Fraud with CITES documents

Sofia 25 February 2014
Checking permits at the borders is a crucial part of enforcement.
FRAUD INVOLVING CITES DOCUMENTS

CAN INCLUDE:

false documents
falsified documents
invalid documents
non-CITES documents
INVALID PERMITS

False permit - form is false

- Falsified permit – changed after issuance
- Fraudulent permit - genuine permit obtained fraudulently
- Incorrect permit - issued by competent authority but includes errors
- **Expired permit** - used after validity date
- **Not original permit** - photocopies, duplicates etc
- **Non permits** - health certificates and other documents presented as permits
- **Permits without security stamps** - for parties using stamps
Caviar Shipments > 125 gram from 3rd Country

labels according Comm. Reg 1808/2001 !!!

Export permit

Import permit

Conservation of Nature Consultancy, Expertise, Policy-advice and Training
Import (Caviar)

Art. 4 Reg. (EC) No. 338/97

Ann. A

Import Permit
+ Export permit

Ann. B

Import Permit
+ Export permit
Export and Re-Export (Caviar)

Art. 5 Reg. (EC) No. 338/97

Ann. A

Export Permit or Re-export Certificate

Ann. B

Export Permit or Re-export Certificate
Breakdown of EU-Documents

Common Information

Information about the specimen

Endorsements

CONCEPT
Conservation of Nature Consultancy,
Expertise, Policy-advice and Training
**Form of EU-Documents**

<table>
<thead>
<tr>
<th><strong>EUROPEAN COMMUNITY</strong></th>
<th><strong>PERMIT/CERTIFICATE</strong></th>
<th><strong>No</strong></th>
</tr>
</thead>
</table>
| 1. Exporter/Re-exporter| IMPORT
default| E 113/14 |
|                        | EXPORT
|                        | RE-EXPORT
|                        | OTHER: |

**Original**

1. Exporter/Re-exporter: John Caviar
   Geneve

2. Last day of validity: 31.06.2014

3. Importer: Thomas Sturgeon
   Fishermans street 22
   4215 Sofia BG

4. Country of re-export: Switzerland

5. Country of import: Bulgaria

6. Authorised location for live specimens of Annex A species

7. Issuing management authority

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**Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES)**
# Breakdown of EU-Documents

<table>
<thead>
<tr>
<th>8. Description of specimens (incl. marks, sex/date of birth for live animals)</th>
<th>9. Net mass (kg)</th>
<th>10. Quantity</th>
</tr>
</thead>
<tbody>
<tr>
<td>Caviar from Common Sturgeon</td>
<td>0.25kg</td>
<td>2 tins</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td></td>
<td>W</td>
<td>P</td>
</tr>
<tr>
<td>15. Country of origin</td>
<td>Iran</td>
<td></td>
<td></td>
</tr>
<tr>
<td>16. Permit No</td>
<td>IR-00456</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Date of issue</td>
<td>31-04-2014</td>
<td></td>
<td></td>
</tr>
<tr>
<td>18. Country of last re-export</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>19. Certificate No</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>20. Date of issue</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

21. Scientific name of species: *Acipenser sturio*

22. Common name of species: Common Sturgeon

23. Special conditions:

This permit/certificate is only valid if live animals are transported in compliance with the CITES Guidelines for the Transport and Preparation for Shipment of Live Wild Animals or, in the case of air transport, the Live Animals Regulations published by the International Air Transport Association (IATA).
Source codes – examples
(Ann. IX Reg. EC No. 865/06)

• W Specimens taken from the wild

• D Annex A animals bred in captivity for commercial purposes and
  Annex A plants artificially propagated for commercial purposes
  in accordance with Chapter XIII of Regulation (EC) No
  865/2006, as well as parts and derivatives thereof

• C Annex A animals bred in captivity for non-commercial purposes
  and Annexes B and C animals bred in captivity in accordance with
  Chapter XIII of Regulation (EC) No 865/2006, as well as parts and
  derivatives thereof

• F Animals born in captivity, but for which the criteria of Chapter XIII of
  Reg. (EC) No 865/2006 are not met, as well as parts and derivatives
  thereof

• O Pre-convention
Purpose codes – examples
(Ann. IX Reg. EC No. 865/06)

- H  Hunting trophies
- L  Law enforcement/judicial/forensic
- M  Medical (including bio-medical research)
- N  Reintroduction or introduction into the wild
- P  Personal
- Q  Circuses and travelling exhibitions
- S  Scientific
- T  Commercial
• Information on permit does not match specimens in shipment:-
  - wrong species
  - excess of numbers
  - incorrect description /identification mark
  - user or source codes incorrect
  - re-export – specimens do not match those on original export permit
  - country of origin incorrect
<table>
<thead>
<tr>
<th>Statement</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>24. The (re-)export documentation from the country of (re-)exportation</td>
<td>- has been surrendered to the issuing authority</td>
</tr>
<tr>
<td></td>
<td>- has to be surrendered to the border customs officer of introduction</td>
</tr>
<tr>
<td>25. The [ ] importation [ ] exportation [ ] re-exportation of goods</td>
<td>- permitted, subject to the conditions in box 23 and overleaf as</td>
</tr>
<tr>
<td>described above or in the attached annex is hereby permitted</td>
<td>appropriate</td>
</tr>
<tr>
<td></td>
<td>- Signature and official stamp</td>
</tr>
<tr>
<td>Name of Issuing Officer</td>
<td>Adrian Thrift</td>
</tr>
<tr>
<td>Place and date of issue</td>
<td>Bristol, Monday, January 18, 1999</td>
</tr>
<tr>
<td>26. Bill of Lading/Air Waybill No.</td>
<td>125 8765 4321</td>
</tr>
<tr>
<td>27. For customs purposes only</td>
<td>Qty/Net Mass (Kg) actually imported</td>
</tr>
<tr>
<td></td>
<td>Number of animals dead on arrival</td>
</tr>
<tr>
<td></td>
<td>Customs Document Type: CII</td>
</tr>
<tr>
<td></td>
<td>Number: 145321</td>
</tr>
<tr>
<td></td>
<td>Date: 15.7.99</td>
</tr>
<tr>
<td></td>
<td>Signature and official stamp</td>
</tr>
</tbody>
</table>
Permits should be endorsed at Export and the number of Specimens actually being Exported, Confirmed.
Security Stamps
Check details with any accompanying documents

Import permits
- details should mirror export permit

Airway bills / shipping bills
- exporter / importer details

• Health documents
  - exporter / importer details
  - species
SUMMARY:

• Is the permit an original?
• Validity date okay?
• Do details match those of accompanying docs?
• Has permit been altered in any way?
• Has it been authorised by proper authority?
• Does the number of specimens found match the quantity on the permit?

• Does permit include scientific name of species?

• Does the description/species found match that on the permit?

• Does the source code on permit reflect specimens found i.e. C (captive bred) A (artificially propagated) etc.
• Check the security stamp, is it genuine & has it been endorsed properly

• Does purpose code appear genuine (T = trade, P = personal etc.)

• Has permit been endorsed at export
Doubts about CITES documents

• Try to get in contact with CITES MA of country involved
Questions are guaranteed in life; Answers aren't.