Plant # Annotations in the CITES Appendices

An Illustrated Manual –Version 3.0 – CoP 18











BfN-Skripten 572

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An Illustrated Manual –Version 3.0 – CoP 18

Uwe Schippmann



Cover picture: Top left: Roots of Nardostachys grandiflora;

Top right: Sliced roots of Gastrodia elata;

Bottom left: Extract (*Aloe ferox*) (Federal Agency for Nature Conservation);

Bottom right: Finished bows (Paubrasilia echinata) (R. Grünke).

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Disclaimer

The information in this publication is correct and complete to the best of our knowledge and is based on the CITES Appendices, valid from 26 November 2019. Legally binding are the CITES Appendices I, II and III in the effective version published by the CITES Secretariat on www.cites.org.

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This publication is included in the literature database "DNL-online" (www.dnl-online.de)

BfN-Skripten are not available in book trade.

Publisher: Bundesamt für Naturschutz (BfN)

Federal Agency for Nature Conservation

Konstantinstrasse 110 53179 Bonn, Germany URL: http://www.bfn.de

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Printed by the printing office of the Federal Ministry for the Environment, Nature Conservation and Nuclear Safety

Printed on 100% recycled paper.

ISBN 978-3-89624-333-1

Bonn, Germany 2020

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Preface

Understanding the CITES Appendices and the plant and animal species included in Appendices I, II and III is often difficult. A particular challenge is the implementation of the various # Annotations which accompany many plant species.

This booklet was prepared to support implementation and enforcement of CITES plant listings. This manual is primarily directed to the CITES enforcement community, but, I hope, will also be of use to other stakeholders in the CITES family.

The manual describes all # Annotations and defines the terms used in the text of the Annotations. An important part of the manual is the image based guide illustrating the commodities that are regulated by CITES and the commodities that are not regulated by CITES for the given species.

The aim of this booklet is to be a practical guide for the implementation of these # Annotations and an improved understanding of the terms used in them. Considerable efforts were made to summarize and illustrate the majority of commodities that can be found in international trade, including their transitional processing stages from raw material to finished product.

The current version of this manual includes decisions taken by the Parties at CoP 18 in 2019 (valid as of 28 August 2020). Updates of this manual are planned in the light of forthcoming changes to the Appendices and improved understanding of trade and its commodities.

Proposals to include additional relevant commodities of CITES plants in the image section are highly welcome. As you can see, the photo section of this manual has plenty of space for more illustrations of raw materials and products...

Uwe Schippmann May 2020

Acknowledgments

Most of all I want to thank my colleague Natalie Hofbauer from BfN for her continuous and essential input in drafting this manual. I am also grateful for the many comments and recommendations made by my colleagues Adrianne Sinclair (CITES SA Canada), Ken Farr (Canadian Forest Service), Noel McGough (Kew), Anne St. John (CITES MA USA), Zhou Jihua (CITES MA China), Duangduen Sripotar (CITES SA Thailand), Mario Sterz, Karin Hornig, and Franz Böhmer (BfN, CITES MA Germany). A special thanks goes to Jaques Berney (IWMC World Conservation Trust) who enhanced this publication with his invaluable observations.

Photos:

I would also like to thank those colleagues who have provided photos for the use in this handbook. Photo author credits are given on the bottom of the respectives pages. They are referenced by stating the author plus the line and position of photo from left (example: "2-3" identifies the 3rd photo from left in the 2nd line). All photos not referenced are credited to BfN. A full photo credit list is provided in the back.

May 2020: I want to especially thank Natalie Hofbauer, David Harter and Mario Sterz at BfN and Ken Farr at the Canadian Forest Service for their unfailing comments and support during the preparation of this third edition of the manual.

Introduction

The majority of plant species listings included in the CITES Appendices II and III are accompanied by special footnotes called "Annotations". They are preceded by the "#" symbol. These # Annotations define which commodities are covered by the listing or are excluded from it. A common understanding of these # Annotations by enforcement officials and by exporting and importing companies is of legal as well as of conservation and economic importance.

(1) **Definition**: The # Annotations are an element in CITES which are only used in the Flora part of the Appendices. This goes back to Article I of the Convention text which defines the term "specimen" differently for animals and plants:

Article I

Definitions

For the purpose of the present Convention, unless the context otherwise requires: [...]

- (b) "Specimen" means:
- (i) any animal or plant, whether alive or dead;
- (ii) in the case of an animal: for species included in Appendices I and II, any readily recognizable part or derivative thereof; and for species included in Appendix III, any readily recognizable part or derivative thereof specified in Appendix III in relation to the species; and
- (iii) in the case of a plant: for species included in Appendix I, any readily recognizable part or derivative thereof; and for species included in Appendices II and III, any readily recognizable part or derivative thereof specified in Appendices II and III in relation to the species;

Article I deals with the question in which cases commodities or products can be exempt from CITES regulations.

Subparagraph (b) of Article I has the following effects:

- Any individual animal or plant, whether alive or dead, is always regulated.
- For plant and animal species in Appendix I all parts or derivatives are always regulated and cannot be exempted.
- For animal species in Appendix II all parts or derivatives are always regulated and cannot be exempted.
- However, for plant species in Appendices II and III (as well as for animal species in Appendix III) it is possible to exempt certain commodities and products from the CITES listing. These parts and derivatives have to be specified in an Annotation to the listing. These Annotations are marked with "#", followed by a number.
- Regulated are only those parts or derivatives which are readily recognizable (cf. Res. Conf. 9.6 Rev. CoP16).

So in conclusion we can state: An # Annotation is a note attached to certain species in the Appendices to indicate which parts or derivatives fall under the CITES listing.

(2) Other footnotes in the Appendices: In addition to the # Annotations, the Flora part of the Appendices also has footnotes without preceding "#" (the latter are designated in the Appendices with a superscript number in brackets) and also textual amendments. This adds up to some complexity as can be seen by the example given in Figure 1.

	ı	Appendices II	III
CACTACEAE Cacti			
	Ariocarpus spp. Astrophytum asterias Aztekium ritteri Coryphantha werdermannii Discocactus spp.	CACTACEAE spp. 9 #4 (Except the species included in Appendix I and except <i>Pereskia</i> spp., <i>Pereskiopsis</i> spp. and <i>Quiabentia</i> spp.)	

- Artificially propagated specimens of the following hybrids and/or cultivars are not subject to the provisions of the Convention.

- Hatlora x graesen
 Schlumbergera x buckleyi
 Schlumbergera russelliana x Schlumbergera truncata
 Schlumbergera orussichiana x Schlumbergera truncata
 Schlumbergera opuntioides x Schlumbergera truncata
 Schlumbergera truncata (cultivars)
 Cartacaea spo. colour putata crafted on the following

- Cactaceae spp. colour mutants grafted on the following grafting stocks: Harrisia 'Jusbertii', Hylocereus trigonus or Hylocereus undatus Opuntia microdasys (cultivars).
- All parts and derivatives, except:
- parts and derivatives, except:
 seeds (including seedpods of Orchidaceae), spores and pollen (including pollinia). The exemption does not apply to seeds from Cactaceae spp. exported from Mexico, and to seeds from Beccariophoenix
 madagascariensis and Dypsic decaryl exported from Madagascar;
 seedling or tissue cultures obtained in vitro, in solid or liquid media, transported in sterile containers;
 cut flowers of artificially propagated plants;
 fruits, and parts and derivatives thereof, of naturalized or artificially propagated plants of the genus Vanilla (Orchidaceae) and of the family Cactaceae;
 stems, flowers, and parts and derivatives thereof, of naturalized or artificially propagated plants of the genera Opuntia subgenus Opuntia and Selenicereus (Cactaceae); and
 finished products of Aloe ferox and Euphorbia antisyphilitica packaged and ready for retail trade.

Fig. 1: The entry for "CACTACEAE spp." in Appendix II as an example for possible footnotes, textual amendments and # Annotations.

In the plant part of the CITES Appendices, the footnotes 9, 10, 11 and 12 can be found without a preceding # sign for the entries Cactaceae spp., Orchidaceae spp., Cyclamen spp. and Taxus cuspidata. These footnotes cover exemptions for hybrids and/or cultivars. These footnotes are not covered in this manual.

- (3) "Parts and derivatives". When the CITES Convention makes provisions about the # Annotations (Art I, XVI, XXIII), the standard term used is "parts or derivatives". It is meant to circumscribe any specimen in trade which is not a whole live or dead specimen. "Parts and derivatives" is also used at the onset of six of the # Annotations (#1, #2, #4, #9, #14, #15). In plain language, the term "parts or derivative" corresponds with the term "product" or "commodity". These can range from raw plant material to intermediate or semi-processed commodities or final products.
- (4) **General format of # Annotations**. In the existing # Annotations two forms can be distinguished:
 - Some # Annotations start with the statement that all parts and derivatives are regulated and then list the specific exemptions (#1, #2, #4, #9, #14, #15). In these cases, the commodities listed are those which are excluded from CITES regulations (exclusionary Annotation).
 - Other # Annotations simply state which commodities are regulated (#3, #5, #6, #7, #8, #10, #11, #12, #13, #16, #17). In these cases all parts and derivatives not mentioned explicitly are not covered by CITES regulations (inclusionary Annotation).

(5) **Plant species without # Annotation**: The majority of plant species included in the CITES Appendices II and III are accompanied by one of the # Annotations. Only the species listed in Table 1 are un-annotated. For these species all parts and derivatives are covered by the provisions of CITES. This is clarified in Resolution Conf. 11.21 (Rev. CoP18) on "Use of annotations in Appendices I and II", which states: "...that, for plant species included in Appendix II, the absence of an annotation relating to that species shall indicate that all readily recognizable parts and derivatives are included".

Table 1: Species in Appendices II and III without # Annotation

Family	Species	Appendix
Agavaceae	Nolina interrata	Ш
	Yucca queretaroensis	ll II
Anacardiaceae	Operculicarya decaryi	
	Operculicarya hyphaenoides	II
	Operculicarya pachypus	
Asparagaceae	Beaucarnea spp.	II
Cucurbitaceae	Zygosicyos pubescens	11
	Zygosicyos tripartitus	II
Cupressaceae	Widdringtonia whytei	II
Leguminosae (Fabaceae)	Dipteryx panamensis	III
	Pterocarpus erinaceus	II
	Senna meridionalis	II
Palmae (Arecaceae)	Lemurophoenix halleuxii	
	Marojejya darianii	
	Ravenea louvelii	II
	Ravenea rivularis	ll II
	Satranala decussilvae	
	Voanioala gerardii	
Passifloraceae	Adenia firingalavensis	
	Adenia olaboensis	II
	Adenia subsessilifolia	
Pedaliaceae	Uncarina grandidieri	11
	Uncarina stellulifera	II
Vitaceae	Cyphostemma elephantopus	
	Cyphostemma laza	II
	Cyphostemma montagnacii	
Zingiberaceae	Siphonochilus aethiopicus	II

(6) **Resolutions dealing with Annotations**: One CITES Resolution is specifically dedicated to provisions relating to Annotations: Res. Conf. 11.21 (Rev. CoP18) on "Use of annotations in Appendices I and II".

Other Resolutions which include specific paragraphs relating to Annotations are:

- Resolution Conf. 9.24 (Rev. CoP17) on "Criteria for amendment of Appendices I and II"
- Resolution Conf. 9.25 (Rev. CoP18) on "Inclusion of species in Appendix III"
- Resolution Conf. 5.20 (Rev. CoP17) on "Guidelines for the Secretariat when making recommendations in accordance with Article XV"
- Resolution Conf. 11.19 (Rev. CoP16) on "Identification Manual"

(7) **CoP 18 Decisions:** At the 18th meeting of the Conference of the Parties to CITES (CoP 18) in Geneva in 2019 a number of decisions were taken which have an effect on the Annotations for plants.

Three existing # Annotations were revised (#4, #15, #16). Of special relevance are the amendments to Annotation #15 which respond to the difficulties encountered by the Parties when implementing the earlier version of #15. One Annotation was newly created and is now applied to a species already included in Appendix II (#17 for *Pericopsis elata*). Two taxa have been newly included in Appendices II using the existing Annotation #6: *Cedrela* spp. and *Pterocarpus tinctorius*. And finally another species entered Appendix II without accompanying Annotation (*Widdringtonia whytei*).

 Table 2: Amendments to the flora part of the CITES Appendices at CoP 18

Taxon	Annotation	Decision / Action
Pericopsis elata	#17 (new)	formerly #5, moved to new Annotation #17
Dalbergia spp. Guibourtia demeusei G. pellegriniana G. tessmannii	#15 (rev.)	text of Annotation revised
Aloe ferox	#4 (rev.)	text of Annotation revised
Adansonia grandidieri	#16 (rev.)	text of Annotation revised
Pterocarpus tinctorius	#6	new in App. II with #6
Cedrela spp.	#6	new in App. II with #6
Widdringtonia whytei	./.	new in App. II without # Annotation

Annotation #1

#1 All parts and derivatives, except:

- a) seeds, spores and pollen (including pollinia);
- b) seedling or tissue cultures obtained *in vitro*, in solid or liquid media, transported in sterile containers;
- c) cut flowers of artificially propagated plants; and
- d) fruits and parts and derivatives thereof, of artificially propagated plants of the genus *Vanilla*.

Species carrying this Annotation:

Appendix III:

Gnetum montanum (Nepal), Magnolia liliifera var. obovata (Nepal), Meconopsis regia (Nepal), Podocarpus neriifolius (Nepal), Tetracentron sinense (Nepal)

Explanation:

This Annotation is a residue of changes to the # Annotations at CoP 14 in 2007. At that time, the former Annotations #1, #4 and #8 were merged to what is now Annotation #4 in an attempt to streamline the Annotations.

Only after CoP 14 it became apparent that the former Annotation #1 could not be changed for the five species mentioned above. They were included in Appendix III by Nepal and only Nepal has the right to change the Annotation. Several attempts by the CITES Secretariat have failed to attain the acceptance of Nepal for this change. Therefore this Annotation is still formally valid.

It does, however, hardly play a role in implementation since trade in these five species is negligible. This Annotation is therefore not further discussed here.

Annotation #2

#2 All parts and derivatives except:

- a) seeds and pollen; and
- b) finished products packaged and ready for retail trade.

Species carrying this Annotation:

Appendix II:

Adonis vernalis, Guaiacum spp., Nardostachys grandiflora, Osyris lanceolata, Picrorhiza kurrooa, Podophyllum hexandrum, Rauvolfia serpentina, Taxus chinensis, Taxus cuspidata, Taxus fuana, Taxus sumatrana, Taxus wallichiana

Explanation:

This Annotation has two intentions: Firstly, it makes clear that seeds and pollen in trade are not regulated for these species (such an exclusion is also found in other Annotations). Secondly, it makes clear that finished products in retail trade in a state fit for being sold to or used by the general public are not regulated. To clarify which commodities or products indeed fulfil this criterion, a definition (see below) has been elaborated by the Plants Committee and was agreed to by CoP 16.

Definition of terms¹:

finished products packaged and ready for retail trade

for retail trade

Products, shipped singly or in bulk, requiring no further processing, packaged, labelled for final use or the retail trade in a state fit for being sold to or used by the

general public.

part and derivative

See paragraph (3) in Introduction.

pollen

Mass of small grains containing sperm cells of a plant.

seed Reproductive part of a fruit. Produced by all higher

plants, consisting of an embryo and usually a seed-

coat, with endosperm.

¹ Definitions in italics are included in the CITES Glossary or have been adopted by CITES bodies; see Annex for definitions.



Wood pieces of Guaiacum sp.



Roots of Rauvolfia serpentina



Roots of Nardostachys grandiflora



Wood chips of Guaiacum sp.



Cut roots of Picrorhiza kurrooa



Cut roots of Podophyllum hexandrum



Cut roots of Rauvolfia serpentina



Twigs & needles of Taxus wallichiana



Cut roots of Nardostachys grandiflora



Solid extract of Guaiacum sp.



Oil in solid form (Guaiacum sp.)



Oil in drum (*Guaiacum* sp.)



Powdered root of Nardostachys grandiflora



Capsules (Nardostachys grandiflora)



Capsules (Picrorhiza kurrooa)



Capsules (Rauvolfia serpentina)



Tablets (Rauvolfia serpentina)



Oil of Nardostachys grandiflora



Tincture (Picrorhiza kurrooa)



Tonic (Picrorhiza kurrooa)



Eau de Toilette (Osyris lanceolata)



Guitar picks made of Guaiacum sp.



Paclitaxel injection (Taxus sp.)



Paclitaxel injection (Taxus sp.)

Annotation #3

#3 Whole and sliced roots and parts of roots, excluding manufactured parts or derivatives, such as powders, pills, extracts, tonics, teas and confectionery.

Species carrying this Annotation:

Appendix II:

Panax ginseng, Panax quinquefolius

Explanation:

- (1) This Annotation is only used against the two species of *Panax* in Appendix II. The substance of this Annotation lies in its first part, stating that whole and sliced roots and parts of roots are regulated. All other commodities are <u>not</u> covered by CITES. This is explained in the second part of the Annotation text, after the first comma. Note that the products listed after "such as" are examples only; this is not an exhaustive enumeration.
- (2) Note that this Annotation uses the term "manufactured". This captures products that have been manufactured but do not necessarily fit the more strict term and definition of "finished products packaged and ready for retail trade".
- (3) It should also be noted that the listing of *Panax ginseng* in Appendix II is restricted by the following textual amendment: 'Only the population of the Russian Federation'. This means that other populations of *Panax ginseng* are not regulated by CITES. The significant international trade in artificially propagated specimens ("A") from Asian countries is therefore not subject to CITES controls.

Definition of terms⁴:

confectionary Class of products including candy and other sugar-

based sweets.

extract Any substance obtained directly from plant material by

physical or chemical means regardless of the

manufacturing process. An extract may be solid (e.g. crystals, resin, fine or coarse particles), semisolid (e.g. gums, waxes) or liquid (e.g. solutions, tinctures, oil and

essential oils).

manufactured Made or produced by hand or machinery, especially on

a large scale.

part Any part of an animal or plant (e.g. skin, shell, root)

whether raw or processed in a simple way (e.g. preserved, polished, etc.). Parts are usually readily

identifiable.

⁴ Definitions in italics are included in the CITES Glossary or have been adopted by CITES bodies; see Annex for definitions.

part and derivative See paragraph (3) in Introduction.

pill Small round mass of solid medicine for swallowing

whole.

powder A dry, solid substance in the form of fine or coarse

particles.

root All underground organs or parts of a plant including

bulbs, rhizomes, corms, caudices, and tubers.

tea Fresh or dried, often comminuted plant parts used to

prepare drink by soaking them in hot water.

tonic Medicinal preparation that invigorates or strengthens.



Roots of Panax ginseng (W; RU)



Roots of Panax quinquefolius (W)



Roots of Panax quinquefolius (A)



Roots of Panax quinquefolius (A)



Cut roots of Panax quinquefolius (A)



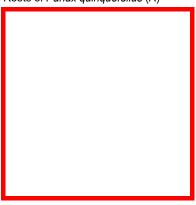
Roots of Panax quinquefolius (A)

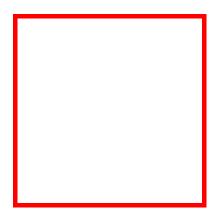


Roots of Panax quinquefolius (A)



Roots of Panax quinquefolius (A)







Annotation #4

#4 All parts and derivatives, except:

- a) seeds, (including seedpods of Orchidaceae), spores and pollen (including pollinia). The exemption does not apply to seeds from Cactaceae spp. exported from Mexico, and to seeds from Beccariophoenix madagascariensis and Dypsis decaryi exported from Madagascar;
- b) seedling or tissue cultures obtained *in vitro*, in solid or liquid media, transported in sterile containers;
- c) cut flowers of artificially propagated plants;
- d) fruits, and parts and derivatives thereof, of naturalized or artificially propagated plants of the genus *Vanilla* (Orchidaceae) and of the family Cactaceae;
- e) stems, flowers, and parts and derivatives thereof, of naturalized or artificially propagated plants of the genera *Opuntia* subgenus *Opuntia* and *Selenicereus* (Cactaceae); and
- f) finished products of *Aloe ferox* and *Euphorbia antisyphilitica* packaged and ready for retail trade.

Species carrying this Annotation:

Appendix II:

Agave victoriae-reginae, Aloe spp., Anacampseros spp., Avonia spp., Beccariophoenix madagascariensis, Bowenia spp., CACTACEAE spp., Caryocar costaricense, Cibotium barometz, Cistanche deserticola, Cyathea spp., CYCADACEAE spp., Cyclamen spp., Dalbergia cochinchinensis (see #15), Dicksonia spp., DIDIEREACEAE spp., Dionaea muscipula, Dioscorea deltoidea, Dypsis decaryi, Euphorbia spp., Fouquieria columnaris, Galanthus spp., Gonystylus spp., Hedychium philippinense, Lewisia serrata, Nepenthes spp., ORCHIDACEAE spp., Oreomunnea pterocarpa, Pachypodium spp., Platymiscium pleiostachyum, Prunus africana, Sarracenia spp., Sternbergia spp., Swietenia humilis, Tillandsia harrisii, Tillandsia kammii, Tillandsia xerographica, Welwitschia mirabilis, ZAMIACEAE spp.

Explanation:

- (1) This complex Annotation is the most frequently used in the CITES Appendices. Its subparagraphs (a) to (f) specify which commodities are excluded from regulations.
- (2) While the first three subparagraphs (a) (c) apply to all of the taxa listed above, the latter three subparagraphs (d) (f) only apply to the plants mentioned in them. This has the effect, e.g., that the finished product exemption under (f) only applies to the species *Aloe ferox* and *Euphorbia antisyphilitica*.

(3) Care has to be taken in subparagraph (a): Here, some commodities are not exempted: cacti seeds originating in Mexico are regulated and so are seeds of two palm species from Madagascar.

- (4) Another source of confusion in the past in applying this Annotation relates to (d) and (e): Note that in (d) the parts and derivatives are only exempt if they are produced from the <u>fruits</u> of *Vanilla* or the Cactaceae species, not from other parts of the plants. The situation is similar for subparagraph (e).
- (5) Annotation #4 also applies to specimens of the rosewood species *Dalbergia* cochinchinensis as specified in subparagraph (d) of Annotation #15.
- (6) This Annotation essentially covers all parts and derivatives in trade for a given species. Subparagraphs (a) through (f), although quite wordy, only exempt very specific commodities in trade. One can say that #4 comes close to an unannotated species of Appendix II which would imply that all parts and derivatives are covered by the provisions of CITES (see paragraph 5 in Introduction).

Definition of terms⁵:

artificially propagated Cultivated under controlled conditions and fulfilling

the specifications of Resolution Conf. 11.11 (Rev.

CoP18) (http://www.cites.org/eng/res/11/11-

11R15.php).

cut flower Flowers or flower buds, often with some stem and

leaf that have been cut from the plant bearing it.

finished products

packaged and ready for

retail trade

Products, shipped singly or in bulk, requiring no further processing, packaged, labelled for final use or the retail trade in a state fit for being sold to or

used by the general public.

flower Reproductive structure found in flowering plants,

often having showy or colourful parts.

fruit Seed-bearing organ of a plant.

in vitro Latin; direct translation: "in glass"; meaning in an

artificial environment.

naturalized Non-native, introduced species that has become

established and reproduces freely.

part and derivative See paragraph (3) in Introduction.

pollen Mass of small grains containing sperm cells of a

plant.

pollinia Mass of minute pollen grains held together by a

sticky substance.

⁵ Definitions in italics are included in the CITES Glossary or have been adopted by CITES bodies; see Annex for definitions.

seed Reproductive part of a fruit. Produced by all higher

plants, consisting of an embryo and usually a seed-

coat, with endosperm.

seedling or tissue culture Method for growing cells, tissues or seedlings on an

artificial nutrient medium.

seedpod Plant structure that surrounds multiple seeds.

spore Small grain capable of developing into a new

individual.

stem Main axis of a plant, bearing roots, leaves and/or

flowers.

sterile Free of living organisms such as bacteria or other

microorganisms.



Stem of Cistanche deserticola



Bark pieces of Prunus africana



Root of Gastrodia elata



Roots of Orchidaceae (salep)



Roots of Orchidaceae (salep)



Stem hairs of Cibotium barometz



Stem pieces of Cibotium barometz



Stem pieces of Cistanche deserticola



Stem pieces ("spheres") of *Dendrobium* sp.



Stem pieces of Dendrobium sp.



Cut stem pieces of *Dendrobium* sp.



Sliced root of Gastrodia elata





Garden tools (Gonystylus sp.)



Mouldings (Gonystylus sp.)



Picture frames (Gonystylus sp.)



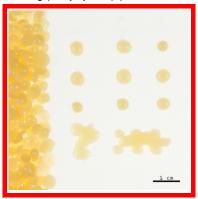
Flooring (Gonystylus sp.)



Plywood (Gonystylus sp.)



Wax blocks (Euphorbia antisyphilitica)



Wax pellets (Euphorbia antisyphilitica)



Extract (Dendrobium sp.)



Extract (Dendrobium sp.)



Tablets (Bletilla striata)



Capsules (Cistanche deserticola)



Granules (Cistanche deserticola)



Tablets (Dionaea muscipula)



Capsules (Gastrodia elata)



Capsules (Gastrodia elata)



Capsules (Gastrodia elata)



Capsules (Prunus africana)



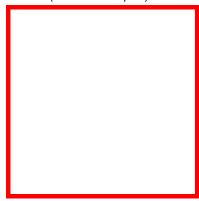
Tincture (Dionaea muscipula)

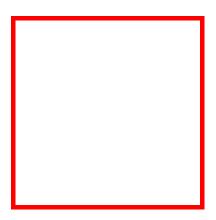


Creme (Prunus africana)



Shampoo (Prunus africana)







Fruit of Hylocereus sp. (pitaya)



Fruits of Opuntia sp.



Stem pads of Opuntia sp.



Pickled stem pads of Opuntia sp.



Fruits of Vanilla sp.



Artificially propagated cut flowers (orchids)



Artificially propagated cut flowers (orchids)



Orchid seedlings in sterile container



Orchid seedlings in sterile container



Orchid seedlings in sterile container



Orchid seedlings in sterile container



Wax pellets (Euphorbia antisyphilitica)



Wax pellets (Euphorbia antisyphilitica)



Balm (Euphorbia antisyphilitica)



Lip balm (Euphorbia antisyphilitica)



Lipsticks (Euphorbia antisyphilitica)



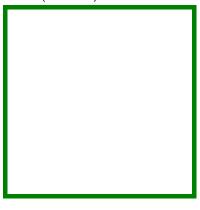
Extract (Aloe ferox)



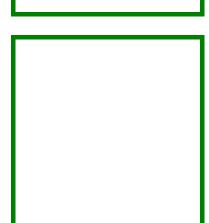
Capsules (Aloe ferox)



Ointment (Aloe ferox)







Annotation #5

#5 Logs, sawn wood and veneer sheets.

Species carrying this Annotation:

Appendix II:

Diospyros spp., Swietenia mahagoni

Appendix III:

Fraxinus mandshurica, Pinus koraiensis, Quercus mongolica

Explanation:

(1) This Annotation was designed for species which are in trade for their timber. It makes clear that no other commodities than logs, sawn wood and veneer sheets are regulated under CITES. All other commodities are excluded from CITES regulations.

(2) Problems in enforcement that have arisen around the interpretation of "sawn wood" are discussed under Annotation #17.

Definition of terms¹¹:

log All wood in the rough, whether or not stripped of bark or

sapwood, or roughly squared, for processing, notably into sawn wood, pulpwood or veneer sheets (HS code 44.03).

sawn wood Wood simply sawn lengthwise or produced by a profile-

chipping process. Sawn wood normally exceeds 6 mm in

thickness. (HS code 44.06, HS code 44.07).

veneer sheet Thin layers or sheets of wood of uniform thickness, usually

6 mm or less, usually peeled or sliced, for use in making plywood, for veneering furniture, veneer containers, etc. (HS

code 44.08).

¹¹ Definitions in italics are included in the CITES Glossary or have been adopted by CITES bodies; see Annex for definitions.

Examples of commodities in trade (red: covered, green: not covered by CITES):



The photos on this page to illustrate logs, sawn wood, and veneer are generic and not species-specific. Photo credits: 29-1-1, 29-1-2, 29-1-3, 29-2-1: D. Wolf; 2-2, 2-3, 3-1: ITTO; 4-1: Doug Brignole

Annotation #6

#6 Logs, sawn wood, veneer sheets and plywood.

Species carrying this Annotation:

Appendix II:

Cedrela spp., Dalbergia spp. originating and exported from Mexico (see #15), Pterocarpus tinctorius, Swietenia macrophylla

Explanation:

(1) This Annotation was designed for species which are in trade for their timber. It makes clear that no other commodities than logs, sawn wood, veneer sheets, and plywood are regulated under CITES. All other commodities are excluded from CITES regulations.

- (2) Annotation #6 also applies to specimens of those species of the genus *Dalbergia* which originate and are exported from Mexico. This is specified in subparagraph (e) of Annotation #15.
- (3) Problems in enforcement that have arisen around the interpretation of "sawn wood" are discussed under Annotation #17.

Definition of terms¹⁴:

log All wood in the rough, whether or not stripped of bark or

sapwood, or roughly squared, for processing, notably into sawn wood, pulpwood or veneer sheets (HS code 44.03).

plywood Consisting of three or more sheets of wood glued and

pressed one on the other and generally disposed so that the

grains of successive layers are at an angle (HS code 44.12.13, HS code 44.12.14, and HS code 44.12.22).

sawn wood Wood simply sawn lengthwise or produced by a profile-

chipping process. Sawn wood normally exceeds 6 mm in

thickness. (HS code 44.06, HS code 44.07).

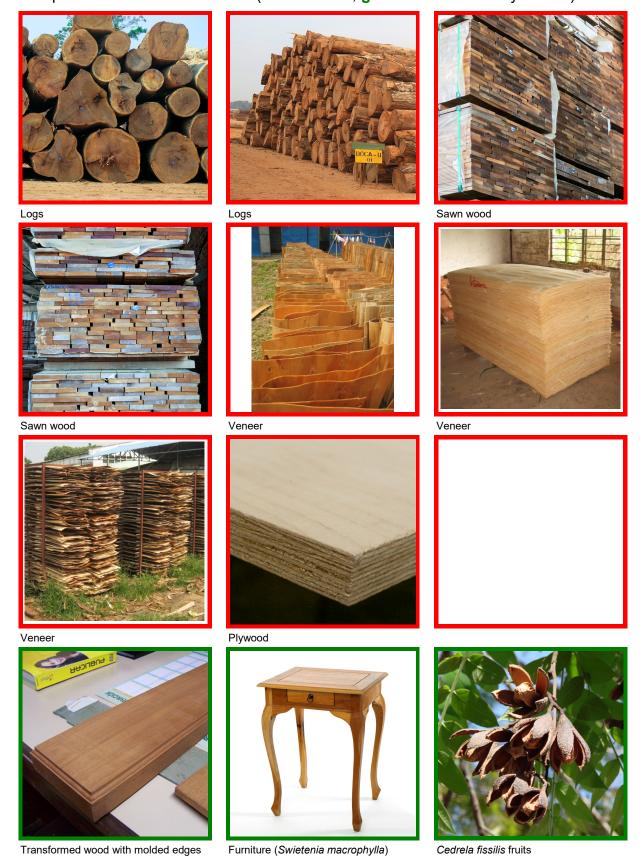
veneer sheet Thin layers or sheets of wood of uniform thickness, usually

6 mm or less, usually peeled or sliced, for use in making plywood, for veneering furniture, veneer containers, etc. (HS

code 44.08).

¹⁴ Definitions in italics are included in the CITES Glossary or have been adopted by CITES bodies; see Annex for definitions.

Examples of commodities in trade (red: covered, green: not covered by CITES):



The majority of photos on this page to illustrate logs, sawn wood, and veneer are generic and not species-specific.

Photo credits: 1-1, 1-2, 1-3, 2-1: D. Wolf; 2-2, 2-3, 3-1: ITTO; 3-2: Wiki Creative Commons; 4-1: Doug Brignole; 4-2: C. Waitkus, Thünen-Institut; 4-3: João Medeiros, https://www.flickr.com/photos/cerrados/6104116081

Annotation #7

#7 Logs, wood chips, powder and extracts.

Species carrying this Annotation:

Appendix II:

Pterocarpus santalinus

Explanation:

(1) This Annotation was designed and is used for only one species, *Pterocarpus santalinus*, a species endemic to India which is both traded for its valuable timber and for its use as a dye and medicinal plant. This is why the Annotations lists commodities from both of these market sectors.

(2) The Annotations determines that no other commodities than logs, wood chips, powder and extracts are regulated under CITES. All other commodities are excluded from CITES regulations.

Definition of terms¹⁷:

extract Any substance obtained directly from plant material by

physical or chemical means regardless of the manufacturing process. An extract may be solid (e.g. crystals, resin, fine or coarse particles), semisolid (e.g. gums, waxes) or liquid (e.g.

solutions, tinctures, oil and essential oils).

log All wood in the rough, whether or not stripped of bark or

sapwood, or roughly squared, for processing, notably into sawn wood, pulpwood or veneer sheets (HS code 44.03).

powder A dry, solid substance in the form of fine or coarse particles.

wood chip Wood that has been reduced to small pieces.

¹⁷ Definitions in italics are included in the CITES Glossary or have been adopted by CITES bodies; see Annex for definitions.

Examples of commodities in trade (red: covered, green: not covered by CITES):







Logs



Logs

Wood pieces of Pterocarpus santalinus



Wood chips of Pterocarpus santalinus





Chopsticks (Pterocarpus santalinus)



Incense containing Pterocarpus santalinus

Beads (Pterocarpus santalinus)



Incense containing *Pterocarpus* santalinus

Control of the contro

Incense containing *Pterocarpus* santalinus

The photos on this page to illustrate logs are generic and not species-specific. Photo credits: 1-1, 1-2: D. Wolf; 4-1, 4-2, 4-3: Czech Environmental Inspectorate

Annotation #8

#8 Underground parts (i.e. roots, rhizomes): whole, parts and powdered.

Species carrying this Annotation:

Appendix II:

Hydrastis canadensis

Explanation:

(1) This Annotation was designed and is used for only one species, Goldenseal, a species from North America which is in trade as a medicinal plant. The Annotation determines that no other commodities than the underground parts of the plant are regulated by CITES. In brackets it explains that roots and rhizomes are the two underground plant organs that this species develops.

(2) The range of commodities regulated is further narrowed down by text after the colon: The underground parts are only regulated if they are traded as whole roots or rhizomes, if they are cut into pieces, or if they are in powdered form. No other processing state of the underground parts is regulated.

Definition of terms²⁰:

part Any part of an animal or plant (e.g. skin, shell, root) whether

raw or processed in a simple way (e.g. preserved, polished,

etc.). Parts are usually readily identifiable.

powder A dry, solid substance in the form of fine or coarse particles.

rhizome Underground stem, distinguished from root by its nodes,

buds or scale-like leaves.

root All underground organs or parts of a plant including bulbs,

rhizomes, corms, caudices, and tubers

underground part Any subterranean plant part, e.g. root, rhizome, bulb, tuber,

corm or caudice.

²⁰ Definitions in italics are included in the CITES Glossary or have been adopted by CITES bodies; see Annex for definitions.

Examples of commodities in trade (red: covered, green: not covered by CITES):



Annotation #9

#9 All parts and derivatives except those bearing a label: "Produced from *Hoodia* spp. material obtained through controlled harvesting and production under the terms of an agreement with the relevant CITES Management Authority of [Botswana under agreement No. BW/xxxxxx] [Namibia under agreement No. NA/xxxxxx] [South Africa under agreement No. ZA/xxxxxx]".

Species carrying this Annotation:

Appendix II:

Hoodia spp.

Explanation:

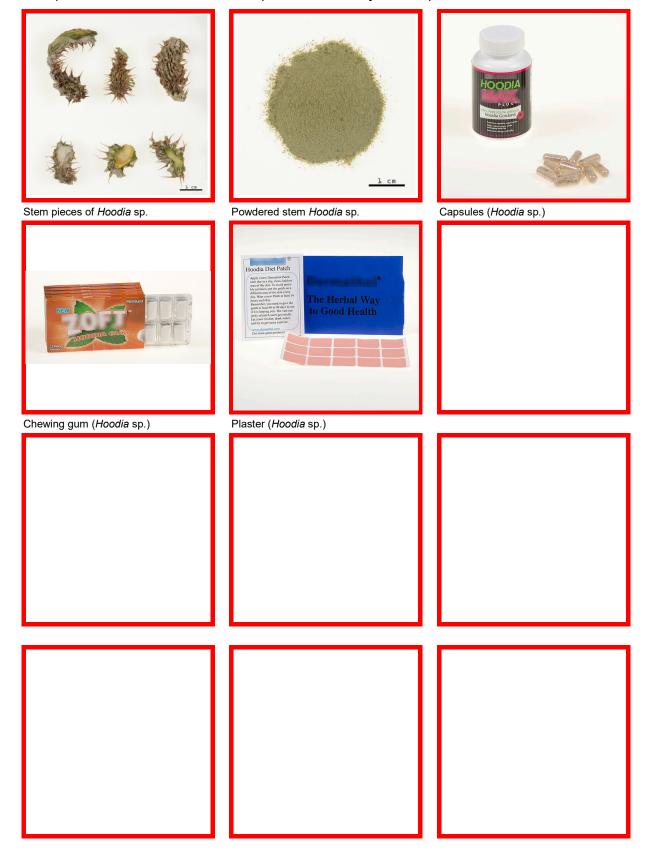
- (1) This Annotation was designed and is used only for the species of the genus *Hoodia*. It was crafted by the three major range states of these species, Botswana, Namibia and South Africa and was then adopted by CITES CoP 16 in 2013. Its purpose is to exclude certain products from CITES regulations if they have been approved by these governments under a certification scheme and if they carry a label to that end.
- (2) However, since none of the countries have so far issued such labels, this possible exemption has yet to be implemented. This has the effect that currently all parts and derivatives of *Hoodia* spp. are regulated by CITES.

Definition of terms:

part and derivative See paragraph (3) in Introduction.

For this Annotation, commodities have not yet been exempted from CITES regulations and therefore there are no pictures.

Examples of commodities in trade (red: covered by CITES):



Annotation #10

#10 Logs, sawn wood, veneer sheets, including unfinished wood articles used for the fabrication of bows for stringed musical instruments.

Species carrying this Annotation:

Appendix II:

Paubrasilia echinata

Explanation:

(1) This Annotation was designed and is used for only one species, Pao Brazil, a species endemic to Brazil which is in trade for its valuable timber. The Annotation determines that no other commodities than logs, sawn wood, veneer sheets are regulated under CITES. It then goes on to say that also "unfinished wood articles used for the fabrication of bows for stringed musical instruments" are regulated. This relates to the fact that the timber is mainly used for making high-end violin bows. Semi-processed blocks of this hardwood are in trade and are regulated by CITES under this Annotation. All other commodities, e.g. finished violin bows, are excluded from CITES regulations.

(2) This species is also traded under its former name Caesalpinia echinata.

Definition of terms²¹:

log All wood in the rough, whether or not stripped of bark or

sapwood, or roughly squared, for processing, notably into sawn wood, pulpwood or veneer sheets (HS code 44.03).

sawn wood Wood simply sawn lengthwise or produced by a profile-

chipping process. Sawn wood normally exceeds 6 mm in

thickness. (HS code 44.06, HS code 44.07).

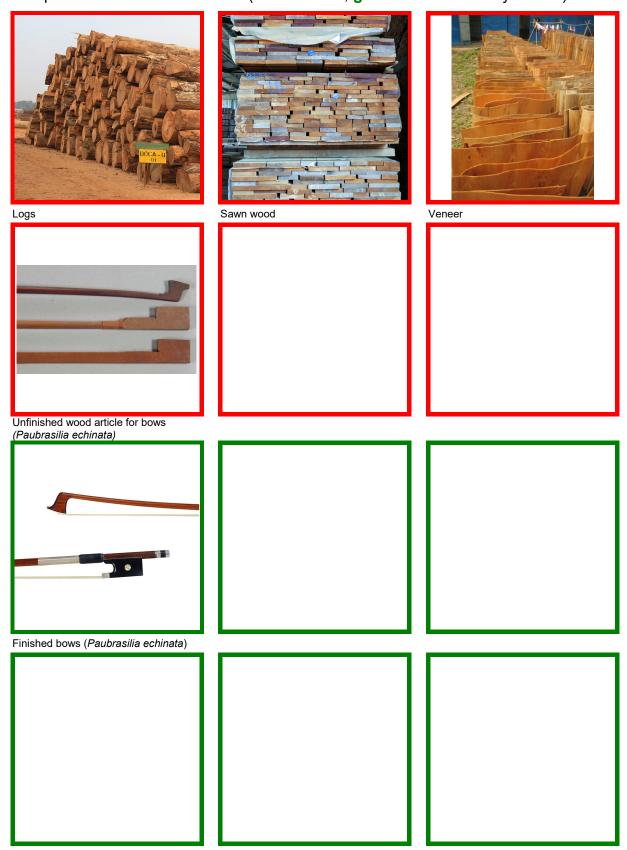
veneer sheet Thin layers or sheets of wood of uniform thickness, usually

6 mm or less, usually peeled or sliced, for use in making plywood, for veneering furniture, veneer containers, etc.

(HS code 44.08).

²¹ Definitions in italics are included in the CITES Glossary or have been adopted by CITES bodies; see Annex for definitions.

Examples of commodities in trade (red: covered, green: not covered by CITES):



The photos on this page to illustrate logs, sawn wood, and veneer are generic and not species-specific.

Photo credits: 1-1, 1-2: D. Wolf; 1-3: ITTO; 2-1, 3-1: R. Grünke

Annotation #11

#11 Logs, sawn wood, veneer sheets, plywood, powder and extracts. Finished products containing such extracts as ingredients, including fragrances, are not considered to be covered by this annotation.

Species carrying this Annotation:

Appendix II:

Bulnesia sarmientoi

Explanation:

- (1) This Annotation was designed and is used for only one species, *Bulnesia* sarmientoi, a species from Latin America which is both traded for its timber and also for its use as a medicinal and aromatic plant. This is why the Annotation lists commodities from both of these market sectors.
- (2) This Annotation makes clear that no other commodities than logs, sawn wood, veneer sheets, plywood, powder and extracts are regulated under CITES. All other commodities are excluded from CITES regulations.
- (3) The second sentence in the Annotation is a clarification concerning products which contain extracts (e.g.: creme as in illustration section below). They do not qualify as "extracts" in the sense of the Annotation and are hence not regulated by CITES.
- (4) While #2, #4, and #14 use the phrase "finished product packaged and ready for retail trade", #11 refers to "finished products" only. This indicates that products containing such extracts need not be packaged and ready for retail trade to qualify as exempt.

Definition of terms²⁴:

extract Any substance obtained directly from plant material by physical or

chemical means regardless of the manufacturing process. An extract may be solid (e.g. crystals, resin, fine or coarse particles), semisolid (e.g. gums, waxes) or liquid (e.g. solutions, tinctures, oil and essential oils).

fragrance Chemical compound that has a smell or an odour.

log All wood in the rough, whether or not stripped of bark or sapwood, or

roughly squared, for processing, notably into sawn wood, pulpwood or

veneer sheets (HS code 44.03).

plywood Consisting of three or more sheets of wood glued and pressed one on the

other and generally disposed so that the grains of successive layers are at an angle (HS code 44.12.13, HS code 44.12.14, and HS code 44.12.22).

powder A dry, solid substance in the form of fine or coarse particles.

²⁴ Definitions in italics are included in the CITES Glossary or have been adopted by CITES bodies; see Annex for definitions.

wood simply sawn lengthwise or produced by a profile-chipping process. Sawn wood normally exceeds 6 mm in thickness. (HS code 44.06, HS

code 44.07).

veneer Thin layers or sheets of wood of uniform thickness, usually 6 mm or less, sheet usually peeled or sliced, for use in making plywood, for veneering

furniture, veneer containers, etc. (HS code 44.08).

Examples of commodities in trade (red: covered, green: not covered by CITES):



The photos on this page to illustrate logs, sawn wood, veneer, and plywood are generic and not species-specific. Photo credits: 1-1, 1-2, 1-3, 2-1: D. Wolf; 2-2, 2-3, 3-1: ITTO; 3-2: Wiki Creative Commons; 4-2: C. Rutherford

Annotation #12

#12 Logs, sawn wood, veneer sheets, plywood and extracts. Finished products containing such extracts as ingredients, including fragrances, are not considered to be covered by this annotation.

Species carrying this Annotation:

Appendix II:

Aniba rosaeodora

Explanation:

- (1) This Annotation was designed and is used for only one species, Brazilian Rosewood, a species endemic to Brazil which is mainly traded as high-quality oil used in the cosmetics sector.
- (2) This Annotations makes clear that no other commodities than logs, sawn wood, veneer sheets, plywood, and extracts are regulated under CITES. All other commodities are excluded from CITES regulations.
- (3) The second sentence in the Annotation is a clarification concerning products which contain extracts (e.g.: shower gel as in illustration section below). They do not qualify as "extracts" in the sense of the Annotation and are hence not regulated by CITES.
- (4) While #2, #4, and #14 use the phrase "finished product packaged and ready for retail trade", #12 refers to "finished products" only. This indicates that products containing such extracts need not be packaged and ready for retail trade to qualify as exempt.

Definition of terms²⁷:

extract Any substance obtained directly from plant material

by physical or chemical means regardless of the manufacturing process. An extract may be solid (e.g. crystals, resin, fine or coarse particles), semisolid (e.g. gums, waxes) or liquid (e.g. solutions, tinctures, oil and essential oils).

fragrance Chemical compound that has a smell or an odour.

log All wood in the rough, whether or not stripped of

bark or sapwood, or roughly squared, for

processing, notably into sawn wood, pulpwood or

veneer sheets (HS code 44.03).

²⁷ Definitions in italics are included in the CITES Glossary or have been adopted by CITES bodies; see Annex for definitions.

plywood Consisting of three or more sheets of wood glued

and pressed one on the other and generally

disposed so that the grains of successive layers are at an angle (HS code 44.12.13, HS code 44.12.14,

and HS code 44.12.22).

sawn wood Wood simply sawn lengthwise or produced by a

profile-chipping process. Sawn wood normally exceeds 6 mm in thickness. (HS code 44.06, HS

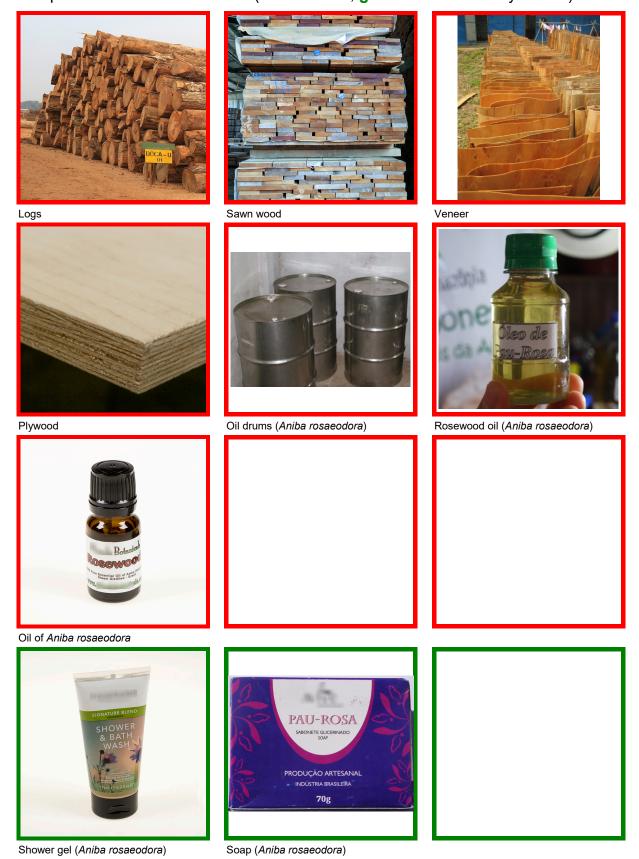
code 44.07).

veneer sheet Thin layers or sheets of wood of uniform thickness,

usually 6 mm or less, usually peeled or sliced, for use in making plywood, for veneering furniture,

veneer containers, etc. (HS code 44.08).

Examples of commodities in trade (red: covered, green: not covered by CITES):



The photos on this page to illustrate logs, sawn wood, veneer, and plywood are generic and not species-specific. Photo credits: 1-1, 1-2: D. Wolf; 1-3: ITTO; 2-1: Wiki Creative Commons; 2-2: C. Magaldi; 2-3, 4-2: C. Rutherford

Annotation #13

#13 The kernel (also known as 'endosperm', 'pulp' or 'copra') and any derivative thereof.

Species carrying this Annotation:

Appendix III:

Lodoicea maldivica (Seychelles)

Explanation:

- (1) This Annotation was designed and is used for only one species, Coco de Mer, a palm species endemic to some islands of the Seychelles. This species has been included in Appendix III upon request of the government of the Seychelles.
- (2) The fruits of this palm species are famous for the largest and heaviest seed known in the plant kingdom. The mostly hollowed-out, hard outer shells of the seed are in trade as a curio. Also traded is the endosperm, i.e. the tissue inside of the seed which is used for cosmetics and medicinal purposes.
- (3) The Annotations determines that the only commodities regulated by CITES are the "kernel" and its derivatives. The kernel is the part that is located <u>inside</u> the hard shell of the seed.
- (4) In brackets several other names are given. They are all put in inverted commas and most likely represent terms used in trade for the commodity. They can however be misleading:
- "Copra" is also the name commonly used in trade for the dried endosperm of the coconut. The use of the name "copra" on an invoice or shipping bill does therefore not necessarily imply that the commodity is included in CITES.
- "Pulp" is a term normally used to describe the soft or juicy part of a fruit outside of and around the hard shell of the seed(s). For *Locoicea maldivica*, however, the latter is not covered by CITES.
- (5) The expression "any derivative thereof" refers to the kernel mentioned at the beginning of the Annotation. This makes clear that only products derived from the kernel are regulated by CITES, including finished products. It is hence clear that the hard shell of the seed is not controlled internationally by CITES, only the kernel is regulated.
- (6) The export of whole or hollow seeds from the Seychelles as a tourist souvenir is regulated by the national "Coco de Mer (Management) Decree" and is only possible with an export certificate from the national authority. In case the seed is not hollow and does include the kernel, in theory a CITES export permit would be necessary.

Definition of terms³⁰:

derivative Any processed part of an animal or plant (e.g. medicine,

perfume, etc.).

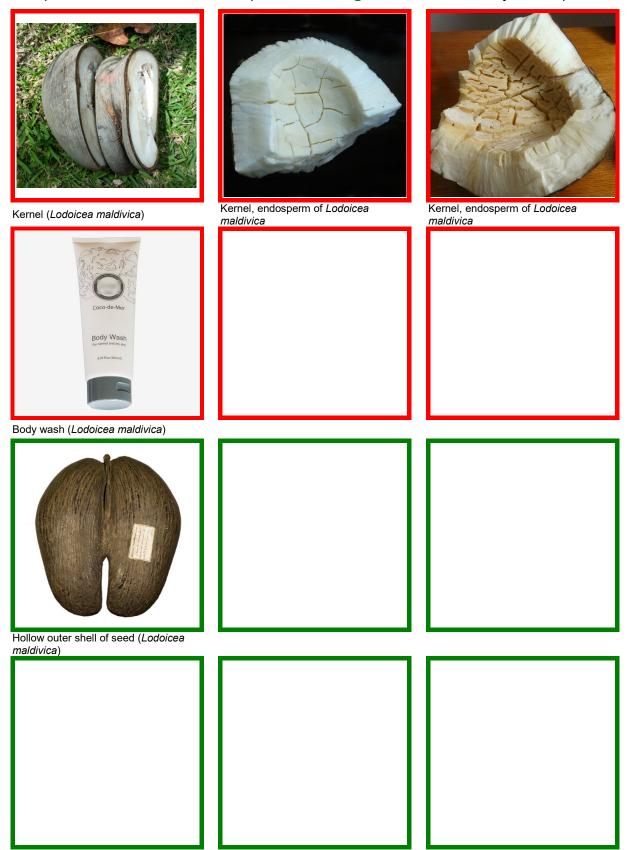
endosperm Starchy or oil rich material produced inside the plant seed

which nourishes the embryo.

kernel The part of a fruit stone or nut that is inside the hard shell

³⁰ Definitions in italics are included in the CITES Glossary or have been adopted by CITES bodies; see Annex for definitions.

Examples of commodities in trade (red: covered, green: not covered by CITES):



Annotation #14

#14 All parts and derivatives except:

- a) seeds and pollen;
- b) seedling or tissue cultures obtained in vitro, in solid or liquid media, transported in sterile containers;
- c) fruits;
- d) leaves;
- e) exhausted agarwood powder, including compressed powder in all shapes; and
- f) finished products packaged and ready for retail trade, this exemption does not apply to wood chips, beads, prayer beads and carvings.

Species carrying this Annotation:

Appendix II:

Aquilaria spp., Gyrinops spp.

Explanation:

- (1) This is another complex Annotation which is divided in a number of subparagraphs specifying which commodities are excluded from CITES regulations. This Annotation has been elaborated specifically for the 'agarwood' trade. A number of tree species from the plant genera *Aquilaria* and *Gyrinops* produce a special type of hardwood called 'agarwood' which is a valuable raw material for the cosmetics and fragrances sector.
- (2) Subparagraphs (a) and (b) are the same as in Annotation #4. Subparagraphs (c) and (d) exclude fruits and leaves of these species from CITES regulations.
- (3) Subparagraph (e) excludes "exhausted agarwood powder". This is the residue of powdered wood after the extraction of agarwood oil. Powder before extraction is therefore under CITES regulations. It is, however, difficult to distinguish the two states. Colour and smell of the powder have been claimed to be distinguishing characters but identification material to verify this is yet to be produced. The exhausted powder is sometimes compressed and molded and turned into figurines; these are also excluded from regulations.
- (4) Subparagraph (f) excludes finished products packaged and ready for retail trade from CITES regulations. This applies to the significant trade in perfumery products. However, some finished products are not exempted because they are produced from high-value agarwood: Beads, prayer beads and carvings do need CITES permits.

(5) For agarwood, also the following regulations are relevant: "Up to 1 kg of woodchips, 24 ml of oil and two sets of beads or prayer beads (or two necklaces or bracelets) per person" are exempt from regulations as personal effects (Res. Conf. 13.7. Rev. CoP 17).

Definition of terms³²:

bead Small, usually round piece of material pierced for

stringing.

carving Sculpture created by removing wood in order to

create a desired shape.

compressed powder Wood powder compressed into various compact

shapes by pressure and maintained by chemical or

natural binder.

exhausted powder Wood powder from which the fragrant oil or other

content has been exhausted or nearly exhausted

through chemical or physical methods.

finished products packaged and ready for

retail trade

Products, shipped singly or in bulk, requiring no further processing, packaged, labelled for final use or the retail trade in a state fit for being sold to or

used by the general public.

fruit Seed-bearing organ of a plant.

in vitro Latin; direct translation: "in glass"; meaning in an

artificial environment.

leaf Chlorophyll-bearing lateral outgrowth from the stem

of a plant.

part and derivative See paragraph (3) in introduction.

pollen Mass of small grains containing sperm cells of a

plant.

powder A dry, solid substance in the form of fine or coarse

particles.

prayer bead String of beads used in counting prayers.

seed Reproductive part of a fruit. Produced by all higher

plants, consisting of an embryo and usually a seed-

coat, with endosperm.

seedling or tissue culture Method for growing cells, tissues or seedlings on an

artificial nutrient medium.

sterile Free of living organisms such as bacteria or other

microorganisms.

wood chip Wood that has been reduced to small pieces.

³² Definitions in italics are included in the CITES Glossary or have been adopted by CITES bodies; see Annex for definitions.

Examples of commodities in trade (red: covered by CITES):



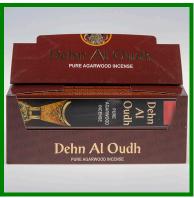
Examples of commodities in trade (green: not covered by CITES):



Finished product packed and ready for retail trade



Finished product packed and ready for retail trade



Finished product packed and ready for retail trade



Finished product packed and ready for retail trade



Finished product packed and ready for retail trade



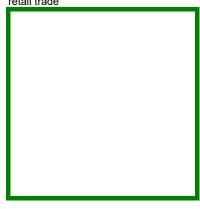
Finished product packed and ready for

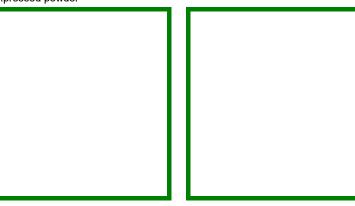


Compressed powder



Compressed powder





Annotation #15

#15 All parts and derivatives are included, except:

- a) leaves, flowers, pollen, fruit, and seeds;
- b) finished products to a maximum weight of wood of the listed species of up to 10 kg per shipment;
- c) finished musical instruments, finished musical instrument parts and finished musical instrument accessories;
- d) parts and derivatives of *Dalbergia cochinchinensis* which are covered by Annotation #4;
- e) parts and derivatives of *Dalbergia* spp. originating and exported from Mexico which are covered by Annotation #6.

Species carrying this Annotation:

Appendix II:

Dalbergia spp., Guibourtia demeusei, Guibourtia pellegriniana, Guibourtia tessmannii

History:

- (1) This complex Annotation was revised at CoP 18 because the previous version presented challenges concerning its interpretation and implementation. The most substantive change agreed at CoP 18 was the exemption of musical instruments. This change reflects the consensus view of the CITES Parties "that the regulation of these items imparts little conservation value while increasing greatly the permit and compliance burdens".³³
- (2) In addition, the limitation of the previous restriction in (b) to "non-commercial export" was abandoned. This eliminates the challenge of differentiating between commercial and non-commercial shipments.
- (3) Subparagraphs (d) and (e) remain untouched by the revision of this Annotation at CoP 18. While the Parties agreed from a regulatory perspective that all *Dalbergia* species currently listed in Appendix II should be annotated similarly, it was however acknowledged that "range States may adopt measures associated with the trade in their native species as they so choose".³⁴

³³ https://cites.org/sites/default/files/eng/cop/18/prop/12032019/E-CoP18-Prop-52.pdf, page 3.

³⁴ https://cites.org/sites/default/files/eng/com/sc/70/E-SC70-67-01.pdf, page 6.

Explanation:

(1) This Annotation is divided into a number of subparagraphs specifying under (a), (b), and (c) which commodities are excluded from CITES regulations and under (d, e) for which species other # Annotations apply.

(2) In general, subparagraphs (a) to (c) have the effect that the provisions of CITES apply to all products containing *Dalbergia* wood or wood of the three listed *Guibourtia* species, excluding finished products up to a maximum weight of 10 kg and excluding finished musical instruments from CITES regulations.

In the following we will go through the subparagraphs step by step:

- (3) Subparagraph (a) exempts leaves, flowers, pollen, fruits, and seeds of these species from CITES regulations. Similar exemptions can be found in Annotations #4 and #14.
- (4) Subparagraph (b) excludes "finished products to a maximum weight of wood of the listed species of up to 10 kg per shipment". The main aim here is to exclude specimens such as souvenirs or carvings from CITES regulations (a box, a bowl and several carvings are presented as examples on the following pages).

The earlier version of this Annotation did not specify whether the exemption of 10 kg applied to the total weight of the shipment or the weight of the wood of the species within the shipment. As amended, the 10 kg weight limit is clearly restricted to the weight of the portion of the shipment made up of wood of the species concerned. In practice, this has the effect that shipments weighing more than 10 kg with an overall weight of wood of the species concerned of less than 10 kg, are exempted from CITES regulations. To clarify this further, the Parties defined the term "10 kg per shipment" (see below).

This definition can also be applied to cases where more than one regulated species is present in the shipment. E.g., if there were products that had *Dalbergia* X and *Dalbergia* Y, the 10 kg maximum would apply to each of those *Dalbergia* species separately; a maximum of 10 kg of *Dalbergia* X and 10 kg of *Dalbergia* Y would be exempt.

- (5) Subparagraph (c) is new and excludes finished musical instruments of any weight or size from CITES regulations. In the earlier version of this Annotation the 10 kg finished product restriction also applied to musical instruments which created considerable implementation problems and burdens for orchestras travelling with their instruments.
- (6) The CITES Parties have sought to define what a musical instrument is to prevent circumvention of the Convention. Three definitions of finished musical instruments, their parts and their accessories have been formulated (see below). A tuning peg (see below) can be regarded as an example for a musical instrument <u>part</u>. A violin bow would fall under the definition of musical instrument <u>accessory</u> because it is associated with the playing of the instrument but is not a necessary part of the original structure of the instrument.
- (7) Subparagraph (d) exempts *D. cochinchinensis* from this Annotation. This species is instead covered by Annotation #4. The high commercial value of this timber in combination with trade pressure led the CITES Parties to decide that the exemption outlined in subparagraph #15 (b) is not appropriate for this species.

- (8) Subparagraph (e) exempts any specimens of those *Dalbergia* from this Annotation which are exported from Mexico and also "originate" in Mexico. For these cases Annotation #6 is in place. "Originate" means the specimens have grown and were harvested in Mexico. A consolidated list of *Dalbergia* species growing in Mexico does not exist.³⁵ However, there is still room for debate and indeed possible confusion here: some CITES Parties view "originate" as referring to the origin of the shipment which would mean that all *Dalbergia* specimens exported from Mexico would fall under subparagraph (e).
- (9) Note that *Dalbergia nigra* is listed in Appendix I of CITES and that Annotation #15 does not apply to this species. Therefore, all parts and derivatives are covered by the provisions of CITES.

Definition of terms³⁶:

finished musical instruments

A musical instrument (as referenced by the Harmonized System of the World Customs Organization, Chapter 92; musical instruments, parts and accessories of such articles) that is ready to play or needs only the installation of parts to make it playable. This term includes antique instruments (as defined by the Harmonized System codes 97.05 and 97.06; Works of art, collectors' pieces and antiques)

finished musical instrument accessories

A musical instrument accessory (as referenced by the Harmonized System of the World Customs Organization, Chapter 92; musical instruments, parts and accessories of such articles) that is separate from the musical instrument, and is specifically designed or shaped to be used explicitly in association with an instrument, and that requires no further modification to be used.

finished musical instrument parts

A part (as referenced by the Harmonized System of the World Customs Organization, Chapter 92; musical instruments, parts and accessories of such articles) of a musical instrument that is ready to install and is specifically designed and shaped to be used explicitly in association with the instrument to make it playable.

flower Reproductive structure found in flowering plants,

often having showy or colourful parts.

³⁵ In proposal 54 of CoP17 (https://cites.org/sites/default/files/eng/cop/17/prop/060216/E-CoP17-Prop-54.pdf) Mexico lists 13 Mexican *Dalbergia* species which are in trade: *Dalbergia calderonii*, *D. calycina*, *D. congestiflora*, *D. cubilquitzensis*, *D. glomerata*, *D. longepedunculata*, *D. luteola*, *D. melanocardium*, *D. modesta*, *D. palo-escrito*, *D. rhachiflexa*, *D. ruddae*, and *D. tucurensis*. But in the proposal it is further stated: "A total of 20 species of the genus *Dalbergia* are distributed in Mexico, 15 of them usable as timber...". In addition, #15(e) would also be applicable to non-native but established forestry species in Mexico.

³⁶ Definitions in italics are included in the CITES Glossary or have been adopted by CITES bodies; see Annex for definitions.

fruit Seed-bearing organ of a plant.

leaf Chlorophyll-bearing lateral outgrowth from the stem

of a plant.

part and derivative See paragraph (3) in Introduction.

pollen Mass of small grains containing sperm cells of a

plant.

shipment Cargo transported under the terms of a single bill of

lading or air waybill, irrespective of the quantity or number of containers, packages, or pieces worn,

carried or included in personal baggage.

seed Reproductive part of a fruit. Produced by all higher

plants, consisting of an embryo and usually a seed-

coat, with endosperm.

"10 kg per shipment" For the term "10 kg per shipment", the 10 kg limit

should be interpreted as referring to the weight of the individual portions of each item in the shipment made of wood of the species concerned. In other words, the 10 kg limit is to be assessed against the

weight of the individual portions of wood of

Dalbergia / Guibourtia species contained in each item of the shipment, rather than against the total

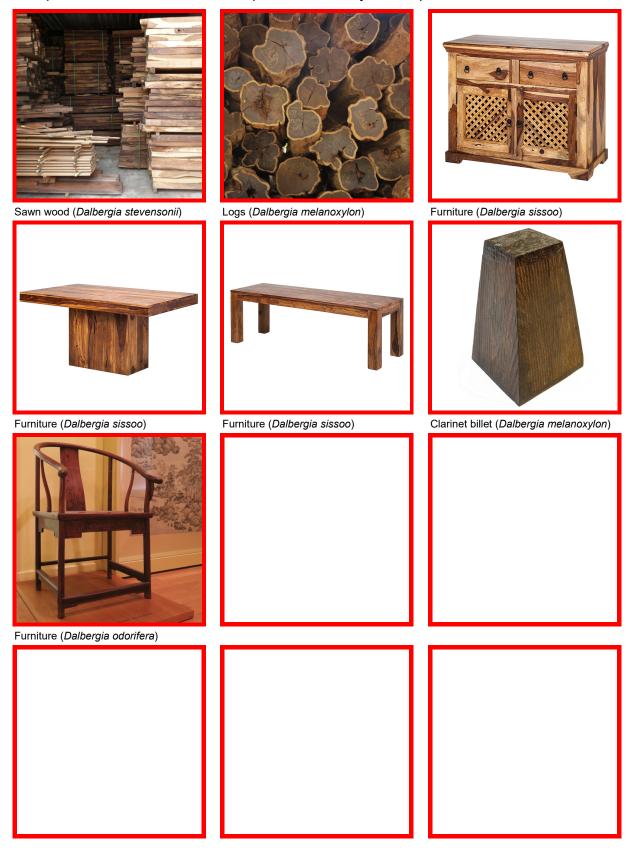
weight of the shipment.

Important notice

Subparagraph (b) of #15 says that "finished products to a maximum weight of wood of the listed species of up to 10 kg per shipment" are exempt from CITES regulations.

It has to be kept in mind that some finished products in the green-framed picture section on the following pages will fall under CITES regulations in case they have a total weight of regulated wood of more than 10 kg.

Examples of commodities in trade (red: covered by CITES):



Examples of commodities in trade (green: not covered by CITES):

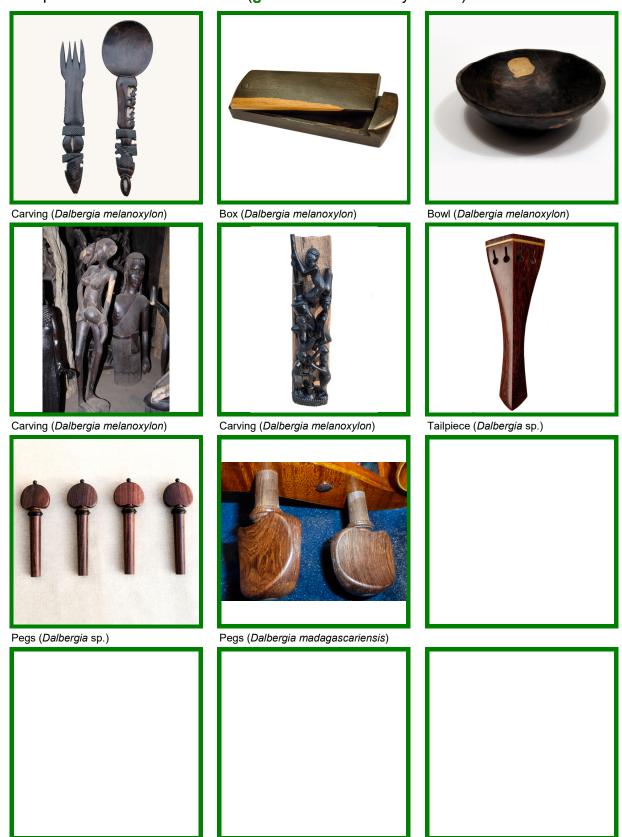


Photo credits: 1-1, 1-2, 1-3: U. Schippmann; 2-1: D. Wolf; 2-2: U. Schippmann; 2-3: H. Schmitz-Kretschmer; 3-1: U. Schippmann; 3-2: H. Schmitz-Kretschmer

Annotation #16

#16 Seeds, fruits and oils

Species carrying this Annotation:

Appendix II:

Adansonia grandidieri

Explanation:

This Annotation was designed and is used for only one species, *Adansonia grandidieri*, a baobab species endemic to Madagascar. The Annotation determines that seeds, fruits and oil are the only parts and derivatives of this species which are subject to CITES regulations.

Definition of terms:

fruit Seed-bearing organ of a plant.

oil Any chemical substance that is viscous liquid at

room temperature, insoluble in water and soluble in

other oils.

seed Reproductive part of a fruit. Produced by all higher

plants, consisting of an embryo and usually a seed-

coat, with endosperm.

Examples of commodities in trade (red: covered by CITES):



Photo credits: 1-1: Rafael Medina, https://www.flickr.com/photos/copepodo/4954249972/; 1-2: S. Andriatsaralaza; 1-3: H. Ravaomanalina; 2-1: O. Razanamaro; 2-2: H. Ravaomanalina; 2-3: M. Rarinirina

Annotation #17

#17 Logs, sawn wood, veneer sheets, plywood and transformed wood.

Species carrying this Annotation:

Appendix II:

Pericopsis elata

Explanation:

- (1) *Pericopsis elata* was included in Appendix II in 1992. Up to CoP 18 it carried the Annotation #5. At CoP 18, the Annotation was amended and #17 is now in place for this species. Annotation #17 makes clear that only the commodities named are regulated by CITES. All other commodities are excluded from CITES regulations.
- (2) Under the current Annotations #5 and #6 sawn wood is regulated by CITES, semi-processed or transformed wood is exempt. The Harmonized System of Customs Classification makes clear that lumber that has been continuously shaped along any one of its edges does no longer fall into sawn wood. Therefore a board with molded edges as shown below is not regulated by CITES when Annotations #5 or #6 are in place.
- (3) Concerns had been expressed by Parties that timber was put through a secondary processing step in order to circumvent regulation as annotated in #5. "A clear case was found in one EU member State where wood was imported without CITES documents from a range State and investigation showed that the transformation of the wood was very superficial and without any purpose or added value. This case demonstrates how such a loophole is used to circumvent the CITES system". ⁴⁰
- (4) The newly created Annotation #17 now closes this loophole by explicitly including "transformed wood" in CITES regulations. The Parties have also agreed on a definition for this term using language from the system of HS codes (see below). For timber producing species of Appendix II currently listed with Annotations #5 and #6, however, transformed wood is still exempt from CITES regulations.

Definition of terms⁴¹:

log

All wood in the rough, whether or not stripped of bark or sapwood, or roughly squared, for processing, notably into sawn wood, pulpwood or veneer sheets (HS code 44.03).

⁴⁰ https://cites.org/sites/default/files/eng/cop/18/prop/E-CoP18-Prop-53.pdf

⁴¹ Definitions in italics are included in the CITES Glossary or have been adopted by CITES bodies; see Annex for definitions.

plywood Consisting of three or more sheets of wood glued and

pressed one on the other and generally disposed so that the

grains of successive layers are at an angle (HS code 44.12.13, HS code 44.12.14, and HS code 44.12.22).

sawn wood Wood simply sawn lengthwise or produced by a profile-

chipping process. Sawn wood normally exceeds 6 mm in

thickness. (HS code 44.06, HS code 44.07).

transformed wood

Defined by Harmonized System code 44.09: Wood (including

strips, friezes for parquet flooring, not assembled),

continuously shaped (tongued, grooved, v-jointed, beaded or the like) along any edges, ends or faces, whether or not

planed, sanded or end-jointed.

veneer sheet Thin layers or sheets of wood of uniform thickness, usually 6

mm or less, usually peeled or sliced, for use in making

plywood, for veneering furniture, veneer containers, etc. (HS

code 44.08).

Examples of commodities in trade (red: covered, green: not covered by CITES):



The photos on this page to illustrate logs, sawn wood, and veneer are generic and not species-specific.

Photo credits: 1-1, 1-2, 1-3, 2-1: D. Wolf; 2-2, 2-3, 3-1: ITTO; 3-2: João Medeiros, https://www.flickr.com/photos/cerrados/6104116081; 3-3: Doug Brignole

Photo credits

<u>Explanation</u>: Author credits are referenced to photos by stating page, line and position of photo from left.

Example: "14-2-3" identifies the 3rd photo from left in the 2nd line of page 14.

#2

13-1-1: BfN; 13-1-2: BfN; 13-1-3: BfN; 13-2-1: BfN; 13-2-2: BfN; 13-2-3: BfN; 13-3-1: BfN; 13-3-2: BfN; 13-3-3: BfN; 13-4-1: BfN; 13-4-2: M. Groves; 13-4-3: UK Border Force; 14-1-1: BfN; 14-1-2: BfN; 14-1-3: BfN; 14-2-1: BfN; 14-2-2: BfN; 14-2-3: BfN; 14-3-1: BfN; 14-3-2: BfN; 14-3-3: BfN; 14-4-1: BfN; 14-4-2: Jiangsu Yew Pharmaceutical Co.; 14-4-3: Tri-Lion Pharmaceutical Co. Harbin

#3

17-1-1: BfN; 17-1-2: BfN; 17-1-3: BfN; 17-2-1: BfN; 17-2-2: BfN; 17-2-3: BfN; 17-3-1: BfN; 17-3-2: BfN; 18-1-1: BfN; 18-1-2: BfN; 18-1-3: BfN; 18-2-1: BfN

#4

22-1-1: BfN; 22-1-2: BfN; 22-1-3: BfN; 22-2-1: BfN; 22-2-2: BfN; 22-2-3: BfN; 22-3-1: BfN; 22-3-2: BfN; 22-3-3: U. Euler; BfN; 22-4-1: BfN; 22-4-2: BfN; 22-4-3: BfN; 23-1-1: BfN; 23-1-2: BfN; 23-2-1: BfN; 23-2-2: BfN; 23-2-3: BfN; 23-3-1: BfN; 23-3-2: BfN; 23-3-3: BfN; 23-4-1: BfN; 23-4-2: RGB Kew; 23-4-3: RGB Kew; 24-1-1: RGB Kew; 24-1-2: RGB Kew; 24-1-3: RGB Kew; 24-2-1: M. Groves; 24-2-2: RGB Kew; 24-2-3: BfN; 24-3-1: BfN; 24-3-2: BfN; 24-3-3: BfN; 24-4-1: BfN; 24-4-2: BfN; 24-4-3: BfN; 25-1-1: BfN; 25-1-2: BfN; 25-1-3: BfN; 25-2-1: BfN; 25-2-2: BfN; 25-2-3: BfN; 25-3-1: BfN; 25-3-2: BfN; 26-1-3: A. Rios, Conabio; 26-2-1: U. Schippmann; 26-2-2: BfN; 26-2-3: M. Groves; 26-3-1: M. Groves; 26-3-2: W. Bongers; 26-3-3: M. Groves; 26-4-1: M. Groves; 26-4-2: BfN; 27-1-1: BfN; 27-1-2: BfN; 27-1-3: BfN; 27-3-1: BfN

#5

29-1-1: D. Wolf; 29-1-2: D. Wolf; 29-1-3: D. Wolf; 29-2-1: D. Wolf; 29-2-2: ITTO; 29-2-3: ITTO; 29-3-1: ITTO; 29-4-1: Doug Brignole

#6

31-1-1: D. Wolf; 31-1-2: D. Wolf; 31-1-3: D. Wolf; 31-2-1: D. Wolf; 31-2-2: ITTO; 31-2-3: ITTO; 31-3-1: ITTO; 31-3-2: Wiki Creative Commons; 31-4-1: Doug Brignole; 31-4-2: C. Waitkus, Thünen-Institut; 31-4-3: João Medeiros, https://www.flickr.com/photos/cerrados/6104116081 (viewed 14 March 2017)

#7

33-1-1: D. Wolf; 33-1-2: D. Wolf; 33-1-3: BfN; 33-2-1: BfN; 33-3-1: BfN; 33-3-2: BfN; 33-3-3: BfN; 33-4-1: Czech Environmental Inspectorate; 33-4-2: Czech Environmental Inspectorate; 33-4-3: Czech Environmental Inspectorate

#8

35-1-1: BfN; 35-1-2: BfN; 35-1-3: BfN; 35-3-1: BfN; 35-3-2: BfN; 35-3-3: BfN

#9

37-1-1: BfN; 37-1-2: BfN; 37-1-3: BfN; 37-2-1: BfN; 37-2-2: BfN

#10

39-1-1: D. Wolf; 39-1-2: D. Wolf; 39-1-3: ITTO; 39-2-1: R. Grünke; 39-3-1: R. Grünke

#11

41-1-1: D. Wolf; 41-1-2: D. Wolf; 41-1-3: D. Wolf; 41-2-1: D. Wolf; 41-2-2: ITTO; 41-2-3: ITTO; 41-3-1: ITTO; 41-3-2: Wiki Creative Commons; 41-3-3: BfN; 41-4-1: BfN; 41-4-2: C. Rutherford

#12

44-1-1: D. Wolf; 44-1-2: D. Wolf; 44-1-3: ITTO; 44-2-1: Wiki Creative Commons; 44-2-2: C. Magaldi; 44-2-3: C. Rutherford; 44-3-1: BfN; 44-4-1: BfN; 44-4-2: C. Rutherford

#13

47-1-1: M. Gisiger, Edelweiss Tours; 47-1-2: R. Fanchette, CITES Seychelles; 47-1-3: R. Fanchette, CITES Seychelles; 47-2-1: BfN; 47-3-1: Wiki Creative Commons

#14

50-1-1: BfN; 50-1-2: BfN; 50-1-3: BfN; 50-2-1: BfN; 50-2-2: BfN; 50-2-3: BfN; 51-1-1: BfN; 51-1-2: BfN; 51-1-3: BfN; 51-2-1: BfN; 51-2-2: BfN; 51-2-3: BfN; 51-3-1: BfN; 51-3-2: BfN;

#15

56-1-1: H. Schmitz-Kretschmer; 56-1-2: D. Wolf; 56-1-3: home24; 56-2-1: home24; 56-2-2: home24; 56-2-3: U. Schippmann; 56-3-1: D. Wolf; 57-1-1: U. Schippmann; 57-1-2: U. Schippmann; 57-1-3: U. Schippmann; 57-2-1: D. Wolf; 57-2-2: U. Schippmann; 57-2-3: H. Schmitz-Kretschmer; 57-3-1: U. Schippmann; 57-3-2: H. Schmitz-Kretschmer

#16

59-1-1: Rafael Medina, https://www.flickr.com/photos/copepodo/4954249972/ (viewed 30 May 2017); 59-1-2: S. Andriatsaralaza; 59-1-3: H. Ravaomanalina; 59-2-1: O. Razanamaro; 59-2-2: H. Ravaomanalina; 59-2-3: M. Rarinirina

#17

62-1-1: D. Wolf; 62-1-2: D. Wolf; 62-1-3: D. Wolf; 62-2-1: D. Wolf; 62-2-2: ITTO; 62-3-3: ITTO; 62-3-1: ITTO; 62-3-2: João Medeiros, https://www.flickr.com/photos/cerrados/6104116081 (viewed 14 March 2017); 62-3-3: Doug Brignole

Annexes

Annotations

- **#1** All parts and derivatives, except:
 - a) seeds, spores and pollen (including pollinia);
 - b) seedling or tissue cultures obtained *in vitro*, in solid or liquid media, transported in sterile containers;
 - c) cut flowers of artificially propagated plants; and
 - d) fruits and parts and derivatives thereof, of artificially propagated plants of the genus *Vanilla*.
- **#2** All parts and derivatives except:
 - a) seeds and pollen; and
 - b) finished products packaged and ready for retail trade.
- **#3** Whole and sliced roots and parts of roots, excluding manufactured parts or derivatives, such as powders, pills, extracts, tonics, teas and confectionery.
- **#4** All parts and derivatives, except:
 - a) seeds, (including seedpods of Orchidaceae), spores and pollen (including pollinia). The exemption does not apply to seeds from Cactaceae spp. exported from Mexico, and to seeds from *Beccariophoenix* madagascariensis and *Dypsis decaryi* exported from Madagascar;
 - b) seedling or tissue cultures obtained *in vitro*, in solid or liquid media, transported in sterile containers;
 - c) cut flowers of artificially propagated plants;
 - d) fruits, and parts and derivatives thereof, of naturalized or artificially propagated plants of the genus *Vanilla* (Orchidaceae) and of the family Cactaceae:
 - e) stems, flowers, and parts and derivatives thereof, of naturalized or artificially propagated plants of the genera *Opuntia* subgenus *Opuntia* and *Selenicereus* (Cactaceae); and
 - f) finished products of *Aloe ferox* and *Euphorbia antisyphilitica* packaged and ready for retail trade.
- **#5** Logs, sawn wood and veneer sheets.
- **#6** Logs, sawn wood, veneer sheets and plywood.
- **#7** Logs, wood chips, powder and extracts.
- **#8** Underground parts (i.e. roots, rhizomes): whole, parts and powdered.
- #9 All parts and derivatives except those bearing a label: "Produced from Hoodia spp. material obtained through controlled harvesting and production under the terms of an agreement with the relevant CITES Management Authority of [Botswana under agreement No. BW/xxxxxxx] [Namibia under agreement No. NA/xxxxxxx] [South Africa under agreement No. ZA/xxxxxxx]".
- **#10** Logs, sawn wood, veneer sheets, including unfinished wood articles used for the fabrication of bows for stringed musical instruments.

#11 Logs, sawn wood, veneer sheets, plywood, powder and extracts. Finished products containing such extracts as ingredients, including fragrances, are not considered to be covered by this annotation.

- **#12** Logs, sawn wood, veneer sheets, plywood and extracts. Finished products containing such extracts as ingredients, including fragrances, are not considered to be covered by this annotation
- **#13** The kernel (also known as 'endosperm', 'pulp' or 'copra') and any derivative thereof.
- **#14** All parts and derivatives except:
 - a) seeds and pollen;
 - b) seedling or tissue cultures obtained in vitro, in solid or liquid media, transported in sterile containers;
 - c) fruits;
 - d) leaves;
 - e) exhausted agarwood powder, including compressed powder in all shapes; and
 - f) finished products packaged and ready for retail trade, this exemption does not apply to wood chips, beads, prayer beads and carvings.
- **#15** All parts and derivatives except:
 - a) leaves, flowers, pollen, fruit, and seeds;
 - b) finished products to a maximum weight of wood of the listed species of up to 10 kg per shipment;
 - c) finished musical instruments, finished musical instrument parts and finished musical instrument accessories;
 - d) parts and derivatives of *Dalbergia cochinchinensis* which are covered by Annotation #4;
 - e) parts and derivatives of *Dalbergia* spp. originating and exported from Mexico which are covered by Annotation #6.
- **#16** Seeds, fruits and oils.
- **#17** Logs, sawn wood, veneer sheets, plywood and transformed wood.

Annotations and their CITES plant taxa

Annot.	Species	Appendix
#1	Gnetum montanum	Ш
	Magnolia liliifera var. obovata	III
	Meconopsis regia	III
	Podocarpus neriifolius	Ш
	Tetracentron sinense	Ш
#2	Adonis vernalis	II
#4		''
	Guaiacum spp.	II II
	Nardostachys grandiflora Osyris lanceolata	''
	Picrorhiza kurrooa	''
	Podophyllum hexandrum	''
	Rauvolfia serpentina	''
	Taxus chinensis	''
	Taxus cuspidata	''
	Taxus fuana	''
	Taxus sumatrana	''
	Taxus wallichiana	''
	Taxas wamomana	11
#3	Panax ginseng	II
	Panax quinquefolius	II
#4	Agave victoriae-reginae	II
	Aloe spp.	II
	Anacampseros spp.	II
	Avonia spp.	II
	Beccariophoenix madagascariensis	II
	Bowenia spp.	II
	CACTACEAE spp.	II
	Caryocar costaricense	II
	Cibotium barometz	II
	Cistanche deserticola	II
	Cyathea spp.	II
	CYCADACEAE spp.	II
	Cyclamen spp.	II
	Dalbergia cochinchinensis	II

	Dicksonia spp.	Ш
	DIDIEREACEAE spp.	Ш
	Dionaea muscipula	Ш
	Dioscorea deltoidea	Ш
	Dypsis decaryi	Ш
	Euphorbia spp.	Ш
	Fouquieria columnaris	Ш
	Galanthus spp.	Ш
	Gonystylus spp.	Ш
	Hedychium philippinense	Ш
	Lewisia serrata	Ш
	Nepenthes spp.	Ш
	ORCHIDACEAE spp.	Ш
	Oreomunnea pterocarpa	Ш
	Pachypodium spp.	Ш
	Platymiscium pleiostachyum	Ш
	Prunus africana	Ш
	Sarracenia spp.	Ш
	Sternbergia spp.	Ш
	Swietenia humilis	Ш
	Tillandsia harrisii	Ш
	Tillandsia kammii	Ш
	Tillandsia xerographica	Ш
	Welwitschia mirabilis	Ш
	ZAMIACEAE spp.	Ш
#5	Diospyros spp.	П
	Fraxinus mandshurica	Ш
	Pinus koraiensis	Ш
	Quercus mongolica	Ш
	Swietenia mahagoni	П
#6	Cedrela spp.	П
	Dalbergia spp. (originating and exported from Mexico)	Ш
	Pterocarpus tinctorius	Ш
	Swietenia macrophylla	П
#7	Pterocarpus santalinus	II
#8	Hydrastis canadensis	П

#9	Hoodia spp.	II
#10	Paubrasilia echinata	II
#11	Bulnesia sarmientoi	II
#12	Aniba rosaeodora	II
#13	Lodoicea maldivica	II
#14	Aquilaria spp. Gyrinops spp.	
#15	Dalbergia spp. [except Dalbergia cochinchinensis (#4) and specimens originating and exported from Mexico (#6)] Guibourtia demeusei Guibourtia pellegriniana Guibourtia tessmannii	
#16	Adansonia grandidieri	11
#17	Pericopsis elata	П

Terms used in CITES Annotations

	#2	#3	#4	#5	#6	#7	#8	#9	#10	#11	#12	#13	#14	#15	#16	#17
artificially propagated		,,,,	#4			,,,			,,,,,			,,,,,			,,,,	,,,,
bead													#14			
carving													#14			
compressed powder													#14			
confectionary		#3														
cut flower			#4													
derivative												#13				
endosperm												#13				
exhausted powder													#14			
extract		#3				#7				#11	#12					
finished musical instruments														#15		
finished products packaged and ready for retail trade	#2		#4										#14			
flower			#4											#15		
fragrance				Ì						#11	#12					
fruit			#4	Ì									#14	#15	#16	
in vitro			#4										#14			
kernel												#13				
leaf													#14	#15		
log				#5	#6	#7			#10	#11	#12					#17
manufactured		#3														
naturalized			#4													
oil															#16	
part		#3					#8									
pill		#3														
plywood					#6					#11	#12					#17
pollen	#2		#4										#14	#15		
pollinium (pl.: pollinia)			#4			#7										
powder		#3				#7	#8			#11			#14			
prayer bead													#14			
pulp												#13				
rhizome							#8									
root		#3					#8									
sawn wood				#5	#6				#10	#11	#12					#17
shipment														#15		
seed	#2		#4										#14	#15	#16	
seedling or tissue culture			#4										#14			
seedpod			#4													
spore			#4													
stem			#4													
sterile			#4										#14			
tea		#3														
ten (10) kg per shipment														#15		
tonic		#3														
transformed wood																#17
underground part							#8									
unfinished wood article									#10							
veneer sheet				#5	#6				#10	#11	#12					#17
wood chip						#7							#14			

Definitions of Terms used in the CITES Appendices

Term	Sou	Definition
artificially propagated		Cultivated under controlled conditions and fulfilling the specifications of Resolution Conf. 11.11 (Rev. CoP18) (http://www.cites.org/eng/res/11/11-11R15.php).
bead		Small, usually round piece of material pierced for stringing.
carving		Sculpture created by removing wood in order to create a desired shape.
compressed powder		Wood powder compressed into various compact shapes by pressure and maintained by chemical or natural binder.
confectionary		Class of products including candy and other sugar-based sweets.
cut flower		Flowers or flower buds, often with some stem and leaf that have been cut from the plant bearing it.
derivative	1	Any processed part of an animal or plant (e.g. medicine, perfume, watch strap).
endosperm		Starchy or oil rich material produced inside the plant seed which nourishes the embryo.
exhausted powder		Wood powder from which the fragrant oil or other content has been exhausted or nearly exhausted through chemical or physical methods.
extract	2	Any substance obtained directly from plant material by physical or chemical means regardless of the manufacturing process. An extract may be solid (e.g. crystals, resin, fine or coarse particles), semisolid (e.g. gums, waxes) or liquid (e.g. solutions, tinctures, oil and essential oils).
finished musical instruments	2	A musical instrument (as referenced by the Harmonized System of the World Customs Organization, Chapter 92; musical instruments, parts and accessories of such articles) that is ready to play or needs only the installation of parts to make it playable. This term includes antique instruments (as defined by the Harmonized System codes 97.05 and 97.06; Works of art, collectors' pieces and antiques).
finished musical instrument accessories	2	A musical instrument accessory (as referenced by the Harmonized System of the World Customs Organization, Chapter 92; musical instruments, parts and accessories of such articles) that is separate from the musical instrument, and is specifically designed or shaped to be used explicitly in association with an instrument, and that requires no further modification to be used.
finished musical instrument parts	2	A part (as referenced by the Harmonized System of the World Customs Organization, Chapter 92; musical instruments, parts and accessories of such articles) of a musical instrument that is ready to install and is specifically designed and shaped to be used explicitly in association with the instrument to make it playable.

Term	Sou	Definition
finished products packaged and ready for retail trade	2	Products, shipped singly or in bulk, requiring no further processing, packaged, labelled for final use or the retail trade in a state fit for being sold to or used by the general public.
flower		Reproductive structure found in flowering plants, often having showy or colourful parts.
fragrance		Chemical compound that has a smell or an odour.
fruit		Seed-bearing organ of a plant.
in vitro		Latin; direct translation: "in glass"; meaning in an artificial environment.
kernel		The part of a fruit stone or nut that is inside the hard shell.
leaf		Chlorophyll-bearing lateral outgrowth from the stem of a plant.
log	3	All wood in the rough, whether or not stripped of bark or sapwood, or roughly squared, for processing, notably into sawn wood, pulpwood or veneer sheets (HS code 44.031).
manufactured		Made or produced by hand or machinery, especially on a large scale.
naturalized		Non-native, introduced species that has become established and reproduces freely.
oil		Any chemical substance that is viscous liquid at room temperature, insoluble in water and soluble in other oils.
part and derivative		See paragraph 3 in Introduction.
part	1	[as used in #3 and #8]: Any part of an animal or plant (e.g. skin, shell, root) whether raw or processed in a simple way (e.g. preserved, polished, etc.). Parts are usually readily identifiable.
pill		Small round mass of solid medicine for swallowing whole.
plywood	3	Consisting of three or more sheets of wood glued and pressed one on the other and generally disposed so that the grains of successive layers are at an angle (HS code 44.12.13, HS code 44.12.14, and HS code 44.12.22).
pollen		Mass of small grains containing sperm cells of a plant.
pollinia		Mass of pollen grains held together by a sticky substance.
powder	2	A dry, solid substance in the form of fine or coarse particles.
prayer bead		String of beads used in counting prayers.
pulp		Soft or juicy part of a fruit around the seed.
rhizome		Underground stem, distinguished from root by its nodes, buds or scale-like leaves.

Term	Sou	Definition
root		Underground portion of a plant. It is usually branching and does not bear leaves or buds.
sawn wood	3	Wood simply sawn lengthwise or produced by a profile-chipping process. Sawn wood normally exceeds 6 mm in thickness (HS code 44.06, HS code 44.07).
shipment	2	Cargo transported under the terms of a single bill of lading or air waybill, irrespective of the quantity or number of containers, packages, or pieces worn, carried or included in personal baggage.
seed		Reproductive part of a fruit. Produced by all higher plants, consisting of an embryo and usually a seed-coat, with endosperm.
seedling or tissue culture		Method for growing cells, tissues or seedlings on an artificial nutrient medium.
seedpod		Plant structure that surrounds multiple seeds.
spore		Small grain capable of developing into a new individual.
stem		Main axis of a plant, bearing roots, leaves and/or flowers.
sterile		Free of living organisms such as bacteria or other microorganisms.
tea		Fresh or dried, often comminuted plant parts used to prepare drink by soaking them in hot water.
ten (10) kg per shipment	2	For the term "10 kg per shipment", the 10 kg limit should be interpreted as referring to the weight of the individual portions of each item in the shipment made of wood of the species concerned. In other words, the 10 kg limit is to be assessed against the weight of the individual portions of wood of Dalbergia/Guibourtia species contained in each item of the shipment, rather than against the total weight of the shipment.
tonic		Medicinal preparation that invigorates or strengthens.
transformed wood	2	Defined by Harmonized System code 44.09: Wood (including strips, friezes for parquet flooring, not assembled), continuously shaped (tongued, grooved, v-jointed, beaded or the like) along any edges, ends or faces, whether or not planed, sanded or end-jointed.
underground part		Any subterranean plant part, e.g. root, rhizome, bulb, tuber, corm or caudice.
veneer sheet	3	Thin layers or sheets of wood of uniform thickness, usually 6 mm or less, usually peeled or sliced, for use in making plywood, for veneering furniture, veneer containers, etc. (HS code 44.08).
wood chip	2	Wood that has been reduced to small pieces.

Sources:

- (1) Definition included in CITES Glossary 44
- (2) Definition included in CITES Appendices, Interpretation
- (3) Definition included in CITES Resolution Res.Conf. 10.13 (Rev. CoP 18)

All other definitions were developed by the author on the basis of standard works, taking into account the practice of trade in herbal raw materials and products. They have not been authorised by CITES bodies and are intended only as a guide. Please note the disclaimer on the inside title page of this publication.

⁴⁴ https://www.cites.org/eng/resources/terms/glossary.php

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