevance to conservation of species were criteria i), ii), iii), and vi). As the data requirements were similar for these criteria, the species-country combinations that met criteria i), ii) and iii) are presented together, so it is clear where multiple criteria are met, and additionally if any of these species-country combinations also meet criterion vi, this is indicated. The species country combinations that met criteria iv) and v), which both relate to reporting issues and focus only on Appendix I species, are also presented together. Whilst 'legal acquisition' is related to the conservation of the species within range States, it also is relevant to compliance. A large number of species-country combinations met criteria vi) only, therefore it was decided to present these separately.

Table 2. Overview of methods for selecting candidate species/country combinations for consideration based on the six criteria defined in paragraph 2 a) of Res. Conf. 17.7.

Criteria	Aim	Methods	Illustration / Remarks
Criterion i) Significant increase	To detect significant increases in trade in the most recent year with near-complete data.	<p>The most recent year of trade data was compared to average trade levels over the previous five years, with the aim of identifying potential emerging trends towards higher volumes of captive-produced trade in species/country combinations. Species/country combinations met this criterion if:</p> <ul style="list-style-type: none"> The volume of direct gross exports for the most recent year of data (2015) was >4 times the mean of the preceding five years (2010-2014); and Threshold: Average annual trade over the most recent five years (2011-2015) was >200 (or >50 if the species is considered CR, EN by IUCN, or endemic according to Species+). <p>Including a minimum threshold was necessary to produce a manageable output.</p> <p><i>This methodology aligns with the “sharp increase” criterion of the Review of Significant Trade process, although here the selection is at the level of species/country combination.</i></p>	
Criterion ii) Significant numbers	To detect captive-produced species that were being exported at significant volumes.	<p>To identify representative species traded at high volumes across taxonomic groups, the most highly traded species/country combinations within each order were selected. Species/country combinations met this criterion if:</p> <ul style="list-style-type: none"> Average annual trade (based on gross exports) over the most recent five years was >50 (or >12.5 if the species is considered CR, EN or endemic); and Threshold: It was within the top 5% of species/country combinations traded within the order over the five most recent years or within the top 1% (after adjusting for globally threatened species) if the number of species/country combinations within the order was >200. For globally threatened species, a more precautionary approach was taken with the average trade volume for species considered globally threatened⁵ was first multiplied by 10 before the 5% or 1% thresholds were applied. <p>Inclusion of only the top 5% of trade by order and a minimum threshold for trade was necessary to produce a manageable output.</p> <p><i>This methodology aligns with the “high volume” criterion of the Review of Significant Trade process, although here the selection is at the level of species/country combination.</i></p>	 <p>See Box 1 for a more detailed explanation</p>

⁵ Defined as species classified in the IUCN Red List of Threatened Species as Critically Endangered, Endangered, and Vulnerable. For this criterion, species considered Near Threatened and Data Deficient have also been included.

Criteria	Aim	Methods	Illustration / Remarks
Criterion iii) Shifts in source codes	To identify notable shifts in source codes over time as reported by countries of export.	<p>Volumes of trade from different source codes were compared to identify instances where there was a substantial change ("shift") in the reported source code over time. This methodology focuses specifically on shifts from wild sources to captive-produced sources, as follows:</p> <ul style="list-style-type: none"> Wild (W, U, source unreported) ➡ captive-produced/ranched (C, D, F, R combined) Ranched (R) ➡ captive-produced (C, D, F combined). <p>Species/country combinations met this criterion if:</p> <ul style="list-style-type: none"> Exporter-reported trade in one source code or a set of source codes in a focal year (2013-2015) increased to more than double the mean of the previous 5 years; There was a corresponding decrease in trade in another set of sources for the same focal year; and Threshold: Average annual trade over the most recent five years for both sets of source codes >50 (or >12.5 if the species is considered CR, EN or endemic). <p>Including a minimum threshold was necessary to produce a manageable output for the Animals Committee.</p>	
Criterion iv) Reporting inconsistencies	To identify notable discrepancies in reported source codes between countries of export and import.	<p>Reported volumes of trade in Appendix I species from different source codes were compared between importers and exporters to identify instances where overall volumes of trade were similar (<25% difference), but source codes differed between reporting Parties (exporter vs importer) for the same species. Species/country combinations met this criterion if:</p> <ul style="list-style-type: none"> The sums of total exporter- and importer-reported trade in the most recent three years (2013-2015) differed by <25% (for wild and captive source codes combined); Trade in one set of sources differed by >10% between exporter and importer in the most recent three years; There was a corresponding difference of >10% in another set of source codes between importer and exporter; and Threshold: Sum of trade over the most recent three years for both sets of source codes >20. <p>Inconsistencies in reporting were checked between the following source code pairings:</p> <ul style="list-style-type: none"> Wild (W, U, source unreported) and captive-produced/ranched (C, D, F, R combined) Ranched (R) and captive-produced (C, D, F combined). <p><i>Instances where importers and/or exporters had not submitted annual reports in some years were removed to avoid false positives. For the output, only trade data for 2011-2015 included.</i></p>	<p>In this illustration, total volumes are similar, but importers primarily reported the trade as ranched, whereas exporters reported as captive-produced.</p> <p>Note: Some discrepancies may be accounted for by differences in reporting (e.g. actual trade or permits issued); or "year-end trade" (trade that is reported on by an exporter in one year, and an importer in the following year).</p>

Criteria	Aim	Methods	Illustration / Remarks
Criterion v) Incorrect application of source codes	To detect the potential for incorrect application of codes by countries of export (e.g. 'D' without a registered facility).	<p>Species/country combinations met this criterion if direct trade was reported as source code 'D' in the most recent three years (2013-2015) for an Appendix I species with no current CITES registered facility in the country of export. There was no threshold applied for this criterion.</p> <p>For this criterion, exporter-reported trade [Appendix I / source D] was cross-checked with the list of CITES Registered breeding operations downloaded from the CITES website⁶: www.cites.org/eng/common/reg/cb/summary.html.</p>	With respect to the first part of this criterion, as reflected in the Resolution (relating of misreporting source code 'A' for animals), it is not possible to undertake an informative analyses on trade reported for animals using source code 'A' within the CITES Trade Database. CITES annual reports are checked for errors by UNEP-WCMC before they are entered into the database and any non-compatible taxon-term codes such as 'A' for animals are corrected to source code 'C' as part of the quality assurance process. In general, this discrepancy does not arise often in the data checking process.
Criterion vi) Legal acquisition	To detect cases where there may be concerns about whether the founder stock was legally acquired.	<p>Where species were being exporting from non-range States at high volumes, the CITES trade data were searched for evidence of a founder stock being either directly or indirectly imported into that country/territory from a range State.</p> <p>Species/country combinations met this criterion if exports were reported from non-range States during the most recent three years exceeded a <u>threshold</u> of 1000 units (based on gross exports) and either:</p> <p>(a) There was no evidence of any <u>live imports</u> (of any source) into the country from any range State for the species since 1975; and</p> <p>No evidence of any indirect imports from a non-range State (this accounts for imports into the EU28 as a regional economic integration organisation) since 1975; or</p> <p>(b) If there have been live imports from a range State, this was subsequent to the first export from the non-range State.</p>	It is important to note that this criterion is based only on CITES trade data, and there are many reasons why there may be no evidence of the original import in the CITES Trade Database (see Section 2.3.3 on p. 27 for further details) .

⁶ Only the current record of CITES Registered breeders is available on the CITES website. The methods did not account for historical records for facilities that were previously included on the CITES register, but have subsequently been removed from the list.

Box 1. Determination of species meeting criterion ii) (significant numbers)

To illustrate criterion ii) (significant numbers), we consider a sample order with 11 species/country combinations reported in trade (see table below). Selecting the top 5% means that one species/country combination would be selected in this example.

In the absence of any globally threatened species, species/country combination F would have met this criterion, because the average trade volume (2011-2015) was the highest (700). However, as C and J are globally threatened species, the average trade volumes for these species/country combinations are adjusted by multiplying the trade volume by 10 to give them a higher weighting. The species/country combination with the highest trade volume after adjustment would then be C (in grey below), which would be selected as meeting criterion ii).

Species/country combination	Average Trade Volume 2011-2015	Globally threatened (CR, EN, VU, NT or DD)	Adjusted average trade volume 2011-2015	Criterion met
A	100	No	100	
B	200	No	200	
C (EN)	80	Yes	800	Sig. numbers
D	250	No	250	
E	600	No	600	
F	700	No	700	
G	100	No	100	
H	350	No	350	
I	400	No	400	
J (CR)	50	Yes	500	
K	650	No	650	

2.3 Species selection results

In total, **160 species** and **227 species/country combinations** met at least one of the six criteria in paragraph 2 a) of Resolution Conf. 17.7 based on the methodologies applied. Where possible, criteria sharing similar data requirements were combined in order to minimise the number of tables and to ease with decision-making by showing cases where multiple criteria were met.

Details of which species/country combinations met each criteria are included in Tables 3-5:

- **Table 3** covers species/country combinations that met criteria i), ii) and iii), with an indication of whether the species also met criterion vi) (p. 10).
- **Table 4** covers species/country combinations that met criteria iv) and v) (p. 24).
- **Table 5** covers species/country combinations that met only criterion vi) (p. 26).

To assist the CITES Animals Committee with the task of selecting species, contextual information is provided in each table, including:

- The **criterion met**: i) = “significant increase”, ii) = “significant number”, iii) = “shift source”, iv) = “reporting inconsistencies”, v) = “incorrect source code” and vi) = “no legal acquisition”;
- **Percentage of trade** that was reported over the five years for each captive-produced source code (C, D, F, R), based on gross exports for Tables 3 and 5, and exporter-reported trade for Table 4;
- The Global **conservation status** of the species, if assessed, as published in The IUCN Red List of Threatened Species⁷;
- Whether the species is considered **endemic**, according to the distribution records within the Species+⁸;
- Whether the country of export is considered a **range State** for the species (“native”) according to the distribution records within the Species+, or is not a range State (“non-native”);
- If not a range State, whether the country is defined as a **neighbouring State**⁹, according to the distribution records within the Species+;
- An indication of species where there is **no evidence of any exports from any range state** (only applicable to exports from non-range states)¹⁰;
- The **year of first listing** in the CITES Appendices;
- Any year a **quota** has been in place during 2011-2017¹¹; and
- Whether a current Standing Committee **recommendation to suspend trade** is in place.

⁷ www.iucnredlist.org Data downloaded on 03rd April 2017

⁸ Species+ is a database maintained by UNEP-WCMC and accessible from speciesplus.net.

⁹ As defined by mledoze (2017). World countries in JSON, CSV and XML and Yaml.
<https://mledoze.github.io/countries/> [accessed on: 21/03/2017].

¹⁰ Based only on the CITES trade data.

¹¹ Full quota details provided in Annex B.

2.3.1. Criteria i), ii) and iii)

Table 3 provides details of all those species/country combinations that meet criteria i), ii) and iii). These criteria are defined as:

- i) significant increases in trade in specimens declared as captive-produced (source codes C, D, F and R) (“**significant increase**”);
- ii) trade in significant numbers of specimens declared as produced in captivity (“**significant numbers**”);
- iii) shifts and fluctuations between different captive-production source codes (“**shifts in source codes**”);

Due to the similarities in the data requirements, the output for criteria i) “significant increase”, ii) “significant number” and iii) “source shift” have been combined. Where relevant, it is also indicated in the table if criterion vi) (relating to legal acquisition) was also met. Where multiple criteria are met, the results are provided in bold.

In total, 118 species and 157 species/country combinations met at least one of these three criteria and are included in Table 3.

Key

Exporter: see Annex A for ISO codes and country and territory names

Term: see Annex B for term codes and descriptions

IUCN Red List: NE = Not Evaluated, LC = Least Concern, NT = Near Threatened, VU = Vulnerable, EN = Endangered, CR = Critically Endangered, EW = Extinct in the Wild.

Criteria met: species/country combinations meeting multiple criteria are in bold.

vi_no legal acquisition^(a) = no evidence of imports into the focal exporting country, vi_no legal

acquisition^(b) = first year of import reported after first year of export from the focal exporting country,

* = no evidence of exports from any range State(s)

Exporter distribution tag: † = neighbouring a range State

% **trade by source:** C = captive-bred, D = Appendix I captive-bred in a registered breeding facility, F = captive-born, R = ranched.

Table 3. Species/country combinations that met criteria i), ii) or iii) with an indication if criteria vi) was also met

Table 3: Species/country combinations that met criteria i), ii) or iii) based on direct trade in captive-produced (C, D, F, and R) specimens, with an indication if criteria vi) was also met. Quantities are in gross exports and rounded to the nearest decimal place, when applicable. Data extracted from the CITES Trade Database on 20th April 2017. See Key on p. 10.

Family	Species	Exporter	Term	2011	2012	2013	2014	2015	Criteria met	IUCN Red List	Endemic	Exporter dist. tag	Year CITES listed	Quotas	Suspensions	% trade by source
Mammals																
Artiodactyla																
Bovidae	<i>Kobus leche</i> (II)	ZA	BOD	1	1	2	4	0	1 met: iii) source shift (W-CDFR 2013)	LC		introduced	1975			C(0.3%); F(97%); R(2.7%)
			HOR	12	0	0	7	5								
			LIV	0	0	0	50	689								
			SKP	5	1	10	2	1								
			SKI	13	119	4	7	8								
			SKU	18	12	2	3	19								
			TEE	0	1	0	0	0								
			TRO	129	324	397	654	477								
Hippopotamidae	<i>Hippopotamus amphibius</i> (II)	MW	TEE	0	0	2303	0	0	1 met: ii) significant number	VU		native	1976			R(100%)
Carnivora																
Canidae	<i>Vulpes zerda</i> (II)	SD	LIV	45	162	477	634	236	1 met: iii) source shift (W-CDFR 2014)	LC		native	1976			C(100%)
Felidae	<i>Panthera leo</i> (II)	ZA	BOD	18	129	54	16	620	1 met: ii) significant number	VU		native	1976			C(99.2%); F(0.7%)
			BON	2108	14	713	42	122								
			CAR	0	0	1	13	0								
			LIV	181	260	159	161	138								
			SKE	498	110	764	1155	477								
			SKI	38	13	17	14	52								
			SKU	27	32	28	78	74								
			TEE	4	0	90	9	4								
TRO	751	793	760	1056	1139											
Primates																
Cebidae	<i>Callithrix jacchus</i> (II)	ZA	BOD	0	2	4	2	0	2 met: ii) significant number; vi) no legal acquisition ^(b)	LC	✓	non-native	1977			C(93.2%); F(6.8%)
			BON	0	0	0	0	1								
			LIV	809	1746	748	911	442								
			SKI	0	3	2	0	0								
			SKU	4	3	7	5	5								
			TRO	3	0	7	0	3								
Cercopithecidae	<i>Macaca fascicularis</i> (II)	CN	BON	140	172	1032	0	32	1 met: ii) significant number	LC		non-native†	1977			C(99.7%); F(0.3%)
			LIV	15210	12580	15025	25122	19306								
			SKU	0	51	700	0	0								

Table 3. Species/country combinations that met criteria i), ii) or iii) with an indication if criteria vi) was also met

Family	Species	Exporter	Term	2011	2012	2013	2014	2015	Criteria met	IUCN Red List	Endemic	Exporter dist. tag	Year CITES listed	Quotas	Suspensions	% trade by source
Proboscidea																
Elephantidae	<i>Loxodonta africana</i> (I/II)	ZA	BOD	0	1	0	0	0	1 met: ii) significant	VU		native	1976	2011-17		C(0.4%); R(99.6%)
			LIV	0	2	2	0	0	number							
			SKP	0	0	966	0	0								
Rodentia																
Chinchillidae	<i>Chinchilla lanigera</i> (I)	BO	SKI	0	0	0	300	0	2 met: ii) significant number; vi) no legal acquisition ^{(a)*}	EN		non-native†	1977			C(100%)
Birds																
Anseriformes																
Anatidae	<i>Cygnus melancoryphus</i> (II)	NL	LIV	465	331	175	150	77	1 met: ii) significant number	LC		non-native	1975			C(100%)
Ciconiiformes																
Phoenicopteridae	<i>Phoenicopiterus ruber</i> (II)	CU	LIV	686	1102	493	0	0	1 met: ii) significant number	LC		native	1976			R(100%)
Columbiformes																
Columbidae	<i>Gallicolumba luzonica</i> (II)	BE	LIV	6	65	30	0	6	1 met: ii) significant number	NT	✓	non-native	1975			C(100%)
Falconiformes																
Falconidae	<i>Falco cherrug</i> (II)	DE	BOD	0	4	1	1	2	1 met: ii) significant	EN		native	1975			C(77.7%); D(22.3%)
			LIV	155	193	108	155	159	number							
			TRO	0	0	0	0	3								
		RU	LIV	217	180	268	163	189	1 met: ii) significant number			native		2011-17	✓	C(95.5%); F(4.5%)
Galliformes																
Phasianidae	<i>Pavo muticus</i> (II)	ID	LIV	0	4	4	37	88	1 met: ii) significant number	EN		native	1977			C(100%)
Gruiformes																
Otididae	<i>Chlamydotis macqueenii</i> (I)	AE	BOD	0	0	0	0	2	2 met: ii) significant number; iii) source shift (W-CDFR 2013)	VU		native	1975			C(35.8%); F(64.2%)
			LIV	290	3067	4633	7105	5732								
			TRO	0	0	0	1	0								
		KZ	LIV	0	0	200	0	1005	1 met: i) significant increase			native				C(100%)
Passeriformes																
Estrildidae	<i>Lonchura oryzivora</i> (II)	CU	LIV	11500	10900	10700	11700	3900	2 met: ii) significant number; vi) no legal acquisition ^(a)	VU		non-native	1997			C(100%)

Table 3. Species/country combinations that met criteria i), ii) or iii) with an indication if criteria vi) was also met

Family	Species	Exporter	Term	2011	2012	2013	2014	2015	Criteria met	IUCN Red List	Endemic	Exporter dist. tag	Year CITES listed	Quotas	Suspensions	% trade by source
Psittaciformes																
Cacatuidae	<i>Cacatua alba</i> (II)	ID	LIV	30	20	0	85	175	1 met: i) significant increase	EN	✓	native	1981			C(100%)
Psittacidae	<i>Agapornis fischeri</i> (II)	IT	LIV	353	210	954	0	1240	2 met: ii) significant number; iii) source shift (W-CDFR 2014)	NT		non-native†	1976			C(100%)
		NL	LIV	6413	32398	20334	2206	3899	1 met: i) significant increase			non-native				C(100%)
		PH	LIV	3370	10452	28953	30238	226	1 met: ii) significant number			non-native				C(99.8%); F(0.2%)
		UZ	LIV	215	723	2197	544	3490	2 met: ii) significant number; vi) no legal acquisition^(a)			non-native				C(100%)
		ZA	LIV	3519	7931	33545	66310	2080	2 met: i) significant increase; vi) no legal acquisition^(a)			non-native				C(100%)
	<i>Agapornis personatus</i> (II)	ID	LIV	0	0	0	80	560	2 met: i) significant increase; vi) no legal acquisition^{(a)*}	LC	✓	non-native	1976			C(100%)
		UZ	LIV	75	302	799	0	2900	1 met: i) significant increase			non-native				C(100%)
		ZA	LIV	9826	10590	19855	26180	95082	2 met: i) significant increase; ii) significant number			non-native				C(100%)
	<i>Agapornis taranta</i> (II)	BE	LIV	75	151	186	240	532	2 met: i) significant increase; vi) no legal acquisition^{(a)*}	LC		non-native	1976			C(100%)
	<i>Amazona aestiva</i> (II)	AR	LIV	771	1014	726	200	1144	1 met: iii) source shift (R-CDF 2013)	LC		native	1976			C(67.6%); R(32.4%)
	<i>Amazona farinosa</i> (II)	ZA	LIV	111	107	128	141	542	1 met: i) significant increase	NT		non-native	1976			C(100%)
	<i>Cyanoramphus novaezelandiae</i> (I)	UZ	LIV	0	16	98	236	1896	2 met: i) significant increase; vi) no legal acquisition^(a)	NT		non-native	1975			C(100%)
.	<i>Myiopsitta monachus</i> (II)	BE	LIV	157	141	166	286	1115	1 met: i) significant increase	LC		non-native	1976			C(100%)
		CZ	LIV	18	155	34	355	726	1 met: i) significant increase			non-native† ^(intro)				C(100%)

Table 3. Species/country combinations that met criteria i), ii) or iii) with an indication if criteria vi) was also met

Family	Species	Exporter	Term	2011	2012	2013	2014	2015	Criteria met	IUCN Red List	Endemic	Exporter dist. tag	Year CITES listed	Quotas	Suspensions	% trade by source
Psittacidae cont	<i>Platycercus eximius</i> (II)	UZ	LIV	10	299	251	193	766	2 met: i) significant increase; vi) no legal acquisition^(a)	LC	✓	non-native	1976			C(100%)
	<i>Prosopieia personata</i> (II)	NL	LIV	0	0	150	0	250	1 met: i) significant increase	NT	✓	non-native	1975			C(100%)
	<i>Psephotus haematonotus</i> (II)	UZ	LIV	0	64	101	318	500	1 met: i) significant increase	LC	✓	non-native	1976			C(100%)
	<i>Psittacula columboides</i> (II)	ZA	LIV	0	0	80	118	172	2 met: i) significant increase; vi) no legal acquisition^{(a)*}	LC	✓	non-native	1976			C(100%)
	<i>Psittacus erithacus</i> (I)	ZA	BOD	0	0	0	1	0	2 met: ii) significant number; iii) source shift (W-CDFR 2014)	EN		non-native	1976			C(98.1%); F(1.9%)
			LIV	30726	41794	49720	76457	53122								
			TRO	1	1	1	0	2								
Rheiformes																
Rheidae	<i>Rhea americana</i> (II)	UY	EGG	150	300	0	300	0	1 met: ii) significant number	NT		native	1976			C(100%)
			SHE	200	900	300	900	700								
			SKP	0	14000	0	0	0								
			SKI	0	6000	6000	0	0								
Strigiformes																
Strigidae	<i>Ptilopsis leucotis</i> (II)	GB	BOD	0	2	0	0	0	1 met: ii) significant number	LC		non-native	1976			C(100%)
			LIV	66	65	73	61	38								
Struthioniformes																
Struthionidae	<i>Struthio camelus</i> (I)	XX	LIV	0	0	320	0	0	1 met: ii) significant number	LC		non-native	1983			C(100%)
Reptiles																
Crocodylia																
Crocodylidae	<i>Crocodylus niloticus</i> (I/II)	BW	LIV	1	1	650	0	0	1 met: iii) source shift (W-CDFR 2013,2014)	LC		native	1975	2011		C(46.4%); R(53.6%)
			SKI	1800	2800	6200	5600	4400								
			SKP	0	0	239	0	0								
			TRO	5	0	0	0	0								
		MG	SKI	368	0	0	3	48	1 met: i) significant increase			native		2011	✓	C(91%); R(9%)
			SKP	357	0	0	0	0								
			SKU	0	0	0	0	3090								
		MW	SKI	2160	6563	5371	5755	6246	1 met: iii) source shift (W-CDFR 2013)			native		2011-12		C(2.7%); R(97.3%)
			SKP	150	0	1443	0	0								
			SKU	2	0	0	0	0								
		NA	SKI	201	807	1103	1803	1410				native		2011-17		C(80%); R(20%)
			SKP	0	800	0	2891	0								

Table 3. Species/country combinations that met criteria i), ii) or iii) with an indication if criteria vi) was also met

Family	Species	Exporter	Term	2011	2012	2013	2014	2015	Criteria met	IUCN Red List	Endemic	Exporter dist. tag	Year CITES listed	Quotas	Suspensions	% trade by source
Crocodylidae (cont.)	<i>Crocodylus niloticus</i> (cont.)	NA	SKU	0	0	0	0	1	1 met: iii) source shift (R-CDF 2013,2014)							
		UG	SKI	0	405	400	515	0	1 met: iii) source shift (W-CDFR 2013,2014)			native				C(0.4%); R(99.6%)
		ZM	BOD	48	0	0	0	0	1 met: iii) source shift (W-CDFR 2014,2015)			native		2011-12, 2015-17		C(4.2%); R(95.8%)
			SKE	0	0	0	306	0								
			SKI	40015	14673	45368	57337	43926								
			SKP	9807	14250	11300	43700	109048								
			SKU	2	0	0	0	0								
			TRO	6	4	0	0	0								
		ZW	LIV	0	5	0	0	0	1 met: ii) significant number			native		2011-17		C(48.6%); R(51.4%)
			SKI	141083	111999	149339	129947	140607								
			SKP	43962	38384	36281	40808	67018								
			SKU	1	0	0	40	1								
			TRO	0	1	8	1	1								
	<i>Crocodylus siamensis</i> (I)	TH	BOD	313	236	78417	519	37	1 met: ii) significant number	CR		native	1975			D(100%)
			EGG	70	1000	200	0	50								
			GAB	0	0	0	0	6								
			LIV	10530	405	74	19	250								
			MEA	500	0	0	353365	475474								
			SKI	35298	29171	36462	26454	26914								
			SKP	869	1743	37157	860	778								
			SKU	153	252	543	354	31								
			TEE	500	0	6314	0	0								
			TRO	18	7	4	3	250								
		VN	BOD	0	2	115	1	0	1 met: ii) significant number			native		2012-17		C(0.7%); D(99.3%)
			LIV	12152	15083	36000	23876	25872								
			SKI	7602	6280	9319	20580	9116								
			SKP	0	1400	1000	0	8610								
		Sauria														
Chamaeleonidae	<i>Chamaeleo calyptratus</i> (II)	CZ	LIV	1350	9844	9544	5385	4923	1 met: ii) significant number	LC		non-native	1977			C(100%)
		TH	LIV	0	0	0	643	8495	2 met: i) significant increase; vi) no legal acquisition ^(a)			non-native				C(100%)

Table 3. Species/country combinations that met criteria i), ii) or iii) with an indication if criteria vi) was also met

Family	Species	Exporter	Term	2011	2012	2013	2014	2015	Criteria met	IUCN Red List	Endemic	Exporter dist. tag	Year CITES listed	Quotas	Suspensions	% trade by source
Chamaeleonidae (cont.)	<i>Furcifer pardalis</i> (II)	CZ	LIV	0	0	350	362	894	1 met: i) significant increase	LC	✓	non-native	1977			C(100%)
		HU	LIV	0	0	0	216	380	1 met: i) significant increase			non-native				C(100%)
		UA	LIV	548	1622	2027	728	198	1 met: ii) significant number			non-native				C(100%)
		US	LIV	82	0	161	179	536	1 met: i) significant increase			non-native				C(32.5%); F(67.5%)
	<i>Kinyongia boehmei</i> (II)	KE	LIV	210	1030	1172	531	683	1 met: ii) significant number	NT	✓	native	1977			C(86.5%); F(12.1%); R(1.4%)
Iguanidae	<i>Iguana iguana</i> (II)	SV	BOD	0	0	1000	0	0	1 met: ii) significant number	NE		native	1977			C(100%)
			LIV	243802	232988	240442	253511	266399								
Varanidae	<i>Varanus exanthematicus</i> (II)	GH	LIV	90	653	550	350	890	1 met: iii) source shift (W-CDFR 2014)	LC		native	1975			C(21.7%); R(78.3%)
		TG	LIV	8096	8042	11006	9038	10968	1 met: ii) significant number			native		2011-17		C(0.1%); F(5.9%); R(94%)
	<i>Varanus ornatus</i> (II)	TG	LIV	360	400	400	570	1253	1 met: ii) significant number	VU		native	1975	2011-17		R(100%)
	<i>Varanus timorensis</i> (II)	ID	LIV	1070	609	444	825	623	1 met: ii) significant number	NE	✓	native	1975			C(98.6%); F(1.4%)
Serpentes																
Colubridae	<i>Ptyas mucosus</i> (II)	ID	LIV	50000	47500	34500	65000	18300	1 met: iii) source shift (W-CDFR 2014)	NE		native	1984	2011-17		C(99.3%); F(0.7%)
Pythonidae	<i>Python bivittatus</i> (II)	LA	SKI	29500	37800	7000	0	0	1 met: ii) significant number	VU		native	1975			C(100%)
		VN	EGG	0	0	0	0	8000	1 met: ii) significant number			native				C(100%)
			LIV	2577	3360	435	20	0								
	<i>Python regius</i> (II)	TG	SKI	192964	160240	152337	151385	115760								
			LIV	54486	60966	75118	73872	47603	1 met: ii) significant number	LC		native	1975	2011-17		F(1.1%); R(98.9%)
	<i>Python reticulatus</i> (II)	VN	SKI	0	0	250	0	0								
			LIV	0	29	30	0	0	1 met: ii) significant number	NE		native	1975			C(100%)
			SKP	25	0	0	0	0								
		LA	SKI	126916	50832	22419	85996	46229								
			SKI	96000	131400	24003	0	0	1 met: ii) significant number			native			✓	C(100%)
Testudines																
Emydidae	<i>Emydoidea blandingii</i> (II)	US	LIV	0	0	119	0	367	1 met: i) significant increase	EN		native	2013			F(100%)

Table 3. Species/country combinations that met criteria i), ii) or iii) with an indication if criteria vi) was also met

Family	Species	Exporter	Term	2011	2012	2013	2014	2015	Criteria met	IUCN Red List	Endemic	Exporter dist. tag	Year CITES listed	Quotas	Suspensions	% trade by source
Geoemydidae	<i>Cuora amboinensis</i> (II)	ID	LIV	40	43	0	324	950	1 met: i) significant increase	VU		native	2000	2011-17		C(6.1%); F(93.9%)
	<i>Cuora mouhotii</i> (II)	VN	LIV	0	275	857	0	0	1 met: iii) source shift (W-CDFR 2013)	EN		native	2000			C(96.5%); R(3.5%)
	<i>Mauremys annamensis</i> (II)	US	LIV	12	0	35	50	593	1 met: i) significant increase	CR	✓	non-native	2003			C(80.7%); F(19.3%)
	<i>Mauremys japonica</i> (II)	JP	LIV	0	0	0	224	2574	1 met: i) significant increase	NT	✓	native	2013			F(100%)
	<i>Mauremys nigricans</i> (II)	US	LIV	33	58	60	103	372	2 met: i) significant increase; vi) no legal acquisition^{(a)*}	EN		non-native	2005			C(1.8%); F(98.2%)
Podocnemididae	<i>Podocnemis unifilis</i> (II)	PE	LIV	76806	133786	205876	320141	434948	1 met: ii) significant number	VU		native	1975			C(7.4%); F(13.1%); R(79.6%)
Testudinidae	<i>Centrochelys sulcata</i> (II)	IT	LIV	0	0	0	2409	5200	1 met: i) significant increase	VU		non-native	1975			C(100%)
		SD	LIV	17	150	1083	1463	2544	1 met: i) significant increase			native		2012-16		C(100%)
		SV	LIV	1266	795	732	2000	4430	1 met: i) significant increase			non-native				C(100%)
		US	LIV	10883	10340	6867	11095	17502	1 met: ii) significant number			non-native				C(47.4%); F(52.6%)
	<i>Chelonoidis carbonarius</i> (II)	SV	LIV	200	1200	2104	8830	10402	1 met: i) significant increase	NE		non-native	1975			C(100%)
	<i>Indotestudo elongata</i> (II)	VN	LIV	535	1046	10439	710	135	1 met: iii) source shift (W-CDFR 2013)	EN		native	1975			C(99.2%); R(0.8%)
	<i>Kinixys belliana</i> (II)	TG	LIV	1302	350	762	1861	1316	2 met: iii) source shift (W-CDFR 2014); vi) no legal acquisition^(a)	NE		non-native	1975	2011-17		C(2.2%); F(2.1%); R(95.7%)
	<i>Stigmochelys pardalis</i> (II)	KE	LIV	510	310	1300	3705	10465	1 met: i) significant increase	LC		native	1975			C(100%)
		TZ	LIV	3800	1292	4645	6868	8618	1 met: iii) source shift (W-CDFR 2014)			non-native				F(100%)
	<i>Testudo graeca</i> (II)	SY	LIV	13750	6950	7801	5900	1300	1 met: ii) significant number	VU		native	1975			C(51.7%); F(1.7%); R(46.6%)
	<i>Testudo hermanni</i> (II)	MK	LIV	8600	8101	10101	12470	14861	1 met: ii) significant number	NT		native	1975			C(99.6%); F(0.4%)
		SI	LIV	1722	3252	7084	10347	12450	1 met: ii) significant number			native				C(96.7%); D(3.3%)

Table 3. Species/country combinations that met criteria i), ii) or iii) with an indication if criteria vi) was also met

Family	Species	Exporter	Term	2011	2012	2013	2014	2015	Criteria met	IUCN Red List	Endemic	Exporter dist. tag	Year CITES listed	Quotas	Suspensions	% trade by source
Testudinidae (cont.)	<i>Testudo horsfieldii</i> (II)	UA	LIV	14200	5590	10700	7720	1900	2 met: ii) significant number; vi) no legal acquisition ^(b)	VU		non-native†	1975	2011-17		C(13.4%); F(86.6%)
		UZ	LIV	21478	31500	35131	52703	48881	1 met: ii) significant number			native				C(2.4%); R(97.6%)
Amphibians																
Anura																
Bufonidae	<i>Nectophrynoides asperginis</i> (I)	US	LIV	200	3500	2000	0	1500	2 met: ii) significant number; vi) no legal acquisition ^{(a)*}	EW	✓	non-native	1975			C(27.8%); F(72.2%)
Dendrobatidae	<i>Oophaga pumilio</i> (II)	NI	LIV	0	0	0	1236	4477	1 met: i) significant increase	LC		native	1987	2015-16		C(100%)
		PA	LIV	4525	6180	5220	6300	1175	1 met: ii) significant number			native				C(100%)
	<i>Ranitomeya amazonica</i> (II)	CA	LIV	0	0	133	68	332	1 met: i) significant increase	DD	✓	non-native	1987			C(100%)
	<i>Ranitomeya fantastica</i> (II)	CA	LIV	418	552	678	350	454	1 met: ii) significant number	NT	✓	non-native	1987			C(100%)
Hylidae	<i>Agalychnis callidryas</i> (II)	NI	LIV	22769	33202	26156	20150	22181	1 met: ii) significant number	LC		native	2010	2013-16		C(99.9%); F(0.1%)
Caudata																
Ambystomatidae	<i>Ambystoma mexicanum</i> (II)	US	BOD	0	250	0	0	0	2 met: ii) significant number; vi) no legal acquisition ^{(a)*}	CR	✓	non-native†	1975			C(100%)
			EGG	60	0	0	0	0								
			LIV	604	665	464	937	710								
Fish																
Acipenseriformes																
Acipenseridae	<i>Acipenser baerii</i> (II)	DE	CAV	57	68	0	18	0	2 met: i) significant increase; vi) no legal acquisition ^(b)	EN		non-native	1998			C(100%)
			LIV	1243	650	1000	760	29390								
			SKI	0	0	0	18	0								
		FR	BOD	0	2080	7350	36	20	2 met: ii) significant number; vi) no legal acquisition ^(b)			non-native				C(99.9%); D(0.1%)
			CAV	21	501842	0	120000	0								
			EGL	3900000	3700000	1270000	900000	900000								
			FIN	0	0	0	76	0								
			LIV	7900	29365	47038	39658	42867								
		PL	EGL	450000	0	400000	0	0	2 met: ii) significant number; vi) no legal acquisition ^(b)			non-native†				C(100%)
			LIV	650	2580	1100	0	0								
			MEA	2620	0	0	0	0								

Table 3. Species/country combinations that met criteria i), ii) or iii) with an indication if criteria vi) was also met

Family	Species	Exporter	Term	2011	2012	2013	2014	2015	Criteria met	IUCN Red List	Endemic	Exporter dist. tag	Year CITES listed	Quotas	Suspensions	% trade by source	
Acipenseridae (cont.)	<i>Acipenser gueldenstaedtii</i> (II)	BG	CAV	0	0	0	0	859	1 met: i) significant increase	CR		native	1998	2011-15, 2017		C(100%)	
			LIV	0	122	366	299	590									
		FR	CAV	3	1	0	35000	0	1 met: i) significant increase			non-native					
			EGL	0	0	50000	0	425000									
		LIV	0	145	6250	5000	0										
	<i>Acipenser sturio</i> (I)	NL	LIV	0	0	0	267	380	1 met: i) significant increase	CR		native	1975			C(58.7%); D(41.3%)	
Polyodontidae	<i>Polyodon spathula</i> (II)	US	BOD	0	0	0	0	50	1 met: ii) significant number	VU		native	1992			F(100%)	
			CAV	12000	250000	0	0	0									
			EGL	485750	599000	360000	105000	0									
Ceratodontiformes																	
Neoceratodontidae	<i>Neoceratodus forsteri</i> (II)	AU	BOD	78	0	0	0	0	1 met: ii) significant number	NE	✓	native	1975			C(10%); F(90%)	
			LIV	143	189	22	64	5									
Osteoglossiformes																	
Arapaimidae	<i>Arapaima gigas</i> (II)	BR	BOD	12	12	0	600	0	1 met: i) significant increase	DD		native	1975			C(72.4%); F(27.6%)	
			LIV	0	100	0	0	100									
			PLA	0	0	0	0	213									
			SKP	0	0	0	470	394									
			SKI	0	0	0	369	1968									
Osteoglossidae	<i>Scleropages formosus</i> (I)	MY	LIV	61572	139760	158137	132088	119039	2 met: ii) significant number; iii) source shift (W-CDFR 2013)	EN		native	1975			C(0.1%); D(99.9%)	
Syngnathiformes																	
Syngnathidae	<i>Hippocampus comes</i> (II)	VN	BOD	0	0	0	200	150	1 met: iii) source shift (W-CDFR 2013,2014)	VU		native	2004	2011-13		C(0.2%); F(99.8%)	
			LIV	7700	5300	11700	37496	16528									
		<i>Hippocampus ingens</i> (II)	MX	LIV	350	660	2250	750	0	1 met: iii) source shift (W-CDFR 2013)	VU		native	2004			C(100%)
	<i>Hippocampus kuda</i> (II)	VN	LIV	66070	37980	15342	270	10	1 met: ii) significant number	VU		native	2004	2011-12	✓	C(0.7%); F(99.3%)	
Invertebrates																	
Araneae																	
Theraphosidae	<i>Brachypelma smithi</i> (II)	MX	LIV	2303	2633	180	10	0	1 met: ii) significant number	NT	✓	native	1985			C(100%)	

Table 3. Species/country combinations that met criteria i), ii) or iii) with an indication if criteria vi) was also met

Family	Species	Exporter	Term	2011	2012	2013	2014	2015	Criteria met	IUCN Red List	Endemic	Exporter dist. tag	Year CITES listed	Quotas	Suspensions	% trade by source
Arhynchobdellida																
Hirudinidae	<i>Hirudo medicinalis</i> (II)	RO	LIV	0	1000	15000	11000	14000	1 met: iii) source shift (W-CDFR 2013-2015)	NT		non-native†	1987	2011, 2013-17		C(100%)
		RS	LIV	0	0	0	2680	5700	2 met: i) significant increase; vi) no legal acquisition ^(a)			non-native†				F(100%)
		RU	LIV	123000	120000	124000	123000	121000	1 met: ii) significant number			native				C(100%)
Lepidoptera																
Papilionidae	<i>Ornithoptera croesus</i> (II)	ID	BOD	6113	3717	1355	3911	2811	2 met: ii) significant number; iii) source shift (R-CDF 2014,2015)	EN	✓	native	1979			C(3.5%); F(32.3%); R(64.2%)
			TRO	260	0	0	0	148								
	<i>Ornithoptera goliath</i> (II)	ID	BOD	2804	2121	840	2249	3021	1 met: iii) source shift (R-CDF 2015)	NE		native	1977			C(1.6%); F(28.8%); R(69.6%)
			LIV	0	0	40	0	0								
			TRO	230	0	0	0	0								
	<i>Ornithoptera priamus</i> (II)	SB	BOD	0	0	800	0	684	1 met: i) significant increase	NE		native	1979		✓	F(46.1%); R(53.9%)
			ID	BOD	12264	10169	5877	12120	8983	1 met: iii) source shift (R-CDF 2015)	NE		native			C(6%); F(17.4%); R(76.6%)
				LIV	2400	1200	0	0	0							
	TRO	530		0	0	0	0									
	<i>Ornithoptera rothschildi</i> (II)	ID	BOD	2631	2061	678	1486	1507	1 met: iii) source shift (R-CDF 2015)	VU	✓	native	1979			C(1.5%); F(13.4%); R(85%)
			TRO	135	30	0	0	0								
	<i>Troides amphrysus</i> (II)	ID	BOD	951	335	176	862	382	1 met: iii) source shift (R-CDF 2015)	NE		native	1979			C(0.6%); F(38.3%); R(61.1%)
	<i>Troides criton</i> (II)	ID	BOD	1580	1043	129	1328	930	1 met: iii) source shift (R-CDF 2015)	NE	✓	native	1979			C(0.2%); F(39.5%); R(60.3%)
	<i>Troides haliphron</i> (II)	ID	BOD	2157	1035	199	1171	1370	1 met: iii) source shift (R-CDF 2015)	NE	✓	native	1979			C(0.2%); F(25.1%); R(74.7%)
	<i>Troides helena</i> (II)	ID	BOD	2437	1932	456	2193	2738	1 met: iii) source shift (R-CDF 2015)	NE		native	1979			C(1.3%); F(26.8%); R(71.8%)
			EGL	0	0	400	0	0								
			LIV	2500	1900	0	1600	0								
	<i>Troides hypolitus</i> (II)	ID	BOD	1338	1007	351	693	950	1 met: iii) source shift (R-CDF 2015)	NE	✓	native	1979			C(1.4%); F(22.4%); R(76.3%)
	<i>Troides rhadamantus</i> (II)	PH	BOD	951	552	0	1793	80	1 met: ii) significant number	NE	✓	native	1979			C(99.8%); F(0.2%)
			LIV	52693	67691	80370	62675	15166								

Table 3. Species/country combinations that met criteria i), ii) or iii) with an indication if criteria vi) was also met

Family	Species	Exporter	Term	2011	2012	2013	2014	2015	Criteria met	IUCN Red List	Endemic	Exporter dist. tag	Year CITES listed	Quotas	Suspensions	% trade by source
	<i>Troides vandepolli</i> (II)	ID	BOD	567	144	129	310	253	1 met: iii) source shift (R-CDF 2015)	NE	✓	native	1979			F(36.1%); R(63.9%)
Mesogastropoda																
Strombidae	<i>Strombus gigas</i> (II)	TC	SHE	2712	3132	0	0	0	1 met: ii) significant number	NE		non-native	1992			R(100%)
Scorpiones																
Scorpionidae	<i>Pandinus imperator</i> (II)	TG	LIV	22830	34650	27017	10825	4500	1 met: ii) significant number	NE		native	1995	2011-12, 2016-17	✓	R(100%)
Veneroida																
Tridacnidae	<i>Tridacna crocea</i> (II)	FM	LIV	0	0	0	111	1317	2 met: i) significant increase; vi) no legal acquisition ^(b)	LC		non-native	1985			F(100%)
		PW	LIV	1142	3536	8076	6329	5610			1 met: iii) source shift (W-CDFR 2014)	native			C(13.9%); F(86.1%)	
			SHE	62	19	54	65	150								
	<i>Tridacna derasa</i> (II)	MH	LIV	12226	6553	4964	4837	4055	1 met: ii) significant number	VU		introduced	1983			C(100%)
	<i>Tridacna maxima</i> (II)	FM	LIV	6928	6630	9082	7975	19346	1 met: ii) significant number	NT		non-native	1985			C(20.2%); F(79.8%)
		PW	LIV	781	774	3253	3763	1940	1 met: iii) source shift (W-CDFR 2014)			native			C(12.2%); F(87.8%)	
			SHE	24	0	40.5	43	50								
		TO	COR	0	0	13	0	0	1 met: i) significant increase			native			C(1%); F(99%)	
		LIV	17	0	485	711	13678									
	<i>Tridacna squamosa</i> (II)	AU	BOD	200	0	0	0	0	1 met: i) significant increase	NT		native	1985			F(100%)
		LIV	200	200	80	0	735									
Corals																
Helioporacea																
Helioporidae	<i>Heliopora coerulea</i> (II)	ID	LIV	0	0	0	75	272	1 met: ii) significant number	VU		native	1985	2011-17		C(2.4%); F(97.6%)
			COR	0	0	0	6	61								
Scleractinia																
Acroporidae	<i>Acropora millepora</i> (II)	ID	COR	0	0	0	0	26	1 met: ii) significant number	NT		native	1985			C(4.2%); F(95.8%)
			LIV	3365	10678	14296	14385	14852								
	<i>Acropora tenuis</i> (II)	ID	COR	3	0	0	0	3	1 met: ii) significant number	NT		native	1985			C(6%); F(94%)
			LIV	1579	4346	5811	4055	6157								
Caryophylliidae	<i>Catalaphyllia jardinei</i> (II)	ID	COR	0	0	12	57	14	1 met: i) significant increase	VU		native	1990	2011-17		C(0.7%); F(99.3%)
			LIV	0	21	743	1304	4206								
	<i>Euphyllia ancora</i> (II)	ID	COR	0	70	376	1184	821	1 met: ii) significant number	VU		native	1985	2011-17		C(0.7%); F(99.3%)
			LIV	7079	13177	36240	35502	50546								

Table 3. Species/country combinations that met criteria i), ii) or iii) with an indication if criteria vi) was also met

Family	Species	Exporter	Term	2011	2012	2013	2014	2015	Criteria met	IUCN Red List	Endemic	Exporter dist. tag	Year CITES listed	Quotas	Suspensions	% trade by source
Caryophylliidae (cont.)	<i>Euphyllia divisa</i> (II)	ID	COR	0	0	80	181	187	1 met: iii) source shift (W-CDFR 2013)	NT		native	1985	2011-17		C(0.2%); F(99.8%)
			LIV	0	310	7020	1429	6955								
	<i>Euphyllia glabrescens</i> (II)	ID	COR	773	856	1418	2936	1414	1 met: ii) significant number	NT		native	1985	2011-17		C(0.9%); F(99.1%)
			LIV	25728	36643	79779	62950	74986								
	<i>Euphyllia paraancora</i> (II)	ID	COR	0	0	34	217	233	2 met: i) significant increase; ii) significant number	VU		native	1985	2013-17		C(0.5%); F(99.4%); R(0.1%)
			LIV	0	0	1353	5655	13150								
	<i>Euphyllia paradviva</i> (II)	ID	COR	0	0	0	150	228	1 met: i) significant increase	VU		native	1985	2013-17		C(0.1%); F(99.9%)
			LIV	0	0	0	2646	5851								
	<i>Euphyllia yaeyamaensis</i> (II)	ID	COR	0	0	206	282	353	1 met: ii) significant number	NT		native	1985			C(0.2%); F(99.8%)
			LIV	0	1280	12616	8513	16873								
	<i>Physogyra lichtensteini</i> (II)	ID	COR	0	0	2	10	10	1 met: i) significant increase	VU		native	1990	2011-17		C(0.1%); F(99.9%)
			LIV	0	100	432	1255	1752								
	<i>Plerogyra simplex</i> (II)	ID	COR	0	0	0	75	10	1 met: i) significant increase	NT		native	1990			C(1.6%); F(98.4%)
			LIV	0	0	0	1048	3053								
Faviidae	<i>Diploastrea heliopora</i> (II)	ID	COR	0	0	0	0	78	1 met: i) significant increase	NT		native	1990	2011-17		F(100%)
			LIV	0	0	417	615	1281								
Fungiidae	<i>Polyphyllia talpina</i> (II)	ID	COR	0	0	0	0	40	1 met: i) significant increase	LC		native	1985	2011-17		F(100%)
			LIV	0	5	1	50	1062								
Mussidae	<i>Acanthastrea echinata</i> (II)	ID	COR	0	0	5	0	0	1 met: iii) source shift (W-CDFR 2013)	LC		native	1990			C(0.7%); F(99.3%)
			LIV	0	867	428	13	65								
	<i>Australomussa rowleyensis</i> (II)	ID	COR	0	0	0	21	35	1 met: i) significant increase	NT		native	1990			C(0.3%); F(99.5%); R(0.2%)
			LIV	0	0	206	833	1597								
	<i>Blastomussa merleti</i> (II)	ID	COR	0	0	0	0	49	1 met: i) significant increase	LC		native	1990			F(100%)
			LIV	0	0	0	140	1058								
Pectiniidae	<i>Mycedium elephantotus</i> (II)	ID	COR	0	0	0	25	15	1 met: i) significant increase	LC		native	1990	2014-15		C(1.3%); F(98.7%)
			LIV	0	110	95	216	2143								
Pocilloporidae	<i>Stylophora pistillata</i> (II)	ID	COR	368	877	539	40	85	1 met: ii) significant number	NT		native	1985			C(0.5%); F(99.5%)
			LIV	8291	17702	2178	219	555								
Poritidae	<i>Porites nigrescens</i> (II)	ID	COR	653	585	196	0	0	1 met: ii) significant number	VU		native	1990			C(0.4%); F(99.6%)
			LIV	6703	7442	670	19	22								

Table 3. Species/country combinations that met criteria i), ii) or iii) with an indication if criteria vi) was also met

Family	Species	Exporter	Term	2011	2012	2013	2014	2015	Criteria met	IUCN Red List	Endemic	Exporter dist. tag	Year CITES listed	Quotas	Suspensions	% trade by source
Stolonifera																
Tubiporidae	<i>Tubipora musica</i> (II)	ID	COR	0	0	0	50	59	2 met: i) significant increase; ii) significant number	NT		native	1985	2011-17		F(100%)
			LIV	21	0	40	875	1852								

2.3.2. Criteria iv) and v).

Table 4 provides an overview of those species that met criteria iv) and v); these criteria relate to:

- iv) inconsistencies between source codes reported by exporting and importing Parties for specimens declared as produced in captivity (“**reporting inconsistencies**”);
- v) apparent incorrect application of captive production codes such as: ‘A’ for animal species or ‘D’ for Appendix-I species that have not been registered in compliance with the provisions of Resolution Conf. 12.10 (Rev. CoP15) on Registration of operations that breed Appendix-I animal species in captivity for commercial purposes (“**incorrect application of source codes**”);

In total, 18 species and 23 species/country combinations met criteria iv) and v) and are included in Table 4.

Given the commonalities across the datasets considered for these criteria the output for criteria iv) and v) are combined. In particular, only trade in Appendix I species is considered for these two criteria. As criteria iv) relates to cross-checking discrepancies across trading partners (e.g. trade as reported by countries of import and countries of export), it was decided at the workshop and in consultation with the Secretariat, that only Appendix I trade should be considered for criteria iv) as Parties do not report consistently on imports of Appendix II species. Similarly, as criteria v) is concerned with misreporting of source code D (which is only applicable to Appendix I species), only Appendix I trade was checked to detect cases where source code D was used in the absence of a current CITES registered breeding facility.

The workshop considered that criteria iv) and v) on reporting discrepancies may be of lower relevance to concerns relating to the conservation of species than criteria i), ii), iii) and vi), although it was noted that issues identified in this context might also be of relevance to the Standing Committee.

Key

Exporter: see Annex A for ISO codes and country and territory names

Term: see Annex B for term codes and descriptions

Exp. Quant & Imp. Quant: exporter and importer reported quantities summed across the captive source codes (C, D, F and R) for the most recent five years of trade (2011-2015).

IUCN Red List: NE = Not Evaluated, LC = Least Concern, NT = Near Threatened, VU = Vulnerable, EN = Endangered, CR = Critically Endangered, EW = Extinct in the Wild.

% trade by Source: C = captive-bred, D = Appendix I captive-bred in a registered breeding facility, F = captive-born, R = ranched.

Table 4. Species/country combinations that met criteria iv) or v)

Table 4. Appendix I species/country combinations that met criteria iv) and v) based on direct trade in captive-produced (C, D, F, and R) specimens, 2011-2015. Quantities rounded to the nearest decimal place, when applicable. Data extracted from the CITES Trade Database 20th April 2017. See Key on p. 24.

Family	Species	Exporter	Term	Exp. Quant.	Imp. Quant.	Criteria iv) Reporting inconsistency	Criteria v Incorrect source code	IUCN Red List	Exporter distribution tag	% trade by source
Mammals										
Artiodactyla										
Bovidae	Oryx dammah	ZA	SKU	5	7	E (CDFR) - I (W)		EW	non-native	C (2.7%); F (96%); R (1.3%)
			TRO	272	194					
			HOR	2	17					
			SKP	0	2					
			BOD	3	7					
			SKI	10	12					
			LIV	8	8					
Carnivora										
Canidae	Speothos venaticus	FR	LIV	1	0		✓	NT	non-native	D (100%)
Felidae	Panthera tigris	DE	BOD	2	1		✓	EN	non-native	C (80%); D (20%)
			LIV	23	27					
Birds										
Falconiformes										
Falconidae	Falco peregrinus	PE	LIV	49	20		✓	LC	native	C (67.3%); D (32.7%)
		SI	LIV	14	21		✓		native	C (64.3%); D (35.7%)
		AE	LIV	104	40		✓		native	C (76%); D (1%); F (23.1%)
Passeriformes										
Sturnidae	Leucopsar rothschildi	DE	LIV	13	8		✓	CR	non-native	C (84.6%); D (15.4%)
Psittaciformes										
Psittacidae	Amazona auropalliata	IT	LIV	27	39		✓	VU	non-native	C (70.4%); D (29.6%)
	Amazona brasiliensis	DE	LIV	7	4		✓	VU	non-native	D (100%)
	Amazona oratrix	UK	LIV	51	3		✓	EN	non-native	C (88.2%); D (2%); F (9.8%)
	Amazona vinacea	IT	LIV	4	2		✓	EN	non-native	C (50%); D (50%)
	Anodorhynchus hyacinthinus	DE	LIV	7	10		✓	VU	non-native	C (14.3%); D (85.7%)
		US	SKI	0	1		✓		non-native	D (58.3%); F (41.7%)
			LIV	12	19					
	Ara macao	DE	LIV	20	48		✓	LC	non-native	C (90.5%); D (4.8%); F (4.8%)
			BOD	1	1					
		IT	LIV	9	8		✓			
		Eunymphicus cornutus	DE	LIV	27	6		✓	VU	non-native
	Guarouba guarouba	DE	BOD	3	0		✓	VU	non-native	C (37.5%); D (62.5%)

Table 4. Species/country combinations that met criteria iv) or v)

Family	Species	Exporter	Term	Exp. Quant.	Imp. Quant.	Criteria iv) Reporting inconsistency	Criteria v Incorrect source code	IUCN Red List	Exporter distribution tag	% trade by source
			LIV	5	13					
	<i>Primolius couloni</i>	DE	LIV	2	2		✓	VU	non-native	D (100%)
Reptiles										
Crocodylia										
Crocodylidae	<i>Crocodylus porosus</i> (I/II)	MY	SKP	240	1241		✓	LC	native	C (2.2%); D (96.9%); F (0.9%)
			LIV	1850	560					
			SKI	8301	10301					
			TRO	11	0					
			BON	428	0					
			SKU	5	4					
			MEA	17	3500					
			EGG	150	0					
			TEE	10	0					
			BOD	57	13					
		VN	SKI	108	0		✓		native	C (4.4%); D (95.6%)
			SKP	112	0					
			LIV	4800	0					
	<i>Crocodylus siamensis</i>	KR	SKI	6592	0		✓	CR	non-native	D (100%)
Serpentes										
Boidae	<i>Acrantophis madagascariensis</i>	DE	LIV	6	1		✓	LC	non-native	C (83.3%); D (16.7%)
Fish										
Osteoglossiformes										
Osteoglossidae	<i>Scleropages formosus</i>	SG	LIV	81777	63336	E (CDFR) - I (W)		EN	introduced	D (100%)

2.3.3. Criterion vi) only

Criterion vi) focuses on using the trade data to check whether there is any evidence of legal acquisition of the founder breeding stock for species that are traded as captive-produced by non-range States.

In total, 37 species and 52 species/country combinations met criterion vi) only and are included in Table 5. An additional 9 species and 16 species/country combinations met this criteria in conjunction with criteria i), ii), or iii) and are included in Table 3.

It is important to note that legal acquisition can only be partially addressed by using the CITES trade data, and there are many reasons why there may be no evidence of the import of the founder breeding stock within the CITES Trade Database. A few examples of possible reasons for no evidence of legal acquisition within the CITES Trade Database include:

- Founder stocks could have been acquired prior to CITES coming into force, prior to the species being listed in the Appendices to the Convention, or prior to the accession of the relevant Parties;
- Missing annual reports may account for the lack of evidence of legal acquisition;
- Where possible, nomenclature changes have been accounted for, however some species may be selected if they were previously traded under a different taxonomic name.

In relation to concerns over legal acquisition, the Animals Committee may wish to consider whether any of these species/country combinations would merit referral to the Standing Committee.

Key

Exporter: see Annex A for ISO codes and country and territory names

Term: see Annex B for term codes and descriptions

Criteria vi: * = no evidence of exports from any range state(s)

IUCN Red List: NE = Not Evaluated, LC = Least Concern, NT = Near Threatened, VU = Vulnerable, EN = Endangered, CR = Critically Endangered, EW = Extinct in the Wild.

% trade by Source: C = captive-bred, D = Appendix I captive-bred in a registered breeding facility, F = captive-born, R = ranched.

Table 5. Species/country combinations that met criteria vi) only.

Table 5. Species/country combinations that met criteria vi) only, based on direct trade in captive-produced (C, D, F, and R) specimens from non-native exporting range states. Quantities are in gross exports and rounded to the nearest decimal place, when applicable. Data extracted from the CITES Trade Database 20th April 2017. No species/country combinations in this table were subject to quotas or to current Standing Committee recommendations to suspend trade. See Key on p. 27.

Family	Species	Exporter	Term	Sum of trade (2011-15)	Criteria vi) no legal acquisition	IUCN Red List	Endemic	Neighbour range state	Year CITES listed	% trade by source
Birds										
Passeriformes										
Estrildidae	<i>Lonchura oryzivora</i> (II)	ZA	LIV	4610	no import	VU			1997	C(100%)
Psittaciformes										
Loriidae	<i>Lorius lory</i> (II)	ZA	BOD	1	no import	LC			1981	C(98.7%); F(1.3%)
			LIV	2306						
			SKU	1						
Psittacidae	<i>Agapornis fischeri</i> (II)	CU	LIV	50250	no import	NT			1976	C(100%)
	<i>Agapornis nigrigenis</i> (II)	BE	LIV	1488	first import after first export	VU			1976	C(100%)
		PH	LIV	4944	no import					C(100%)
	<i>Aratinga jandaya</i> (II)	ZA	LIV	19708	no import	LC	✓		1976	C(100%)
	<i>Aratinga solstitialis</i> (II)	PH	LIV	2409	no import	EN			1976	C(100%)
		ZA	BOD	2	no import					C(99.9%); F(0.1%)
			LIV	62827						
	<i>Cyanoramphus auriceps</i> (II)	BE	LIV	5631	no import	NT	✓		1976	C(100%)
		CZ	LIV	9075	no import					C(100%)
		IT	LIV	1260	no import					C(100%)
		NL	LIV	2717	no import					C(100%)
	<i>Cyanoramphus novaezelandiae</i> (I)	BE	LIV	2012	no import	NT			1975	C(100%)
		CZ	LIV	5158	no import					C(98.1%); R(1.9%)
	<i>Neophema pulchella</i> (II)	BE	LIV	2019	no import	LC	✓		1976	C(100%)
		NL	LIV	2142	no import					C(100%)
		ZA	LIV	6982	no import					C(100%)
	<i>Neopsephotus bourkii</i> (II)	BE	LIV	3403	no import	LC	✓		1976	C(100%)
		CU	LIV	1242	no import					C(100%)
	<i>Platycercus caledonicus</i> (II)	BE	LIV	1660	no import	LC	✓		1976	C(100%)
	<i>Platycercus elegans</i> (II)	BE	LIV	6327	first import after first export	LC	✓		1976	C(100%)
		NL	LIV	7212	first import after first export					C(100%)
	<i>Platycercus eximius</i> (II)	BE	LIV	12744	first import after first export	LC	✓		1976	C(100%)
		ZA	BOD	3	no import					C(100%)
			LIV	6821						
			TRO	3						
	<i>Platycercus icterotis</i> (II)	BE	LIV	2110	no import	LC	✓		1976	C(100%)

Table 5. Species/country combinations that met criteria vi) only.

Family	Species	Exporter	Term	Sum of trade (2011-15)	Criteria vi) no legal acquisition	IUCN Red List	Endemic	Neighbour range state	Year CITES listed	% trade by source
Psittacidae cont.	<i>Poicephalus rueppellii</i> (II)	ZA	BOD LIV	1 2473	no import	LC		✓	1976	C(100%)
	<i>Polytelis alexandrae</i> (II)	BE	LIV	1484	first import after first export	NT	✓		1976	C(100%)
	<i>Polytelis swainsonii</i> (II)	CZ	LIV	2569	first import after first export	LC	✓		1976	C(100%)
	<i>Psephotus haematonotus</i> (II)	BE	LIV	22960	first import after first export	LC	✓		1976	C(100%)
		CU	LIV	1712	no import					C(100%)
		ZA	LIV	5626	no import					C(100%)
		TRO	1							
	<i>Pyrrhura hoffmanni</i> (II)	ZA	LIV	3344	no import	LC			1976	C(100%)
	<i>Pyrrhura perlata</i> (II)	ZA	LIV	8461	no import	VU			1976	C(100%)
<i>Pyrrhura rhodocephala</i> (II)	ZA	LIV	1676	no import*	LC	✓		1976	C(100%)	
Reptiles										
Sauria										
Agamidae	<i>Uromastyx acanthinura</i> (II)	ML	LIV	3756	no import	NE		✓	1977	C(36.3%); F(49.5%); R(14.2%)
	<i>Uromastyx ornata</i> (II)	ML	LIV	2026	no import	LC			1977	C(46.2%); F(53.8%)
Chamaeleonidae	<i>Chamaeleo calypttratus</i> (II)	UA	LIV	20331	no import	LC			1977	C(100%)
Serpentes										
Pythonidae	<i>Morelia spilota</i> (II)	CA	LIV	2027	first import after first export	LC			1975	C(96%); F(4%)
	<i>Python brongersmai</i> (II)	LA	SKI	22500	no import	LC		✓	1975	C(100%)
Testudines										
Testudinidae	<i>Testudo hermanni</i> (II)	RS	LIV	7700	first import after first export	NT		✓	1975	C(100%)
		UA	LIV	1776	first import after first export			✓		C(100%)
Fish										
Acipenseriformes										
Acipenseridae	<i>Acipenser baerii</i> (II)	HU	CAV	35	first import after first export	EN			1998	C(100%)
			EGL	310000						
			LIV	10000						
	<i>Acipenser gueldenstaedtii</i> (II)	CN	CAV	300000	no import	CR		✓	1998	C(98.4%); F(1.6%)
	<i>Acipenser transmontanus</i> (II)	IT	CAV	1278	first import after first export	LC			1998	C(100%)
<i>Huso huso</i> (II)	CN	LIV	10000	no import	CR		✓	1998	C(50%); F(50%)	
Syngnathiformes										
Syngnathidae	<i>Hippocampus comes</i> (II)	LK	LIV	22770	no import	VU			2004	C(99.1%); F(0.9%)
	<i>Hippocampus reidi</i> (II)	LK	BOD LIV	122 51924	first import after first export	DD			2004	C(98.8%); F(0.8%); R(0.4%)

Table 5. Species/country combinations that met criteria vi) only.

Family	Species	Exporter	Term	Sum of trade (2011-15)	Criteria vi) no legal acquisition	IUCN Red List	Endemic	Neighbour range state	Year CITES listed	% trade by source
Invertebrates										
Araneae										
Theraphosidae	<i>Brachypelma baumgarteni</i> (II)	CA	LIV	1800	no import*	NE	✓		1995	C(50%); F(50%)
Arhynchobdellida										
Hirudinidae	<i>Hirudo verbana</i> (II)	CA	LIV	6000	no import	NE			1987	C(100%)
		RS	LIV	1500	no import		✓	F(100%)		
Corals										
Scleractinia										
Acroporidae	<i>Acropora microclados</i> (II)	MH	LIV	4980	no import	VU			1985	C(99.1%); F(0.9%)
Caryophylliidae	<i>Physogyra lichtensteini</i> (II)	FM	COR	20	no import	VU			1990	F(100%)
			LIV	1321						

3. Trade summary

To support decision making by the Animals Committee, an output of reported trade in captive-bred and ranched animal specimens (sources C, D, F and R) was also produced from trade data extracted from the CITES Trade Database on 20th April 2017 (see AC29 Inf. 3). This output is provided in Excel format, with filterable columns, to enable data exploration. Details of the data included in this summary trade output are provided in Table 6.

Table 6. Data included for the summary output of ‘captive-produced’ trade

	Data included
CITES Trade Database report type	Gross exports; Direct trade only (re-exports are excluded)
Current Appendix	Appendix I and II only
Source codes¹²	Captive-bred ('C'), Appendix I captive-bred in a registered breeding facility ('D'), captive-born ('F') and ranched ('R')
Purpose codes¹²	All
Terms included	<i>Selected terms¹³</i> : baleen, bodies, bones, carapaces, carvings, caviar, cloth, eggs, egg (live), fins, gall and gall bladders, horns and horn pieces, ivory pieces, ivory carvings, live, meat, musk, plates, raw corals, scales, shells, skin pieces, skins, skeletons, skulls, teeth, trophies, and tusks.
Units of measure	Number (unit = blank) <i>[Trade in other units of measure (e.g. kilograms, metres, etc.) were excluded]</i>
Year range	2011-2015 ¹⁴
Contextual information	<ul style="list-style-type: none"> • Percentage of captive-produced trade by source code (C, D, F, R); • Global conservation status of the species as published in the IUCN Red List of Threatened Species¹⁵; • An indication of whether the country of export is a range State or a neighbouring State to a range State; • An indication of whether the species is endemic to a single country, according to Species+¹⁶; • An indication of where there is no evidence of any exports from any range State (only applicable to exports from non-range States)¹⁷; • The year of first listing in the CITES Appendices; • Species/country combinations subject to quotas between 2011 and 2017; and • Species/country combinations that are subject to current Standing Committee recommendations to suspend trade.

¹² A full list and description of source and purpose codes is specified in Res. Conf. 12.3 (Rev. CoP17).

¹³ A full list of “terms” (i.e. descriptions of specimens in trade) traded is available in the CITES Trade Database interpretation guide, see: https://trade.cites.org/cites_trade_guidelines/en-CITES_Trade_Database_Guide.pdf

¹⁴ Trade data for 2015 may appear lower than other years due to missing annual reports; 59% of Parties had submitted an annual report for 2015 that could be included for this analysis (as of 20th April 2017).

¹⁵ www.iucnredlist.org Data downloaded on 03rd April 2017.

¹⁶ Species+ is a database maintained by UNEP-WCMC and accessible from speciesplus.net.

¹⁷ Based only on the CITES trade data.

Annex A: ISO codes and country and territory names

Code	Name
AF	Afghanistan
AX	Åland Islands
AL	Albania
DZ	Algeria
AS	American Samoa
AD	Andorra
AO	Angola
AI	Anguilla
AQ	Antarctica
AG	Antigua and Barbuda
AR	Argentina
AM	Armenia
AW	Aruba
AU	Australia
AT	Austria
AZ	Azerbaijan
BS	Bahamas
BH	Bahrain
BD	Bangladesh
BB	Barbados
BY	Belarus
BE	Belgium
BZ	Belize
BJ	Benin
BM	Bermuda
BT	Bhutan
BO	Bolivia, Plurinational State of
BQ	Bonaire, Saint Eustatius and Saba
BA	Bosnia and Herzegovina
BW	Botswana
BV	Bouvet Island
BR	Brazil
IO	British Indian Ocean Territory
BN	Brunei Darussalam
BG	Bulgaria
BF	Burkina Faso
BI	Burundi

Code	Name
KH	Cambodia
CM	Cameroon
CA	Canada
CV	Cape Verde
KY	Cayman Islands
CF	Central African Republic
TD	Chad
CL	Chile
CN	China
CX	Christmas Island
CC	Cocos (Keeling) Islands
CO	Colombia
KM	Comoros
CG	Congo
CK	Cook Islands
CR	Costa Rica
CI	Côte d'Ivoire
HR	Croatia
CU	Cuba
CW	Curaçao
CY	Cyprus
CZ	Czech Republic
KP	Democratic People's Republic of Korea
CD	Democratic Republic of the Congo
DK	Denmark
DJ	Djibouti
DM	Dominica
DO	Dominican Republic
EC	Ecuador
EG	Egypt
SV	El Salvador
GQ	Equatorial Guinea
ER	Eritrea
EE	Estonia
ET	Ethiopia

Code	Name
FK	Falkland Islands (Malvinas) ¹⁸
FO	Faroe Islands
FJ	Fiji
FI	Finland
FR	France
GF	French Guiana
PF	French Polynesia
TF	French Southern Territories
GA	Gabon
GM	Gambia
GE	Georgia
DE	Germany
GH	Ghana
GI	Gibraltar
GR	Greece
GL	Greenland
GD	Grenada
GP	Guadeloupe
GU	Guam
GT	Guatemala
GG	Guernsey
GN	Guinea
GW	Guinea-Bissau
GY	Guyana
HT	Haiti
HM	Heard Island and McDonald Islands
VA	Holy See
HN	Honduras
HK	Hong Kong
HU	Hungary
IS	Iceland
IN	India
ID	Indonesia
IR	Iran, Islamic Republic of
IQ	Iraq

Code	Name
IE	Ireland
IM	Isle of Man
IL	Israel
IT	Italy
JM	Jamaica
JP	Japan
JE	Jersey
JO	Jordan
KZ	Kazakhstan
KE	Kenya
KI	Kiribati
KW	Kuwait
KG	Kyrgyzstan
LA	Lao People's Democratic Republic
LV	Latvia
LB	Lebanon
LS	Lesotho
LR	Liberia
LY	Libyan Arab Jamahiriya
LI	Liechtenstein
LT	Lithuania
LU	Luxembourg
MO	Macao
MG	Madagascar
MW	Malawi
MY	Malaysia
MV	Maldives
ML	Mali
MT	Malta
MH	Marshall Islands
MQ	Martinique
MR	Mauritania
MU	Mauritius
YT	Mayotte
MX	Mexico

¹⁸ A dispute exists between the Governments of Argentina and the United Kingdom of Great Britain and Northern Ireland concerning sovereignty over the Falkland Islands (Islas Malvinas).

Code	Name
FM	Micronesia, Federated States of
MC	Monaco
MN	Mongolia
ME	Montenegro
MS	Montserrat
MA	Morocco
MZ	Mozambique
MM	Myanmar
NA	Namibia
NR	Nauru
NP	Nepal
NL	Netherlands
NC	New Caledonia
NZ	New Zealand
NI	Nicaragua
NE	Niger
NG	Nigeria
NU	Niue
NF	Norfolk Island
MP	Northern Mariana Islands
NO	Norway
OM	Oman
PK	Pakistan
PW	Palau
PA	Panama
PG	Papua New Guinea
PY	Paraguay
PE	Peru
PH	Philippines
PN	Pitcairn
PL	Poland
PT	Portugal
PR	Puerto Rico
QA	Qatar
KR	Republic of Korea
MD	Republic of Moldova
RE	Réunion

Code	Name
RO	Romania
RU	Russian Federation
RW	Rwanda
BL	Saint Barthelemy
SH	Saint Helena, Ascension and Tristan da Cunha
KN	Saint Kitts and Nevis
LC	Saint Lucia
MF	Saint Martin
PM	Saint Pierre and Miquelon
VC	Saint Vincent and the Grenadines
WS	Samoa
SM	San Marino
ST	Sao Tome and Principe
SA	Saudi Arabia
SN	Senegal
RS	Serbia
SC	Seychelles
SL	Sierra Leone
SG	Singapore
SX	Sint Maarten
SK	Slovakia
SI	Slovenia
SB	Solomon Islands
SO	Somalia
ZA	South Africa
GS	South Georgia and the South Sandwich Islands
SS	South Sudan
ES	Spain
LK	Sri Lanka
SD	Sudan
SR	Suriname
SJ	Svalbard and Jan Mayen
SZ	Swaziland
SE	Sweden
CH	Switzerland
SY	Syrian Arab Republic

Code	Name
TW	Taiwan, Province of China
TJ	Tajikistan
TH	Thailand
MK	The former Yugoslav Republic of Macedonia
TL	Timor-Leste
TG	Togo
TK	Tokelau
TO	Tonga
TT	Trinidad and Tobago
TN	Tunisia
TR	Turkey
TM	Turkmenistan
TC	Turks and Caicos Islands
TV	Tuvalu
UG	Uganda
UA	Ukraine
AE	United Arab Emirates
GB	United Kingdom of Great Britain and Northern Ireland
TZ	United Republic of Tanzania
US	United States of America
UM	United States Minor Outlying Islands
UY	Uruguay
UZ	Uzbekistan
VU	Vanuatu
VE	Venezuela, Bolivarian Republic of
VN	Viet Nam
VG	Virgin Islands, British
VI	Virgin Islands, United States
WF	Wallis and Futuna Islands
EH	Western Sahara
YE	Yemen
ZM	Zambia
ZW	Zimbabwe

Annex B: Term codes and descriptions (see Notification to the Parties No. 2017/006)¹⁹

Trade term code	Description	Explanation
BAL	Baleen	Whalebone
BOD	Bodies	Substantially whole dead animals, including fresh or processed fish, stuffed turtles, preserved butterflies, reptiles in alcohol, whole stuffed hunting trophies, etc.
BON	Bones	Bones, including jaws
CAP	Carapaces	Raw or unworked whole shells of Testudines species
CAR	Carving	Carved products other than ivory, bone or horn – for example coral and wood (including handicrafts). N.B: Ivory carvings should be specified as such (see below – “IVC”). Also, for species from which more than one type of product may be carved (e.g. horn and bone), the trade term code should indicate the type of product in trade (e.g. bone carving “BOC” or horn carving – “HOC”), where possible.
CAV	Caviar	Unfertilized dead processed eggs from all species of Acipenseriformes; also known as roe.
CLO	Cloth	Cloth – if the cloth is not made entirely from the hair of a CITES species, the weight of hair of the species concerned should instead, if possible, be recorded under ‘HAI’
COR	Raw corals	Raw or unworked coral and coral rock (also live rock and substrate) [as defined in Resolution Conf. 11.10 (Rev. CoP15)]. Coral rock should be recorded as ‘Scleractinia spp.’ NB: the trade should be recorded by number of pieces only if the coral specimens are transported in water. Live rock (transported moist in boxes) should be reported in kg; coral substrate should be reported as number of pieces (since these are transported in water as the substrate to which non-CITES corals are attached).
EGG	Eggs	Whole dead or blown eggs (see also ‘caviar’)
EGL	Egg (live)	Live fertilized eggs – usually birds and reptiles but includes fish and invertebrates
FIN	Fins	Fresh, frozen or dried fins and parts of fins (including flippers)
GAB	Gall bladders	Gall bladders
GAL	Gall	Gall
HOP	Horn pieces	Pieces of horn, not manufactured – includes scrap
HOR	Horns	Horns – includes antlers
IVC	Ivory carvings	Ivory carvings, including e.g. smaller worked pieces of ivory (knife handles, chess sets, marjoram sets etc). N.B. Whole carved tusk should be reported as tusks (“TUS”). Jewellery made from carved ivory should be reported as ‘jewellery – ivory’ (“IJW”).
IVP	Ivory pieces	Ivory pieces, not manufactured – includes scrap
LIV	Live	Live animals and plants

¹⁹ A full list of “terms” (i.e. descriptions of specimens in trade) traded is available from https://trade.cites.org/cites_trade_guidelines/en-CITES_Trade_Database_Guide.pdf

Trade term code	Description	Explanation
MEA	Meat	Meat, including flesh of fish if not whole (see 'body'), fresh or unprocessed meat as well as processed meat (e.g. smoked, raw, dried, frozen or tinned)
MUS	Musk	Musk
PLA	Plate	Plates of fur skins – includes rugs if made of several skins
SCA	Scale	Scales – e.g. of turtle, other reptiles, fish, pangolin
SHE	Shell	Raw or unworked shell of molluscs
SKE	Skeleton	Substantially whole skeletons
SKI	Skin	Substantially whole skins, raw or tanned, including crocodilian Tinga frames, external body lining, with or without scales
SKP	Skin piece	Skin pieces – including scraps, raw or tanned
SKU	Skull	Skulls
TEE	Tooth	Teeth – e.g. of whale, lion, hippopotamus, crocodile, etc.
TRO	Trophy	Trophy – all the trophy parts of one animal if they are exported together: e.g. horns (2), skull, cape, backskin, tail and feet (i.e. ten specimens) constitute one trophy. But if, for example, the skull and horns are the only specimens of an animal that are exported, then these items together should be recorded as one trophy. Otherwise the items should be recorded separately. A whole stuffed body is recorded under 'BOD'. A skin alone is recorded under 'SKI'. Trade in 'full mount', 'shoulder mount' and 'half mount', along with any corresponding parts of the same animal exported together on the same permit, should be reported as '1 TRO'
TUS	Tusk	Substantially whole tusks, whether or not worked. Includes tusks of elephant, hippopotamus, walrus, narwhal, but not other teeth