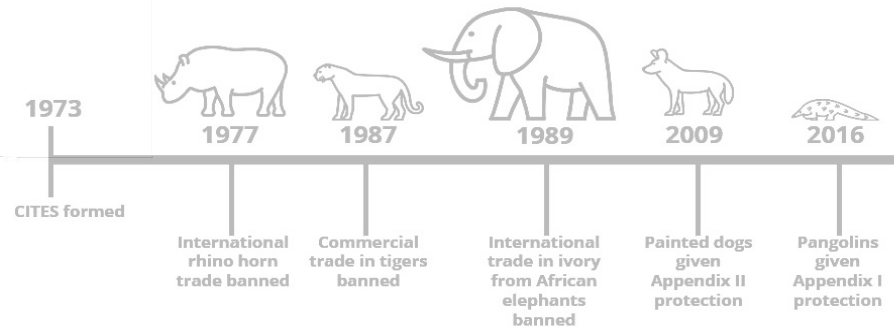


# Catawiki & CITES

## CITES GUIDELINES



# Topics

At Catawiki we take CITES Regulations very seriously.



**These guidelines discuss the following:**

1. CITES rules & regulations
2. Applicability of CITES rules
3. EU Certificate
4. Pre-1947 antiques
5. Elephant-Ivory guidelines
6. Most commonly-met items
  - a. *Ivory*
  - b. *Mammals*
  - c. *Reptiles*
  - d. *Birds*
  - e. *Sea life*
  - f. *Insects*
  - g. *Wood*
7. Know-how base

**To help you learn more about CITES regulations, we've prepared these guidelines for information purposes. The information presented is not legal advice, is correct at the time of writing but can be subject to change without notice.**

**If your country is outside the EU, eg the UK, Norway and Switzerland, the legislation may differ from the information given in these guidelines. Therefore always make sure to check your national legislation on the trade and purchase of protected species, especially ivory.**



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# CITES Rules & Regulations

**CITES legislation is the control mechanism governing the worldwide trade in endangered species.**

The legislation was enacted within the EU in 1974/5. This legislation is considered retrospective. CITES always applies, but there are a number of exemptions for antiques, for example. **The EU has its own regulations which correspond to those in CITES.**

## **Worldwide rules**

CITES regulations cover a wide range of wildlife and plant species, including all parts and derivatives (i.e. items made from them).

A species' population status ('endangered', 'threatened', 'stable' etc.) governs the scope of the protection and restrictions on trade.

## **National rules**

**Note: different countries within the EU may also have their own national Wildlife rules and regulations.**

Individual States' Wildlife Authorities should be contacted if in any doubt (see [slide 23](#) for CITES contact details).



# Applicability of CITES Rules

## **CITES and EU rules**

Due to the implementation of the CITES legislation into EU law, there are multiple documents to take into account. It's important you know where to look.

## **CITES Appendices and EU Annexes**

- CITES legislation consists of lists of species that have different levels or types of protection (the 'Appendices').
- These Appendices have been 'translated' into EU regulations (so-called 'Annexes').

## **Non-CITES items**

Species NOT listed under CITES legislation are usually described as 'non-CITES' and can be freely bought and sold - except in the case of European Bird Species (known as **EU Annex I Species**) which require a proof of Legal Origin (or which wear a 'closed' ring). Please note that a number of non-CITES listed species DO require an EU Certificate.

## **Pre-1947 antiques**

For CITES purposes, all items dated pre-1947 are classified as antiques and other rules may apply. More information on [slide 12](#).



Meaning	Required documents
<p>Includes species <b>threatened with extinction</b>.</p>  <p>Sperm whale tooth - <i>Physeter macrocephalus</i> Appendix I - Annex A</p>	<ul style="list-style-type: none"> <li>Inside EU Trade is only allowed with an <b>EU Certificate</b> ('Commercial Use'). In the case of <b>antiques (pre-1947)</b>, they must be accompanied by an <b>Appraisal Report</b> issued by an Independent Authorised Appraiser.</li> </ul> <p><b>Seller</b></p> <ul style="list-style-type: none"> <li>An <b>export permit or re-export certificate</b> issued by the Management Authority of the State of export or re-export is also required – such permits must be in the name of the Seller and the purchaser, and expire after 6 months.</li> </ul> <p><i>* An export permit may only be issued if the specimen was legally obtained, the trade will not be detrimental to the survival of the species, and an import permit has already been issued.</i></p> <p><i>* A re-export certificate may only be issued if the specimen was imported in accordance with the provisions of the Convention.</i></p> <p><i>*This may only be issued if the specimen is not to be used for primarily commercial purposes and if the import will be for purposes that are not detrimental to the survival of the species.</i></p>



## Meaning

Includes species **not necessarily threatened with extinction**, but in which trade is controlled in order to avoid excessive trade incompatible with their survival.



Hippopotamus Foot - Hippopotamus amphibius  
Appendix II - Annex B



## Required documents

- Inside EU Trade may only allowed with a proof of legal origin in some cases. In the case of **antiques (pre-1947)**, they must be accompanied by an **Appraisal Report** issued by an Independent Authorised Appraiser.

### Seller

- An **export permit or re-export certificate** issued by the Management Authority of the State of export or re-export is required.

*\* An export permit may only be issued if the specimen was legally obtained and if the export will not be detrimental to the survival of the species.*


*\* A re-export certificate may only be issued if the specimen was imported in accordance with the Convention.*

### Buyer



- **No import permit is needed** within the EU unless required by national law.

### Important: EU applies stricter rules.


Depending on whether the EU is destination or origin, check the documents needed for the EU and for the third country.

Meaning	Required documents
<p>Contains Species included at the <b>request of a party that already regulates trade</b> in the species and that needs the cooperation of other countries.</p>  <p>Coco de mer - Lodoicea maldivica <b>Appendix III</b> - Annex C</p>	<p><b>Seller</b></p> <ul style="list-style-type: none"><li>• In the case of <b>trade from a State that included the species in Appendix III</b>, an <b>export permit</b> issued by the Management Authority of that State may be required. <i>* This may only be issued if the specimen was legally obtained.</i></li></ul> <p><b>Buyer</b></p> <ul style="list-style-type: none"><li>• In the <b>case of (re)export from any other State</b>, a <b>certificate of origin</b> issued by its Management Authority is required.</li></ul> <p><b>Important: EU applies stricter rules.</b> Depending on whether the EU is destination or origin, check the documents needed for the EU and for the third country.</p>



Meaning	Required documents
<p>All CITES Appendix I species.</p> <p>Some CITES Appendix II and III species, for which the EU has adopted stricter domestic measures.</p> <p>Some non-CITES species.</p>  <p>Eurasian goshawk - <i>Accipiter gentilis</i> Appendix II - <b>Annex A</b></p> 	<h3 data-bbox="797 175 896 205">Seller</h3> <ul data-bbox="736 221 1731 314" style="list-style-type: none"> <li>• Inside EU Trade is only allowed with an <b>EU Certificate</b> ('Commercial Use').</li> <li>• An <b>export permit or re-export certificate</b> issued by the Management Authority of the State of export or re-export is also required, where export is involved.</li> </ul> <p data-bbox="807 358 1682 450"><i>* An export permit may only be issued if the specimen was legally obtained, the trade will not be detrimental to the survival of the species, and an import permit has already been issued.</i></p> <p data-bbox="807 494 1663 554"><i>* A re-export certificate may only be issued if the specimen was imported in accordance with the provisions of the Convention</i></p> <h3 data-bbox="797 620 900 649">Buyer</h3> <ul data-bbox="736 666 1669 726" style="list-style-type: none"> <li>• An <b>import permit</b> issued by the Management Authority of the State of import is required.</li> </ul> <p data-bbox="797 769 1850 862"><i>*This may only be issued if the specimen is not to be used for primarily commercial purposes and if the import will be for purposes that are not detrimental to the survival of the species.</i></p> <p data-bbox="701 904 1122 931"><b>Important: EU applies stricter rules.</b></p> <p data-bbox="701 936 1843 996">Depending on whether the EU is destination or origin, check the documents needed for the EU and for the third country.</p>



Meaning	Required documents
<p>All other CITES Appendix II species.</p> <p>Some CITES Appendix III species.</p> <p>Some non-CITES species.</p>  <p>Walrus Skull - <i>Odobenus rosmarus</i> Appendix III - <b>Annex B</b></p>	<p><b>Seller</b></p> <ul style="list-style-type: none"><li>• An <b>export permit or re-export certificate</b> issued by the Management Authority of the State of export or re-export is required.</li></ul> <p><i>* An export permit may only be issued if the specimen was legally obtained and if the export will not be detrimental to the survival of the species.</i></p> <p><i>* A re-export certificate may only be issued if the specimen was imported in accordance with the Convention.</i></p> <p><b>Buyer</b></p> <ul style="list-style-type: none"><li>• An <b>import permit</b> issued by the Management Authority of the State of import or other proof of legal origin, or closed ring for Bird specimens is required.</li></ul> <p><b>Important: EU applies stricter rules.</b> Depending on whether the EU is destination or origin, check the documents needed for the EU and for the third country.</p>



## Meaning

All other CITES Appendix III species

Some non-CITES species



Satyr Tragopan - *Tragopan satyra*  
Appendix III - Annex C

## Required documents

### Seller

- An **export permit or re-export certificate** issued by the Management Authority of the State of export or re-export is required.

*\* An export permit may only be issued if the specimen was legally obtained and if the export will not be detrimental to the survival of the species.*

*\* A re-export certificate may only be issued if the specimen was imported in accordance with the Convention.*

### Buyer

- An **import permit** issued by the Management Authority of the State of import is required.

### Important: EU applies stricter rules.

Depending on whether the EU is destination or origin, check the documents needed for the EU and for the third country.





# EU Certificate

## **EU Certificate, paragraph 19(b):**

This Certificate permits 'Commercial Use' of the item – amongst other things: the sale, purchase, hire and display of the specific item within the bounds of the European Union. Information about how to apply and the costs can be found [here](#).

## **Important notes for Catawiki's auctions**

- **In the case of Appendix I and/or Annex A Lots, a clear and legible photograph of the EU Certificate including paragraph 19(b) ('Commercial Use') should be added to the lot's images.**
  - Personal details should be blanked out in the interest of privacy.
  - Paragraph 19(b) ('Commercial Use') must be readily visible as part of the image of the original Certificate and not an image of a photocopy.
  - By law, EU Certificates must be in the name of the person owning and selling the item in question, unless the certificate states otherwise. Alternatively, the true owner of the specimen may give his written authority for the item to be offered for sale.
- Once an EU Certificate is issued, it is sent to the owner of the item from the relevant CITES/Wildlife Authority, but it remains the property of the Issuing Authority. The seller must be able to provide the original Certificate when required. This may differ from country to country – again seller must be fully aware of his/her country's regulations.



# Elephant - Ivory Guidelines 1



We recognise that continuing to list 'modern day' ivory for sale at auction could be viewed as in some way contributing to the pressure for poaching. **Catawiki has therefore taken the decision to no longer accept any post-1900 elephant ivory in our auctions.**

So what does this mean in practice?

Does it mean that antique ivory items are no longer permitted? Not at all, but Catawiki's new Guidelines introduced as of 1st January 2019 have been carefully drafted to **guarantee that only certifiably pre-1900 items are listed at auction.**

For us to be able to accept lots containing pre-1900 ivory for auction, sellers are now required to obtain the EU Certificate and an Appraisal Report from a certified Appraiser (or a trusted Expert who is fully able to properly assess and identify the ivory).

**Before proceeding further, it is strongly recommended that sellers first submit the item, so our Category Experts can check if the lot in question is suitable, before going to the expense of obtaining an Appraisal Report.** In that case our Experts will inform you that your lot is suitable but requires an Appraisal Report before it can be auctioned.



# Elephant - Ivory Guidelines 2



For items made of elephant ivory, we ask for an extended Appraisal Report, which must contain the following:

1. The appraiser's confirmation that he/she has physically inspected the item in question  
**(digital inspections are not acceptable)**
2. A full description of the item, to properly and fully identify it
3. Size of the item
4. Photographs of the item (minimum of 1)
5. Species name (for example, Elephant)
6. The 'effective' date of the item, confirming it is from 1900 or earlier
7. A statement confirming that the Appraiser has no present or prospective interest (financial or otherwise) in the item  
For obtaining an EU-certificate CITES also require an explanation on how the age of the subject is established by the Appraiser.
8. The report should include the date when the report was completed and signed, the name of the appraiser, together with the appraiser's full contact details

A clearly readable photographic image of the report should accompany pre-1900 ivory lots submitted for final approval. Catawiki cannot guarantee that your item will be accepted for our auctions, even if a complete report has been provided.

If further information or advice is required, please contact our Customer Support team.



# Species Protection under the EU Birds Directive

The **Birds Directive** is a European Directive adopted as a response to increasing concern about the declines in Europe's wild bird populations resulting from pollution, loss of habitats as well as unsustainable use.

It is the EU's oldest piece of nature legislation and one of the most important, creating a comprehensive scheme of protection for all wild bird species naturally occurring in the Union. It recognises that wild birds, many of which are migratory, are a shared heritage of the Member States and that their effective conservation requires international cooperation.

Under the EU Birds Directive, all bird species naturally occurring in the territory of the EU are protected. This means they must not be deliberately killed, caught or disturbed.

Bird species that are naturally occurring in the wild state in the European Territory are only suitable for the auction if:

- It can be proven that they are born and bred in captivity. For example, a closed foot ring to indicate that they are not taken from the wild.
- Species were derived from hunting, wildlife management and damage control. Only if this can be proven: e.g. a hunting license or exemption issued for that specific species.



# Most commonly seen items

On the next slides you will find information about several animal species that are most commonly seen on Catawiki.

- a. Ivory
- b. Mammals
- c. Reptiles
- d. Birds
- e. Sea life
- f. Insects
- g. Wood





## a) Ivory 1

Ivory can be used in a variety of different objects, which can include but are not limited to:

- Fashion & jewellery, e.g.:
  - *Ivory cufflinks*
  - *Ivory pendant*
  - *Ivory brooch*
- Kitchen utensils, e.g.:
  - *Cutlery with ivory handles*
  - *Ivory chopsticks*
- Instruments, e.g.:
  - *Ivory piano keys*



### Rhinoceros

(Worldwide ban on rhinoceros products!)  
Regardless of any possible future changes to the legislation Catawiki does not accept any products made of rhino horn



### Ox

CITES: No certificate required  
However, proof may be required, confirming the material is ox horn and not rhinoceros horn, e.g. in form of an invoice, certificate of authenticity, appraisal report



### Mammoth

CITES: No certificate required  
However, proof may be required, confirming the material is mammoth ivory and not elephant ivory, e.g. in form of an invoice, certificate of authenticity, appraisal report



### Elephant

We no longer accept any post-1900 elephant ivory.  
Any pre-1900 elephant ivory requires an Appraisal Report as described in the Catawiki elephant ivory guidelines



## a) Ivory 2

Ivory can be used in a variety of different objects, which can include but are not limited to:

- Board games & figures, e.g.:
  - *Chess pieces*
- Antiques, e.g.:
  - *African ivory statue*
  - *Ivory handled walking stick*
  - *Japanese netsuke (orig. garment toggles)*
  - *Miniature with parts of ivory*
  - *Hand fan with ivory handle & spines*
- Scientific instruments, e.g.:
  - *Ivory travel compass*



### **Hippopotamus**

CITES Appendix II applies, BUT we now require proof of legal origin to accept such into our auctions.



### **Walrus**

CITES Appendix III, Annex B applies, no Certificate required for trade within the EU



### **Most Whale and Dolphin Species**

CITES Appendix I applies, EU Certificate ('Commercial Use') required



## b) Mammals

Items consisting of or containing the skin, bone, teeth or other parts of these animals can often be found in:

- Fashion, e.g.:
  - *Fur coats*
  - *Fur hats*
- Design, e.g.:
  - *Chair with lion skin*
  - *Puma skin rug*



### **Grizzly & Brown Bear**

CITES Appendix I and II Annex A apply, EU Certificate ('Commercial Use') required for trade within the EU

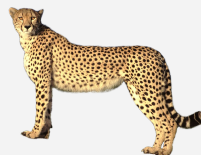
### **Polar and Black bear**

CITES Appendix II, Annex B, no Certificate required for trade within the EU



### **African lion**

CITES Appendix II, Annex B applies, no Certificate required for trade within the EU (applies to all parts of lion incl. skull, claws, bones and teeth)



### **Cheetah, leopard, jaguar & tiger**

CITES Appendix I, Annex A applies, EU Certificate ('Commercial Use') required. NB Sale of Tiger Teeth & Bones banned in the Netherlands.



### **Puma & cougar/mountain lion**

CITES Appendix II, Annex B applies, no Certificate required for trade within the EU



### c) **Reptiles**

Items consisting of or containing the skin, bone, teeth or other parts of these animals can often be found in:

- Watches, e.g.:
  - *Tortoise shell case of pocket watch*
  - *Crocodile skin wristband*
- Fashion, e.g.:
  - *Snakeskin bag*
  - *Crocodile shoes*
  - *Turtle shell hair pin*



#### **Crocodile**

CITES Appendix II, Annex B applies, no Certificate required for trade within the EU, with few exceptions such as Siamese Crocodile which is Appendix I, Annex A check: [www.speciesplus.net](http://www.speciesplus.net)



#### **Snake**

Many species are non-CITES. In some cases CITES Appendix II, Annex B applies, no Certificate required for trade within the EU, with few exceptions, check: [www.speciesplus.net](http://www.speciesplus.net)



#### **Tortoise & turtle**

CITES Appendix I and II apply – most do require Certificate – often difficult to identify, therefore important to check [www.speciesplus.net](http://www.speciesplus.net)



## d) Birds

Items consisting of or containing the skin, bone, feathers or other parts of these animals can often be found as items such as:

- Fashion, e.g.:
  - *Parrot feathers*
  - *Ostrich skin shoes*
- Taxidermy, e.g.:
  - *Mounted macaw*
- Curio, e.g.:
  - *Painted ostrich egg*



### **EU Resident/Breeding Birds of prey**

All birds of prey (incl. owls)

Appendix II, Annex A applies, EU Certificate ('Commercial Use') required, with few exceptions, check:

[www.speciesplus.net](http://www.speciesplus.net)



### **Birds of paradise**

CITES Appendix II, Annex B applies, no Certificate required for trade within the EU - newly prepared MUST have Import certificate.



### **Macaw & many cockatoo**

CITES Appendix I, Annex A applies, EU Certificate ('Commercial Use') required, with few exceptions, check:

[www.speciesplus.net](http://www.speciesplus.net)



### **Non-EU Resident Birds of Prey &**

**Owls** - Appendix II, Annex B applies. Proofs of legal origin, or closed rings required.



## e) **Sea life 1**

Items consisting of or containing parts of these animals or corals can often be found in items such as:

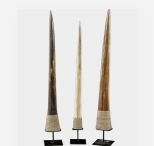
- Fossils or taxidermy, e.g:
  - *Swordfish, marlin or sawfish rostrums*
- Antiques, e.g.:
  - *Cane of whale bone*
  - *Whale bone tool set*



**Giant, Squamose and Porcelain Clams**  
CITES Appendix II, Annex B applies, no Certificate required for trade within the EU



**Sawfish**  
CITES Appendix I, Annex A, EU Certificate ('Commercial Use') required, with few exceptions, check: [www.speciesplus.net](http://www.speciesplus.net)  
**ALL other Shark species now CITES Appendix II, Annex B (as of 25/11/2023)**



**Swordfish & Marlin**  
non-CITES species, NO certification required



**Whale & Dolphin**  
CITES Appendix I, Annex A applies, EU Certificate ('Commercial Use') required, with few exceptions, check: [www.speciesplus.net](http://www.speciesplus.net)



## e) **Sea life 2**

Items consisting of or containing parts of these animals or corals can often be found in items such as:

- Jewellery, e.g.:
  - *Coral necklace*
- Fashion, e.g.:
  - *Seal fur coat*



### **Sea turtle**

**Taxidermy specimens:** CITES Appendix I applies – will require EU Certificates.

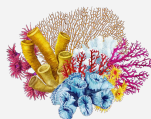
**Turtle shells:** CITES Appendix I, EU Certificate ('Commercial Use') required, with few exceptions, check: [www.speciesplus.net](http://www.speciesplus.net)



### **Seal**

Generally non-CITES, with few exceptions such as Arctocephalus species Fur Seals, which are listed in CITES Appendix II, Annex B in the EU.

**Be aware: EU-wide ban in seal products!** With the exception of seal products derived from hunts conducted by Inuit or indigenous communities and hunts conducted for Marine Resource Management.



### **Coral**

**Red coral:** CITES: No certificate required

**Blue coral, black Coral & white Coral:** CITES Appendix II, Annex B no Certificate required for trade within the EU with few exceptions, check: [www.speciesplus.net](http://www.speciesplus.net) – Import documents preferred for new specimens.





## Birdwing Butterflies

CITES Appendix II, Annex B in the EU.

### f) *Insects*

Generally speaking, all insects are non-CITES. However there are exceptions such as ALL Birdwing Butterflies, which are listed in CITES Appendix II, Annex B in the EU. ALL newly imported specimens should come with Import Ref. Numbers/ Import Certificates.





# Know-how base

The CITES rules and regulations are subject to regular change and update.

It's important to keep up-to-date with such changes.

**Remember: what is lawful today may not be so tomorrow.**

## EU CITES Authorities

For the list of current CITES Authorities within the EU, go to [http://ec.europa.eu/environment/CITES/pdf/trade\\_regulations/short\\_ref\\_guide.pdf](http://ec.europa.eu/environment/CITES/pdf/trade_regulations/short_ref_guide.pdf)



## EU CITES Regulations

For the EU Internal Regulations re. CITES Annexes A, B, C and D, again go to:

[http://ec.europa.eu/environment/CITES/pdf/trade\\_regulations/short\\_ref\\_guide.pdf](http://ec.europa.eu/environment/CITES/pdf/trade_regulations/short_ref_guide.pdf) – see Page 16

## EU Certificate

In general, application forms for import or export permits, re-export certificates and import notifications should be obtained from the designated Management Authority of the importing or exporting EU Member State.

For contact details of the Management Authorities, see [https://ec.europa.eu/environment/cites/pdf/list\\_authorities.pdf](https://ec.europa.eu/environment/cites/pdf/list_authorities.pdf)

## CITES list and updates

For a constantly updated list of CITES listed species: [www.speciesplus.net](http://www.speciesplus.net) (consult Wikipedia to find the Latin species' name) or <http://checklist.cites.org>

For regular CITES email updates including species-listing, go to <https://www.CITES.org/>





**catawiki**

Thank *you.*