AMENDMENTS

1989—Subsec. (a)(2)(B). Pub. L. 97-304, §9(b)(1), added subpar. (B) and redesignated former subpars. (B), (C), and (D) as (C), (D), and (E), respectively.

Subsec. (d)(1)(A). Pub. L. 100-653 inserted "or plants" after "purposes".

1982—Subsec. (a)(2)(B) to (E). Pub. L. 97-304, §9(b)(1), added subpar. (B) and redesignated former subpars. (B), (C), and (D) as (C), (D), and (E), respectively.

Subsec. (b)(1). Pub. L. 97-304, §9(b)(2), substituted "The provisions of subsections (a)(1)(A) and (a)(1)(G) of this section shall not apply to any fish or wildlife which was held in captivity or in a controlled environment on December 28, 1973, if the purposes of such holding are not contrary to the purposes of this chapter; except that this subsection shall not apply in the case of any fish or wildlife held in the course of a commercial activity. With respect to any act prohibited by subsections (a)(1)(A) and (a)(1)(G) of this section which occurs after a period of 180 days from (i) December 28, 1973, or (ii) the date of publication in the Federal Register of a final regulation adding such fish or wildlife species to any list published pursuant to subsection (c) of section 1533 of this title: Provided, That such holding and any subsequent holding or use of the fish or wildlife was not in the course of a commercial activity. With respect to any act prohibited by subsections (a)(1)(A) and (a)(1)(G) of this section which occurs after a period of 180 days from (i) December 28, 1973, or (ii) the date of publication in the Federal Register of a final regulation adding such fish or wildlife species to any list published pursuant to subsection (c) of section 1533 of this title, there shall be a rebuttable presumption that the fish or wildlife involved in such act is not entitled to the exemption contained in this subsection" for "The provisions of this section shall not apply to any fish or wildlife held in captivity or in a controlled environment on December 28, 1973, if the purposes of such holding are not contrary to the purposes of this chapter; except that this subsection shall not apply in the case of any fish or wildlife held in the course of a commercial activity. With respect to any act prohibited by this section which occurs after a period of 180 days from December 28, 1973, there shall be a rebuttable presumption that the fish or wildlife involved in such act was not held in captivity or in a controlled environment on December 28, 1973".

Subsec. (b)(3)(A). Pub. L. 97-304, §9(b)(3), substituted "The provisions of subsection (a)(1) of this section shall not apply to" for "This section shall not apply to" in provisions preceding cl. (1).

1978—Subsec. (b). Pub. L. 95-662 designated existing provision as par. (1) and added par. (2).

HUMAN ACTIVITIES WITHIN PROXIMITY OF WHALES

Pub. L. 102-238, §17, Apr. 30, 1994, 108 Stat. 559, provided that:

(a) LAWFUL APPROACHES.—In waters of the United States surrounding the State of Hawaii, it is lawful for a person subject to the jurisdiction of the United States to approach, by any means other than an aircraft, no closer than 100 yards to a humpback whale, regardless of whether the approach is made in waters designated under section 222.31 of title 50, Code of Federal Regulations, as cow/calf waters.

(b) TERMINATION OF LEGAL EFFECT OF CERTAIN REGULATIONS.—Section (b) of section 222.31 of title 50, Code of Federal Regulations, shall cease to be in force and effect.

TERRITORIAL SEA OF UNITED STATES

For extension of territorial sea of United States, see Proc. No. 5928, set out as a note under section 1331 of Title 43, Public Lands.

§ 1539. Exceptions

(a) Permits

(1) The Secretary may permit, under such terms and conditions as he shall prescribe—

(A) any act otherwise prohibited by section 1538 of this title for scientific purposes or to enhance the propagation or survival of the affected species, including, but not limited to, acts necessary for the establishment and maintenance of experimental populations pursuant to subsection (j) of this section; or

(B) any taking otherwise prohibited by section 1538(a)(1)(B) of this title if such taking is incidental to, and not the purpose of, the carrying out of an otherwise lawful activity.

(2)(A) No permit may be issued by the Secretary authorizing any taking referred to in paragraph (1)(B) unless the applicant therefor submits to the Secretary a conservation plan that specifies—

(i) the impact which will likely result from such taking;

(ii) what steps the applicant will take to minimize and mitigate such impacts, and the funding that will be available to implement such steps;

(iii) what alternative actions to such taking the applicant considered and the reasons why such alternatives are not being utilized; and

(iv) such other measures that the Secretary may require as being necessary or appropriate for purposes of the plan.

(B) If the Secretary finds, after opportunity for public comment, with respect to a permit application and the related conservation plan that—

(i) the taking will be incidental;

(ii) the applicant will, to the maximum extent practicable, minimize and mitigate the impacts of such taking;

(iii) the applicant will ensure that adequate funding for the plan will be provided;

(iv) the taking will not appreciably reduce the likelihood of the survival and recovery of the species in the wild; and

(v) the measures, if any, required under subparagraph (A)(iv) will be met;

and he has received such other assurances as he may require that the plan will be implemented, the Secretary shall issue the permit. The permit shall contain such terms and conditions as the Secretary deems necessary or appropriate to carry out the purposes of this paragraph, including, but not limited to, such reporting requirements as the Secretary deems necessary for determining whether such terms and conditions are being complied with.

(C) The Secretary shall revoke a permit issued under this paragraph if he finds that the permittee is not complying with the terms and conditions of the permit.

(b) Hardship exemptions

(1) If any person enters into a contract with respect to a species of fish or wildlife or plant before the date of the publication in the Federal Register of notice of consideration of that species as an endangered species and the subsequent listing of that species as an endangered species.
species pursuant to section 1533 of this title will cause undue economic hardship to such person under the contract, the Secretary, in order to minimize such hardship, may except such person from the application of section 1538(a) of this title to the extent the Secretary deems appropriate if such person applies to him for such exemption and includes with such application such information as the Secretary may require to prove such hardship; except that (A) no such exemption shall be for a duration of more than one year from the date of publication in the Federal Register of notice of consideration of the species concerned, or shall apply to a quantity of fish or wildlife or plants in excess of that specified by the Secretary; (B) the one-year period for those species of fish or wildlife listed by the Secretary as endangered prior to December 28, 1973, shall expire in accordance with the terms of section 668cc-3 of this title; and (C) no such exemption may be granted for the importation or exportation of a specimen listed in Appendix I of the Convention which is to be used in a commercial activity.

(2) As used in this subsection, the term "undue economic hardship" shall include, but not be limited to:

(A) substantial economic loss resulting from inability caused by this chapter to perform contracts with respect to species of fish and wildlife entered into prior to the date of publication in the Federal Register of a notice of consideration of such species as an endangered species;

(B) substantial economic loss to persons who, for the year prior to the notice of consideration of such species as an endangered species, derived a substantial portion of their income from the lawful taking of any listed species, which taking would be made unlawful under this chapter;

(C) curtailment of subsistence taking made unlawful under this chapter by persons (i) not reasonably able to secure other sources of subsistence; and (ii) dependent to a substantial extent upon hunting and fishing for subsistence; and (iii) who must engage in such curtailed taking for subsistence purposes.

(3) The Secretary may make further requirements for a showing of undue economic hardship as he deems fit. Exceptions granted under this section may be limited by the Secretary in his discretion as to time, area, or other factor of applicability.

(c) Notice and review

The Secretary shall publish notice in the Federal Register of each application for an exemption or permit which is made under this section. Each notice shall invite the submission from interested parties, within thirty days after the date of the notice, of written data, views, or arguments with respect to the application; except that such thirty-day period may be waived by the Secretary in an emergency situation where the health or life of an endangered animal is threatened and no reasonable alternative is available to the applicant, but notice of any such waiver shall be published by the Secretary in the Federal Register within ten days following the issuance of the exemption or permit. Information received by the Secretary as a part of any application shall be available to the public as a matter of public record at every stage of the proceeding.

(d) Permit and exemption policy

The Secretary may grant exceptions under subsections (a)(1)(A) and (b) of this section only if he finds and publishes his finding in the Federal Register that (1) such exceptions were applied for in good faith, (2) if granted and exercised will not operate to the disadvantage of such endangered species, and (3) will be consistent with the purposes and policy set forth in section 1531 of this title.

(e) Alaska natives

(1) Except as provided in paragraph (4) of this subsection the provisions of this chapter shall not apply with respect to the taking of any endangered species or threatened species, or the importation of any such species taken pursuant to this section, by—

(A) any Indian, Aleut, or Eskimo who is an Alaskan Native who resides in Alaska; or

(B) any non-native permanent resident of an Alaskan native village;

if such taking is primarily for subsistence purposes. Non-edible byproducts of species taken pursuant to this section may be sold in interstate commerce when made into authentic native articles of handicrafts and clothing; except that the provisions of this subsection shall not apply to any non-native resident of an Alaskan native village found by the Secretary to be not primarily dependent upon the taking of fish and wildlife for consumption or for the creation and sale of authentic native articles of handicrafts and clothing.

(2) Any taking under this subsection may not be accomplished in a wasteful manner.

(3) As used in this subsection—

(i) The term "subsistence" includes selling any edible portion of fish or wildlife in native villages and towns in Alaska for native consumption within native villages or towns; and

(ii) The term "authentic native articles of handicrafts and clothing" means items composed wholly or in some significant respect of natural materials, and which are produced, decorated, or fashioned in the exercise of traditional native handicrafts without the use of pantographs, multiple carvers, or other mass copying devices. Traditional native handicrafts include, but are not limited to, weaving, carving, stitching, sewing, lacing, beading, drawing, and painting.

(4) Notwithstanding the provisions of paragraph (1) of this subsection, whenever the Secretary determines that any species of fish or wildlife which is subject to taking under the provisions of this subsection is an endangered species or threatened species, and that such taking materially and negatively affects the threatened or endangered species, he may prescribe regulations upon the taking of such species by any such Indian, Aleut, Eskimo, or non-Native Alaskan resident of an Alaskan native village. Such regulations may be established with ref-
ference to species, geographical description of the area included, the season for taking, or any other factors related to the reason for establishing such regulations and consistent with the policy of this chapter. Such regulations shall be prescribed after a notice and hearings in the affected judicial districts of Alaska and as otherwise required by section 1373 of this title, and shall be removed as soon as the Secretary determines that the need for their impositions has disappeared.

(f) Pre-Act endangered species parts exemption; application and certification; regulation; validity of sales contract; separability; renewal of exemption; expiration of renewal certification

(1) As used in this subsection—
(A) The term "pre-Act endangered species part" means—
(i) any sperm whale oil, including derivatives thereof, which was lawfully held within the United States on December 28, 1973, in the course of a commercial activity; or
(ii) any finished scrimshaw product, if such product or the raw material for such product was lawfully held within the United States on December 28, 1973, in the course of a commercial activity.

(B) The term "scrimshaw product" means any art form which involves the substantial etching or engraving of designs upon, or the substantial carving of figures, patterns, or designs from, any bone or tooth of any marine mammal of the order Cetacea. For purposes of this subsection, polishing or the adding of minor superficial markings does not constitute substantial etching, engraving, or carving.

(2) The Secretary, pursuant to the provisions of this subsection, may exempt, if such exemption is not in violation of the Convention, any pre-Act endangered species part from one or more of the following prohibitions:
(A) The prohibition on exportation from the United States set forth in section 1538(a)(1)(A) of this title.
(B) Any prohibition set forth in section 1538(a)(1)(E) or (F) of this title.

(3) Any person seeking an exemption described in paragraph (2) of this subsection shall make application therefor to the Secretary in such form and manner as he shall prescribe, but no such application may be considered by the Secretary unless the application—
(A) is received by the Secretary before the close of the one-year period beginning on the date on which regulations promulgated by the Secretary to carry out this subsection first take effect;
(B) contains a complete and detailed inventory of all pre-Act endangered species parts for which the applicant seeks exemption;
(C) is accompanied by such documentation as the Secretary may require to prove that any endangered species part or product claimed by the applicant to be a pre-Act endangered species part is in fact such a part; and
(D) contains such other information as the Secretary deems necessary and appropriate to carry out the purposes of this subsection.

(4) If the Secretary approves any application for exemption made under this subsection, he shall issue to the applicant a certificate of exemption which shall specify—
(A) any prohibition in section 1538(a) of this title which is exempted;
(B) the pre-Act endangered species parts to which the exemption applies;
(C) the period of time during which the exemption is in effect, but no exemption made under this subsection shall have force and effect after the close of the three-year period beginning on the date of issuance of the certificate unless such exemption is renewed under paragraph (8); and
(D) any term or condition prescribed pursuant to paragraph (5)(A) or (B), or both, which the Secretary deems necessary or appropriate.

(5) The Secretary shall prescribe such regulations as he deems necessary and appropriate to carry out the purposes of this subsection. Such regulations may set forth—
(A) terms and conditions which may be imposed on applicants for exemptions under this subsection (including, but not limited to, requirements that applicants register inventories, keep complete sales records, permit duly authorized agents of the Secretary to inspect such inventories and records, and periodically file appropriate reports with the Secretary); and
(B) terms and conditions which may be imposed on any subsequent purchaser of any pre-Act endangered species part covered by an exemption granted under this subsection;

to insure that any such part so exempted is adequately accounted for and not disposed of contrary to the provisions of this chapter. No regulation prescribed by the Secretary to carry out the purposes of this subsection shall be subject to section 1533(f)(2)(A)(I) of this title.

(6)(A) Any contract for the sale of pre-Act endangered species parts which is entered into by the Administrator of General Services prior to the effective date of this subsection and pursuant to the notice published in the Federal Register on January 9, 1973, shall not be rendered invalid by virtue of the fact that fulfillment of such contract may be prohibited under section 1538(a)(1)(F) of this title.

(B) In the event that this paragraph is held invalid, the validity of the remainder of this chapter, including the remainder of this subsection, shall not be affected.

(7) Nothing in this subsection shall be construed to—
(A) exonerate any person from any act committed in violation of paragraphs (1)(A), (1)(B), or (1)(F) of section 1538(a) of this title prior to July 12, 1976; or
(B) immunize any person from prosecution for any such act.

(B)(A)(I)² Any valid certificate of exemption which was renewed after October 13, 1982, and was in effect on March 31, 1986, shall be deemed to be renewed for a six-month period beginning on October 7, 1988. Any person holding such a certificate may apply to the Secretary for one

²So in original. No cl. (ii) has been enacted.
additional renewal of such certificate for a pe-
period not to exceed 5 years beginning on October

(B) If the Secretary approves any application
for renewal of an exemption under this para-
graph, he shall issue to the applicant a certifi-
cate of renewal of such exemption which shall
provide that all terms, conditions, prohibitions,
and other regulations made applicable by the
previous certificate shall remain in effect during
the period of the renewal.

(C) No exemption or renewal of such exempt-
ion made under this subsection shall have force
and effect after the expiration date of the cer-
tificate of renewal of such exemption issued
under this paragraph.

(D) No person may, after January 31, 1984, sell
or offer for sale in interstate or foreign com-
merce, any pre-Act finished scrimshaw product
unless such person holds a valid certificate of
exemption issued by the Secretary under this
subsection, and unless such product or the raw
material for such product was held by such per-
son on October 13, 1982.

(g) Burden of proof

In connection with any action alleging a viola-
tion of section 1538 of this title, any person
claiming the benefit of any exemption or permit
under this chapter shall have the burden of prov-
ing that the exemption or permit is applicable,
has been granted, and was valid and in force at
the time of the alleged violation.

(h) Certain antique articles; importation; port
designation; application for return of articles

(1) Sections 1533(d) and 1538(a) and (c) of this
title do not apply to any article which—

(A) is not less than 100 years of age;

(B) is composed in whole or in part of any
endangered species or threatened species listed
under section 1533 of this title;

(C) has not been repaired or modified with
any part of any such species on or after De-
cember 28, 1973; and

(D) is entered at a port designated under
paragraph (3).

(2) Any person who wishes to import an article
under the exception provided by this subsection
shall submit to the customs officer concerned at
the time of entry of the article such documenta-
tion as the Secretary of the Treasury, after con-
sultation with the Secretary of the Interior,
shall by regulation require as being necessary to
establish that the article meets the require-
ments set forth in paragraph (1)(A), (B), and (C).

(3) The Secretary of the Treasury, after con-
sultation with the Secretary of the Interior,
shall designate one port within each customs re-
territory of the United States.

(4) Any person who imported, after December
27, 1973, and on or before November 10, 1978, any
article described in paragraph (1) which—

(A) was not repaired or modified after the
date of importation with any part of any en-
dangered species or threatened species listed
under section 1533 of this title;

(B) was forfeited to the United States before
November 10, 1978, or is subject to forfeiture to
the United States on such date of enactment,
pursuant to the assessment of a civil penalty
under section 1540 of this title; and

(C) is in the custody of the United States on
November 10, 1978;

may, before the close of the one-year period be-
inning on November 10, 1978, make application
for the Secretary for return of the article. Ap-
lication shall be made in such form and manner,
and contain such documentation, as the Sec-
retary prescribes. If on the basis of any such ap-
plication which is timely filed, the Secretary is
satisfied that the requirements of this para-
graph are met with respect to the article con-
cerned, the Secretary shall return the article to
the applicant and the importation of such arti-
cle shall, on and after the date of return, be
deemed to be a lawful importation under this
chapter.

(i) Noncommercial transshipments

Any importation into the United States of fish
or wildlife shall, if—

(1) such fish or wildlife was lawfully taken
and exported from the country of origin and
country of reexport, if any;

(2) such fish or wildlife is in transit or trans-
shipment through any place subject to the ju-
risdiction of the United States en route to a
country where such fish or wildlife may be
lawfully imported and received;

(3) the exporter or owner of such fish or wild-
life gave explicit instructions not to ship such
fish or wildlife through any place subject to
the jurisdiction of the United States, or did all
that could have reasonably been done to pre-
vent transshipment, and the circumstances
leading to the transshipment were beyond the
exporter’s or owner’s control;

(4) the applicable requirements of the Con-
vention have been satisfied; and

(5) such importation is not made in the
course of a commercial activity,

be an importation not in violation of any provi-
sion of this chapter or any regulation issued
pursuant to this chapter while such fish or wild-
life remains in the control of the United States
Customs Service.

(j) Experimental populations

(1) For purposes of this subsection, the term
“experimental population” means any popu-
lation (including any offspring arising solely
therefrom) authorized by the Secretary for re-
lease under paragraph (2), but only when, and at
such times as, the population is wholly separate
geographically from nonexperimental popu-
lations of the same species.

(2)(A) The Secretary may authorize the release
(and the related transportation) of any popu-
lation (including eggs, propagules, or individ-
uals) of an endangered species or a threatened
species outside the current range of such species
if the Secretary determines that such release
will further the conservation of such species.

(B) Before authorizing the release of any popu-
lation under subparagraph (A), the Secretary
shall by regulation identify the population and
determine, on the basis of the best available
information, whether or not such population is es-
tential to the continued existence of an endan-
gered species or a threatened species.
(C) For the purposes of this chapter, each member of an experimental population shall be treated as a threatened species; except that—

(i) solely for purposes of section 1538 of this title (other than subsection (a)(1) thereof), an experimental population determined under subparagraph (B) to be not essential to the continued existence of a species shall be treated, except when it occurs in an area within the National Wildlife Refuge System or the National Park System, as a species proposed to be listed under section 1533 of this title; and

(ii) critical habitat shall not be designated under this chapter for any experimental population determined under subparagraph (B) to be not essential to the continued existence of a species.

(3) The Secretary, with respect to populations of endangered species or threatened species that the Secretary authorized, before October 13, 1982, for release in geographical areas separate from the other populations of such species, shall determine by regulation which of such populations are an experimental population for the purposes of this subsection and whether or not each is essential to the continued existence of an endangered species or a threatened species.


REFERENCES IN TEXT


Subsec. (f) of section 1533 of this title, referred to in subsec. (1)(5), which related to promulgation of regulations by the Secretary was struck out, and subsec. (g) of section 1533 of this title, which was redesignated as subsec. (f), by Pub. L. 97-304, §2(a)(4)(B), (C), Oct. 13, 1982, 96 Stat. 1415. For provisions relating to promulgation of regulations, see subsecs. (b) and (h) of section 1533 of this title.

Effective date of this subsection, referred to in subsec. (A), probably means the date of enactment of subsec. (f) by section 2 of Pub. L. 94-359, July 12, 1976.

October 7, 1988, referred to in subsec. (f)(8)(A), was in the original "the date of enactment of the Endangered Species Act Amendments of 1988" and "the date of such enactment" which were translated as meaning the date of enactment of title I of Pub. L. 100-104 which is entitled "Endangered Species Act Amendments of 1988" and which was approved Oct. 7, 1988.


Subsec. (d)(8)(A). Pub. L. 100-104, §1011(a), amended subpar. (A) generally. Prior to amendment, subpar. (A) read as follows: "Any person to whom a certificate of exemption has been issued under paragraph (4) of this subsection may apply to the Secretary for a renewal of such exemption for a period not to exceed three years beginning on the expiration date of such certificate. Such application shall be made in the same manner as the application for exemption was made under paragraph (3), but without regard to subparagraph (A) of such paragraph."

Subsec. (f)(8)(B). Pub. L. 100-104, §1011(b), substituted "previous" for "original."


Subsec. (f)(9). Pub. L. 100-104, §1011(d), struck out par. (d) which provided for comprehensive review by Secretary of effectiveness of regulations prescribed pursuant to subsec. (f)(5) of this section.

1982—Subsec. (a). Pub. L. 97-304, §6(1), designated as par. (1) and the beginning phrase of subpar. (A) thereof the existing provisions consisting of language authorizing the Secretary to permit, under such terms and conditions as he may prescribe, any act otherwise prohibited by section 1538 of this title for scientific purposes or to enhance the propagation or survival of the affected species, and inserted remainder of par. (1)(A) and par. (1)(B) and (2).

Subsec. (d). Pub. L. 97-304, §6(2), substituted "subsections (a)(1)(A) and (b) of this section" for "subsections (a) and (b) of this section."

Subsec. (f)(1)(B). Pub. L. 97-304, §6(3)(A), substituted "involves the substantial etching or engraving of designs upon, or the substantial carving of figures for" for "involves the etching or engraving of designs upon, or the carving of figures and" inserted provision that, for purposes of this section, polishing or the adding of minor superficial markings does not constitute substantial etching, engraving, or carving.


Subsec. (h)(1). Pub. L. 97-304, §6(4)(A), struck out "other than scrimshaw" after "other than" and inserted "provisions covering noncommercial transshipments of fish or wildlife for provisions that had related to exemptions from the provisions of this title of the Tellico Dam and Reservoir Project and the Grayrocks Dam and Reservoir Project and to the operation of the Missouri Basin Power Project."

Subsec. (i). Pub. L. 97-304, §6(5), substituted provisions covering noncommercial transshipments of fish or wildlife for provisions that had related to exemptions from the provisions of this title of the Tellico Dam and Reservoir Project and the Grayrocks Dam and Reservoir Project and to the operation of the Missouri Basin Power Project."


1979—Subsec. (f)(4)(C). Pub. L. 96-159, §7(1), inserted "unless such exemption is renewed under paragraph (3) after "issuance of the certificate."


1978—Subsecs. (h), (i). Pub. L. 95-632 added subsecs. (h) and (i).

1976—Subsec. (c). Pub. L. 94-359, §3, substituted "section" for "subsection" and inserted ": except that such thirty-day period may be waived by the Secretary in an emergency situation where the health or life of an endangered animal is threatened and no reasonable alternative is available to the applicant, but notice of any such waiver shall be published in the Federal Register within ten days following the issuance of the exemption or permit."

Subsecs. (f)(8) and (g). Pub. L. 94-359, §2, added subsecs. (f) and (g).

EFFECTIVE DATE OF 1982 AMENDMENT


TRANSFER OF FUNCTIONS

For transfer of functions, personnel, assets, and liabilities of the United States Customs Service of the Department of the Treasury, including functions of the Secretary of the Treasury relating thereto, to the Secretary of Homeland Security, and for treatment of related references, see sections 203(1), 551(d), 552(d), and 557 of Title 6, Domestic Security, and the Department of Homeland Security Reorganization Plan of November 25, 2002, as modified, set out as a note under section 542 of Title 6.

SCRIMSHAW EXEMPTIONS

Pub. L. 103-228, §18, Apr. 30, 1994, 108 Stat. 559, provided that: "Notwithstanding any other provision of