

UNITED STATES DISTRICT COURT
FOR THE DISTRICT OF COLUMBIA

AMERICAN SOCIETY FOR THE)
PREVENTION OF CRUELTY TO)
ANIMALS, *et al.*,)

Plaintiffs,)

v.)

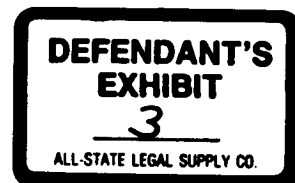
RINGLING BROS. AND BARNUM &)
BAILEY CIRCUS, *et al.*,)

Defendants.)
_____)

Case No. 1:03-cv-02006 (EGS/JMF)

DX 5

**EXHIBIT 5
TO
DEFENDANT'S MOTION FOR SUMMARY JUDGMENT**



A F F I D A V I T

I, DONNA GAUTIER, do solemnly swear and affirm:

1. I joined Ringling Bros. and Barnum & Bailey Circus in January, 1961 as a showgirl and for a period of approximately two years I also performed with the Circus as an aerialist. In the latter part of 1963, I began working and performing with the Circus' elephants under the guidance of my husband, Mr. Axel Gautier. I was an instrumental part of the Ringling Bros.-Barnum & Bailey elephant act from 1963 through and including 1991.

2. As such, I personally worked and performed with the following named elephants:

<u>Name</u>	<u>Sex</u>	<u>DOB</u>	<u>Joined Ringling</u>
Siam	F	1950	1954
India	F	1951	1954
Susan	F	1951	1954
Jewel	F	1951	1954
Zina	F	1961	1972
Karnaudi	F	1961	1963
Karen	F	1969	1969
Lutzi	F	1950	1954
Sophie	F	1970	1972

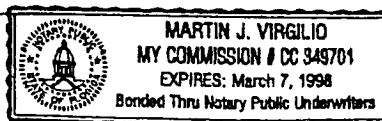
3. I can attest to the fact that each of the elephants named herein has performed with Ringling Bros.-Barnum & Bailey Circus since at least 1972, and, to the best of my knowledge, these elephants have been with Ringling Bros.-Barnum & Bailey Circus since the dates indicated above.

Donna G. Gautier
DONNA GAUTIER

Sworn to and Subscribed before me on this the 16 day of January, 1995.

Martin J. Virgilio
Notary Public

My commission expires: _____





<p>FORM 3-201A (1/97)</p> <div style="display: flex; align-items: center;"> <div> <p>CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA</p> </div> </div>		<div style="display: flex; justify-content: space-between;"> <div> <input type="checkbox"/> EXPORT PERMIT <input type="checkbox"/> RE-EXPORT CERTIFICATE <input checked="" type="checkbox"/> OTHER CERTIFICATE (see block 9) </div> <div style="text-align: right;"> <p>Page 1 of 1</p> <p>1. Original Permit/Certificate No. 02US061893/9</p> <p>2. Valid until 10/29/2005</p> </div> </div>							
<p>3. Permittee (name and address, country)</p> <p>FELD ENTERTAINMENT dba RINGLING BROS. AND BARNUM AND BAILEY 8607 WESTWOOD CENTER DRIVE VIENNA, VA 22182 U.S.A.</p>		<p>4. Consignee (name and address, country)</p> <p>RINGLING BROTHERS AND BARNUM & BAILEY CIRCUS ON TRAVEL IN MEXICO AND CANADA</p>							
<p>5. Special Conditions</p> <ul style="list-style-type: none"> •Must comply with attached circus/live animal exhibition permit conditions. •U.S. ENDANGERED SPECIES [50 CFR 17.4]: PRE-ACT •Permit may be copied for multiple shipments; must present copies for validation to USFWS for inspection during re-import, and re-export; permittee to retain original. •Animals traveling in a live animal exhibit cannot be sold or otherwise transferred while outside of its state of usual residence. •Transfer of elephants under this permit must meet all requirements of USDA animal care "guidelines for the control of tuberculosis in elephants." Animals in group c and d must adhere to travel restrictions in the "guidelines." •Exception to designated port [50 CFR 14.32]: may use Laredo, Texas; must schedule with USFWS insp. at 956-726-2234 at least 72 hrs. Prior to use. <p>(continued in block 9b)</p> <p><i>For live animals, only valid if the transport conditions comply with the CITES Guidelines for Transport of Live Animals or, in the case of air transport, with IATA Live Animals Regulations.</i></p>		<p>5a. Purpose of Transaction Q</p>	<p>5b. Security No. US 9266700</p>						
<p>6. U.S. Management Authority</p> <p>DIVISION OF MANAGEMENT AUTHORITY U.S. FISH AND WILDLIFE SERVICE DEPARTMENT OF THE INTERIOR WASHINGTON, D.C. 20240 UNITED STATES OF AMERICA</p> <div style="text-align: right;"> </div> <p>10/30/2002</p> <p>Issuing Date United States Management Authority</p> <p>AUTHORITY: Endangered Species Act of 1973 (16 USC 1531 et. seq.)</p>		<p>7/8. Common Name and Scientific name (genus and species) of Animal or Plant</p> <p>A. Common Name ASIAN ELEPHANT</p> <p>Scientific Name ELEPHAS MAXIMUS</p>							
<p>9. Description of Part or Derivative, including identifying marks or numbers (age/sex if live)</p> <p>9. PRE-CONVENTION: LIVE; 0.1; BORN 1969; SMALL SCAR ABOVE LEFT EYE; CHIP# 030*770*291; "KAREN".</p>		<p>10. Appendix No. and Source</p> <p>10. 1 W</p> <p>11. Quantity (including units) 1 NO</p> <p>11a. Total Exported/Quota</p>							
<p>12. Country of Origin UNKNOWN</p>	<p>Permit/Certificate No.</p>	<p>Date of Issue</p>	<p>12b. Breeding Operation No.</p>						
<p>12a. Country of Last Re-export CANADA</p>	<p>Re-export Certificate No. CA-CW-TC-0132-99</p>	<p>Date of Issue 06/14/1999</p>	<p>12c. Pre-Convention: Date of Acquisition APPROX 1969</p>						
<p>B. Common Name</p> <p>Scientific Name</p>		<p>9. ELEPHANTS ARE TO BE SHIPPED IN SOCIAL GROUPINGS IN SPECIALLY DESIGNED BOX CARS THAT ARE IN COMPLIANCE WITH ANIMAL WELFARE ACT SPECIFICATIONS.</p>							
<p>12. Country of Origin</p>		<p>12b. Breeding Operation No.</p>							
<p>12a. Country of Last Re-export</p>		<p>12c. Pre-Convention: Date of Acquisition</p>							
<p>13. Export / Re-export Endorsement: The official who inspects shipment upon exportation / re-exportation must enter the total quantities of specimens being exported / re-exported in this block.</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th>See Block 7</th> <th>Quantity</th> </tr> <tr> <td>A</td> <td></td> </tr> <tr> <td>B</td> <td></td> </tr> </table>		See Block 7	Quantity	A		B		<p>14. Bill of Lading/Air Way-Bill Number</p> <p>Port of Exportation / Re-exportation</p> <p>Total No. of Shipping Containers</p>	
See Block 7	Quantity								
A									
B									
<p>15. This document valid only with inspecting official's ORIGINAL stamp, signature and date in this block.</p> <p style="text-align: right;">Inspecting Official's Stamp, Signature and Date</p>									

<p>3. Permittee (name and address, country) I - K PRODUCTIONS DBA-RINGLING BROS. B-B CIRCUS 3201 NEW MEXICO AVE., N.W. WASHINGTON DC 20016 U.S.A.</p>	<p>4. Consignor/Consignee (name and address, country) I-K PRODUCTIONS DBA RINGLING BROS. B-B CIRCUS 3201 NEW MEXICO AVE., N.W. WASHINGTON DC 20016 U.S.A.</p>
<p>5. Special conditions -MUST COMPLY WITH ATTACHED. -U.S. ENDANGERED SPECIES (50 C.F.R. 17.22). -USE ANY 50 CFR 14.16 PORT (50 CFR 14.32). -VALID FOR MULTIPLE SHIPMENTS. PERMITTEE TO RETAIN ORIGINAL DOCUMENT.</p>	<p>6. U.S. Management Authority FEDERAL WILDLIFE PERMIT OFFICE U.S. FISH AND WILDLIFE SERVICE DEPARTMENT OF THE INTERIOR WASHINGTON, D.C. 20 UNITED STATES OF AM 7/29/86 Issuing Date United States Management Authority AUTHORITY. Endangered Species Act of 1973 (16 USC 1531 et seq.)</p>

7/8. Common Name and Scientific Name (genus and species) of Animal or Plant	9. Description of part or derivative including identifying marks or numbers age/sex if live)	10. Appendix No. and source (W, C, A or O)	11. Quantity, number of specimens, and/or net weight (kg. or lbs.)	12. Country of origin
<p>A. COMMON NAME ASIAN ELEPHANT ----- SCIENTIFIC NAME ELEPHAS MAXIMUS</p>	<p>PRE-CONVENTION: 0; LIVE; BORN APPROX. 1947; EXTREMELY LARGE TUSKS; "BIG TOMMY".</p>	10. 1 W	11. 1	12. UNKNOWN Country of origin permit/certificate no.
<p>COMMON NAME SIAN ELEPHANT ----- SCIENTIFIC NAME ELEPHAS MAXIMUS</p>	<p>PRE-CONVENTION: 0.1; LIVE; BORN APPROX. 1946; HAS A PARALYZED TRUNK; "CALCUTTA".</p>	10. 1 W	11. 1	12. UNKNOWN Country of origin permit/certificate no.
<p>C. COMMON NAME ASIAN ELEPHANT ----- SCIENTIFIC NAME ELEPHAS MAXIMUS</p>	<p>PRE-CONVENTION: 0.1; LIVE; BORN APPROX. 1946; SMALL HEAD & MISSING TOOTH; "MYSOR".</p>	10. 1 W	11. 1	12. UNKNOWN Country of origin permit/certificate no.
<p>D. COMMON NAME ASIAN ELEPHANT ----- SCIENTIFIC NAME ELEPHAS MAXIMUS</p>	<p>PRE-CONVENTION: 0.1; LIVE; BORN APPROX. 1956; HAS SLIGHT RUPTURE ON REAR END; "MINNIE".</p>	10. 1 W	11. 1	12. UNKNOWN Country of origin permit/certificate no.

* Country in which the specimens were taken from the wild, bred in captivity or artificially propagated

<p>13. Export/Re-export Endorsement: The official who inspects shipment upon exportation/re-exportation must enter the actual quantities of specimens being exported/re-exported in this block.</p> <table border="1" style="width:100%"> <tr> <th>See block 7</th> <th>Quantity</th> </tr> <tr> <td>A</td> <td>ZERO</td> </tr> <tr> <td>B</td> <td>ONE</td> </tr> </table>	See block 7	Quantity	A	ZERO	B	ONE	<p>14. Bill of Lading/Air Way Bill Number MITSU! Port of Exportation/Re exportation OAKLAND, CALIF Total No. of Shipping Containers</p>	<p>15. This document valid only with inspecting officer's ORIGINAL stamp, signature and date in this block.</p> <div style="text-align: center;">   </div>
See block 7	Quantity							
A	ZERO							
B	ONE							

7/8 COMMON NAME AND SCIENTIFIC NAME (if any) and species of ANIMAL OR PLANT	9 Description of part or derivative including identifying marks or number (age/sex if live)	10 Appendix No and source (W.C.A.O.)	11. Quantity, number or specimens, and/or net weight (kg. or lbs.)
COMMON NAME ASIAN ELEPHANT	PRE-CONVENTION: 0.1; LIVE; BORN APPROX. 1962; SLOPING BACK; "DOLLY".	10 1 W	11. 1
SCIENTIFIC NAME ELEPHAS MAXIMUS		12. Country of origin UNKNOWN	
		Country of origin permit/certificate no.	
COMMON NAME		10.	11.
SCIENTIFIC NAME		12. Country of origin	
		Country of origin permit/certificate no.	
COMMON NAME		10.	11.
SCIENTIFIC NAME		12. Country of origin	
		Country of origin permit/certificate no.	
COMMON NAME		10.	11.
SCIENTIFIC NAME		12. Country of origin	
		Country of origin permit/certificate no.	
COMMON NAME		10.	11.
SCIENTIFIC NAME		12. Country of origin	
		Country of origin permit/certificate no.	
COMMON NAME		10.	11.
SCIENTIFIC NAME		12. Country of origin	
		Country of origin permit/certificate no.	
COMMON NAME		10.	11.
SCIENTIFIC NAME		12. Country of origin	
		Country of origin permit/certificate no.	

* Country in which the specimens were taken from the wild, bred in captivity or

13 THIS PERMIT IS ISSUED UNDER AUTHORITY OF THE ENDANGERED SPECIES

WASHINGTON, D.C.
Place

7/29/86

Date

Signature

United States Management Authority

Official stamp and title

14. EXPORT/RE-EXPORT ENDORSEMENT.

See block 7	Quantity	See block 7	Quantity
A	ONE		

The official who inspects shipment upon exportation/re-exportation must enter the actual quantities of specimens being exported/re-exported in this block. This document valid only with original stamp, signature and date in this block

15. Bill of Lading/Air Way-Bill Number.

MITSU

OAKLAND CALIF 5/31/86

W. J. Hall

5/31/86

FELD 0005243



KENNETH J. FELD
President and Producer

April 23, 1986

Mr. Anthony Diano
Buckeye Circus Corporation
1000 Warner Road, S.E.
Canton, OH 44707

Dear Tony:

This letter will set forth the terms and conditions of the purchase by Irvin Feld and Kenneth Feld Productions, Inc. d/b/a Ringling Bros.-Barnum & Bailey Circus ("Ringling") of five Asian elephants and certain equipment from Buckeye Circus Corporation a/k/a Diamond "O" Ranch ("Diamond"). Our Agreement is as follows:

1. Diamond agrees to sell to Ringling the following:
 - a. Five Asian elephants known as "Big Tommy" (born 1947), "Calcutta" (born 1946), "Mysor" (born 1946), "Minnie" (born 1956) and "Dolly" (born 1962) (the "Elephants");
 - b. One 1973 White tractor (serial no. CA233HM069151) and one 1979 Freightline tractor (serial no. CA213HL155488)
 - c. Two Dorsey semi-trailers (one 1969 model serial no. 84518 and one 1970 model-serial 87297) (the "Semi-trailers").
2. In consideration for the transfer of the aforesaid Elephants, Tractors and Semi-trailers to Ringling, Ringling agrees to pay to Diamond the total sum of Two Hundred Twenty-five Thousand Dollars (\$225,000.00), payable as follows:

Twenty Thousand Dollars (\$20,000.00) upon execution

Two Hundred Five Thousand Dollars (\$205,000.00) upon delivery of possession of the Elephants, Tractors, and Semi-trailers

3. Diamond represents and warrants that it is the rightful owner free and clear of the Elephants, Tractors, and Semi-trailers and that it has full authority to consummate the transaction contemplated herein. Diamond further represents and warrants that the Elephants are in good health, are free from disease and have received all inoculations, shots and other medical tests and treatments which are necessary and appropriate.

4. The following items shall be conditions precedent to this Agreement:

a. The receipt by Ringling and Diamond of all necessary permits including but not limited to any permits required under the Endangered Species Act; and

b. The completion by a representative of Ringling of a full veterinary examination of all five Elephants, the results of which must be satisfactory to Ringling. Ringling agrees to bear all costs associated with such examinations. In the event Ringling does not take possession of the Elephants within thirty (30) days of the date this Agreement is executed, Ringling shall be entitled to conduct a second veterinary examination on each of the Elephants prior to taking possession. The completion of such examinations with results satisfactory to Ringling shall also be a condition precedent to this Agreement.

5. Ringling and Diamond represent and warrant that they will take all necessary and appropriate steps to obtain all permits required by federal or state authorities for the completion of this transaction.

6. Diamond shall retain possession of the Elephants, the Tractors and the Semi-trailers until both parties hereto have obtained all necessary permits or until June 23, 1986 whichever occurs later. During such time period Diamond shall be responsible for the care, feeding and overall well-being of the Elephants. Diamond understands and acknowledges that Ringling shall be relieved of all obligations hereunder if the Elephants health is not adequate to complete the transaction contemplated hereby. The determination with respect to the Elephants' health shall rest solely with Ringling's veterinary consultant.

7. Diamond agrees that beginning with the date this Agreement is executed it will not publicize or in any manner promote the existence of the Elephants. Diamond further agrees to cooperate with Ringling in any promotion Ringling may conduct with respect to the Elephants.

8. Ringling shall make all arrangements necessary to transport the Elephants from Diamond's facilities to Ringling's facilities. Diamond agrees to cooperate with Ringling in any reasonable manner to accomplish the safe transportation of the Elephants.

9. Diamond agrees to indemnify and hold harmless Ringling from and against any and all claims, damages, liabilities or lawsuits of any nature related to the Elephants and/or the Tractors and/or the Semi-trailers which arise or are related to events which occur prior to the date Ringling assumes possession of the Elephants, the Tractors and the Semi-trailers.

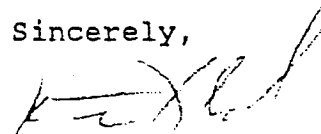
10. Ringling agrees to assume all dates booked by Diamond which occur after Ringling takes possession of the Elephants, to the extent such dates are not in conflict with any arrangements Ringling may have for the Elephants. Ringling shall be entitled to retain all sums earned as a result of such dates.

11. All booked dates which occur after the execution hereof but prior to Ringling taking possession of the Elephants shall be the responsibility of Diamond and Diamond shall be entitled to retain all sums earned as a result thereof.

12. This Agreement constitutes the entire understanding between the parties and may not be amended except by an instrument in writing signed by both parties hereto.

If you are in Agreement with the terms set forth herein, please sign this letter in the space indicated below and return it to me.

Sincerely,

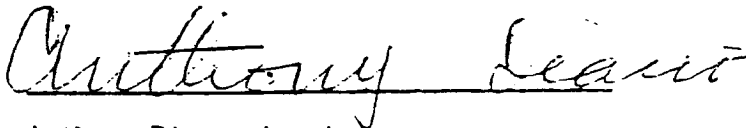


Kenneth J. Feld
President and Producer

Agreed to:

BUCKEYE CIRCUS CORPORATION a/k/a
DIAMOND "O" RANCH

By: Eli Burson PRES.



Anthony Diano, Agent

DEPARTMENT OF THE INTERIOR
U.S. FISH AND WILDLIFE SERVICE3-201
(2/76)

FEDERAL FISH AND WILDLIFE PERMIT

1. PERMITTEE

I - K PRODUCTIONS
D/B/A RINGLING BROS.-B-B CIRCUS
3201 NEW MEXICO AVE., N.W.
WASHINGTON DC 20016

2. AUTHORITY-STATUTES

16 USC 1539 (a)

REGULATIONS (Attached)

50 CFR 17.22

3. NUMBER

PRT-707241

4. RENEWABLE

☐ YES
☒ NO

5. MAY COPY

☒ YES
☐ NO

6. EFFECTIVE

6/24/86

7. EXPIRES

6/30/87

8. NAME AND TITLE OF PRINCIPAL OFFICER (If #1 is a business)

PRESIDENT
KENNETH FELD

9. TYPE OF PERMIT

ENDANGERED SPECIES

10. LOCATION WHERE AUTHORIZED ACTIVITY MAY BE CONDUCTED

FROM CANTON, OHIO, TO PERMITTEE

11. CONDITIONS AND AUTHORIZATIONS:

A. GENERAL CONDITIONS SET OUT IN SUBPART D OF 50 CFR 17, AND SPECIFIC CONDITIONS CONTAINED IN FEDERAL REGULATIONS CITED IN BLOCK #2 ABOVE, ARE HEREBY MADE A PART OF THIS PERMIT. ALL ACTIVITIES AUTHORIZED HEREIN MUST BE CARRIED OUT IN ACCORD WITH AND FOR THE PURPOSES DESCRIBED IN THE APPLICATION SUBMITTED. CONTINUED VALIDITY OR RENEWAL OF THIS PERMIT IS SUBJECT TO COMPLETE AND TIMELY COMPLIANCE WITH ALL APPLICABLE CONDITIONS, INCLUDING THE FILING OF ALL REQUIRED INFORMATION AND REPORTS.

B. THE VALIDITY OF THIS PERMIT IS ALSO CONDITIONED UPON STRICT OBSERVANCE OF ALL APPLICABLE FOREIGN, STATE, LOCAL OR OTHER FEDERAL LAW.

C. VALID FOR USE BY PERMITTEE NAMED ABOVE.

D. Acceptance of this permit serves as evidence that the permittee understands and agrees to abide by the "General Permit Conditions" copy attached.

E. AUTHORIZED TO PURCHASE ONE MALE ("BIG TOMMY") AND FOUR FEMALE ("CALGETTA", "AMYSON", "SUNNY", "DOBBY") ASIAN ELEPHANTS (*Elephas maximus*), FROM DIAMOND OIL RANCH, CANTON, OHIO, FOR THE PURPOSE OF MAINTENANCE OF PROPAGATION.

☐ ADDITIONAL CONDITIONS AND AUTHORIZATIONS ON REVERSE ALSO APPLY

12. REPORTING REQUIREMENTS

NONE

ISSUED BY

R. R. Robinson

TITLE


CHIEF, BRANCH OF PERMITS-FWPO

DATE

6/24/86

ORIGINAL

FELD 0005250

FORM 3-201A (1/87)		CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA		<input type="checkbox"/> EXPORT PERMIT <input type="checkbox"/> RE-EXPORT CERTIFICATE <input checked="" type="checkbox"/> OTHER CERTIFICATE (see block 9)		Page 1 of 1 1. Original Permit/Certificate No. 02US063763/9 2. Valid until 10/29/2005	
3. Permittee (name and address, country) FELD ENTERTAINMENT dba RINGLING BROS. AND BARNUM AND BAILEY 8607 WESTWOOD CENTER DRIVE VIENNA, VA 22182 U.S.A.				4. Consignee (name and address, country) FELD ENTERTAINMENT DBA RINGLING BROS. AND BARNUM AND BAILEY ON TOUR IN MEXICO & CANADA			
5. Special Conditions •Must comply with attached circus/live animal exhibition permit conditions. •U.S. ENDANGERED SPECIES [50 CFR 17.4]: PRE-ACT. •Permit may be copied for multiple shipments; must present copies for validation to USFWS for inspection during export, re-import, and re-export; permittee to retain original. •Animals traveling in a live animal exhibit cannot be sold or otherwise transferred while outside of its state of usual residence. •Transfer of elephants under this permit must meet all requirements of USDA animal care "guidelines for the control of tuberculosis in elephants." Animals in group c and d must adhere to travel restrictions in the "guidelines." •Exception to designated port [50 CFR 14.32]: may use Laredo, Texas; must schedule with USFWS insp. at 956-726-2234 at least 72 hrs. prior to use. (continued in block 9b) <i>For live animals, only valid if the transport conditions comply with the CITES Guidelines for Transport of Live Animals or, in the case of air transport, with IATA Live Animals Regulations.</i>				5a. Purpose of Transaction Q		5b. Security No. 459266697	
				6. U.S. Management Authority DIVISION OF MANAGEMENT AUTHORITY U.S. FISH AND WILDLIFE SERVICE DEPARTMENT OF THE INTERIOR WASHINGTON, D.C. 20240 UNITED STATES OF AMERICA  10/30/2002 Issuing Date United States Management Authority AUTHORITY: Endangered Species Act of 1973 (16 USC 1531 et. seq.)			
7/8. Common Name and Scientific name (genus and species) of Animal or Plant		9. Description of Part or Derivative, including identifying marks or numbers (age/sex if live)		10. Appendix No. and Source			
A. Common Name ASIAN ELEPHANT		9. PRE-CONVENTION: LIVE; 0.1; BORN APPROXIMATELY 1950; TALL AND LANKY; LONG LEGS; CHIP# 030*634*105; "LUTZ".		10. 1 U			
Scientific Name ELEPHAS MAXIMUS				11. Quantity (including units) 1 NO			
				11a. Total Exported/Quota			
12. Country of Origin UNKNOWN		Permit/Certificate No.		Date of Issue		12b. Breeding Operation No.	
12a. Country of Last Re-export CANADA		Re-export Certificate No. CA-CW-TC-0132-99		Date of Issue 06/14/1999		12c. Pre-Convention: Date of Acquisition APPROX. 1964	
B. Common Name		9. ELEPHANTS ARE TO BE SHIPPED IN SOCIAL GROUPINGS IN SPECIALLY DESIGNED BOX CARS THAT ARE IN COMPLIANCE WITH ANIMAL WELFARE ACT SPECIFICATIONS.		10.			
Scientific Name				11. Quantity (including units)			
				11a. Total Exported/Quota			
12. Country of Origin		Permit/Certificate No.		Date of Issue		12b. Breeding Operation No.	
12a. Country of Last Re-export		Re-export Certificate No.		Date of Issue		12c. Pre-Convention: Date of Acquisition	
13. Export / Re-export Endorsement: The official who inspects shipment upon exportation / re-exportation must enter the total quantities of specimens being exported / re-exported in this block.		14. Bill of Lading/Air Way-Bill Number Port of Exportation / Re-exportation Total No. of Shipping Containers		15. This document valid only with inspecting official's ORIGINAL stamp, signature and date in this block. FELD 0005268 Inspecting Official's Stamp, Signature and Date			

FORM 3-201A (1/97)



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

- ☐ EXPORT PERMIT
- ☐ RE-EXPORT CERTIFICATE
- ☒ OTHER CERTIFICATE (see block 9)

Page 1 of 1

1. Original Permit/Certificate No.

02US063765/9

2. Valid until

11/24/2005

3. Permittee (name and address, country)

FELD ENTERTAINMENT
dba RINGLING BROS. AND BARNUM AND BAILEY
8607 WESTWOOD CENTER DRIVE
VIENNA, VA 22182
U.S.A.

4. Consignee (name and address, country)

FELD ENTERTAINMENT
DBA RINGLING BROS. AND BARNUM AND BAILEY
ON TOUR WORLD WIDE

5. Special Conditions

MUST COMPLY WITH ATTACHED CIRCUS/LIVE ANIMAL EXHIBITION PERMIT CONDITIONS.

U.S. ENDANGERED SPECIES [50 CFR 17.4]: PRE ACT.

VALID FOR MULTIPLE SHIPMENTS; MUST PRESENT COPIES FOR VALIDATION TO USFWS FOR INSPECTION DURING EXPORT, RE-IMPORT, AND RE-EXPORT; PERMITTEE TO RETAIN ORIGINAL.

ANIMALS TRAVELING IN A LIVE ANIMAL EXHIBIT CANNOT BE SOLD OR OTHERWISE TRANSFERRED WHILE OUTSIDE OF ITS STATE OF USUAL RESIDENCE.

TRANSFER OF ELEPHANT UNDER THIS PERMIT MUST MEET ALL REQUIREMENTS OF USDA ANIMAL CARE "GUIDELINES FOR THE CONTROL OF TUBERCULOSIS IN ELEPHANTS." ANIMALS IN APHS GROUP C AND D MUST ADHERE TO TRAVEL RESTRICTIONS IN THE "GUIDELINES".

EXCEPTION TO DESIGNATED PORT [50 CFR 14.32]: MAY USE LAREDO, TX; MUST SCHEDULE WITH USFWS INSPECTOR AT (956) 726-2234 AT LEAST 72 HOURS PRIOR TO USE.

For live animals, only valid if the transport conditions comply with the CITES Guidelines for Transport of Live Animals or, in the case of air transport, with IATA Live Animals Regulations.

5a. Purpose of Transaction

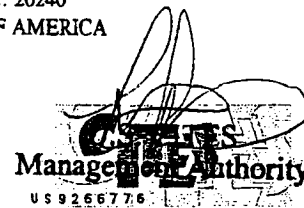
Q

5b. Security No.

459266776

6. U.S. Management Authority

DIVISION OF MANAGEMENT AUTHORITY
U.S. FISH AND WILDLIFE SERVICE
DEPARTMENT OF THE INTERIOR
WASHINGTON, D.C. 20240
UNITED STATES OF AMERICA



11/25/2002

Issuing Date

United States Management Authority

AUTHORITY: Endangered Species Act of 1973 (16 USC 1531 et. seq.)

7/8. Common Name and Scientific name (genus and species) of Animal or Plant

A. Common Name
ASIAN
ELEPHANT

Scientific Name
ELEPHAS
MAXIMUS

9. Description of Part or Derivative, including identifying marks or numbers (age/sex if live)

9. PRE-CONVENTION: LIVE; 0.1; BORN APPROXIMATELY 1946; "MYSORE".

10. Appendix No. and Source

10.
1 U

11. Quantity (including units)
1 NO

11a. Total Exported/Quota

12. Country of Origin
UNKNOWN

Permit/Certificate No.

Date of Issue

12b. Breeding Operation No.

12a. Country of Last Re-export
CANADA

Re-export Certificate No.
CACWTC0132-99

Date of Issue
06/14/1999

12c. Pre-Convention: Date of Acquisition

B. Common Name

9.

10.

Scientific Name

11. Quantity (including units)

11a. Total Exported/Quota

12. Country of Origin

Permit/Certificate No.

Date of Issue

12b. Breeding Operation No.

12a. Country of Last Re-export

Re-export Certificate No.

Date of Issue

12c. Pre-Convention: Date of Acquisition

13. Export / Re-export Endorsement:

The official who inspects shipment upon exportation / re-exportation must enter the total quantities of specimens being exported / re-exported in this block.

See Block 7	Quantity
A	
B	

14. Bill of Lading/Air Way-Bill Number

Port of Exportation / Re-exportation

Total No. of Shipping Containers

15. This document valid only with inspecting official's ORIGINAL stamp, signature and date in this block.

Inspecting Official's Stamp, Signature and Date

FELD 0005328

AFFIDAVIT

I, JEROME S. SOWALSKY, do solemnly swear and affirm as follows:

I am the Executive Vice President and General Counsel of Ringling Bros. and Barnum & Bailey, and have been employed by Ringling Bros. for greater than twenty years. To the best of my knowledge, the following is true:

1. In July, 1980, Ringling Bros. and Barnum & Bailey entered into an agreement to purchase six (6) female captive-born Asian elephants from Hermann Ruhe.
2. The Asian elephant known as Nicole, currently on Ringling Bros.' Blue Unit, born in 1976, is one of the six Asian elephants that was imported into the U.S. as part of this transaction, and subject of Endangered Species Act PRT 2-6874.

By: Jerome S. Sowalsky
Jerome S. Sowalsky.

IN THE COMMONWEALTH OF VIRGINIA ss:

Subscribed and sworn to before me, a Notary Public, in and for the Commonwealth of Virginia, on January 29, 1999.

Donald H. Hester
NOTARY PUBLIC

My Commission Expires: September 30, 2000

AFFIDAVIT

I, Tim J. Holst, do solemnly swear and affirm as follows:

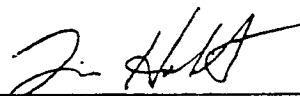
1. I am Vice President of Production and Talent of Ringling Bros. and Barnum & Bailey, and I have traveled extensively throughout the world in search of new talent to be a part of The Greatest Show On Earth.

2. My career with Ringling Bros. began in 1972 as a clown on the Blue Unit of Ringling Bros., where I was an integral part of the elephant production. I worked with all of the elephants on the Blue Unit at that time and subsequently.

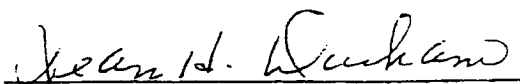
3. I can verify that the following elephants were a part of the Blue Unit herd from at least as early as 1972, and, to the best of my knowledge, have been with Ringling Bros. since the year dates indicated below:

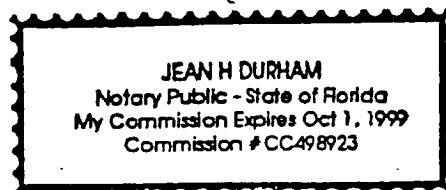
<u>Name</u>	<u>Sex</u>	<u>DOB</u>	<u>Joined Ringling</u>
Siam	F	1950	1954
Lutzi	F	1950	1954
Susan	F	1951	1954
Jewel	F	1951	1954
Roma	F	1960	1963
Zina	F	1961	1972
Rebecca	F	1961	1972
Putzi	F	1962	1964
Karen	F	1969	1969
Sophie	F	1970	1972

4. In 1973, I became the Ringmaster for the Blue Unit and was fully aware that the above-mentioned elephants were an integral part of the Blue Unit of Ringling Bros. and Barnum & Bailey. From 1974-1976, I performed with the Red Unit and, in 1977, I was the Assistant Performance Director of the Blue Unit and was always aware that the same elephants were also performing and are still currently performing.


Tim J. Holst

Sworn to and Subscribed before me
on this the 14th day of November, 1996.


Notary Public
My Commission Expires: 10-1-99



FELD 0005427



FEDERAL FISH AND WILDLIFE PERMIT

1. PERMITTEE

Ringling Brothers-Barnum and Bailey
Combined Shows, Inc.
3201 New Mexico Ave., N.W.
Washington, D.C. 20016

16 USC 1539(a)

REGULATIONS (Attached)

50 CFR 17.22

3. NUMBER

PRT 2-6874

4. RENEWABLE

☒ YES

☐ NO

5. MAY COPY

☒ YES

☐ NO

6. EFFECTIVE

OCT 15 1980

7. EXPIRES

12/31/81

8. NAME AND TITLE OF PRINCIPAL OFFICER. (If #1 is a business)

Irvin Feld, President

9. TYPE OF PERMIT

ENDANGERED SPECIES

10. LOCATION WHERE AUTHORIZED ACTIVITY MAY BE CONDUCTED

From West Germany to the permittee through a port listed in 50 CFR 14.12.

11. CONDITIONS AND AUTHORIZATIONS:

A. GENERAL CONDITIONS SET OUT IN SUBPART B OF 50 CFR AND SPECIFIC CONDITIONS CONTAINED IN FEDERAL REGULATIONS CITED IN BLOCK #2 ABOVE, ARE HEREBY MADE A PART OF THIS PERMIT. ALL ACTIVITIES AUTHORIZED HEREIN MUST BE CARRIED OUT IN ACCORD WITH AND FOR THE PURPOSES DESCRIBED IN THE APPLICATION SUBMITTED. CONTINUED VALIDITY OR RENEWAL OF THIS PERMIT IS SUBJECT TO COMPLETE AND TIMELY COMPLIANCE WITH ALL APPLICABLE CONDITIONS, INCLUDING THE FILING OF ALL REQUIRED INFORMATION AND REPORTS.

B. THE VALIDITY OF THIS PERMIT IS ALSO CONDITIONED UPON STRICT OBSERVANCE OF ALL APPLICABLE FOREIGN, STATE, LOCAL OR OTHER FEDERAL LAW.

C. VALID FOR USE BY: PERMITTEE NAMED ABOVE

D. Authorized to import in foreign commerce seven (7) captive-bred female Asian elephants (*Elephas maximus*) from Mr. [redacted] of [redacted] West Germany for enhancement of propagation and survival.

E. The permittee must have a copy of this permit in his possession while conducting the authorized activities. [redacted] as evidence that the permittee understands and agrees to abide by the Special Conditions for Endangered and Threatened Species Permits" (copy enclosed).

F. The nearest USFWS Law Enforcement Office (copy enclosed) must be notified before commencing the permitted activity.

☐ ADDITIONAL CONDITIONS AND AUTHORIZATIONS ON REVERSE ALSO APPLY

12. REPORTING REQUIREMENTS

A report of activities conducted under authority of this permit must be submitted to the Director, USFWS, Federal Wildlife Permit Office, Box 3654, Arlington, VA 22203, within 10 days after completion of the activities.

ISSUED BY

Larry LaRoche

TITLE

Chief, Permit Branch

DATE

OCT 15 1980

ORIGINAL

FELD 0005513

MINISTRY OF AGRICULTURE AND FORESTS
RANGOON ZOOLOGICAL GARDENS

LAKE ROAD, KANDAWGALAY P.O.
RANGOON, BURMA.



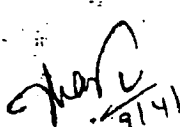
No. 049/TaRaSa-1/80

Dated, ^{Apr} 9, 1980.

CERTIFICATE OF ORIGIN

This is to certify :-

- (1) that the 9 female Elephant Calves are of Burmese origin;
- (2) that the Burmese Government has no restrictions for export of these animals under the existing animal exchange agreement between Messrs. I Ruhe Alfeld/Leine and the Rangoon Zoological Gardens, Rangoon, Burma;
- (3) that the Elephant Calves are captive born to the cows owned by the Timber Corporation.


(for) Director,
Rangoon Zoological Gardens.



Director General, Forest Department

Burma

NO. 62, Phayre Street
RANGOON


Telephone... { 11367
10619
18290

Dated, the 12th. April 1980

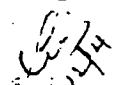
D.O.NO. 4189 / Ya (Ga) 2.

It is Certified that all the nine elephants
sent to Hannover, West Germany, are born in 3rd.
generations in Captivity.





(MAUNG OHN)

Deputy Director (Admin.)
for Director General,
Forest Department, Burma,
Rangoon.

 12/4/80.

DEMANDE DE DEROGATION SANITAIRE POUR L'IMPORTATION OU LE TRANSIT D'ANIMAUX VIVANTS

IMPORTATEUR Nom ou raison sociale : L. Ruhe Adresse : Gerdagstrasse 8 3220 Alfeld Téléphone : 5181/1435		Pays d'origine : <u>Birmanie</u> Bureau de douanes d'entrée : <u>Boologne Port</u>
DESTINATAIRE Nom : L. Ruhe Adresse : Gerdagstrasse 8 3220 Alfeld Téléphone : 5181/1435		MINISTÈRE DE L'AGRICULTURE Direction de la Qualité Bureau de la Réglementation sanitaire aux frontières 44-46, Boulevard de Grenelle 75732 PARIS Cédex 15 Tél. 575-62-25 (Postes 488-489-490)
LOCAUX D'HEBERGEMENT Nom du propriétaire : L. Ruhe Adresse : Gerdagstrasse 8 3220 Alfeld		OBJET DE L'IMPORTATION Espèce animale : <u>Éléphant de l'Inde</u> Sexe (1) : <u>fémales</u> Race (1) : <u>Burmese</u> Quantité : <u>9</u> Destination des animaux : <u>Allemagne</u> (1) Pour les animaux autres que de boucherie
Je soussigné, m'engage à respecter toutes les conditions prescrites par la Direction de la Qualité du Ministère de l'Agriculture (Date - Signature - Cachet) Alfeld, 5.5.80 L. RUHE		
Avis du Directeur des Services Vétérinaires du département d'accueil		
Décision du Ministère de l'Agriculture (Direction de la Qualité) 005558 12 MAI 1980 Dérogation accordée Valable UN mois pour plusieurs transits PARIS, le Pour le Ministre et par autorisation Pour le Directeur de la Qualité,  Sous réserve de l'application des conditions sanitaires ci-jointes. J. DUJADOUX		
Remarque importante : Cette dérogation est strictement personnelle, incessable et ne dispense pas de l'application des autres formalités administratives. Elle peut être annulée sans délai pour raisons sanitaires.		

FELD 0005516

(Antrag
bittet in
Maschinen-
schrift aus-
füllen, da
sonst keine
Bearbeitung)

1. ~~Zusammenfassung~~ Wiederausfuhrbescheinigung **) Nr.
XXXXXXXXXXXX
Export permit / Re-export permit No.
Permis d'exportation / Introduction en proven. de la mer No.
II W 00-119/80

2. Gültig bis: - valid until (date): - valide jusqu'au: (date)

.....
./.

3. Name und Anschrift des Antragstellers: - name and address
of the applicant for the permit - nom et adresse du titulaire
du permis:

L. Buhe
Gerdastraße 8
3220 Alfeld (Leine)

4. Ausstellende Behörde: - authority issuing the permit: - autorité
délivrant le permis:

Bundesamt für Ernährung
und Landwirtschaft
- Referat 27 -
Pöckelsallee 40
6000 Frankfurt (Main)

5. Ich/Wir beantrage/n die Ausfuhr folgenden/r: Exemplare/s // ~~Erzeugnisse~~:

Lebende/s Exemplar/e // ~~Tier/e oder Erzeugnis/e~~ von Exemplar/e einer Art nach Anhang I ~~Anhang II~~ ~~Anhang III~~ des Übereinkommens wie auf Blatt 2 näher bezeichnet.

Bei Tieren: Gezichtet in Gefangenschaft
3rd generation

Bestimmungsland: U.S.A.

Bei Pflanzen: Künstlich vermehrt

Ursprungsland: BURMA

6. Empfänger (Name und Anschrift): - Recipient (name and address): - Destataire (nom et adresse):

P.J. Seehandelaar Inc.
6, Sickles Avenue
NEW ROCHELLE, N.Y. 10801
U.S.A.

als Agent für: Ringling Bros and Barnum &
Bailey Combined Shows, Inc.
3201 New Mexico Avenue, N.W.,
WASHINGTON, D.C. U.S.A.

7. Ich/Wir erkläre/n, daß mir/uns die Bestimmungen des Übereinkommens sowie die des Tierschutzgesetzes vom 24. 7. 1972 (Bundesgesetzbl. 1972 I S. 1277) in ihren geltenden Fassungen bekannt sind.

Alfeld (Leine), den 25.7.1980

PLZ/Ort und Datum

L. Buhe
Gerdastraße 8
3220 Alfeld (Leine)

Unterschrift des Antragstellers/Firmenstempel

8. Genehmigungsvermerk: Die ~~Ausfuhr~~ Wiederausfuhr **) wird genehmigt.

Bei Wiederausfuhr von Exemplaren des Anhanges I: Einfuhrgenehmigung der Bundesrepublik Deutschland mit Abfertigungsbestätigung der Zolldienststelle liegt vor.

Unterschrift/Dienststempel - signature/official stamp - signature/cachet

6000 Frankfurt/M., 31.07.1980

Ort und Datum - place and date - place et date

9. Ausfuhr-/Wiederausfuhrbestätigung **) der abfertigenden Zolldienststelle (auch auf Blatt 2):

Unterschrift/Dienststempel - signature/official stamp - signature/cachet officier

Ort und Datum - place and date - place et date

10. Einfuhrbestätigung im Bestimmungsland (nur für I. Ausfertigung)

Unterschrift/Dienststempel - signature/official stamp - signature/cachet officier

Ort und Datum - place and date - place et date




Dieser Vordruck ist auch bei jedem sonstigen Verbringen aus dem Geltungsbereich dieses Gesetzes zum Washingtoner Artenschutzübereinkommen zu verwenden. Diese Genehmigung befreit nicht von den aufgrund anderer Bestimmungen erlassenen Verboten und Einschränkungen.

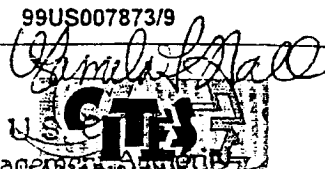
*) ohne Blatt 2 ungültig - without page 2 not applicable - sans feuille 2 ne pas valable FELD 0005517

4896 Mindest 1. Nachtrag 11.05.1980, Form 100-21, Bundes Nr. 26033, Feder 09 7812
6000 Frankfurt (Main), 1.1.1980, Form 100-21, Bundes Nr. 26033, Feder 09 7812
6000 Frankfurt (Main), 1.1.1980, Form 100-21, Bundes Nr. 26033, Feder 09 7812
6000 Frankfurt (Main), 1.1.1980, Form 100-21, Bundes Nr. 26033, Feder 09 7812
6000 Frankfurt (Main), 1.1.1980, Form 100-21, Bundes Nr. 26033, Feder 09 7812

WILHELM KÖCKER VERLAG
WA 2

WV

FORM 3-201A (1/97)		CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA		Page 1 of 3							
		<input type="checkbox"/> EXPORT PERMIT <input type="checkbox"/> RE-EXPORT CERTIFICATE <input checked="" type="checkbox"/> OTHER CERTIFICATE (see block 9)		1. Original Permit/Certificate No. 99US007873/9							
				2. Valid until 06/24/2002							
3. Permittee (name and address, country) FELD ENTERTAINMENT, INC. dba RINGLING BROS. AND BARNUM & BAILEY 8607 WESTWOOD CENTER DRIVE VIENNA, VA 22182		4. Consignee (name and address, country) FELD ENTERTAINMENT, INC. ON TOUR IN CANADA									
5. Special Conditions MUST COMPLY WITH ATTACHED CIRCUS/LIVE ANIMAL EXHIBITION PERMIT CONDITIONS. PERMIT MAY BE COPIED FOR MULTIPLE SHIPMENTS; PERMITTEE TO RETAIN ORIGINAL. TRANSFER OF ELEPHANTS UNDER THIS PERMIT MUST MEET ALL REQUIREMENTS OF USDA ANIMAL CARE "GUIDELINES FOR THE CONTROL OF TUBERCULOSIS IN ELEPHANTS." ANIMALS IN GROUP C AND D MUST ADHERE TO TRAVEL RESTRICTIONS IN THE "GUIDELINES." EXCEPTION TO DESIGNATED PORT [560 CFR 14.32]: MAY USE BUFFALO/NIAKARA FALLS, NY; MUST SCHEDULE WITH USFWS INSPECTOR AT (716) 691-3635 AT LEAST 72 HOURS PRIOR TO USE. TO MINIMIZE STRESS, ELEPHANTS ARE TO BE SHIPPED IN SOCIAL GROUPINGS IN SPECIALLY DESIGNED BOX CARS THAT ARE IN COMPLIANCE WITH ANIMAL WELFARE ACT SPECIFICATIONS. ANIMALS TRAVELING IN A LIVE ANIMAL EXHIBIT CANNOT BE SOLD OR OTHERWISE TRANSFERRED WHILE OUTSIDE OF ITS STATE OF USUAL RESIDENCE. THIS AMENDS AND REPLACES US007873 ISSUED 6/14/99. <i>For live animals, only valid if the transport conditions comply with the CITES Guidelines for Transport of Live Animals or, in the case of air transport, with IATA Live Animals Regulations.</i>		5a. Purpose of Transaction Q		5b. Security Stamp No. 499230870							
		6. U.S. Management Authority OFFICE OF MANAGEMENT AUTHORITY U.S. FISH AND WILDLIFE SERVICE DEPARTMENT OF THE INTERIOR WASHINGTON, D.C. 20240 UNITED STATES OF AMERICA  Manager  U.S. 06/25/1999 Issuing Date United States Management Authority AUTHORITY: Endangered Species Act of 1973 (16 USC 1531 et. seq.)									
Common Name and Scientific name (genus and species) of Animal or Plant		9. Description of Part or Derivative, including identifying marks or numbers (age/sex if live)		10. Appendix No. and Source							
A. Common Name ASIAN ELEPHANT		9. PRE-CONVENTION: LIVE; 0.7; SEE ATTACHED INVENTORY.		10. 1 W							
Scientific Name ELEPHAS MAXIMUS				11. Quantity (including units) 7 NO							
				11a. Total Exported/Quota							
12. Country of Origin INDIA		Permit/Certificate No.		Date of Issue							
12a. Country of Last Re-export		Re-export Certificate No.		Date of Issue							
12b. Breeding Operation No.											
12c. Pre-Convention: Date of Acquisition											
B. Common Name ASIAN ELEPHANT		9. PRE-CONVENTION: LIVE; 0.5; SEE ATTACHED INVENTORY		10. 1 W							
Scientific Name ELEPHAS MAXIMUS				11. Quantity (including units) 5 NO							
				11a. Total Exported/Quota							
12. Country of Origin UNKNOWN		Permit/Certificate No.		Date of Issue							
12a. Country of Last Re-export		Re-export Certificate No.		Date of Issue							
12b. Breeding Operation No.											
12c. Pre-Convention: Date of Acquisition											
13. Export / Re-export Endorsement: The official who inspects shipment upon exportation / re-exportation must enter the total quantities of specimens being exported / re-exported in this block.		14. Bill of Lading/Air Way-Bill Number		15. This document valid only with inspecting official's ORIGINAL stamp, signature and date in this block.							
<table border="1"><thead><tr><th>See Block 7</th><th>Quantity</th></tr></thead><tbody><tr><td>A</td><td></td></tr><tr><td>B</td><td></td></tr></tbody></table>		See Block 7	Quantity	A		B		Port of Exportation / Re-exportation		FELD 0005526	
		See Block 7	Quantity								
A											
B											
		Total No. of Shipping Containers		Inspecting Official's Stamp, Signature and Date							

CITES		EXPORT / RE-EXPORT CONTINUATION SHEET		OFFICE OF MANAGEMENT AUTHORITY U.S. FISH AND WILDLIFE SERVICE DEPARTMENT OF THE INTERIOR WASHINGTON, D.C. 20240 UNITED STATES OF AMERICA		Page 2 of 3	
5. Security Stamp No. US 9230519		6. U.S. Management Authority WASHINGTON, D.C. PLACE		06/25/1999 Issuing Date		1. Original Permit/Certificate No. 99US007873/9  Management Authority	
7b. Common Name and Scientific name (genus and species) of Animal or Plant		9. Description of Part or Derivative, including identifying marks or numbers (age/sex if live)		10. Appendix No. and Source			
C. Common Name ASIAN ELEPHANT		9. RE-EXPORT: LIVE; 0.1; BORN 1976; LIGHTER PIGMENTATION AT THE END OF BOTH EARS.; "NICOLE"		10. 1 F			
Scientific Name ELEPHAS MAXIMUS				11. Quantity (including units) 1 NO			
				11a. Total Exported/Quota			
12. Country of Origin MYANMAR		Permit/Certificate No. 150.1809/AH.68		Date of Issue		12b. Breeding Operation No.	
12a. Country of Last Re-export		Re-export Certificate No.		Date of Issue		12c. Pre-Convention: Date of Acquisition	
D. Common Name BENGAL TIGER		9. RE-EXPORT: LIVE; 8.4; SEE ATTACHED INVENTORY.		10. 1 C			
Scientific Name PANTHERA TIGRIS TIGRIS				11. Quantity (including units) 12 NO			
				11a. Total Exported/Quota			
12. Country of Origin UNITED KINGDOM		Permit/Certificate No. 203425/01		Date of Issue 08/28/1997		12b. Breeding Operation No.	
12a. Country of Last Re-export		Re-export Certificate No.		Date of Issue		12c. Pre-Convention: Date of Acquisition	
Common Name		9.		10.			
Scientific Name				11. Quantity (including units)			
				11a. Total Exported/Quota			
12. Country of Origin		Permit/Certificate No.		Date of Issue		12b. Breeding Operation No.	
12a. Country of Last Re-export		Re-export Certificate No.		Date of Issue		12c. Pre-Convention: Date of Acquisition	
Common Name		9.		10.			
Scientific Name				11. Quantity (including units)			
				11a. Total Exported/Quota			
12. Country of Origin		Permit/Certificate No.		Date of Issue		12b. Breeding Operation No.	
12a. Country of Last Re-export		Re-export Certificate No.		Date of Issue		12c. Pre-Convention: Date of Acquisition	
13. Export / Re-export Endorsement The official who inspects shipment upon exportation / re-exportation must enter the total quantities of specimens being exported / re-exported in this block.		14. Bill of Lading/Air Way-Bill Number Port of Exportation / Re-exportation Total No. of Shipping Containers		15. This document valid only with inspecting official's ORIGINAL stamp, signature and date in this block. FELD 0005527 Inspecting Official's Stamp, Signature and Date			

INVENTORY
SHEETOffice of Management Authority
U.S. Fish and Wildlife Service
Department of the Interior
Washington, D.C. 20240
UNITED STATES OF AMERICA

Page 3 of 3.

1. Original Permit/Certificate No.

98US007873/9

5/6. THIS PERMIT IS ISSUED UNDER AUTHORITY OF THE ENDANGERED SPECIES ACT OF 1973 (16 U.S.C. 1531 et seq.) BY:



US 9230518

WASHINGTON, D.C.
PlaceJune 14, 1999
Issuing Date

United States Management Authority

Security Stamp or Paper No.

PERMITTEE: FELD ENTERTAINMENT, INC.

	<u>NAME</u>	<u>SEX</u>	<u>DATE OF BIRTH</u>	<u>TRANSPONDER#</u>	<u>DESCRIPTION</u>
A	Lutzi	F	1950		Very tall & lanky w/ long legs
	Susan	F	1951		Short, stubby, bald tail
	Jewel	F	1951		Short & squatty, very short legs
	Sophie	F	1970		Small bump on right rear leg
	Camela	F	1966		Pink at end of trunk
	Lechamee	F	1966		Scar on left side of neck
	Meena	F	1966		Long, thick, ivory tusks and a round pink mark on the right side of her stomach.
B	Mysore	F	1950		Previously re-exported under US 708550, issued 9/13/88.
	Minnie	F	1956		Previously re-exported under US 708550, issued 9/13/88.
	Rebecca	F	1961		Previously re-exported under US 6322, issued 1/11/84, bump on the Top of the trunk below & between her eyes.
	Karen	F	1969		small scar above left eye
	Zina	F	1961		Draw in face
D	Gold	M	21/02/93	121275661A	
	Silver	M	21/02/93	121314444A	
	Platinum	M	05/05/93	121579533A	
	Bronze	M	05/05/93	115646647A	
	Diamond	M	05/05/93	121275760A	
	Pearl	F	03/06/93	121275192A	
	Sapphire	F	24/07/93	115673356A	
	Claudia	F	09/04/94	121209373A	
	Bruce	M	10/05/94	121435571A	
	Sly	M	10/05/94	121433451A	
	Van Dam	M	27/12/95	121166357A	
	Goldy	F	14/05/96	115422165A	

15. EXPORT/RE-EXPORT/IMPORT ENDORSEMENT: I, the inspecting official, certify that the information provided above is accurate. This document is valid only if the inspecting official's ORIGINAL stamp, signature and date in this block.

FELD 0005528

Inspecting Official's Stamp, Signature and Date



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

IMPORT PERMIT
EXPORT PERMIT
RE-EXPORT CERTIFICATE
OTHER CERTIFICATES (see block 9)

Page 1 of 3
Official Permit/Certificate No.
US 823184
2. Valid until
2/27/00

3. Permittee (name and address, country)
RINGLING BROS. - BARNUM & BAILEY
8607 WESTWOOD CENTER DRIVE
VIENNA VA 22182
U.S.A.

4. Consignee/Consigner (name and address, country)
RINGLING BROS. - BARNUM & BAILEY
PALACIO DE LOS DEPORTES
MEXICO CITY
MEXICO

5. Special conditions
-MUST COMPLY WITH ATTACHED CIRCUSES
/LIVE ANIMAL EXHIBITIONS: PERMIT
CONDITIONS. -U.S. ENDANGERED
SPECIES [50 CFR 17.4]: PRE-ACT.
-U.S. ENDANGERED SPECIES [50 CFR
17.22]. -VALID FOR MULTIPLE
SHIPMENTS. PERMITEE TO RETAIN
ORIGINAL DOCUMENT.

6. U.S. Management Authority
OFFICE OF MANAGEMENT AUTHORITY
U.S. FISH AND WILDLIFE SERVICE
DEPARTMENT OF THE INTERIOR
WASHINGTON, D.C. 20240
UNITED STATES OF AMERICA
2/28/97
Issuing Date
Security Stamp Number
US 9205283
United States Management Authority
AUTHORITY: Endangered Species Act of 1973 (16 USC 1531 et seq.)

7/B. Common Name and Scientific Name (genus and species) of Animal or Plant	9. Description of part or derivative, including identifying marks or numbers (age/sex if live)	10. Appendix No. and source	11. Quantity, number of specimens, and/or net weight (kg. or lbs.)
A. COMMON NAME ASIAN ELEPHANT	PRE-CONVENTION: LIVE; 0.7; SEE ATTACHED INVENTORY SHEET.	10. 1	11. W 7
SCIENTIFIC NAME ELEPHAS MAXIMUS		12. Country of origin* INDIA	Country of origin permit/certificate no.
B. COMMON NAME ASIAN ELEPHANT	PRE-CONVENTION: LIVE; 0.3; SEE ATTACHED INVENTORY SHEET.	10. 1	11. W 3
SCIENTIFIC NAME ELEPHAS MAXIMUS		12. Country of origin* UNKNOWN	Country of origin permit/certificate no.
C. COMMON NAME ASIAN ELEPHANT	PRE-CONVENTION: LIVE; 0.1; BORN 1961; DRAW IN FACE; "ZINA".	10. 1	11. W 1
SCIENTIFIC NAME ELEPHAS MAXIMUS		12. Country of origin* UNKNOWN	Country of origin permit/certificate no.
D. COMMON NAME ASIAN ELEPHANT	PRE-CONVENTION: LIVE; 0.1; BORN 1969; SMALL SCAR ABOVE LEFT EYE "KAREN".	10. 1	11. W 1
SCIENTIFIC NAME ELEPHAS MAXIMUS		12. Country of origin* UNKNOWN	Country of origin permit/certificate no.

13. Export/Re-export Endorsement:
The official who inspects shipment upon exportation/re-exportation must enter the actual quantities of specimens being exported/re-exported in this block

See block 7	Quantity
A	
B	
C	

14. Bill of Lading/Air Way-Bill Number
Port of Exportation/Re-exportation
Total No. of Shipping Containers

15. This document valid only with inspecting official's ORIGINAL stamp, signature and date in this block.

FELD 0005535

WASHINGTON, D.C. 20240
UNITED STATES OF AMERICA

US
823184

PAGE# 2 OF 3

E.

7/B. Common Name and Scientific Name (genus and species) of Animal or Plant	9. Description of part or derivative, including identifying marks or numbers (age/sex if live)	10. Appendix No. and source	11. Quantity, number of specimens, and/or net weight (kg. or lbs.)
COMMON NAME ASIAN ELEPHANT SCIENTIFIC NAME ELEPHAS MAXIMUS	PRE-CONVENTION: LIVE; 0.3; SEE ATTACHED INVENTORY SHEET	10. 1 W	11. 3
		12. Country of origin* INDIA	
		Country of origin permit/certificate no.	

F.

COMMON NAME AFRICAN LION SCIENTIFIC NAME PANTHERA LEO	CAPTIVE-BRED: LIVE; 2.2; SEE ATTACHED INVENTORY SHEET. GB48520 ISSUED 7/23/93.	10. 2 C	11. 4
		12. Country of origin* UNITED KINGDOM	
		Country of origin permit/certificate no. 48520	

G.

COMMON NAME AFRICAN LION SCIENTIFIC NAME PANTHERA LEO	CAPTIVE-BRED: LIVE; 1.0; BORN 1986; CASTRATED MALE, CHIPPED TOOTH. "CHAKA" GB 32077 ISSUED 5/18/92.	10. 2 C	11. 1
		12. Country of origin* UNITED KINGDOM	
		Country of origin permit/certificate no.	

H.

COMMON NAME AFRICAN LION SCIENTIFIC NAME PANTHERA LEO	CAPTIVE-BRED: LIVE; 0.6; SEE ATTACHED INVENTORY SHEET. GB 0359999 B OR 32077- 32078	10. 2 C	11. 6
		12. Country of origin* UNITED KINGDOM	
		Country of origin permit/certificate no.	

I.

COMMON NAME AFRICAN LION SCIENTIFIC NAME PANTHERA LEO	CAPTIVE-BRED: LIVE; 0.2; SEE ATTACHED INVENTORY SHEET GB 76583 ISSUED 6/1/95.	10. 2 C	11. 2
		12. Country of origin* UNITED KINGDOM	
		Country of origin permit/certificate no. 7683	

J.

COMMON NAME BENGAL TIGER SCIENTIFIC NAME PANTHERA TIGRIS TIGRIS	CAPTIVE-BRED: LIVE; 1.0; BORN 1995; SOLID BLACK SPOT ON THE SIDE OF HIS ABDOMEN; "RAMBO (BENGAL)" GB 76584 ISSUED 4/1/95.	10. 1 C	11. 1
		12. Country of origin* UNITED KINGDOM	
		Country of origin permit/certificate no. 76584	

COMMON NAME		10.	11.
SCIENTIFIC NAME		12. Country of origin*	
		Country of origin permit/certificate no.	

*Country in which the specimens were taken from the wild, bred in captivity or artificially propagated.

13. THIS PERMIT IS ISSUED UNDER AUTHORITY OF THE ENDANGERED SPECIE

2/28/97

Signature

WASHINGTON, D.C.

Place

Date

Ur.

sq.) BY:

Security Stamp Number

US 9205460

14. EXPORT/RE-EXPORT ENDORSEMENT:

See block 7	Quantity	See block 7	Quantity

The official who inspects shipment upon exportation/re-exportation must enter the actual quantities of specimens being exported/re-exported in this block. This document valid only with original stamp, signature and date in this block.

15. Bill of Lading/Air Way-Bill Number:

FELD 0005536



Office of Management Authority
U.S. Fish and Wildlife Service
Department of the Interior
Washington, D.C. 20240
United States of America

Page 3 of 3.

I. PERMIT/CERTIFICATE
NUMBER:
US 823184

Inventory Sheet for Permittee: Ringling Bros. - Barnum & Bailey

Block 7/8	NAME	SEX	SPECIES	BIRTH	DESCRIPTION
A	Lutzi	F	Asian elephant (<u>Elephas maximus</u>)	1950	very tall & lanky w long legs
	Siam	F	Asian elephant (<u>Elephas maximus</u>)	1950	pink mark on face
	Susan	F	Asian elephant (<u>Elephas maximus</u>)	1951	short, stubby, bald tail
	Jewel	F	Asian elephant (<u>Elephas maximus</u>)	1951	short & squatty, very short legs
	Romma	F	Asian elephant (<u>Elephas maximus</u>)	1962	
	Putzi	F	Asian elephant (<u>Elephas maximus</u>)	1962	
	Sophie	F	Asian elephant (<u>Elephas maximus</u>)	1970	small bump on right rear leg
B	Mysore	F	Asian elephant (<u>Elephas maximus</u>)	1950	Previously re-exported under US 708550, issued 9/13/88.
	Minnie	F	Asian elephant (<u>Elephas maximus</u>)	1956	Previously re-exported under US 708550, issued 9/13/88.
	Rebecca	F	Asian elephant (<u>Elephas maximus</u>)	1961	Previously re-exported under US 6322, issued 1/11/84. Bump on the top of the trunk below and between her eyes.
E	Camela	F	Asian elephant (<u>Elephas maximus</u>)	1966	pink at the end of trunk
	Lechamee	F	Asian elephant (<u>Elephas maximus</u>)	1966	scar on the left side of neck
	Meena	F	Asian elephant (<u>Elephas maximus</u>)	1966	long, thick, ivory tusks and a round pink mark on the right side of her stomach
F	Congo	M	African lion (<u>Panthera leo</u>)	1989	castrated male, scar right base of tail
	Pasha	M	African lion (<u>Panthera leo</u>)	1989	thick mane
	Flo	F	African lion (<u>Panthera leo</u>)	1984	implant behind left shoulder with lump under skin
	Sheila (sheba)	F	African lion (<u>Panthera leo</u>)	1989	small round scar upper left of nose; short tail
H	Ruth	F	African lion (<u>Panthera leo</u>)	1986	very dark fur
	Sheba	F	African lion (<u>Panthera leo</u>)	1986	left ear folded over
	Bilma	F	African lion (<u>Panthera leo</u>)	1986	brown mark on right side
	Leah	F	African lion (<u>Panthera leo</u>)	1986	hooded eyes; perfect coat
	Zuli	F	African lion (<u>Panthera leo</u>)	1986	bottom right chipped tooth
	Rachel	F	African lion (<u>Panthera leo</u>)	1986	two dark spots over both eyes; top right chipped tooth
I	Susie	F	African lion (<u>Panthera leo</u>)	1991	pale yellow color, slight build, slight scar on left upper jaw
	Maria	F	African lion (<u>Panthera leo</u>)	1991	very dark fur, black spots on ear

13. THIS PERMIT IS ISSUED UNDER AUTHORITY OF THE ENDANGERED SPECIES ACT OF 1973

Security Stamp Number

US 9205308

WASHINGTON, D.C.
Place

Issuing Date

United States

14. EXPORT/RE-EXPORT ENDORSEMENT: I, the inspecting official, certify that the information provided above is accurate. Copies of stamp, signature and date in this block are NOT valid.

Port of Exportation

Date

Signature

Official stamp and title

FELD 0005537

FORM 3-201A (1/97) CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA		<div style="display: flex; justify-content: space-between;"> <div> <input type="checkbox"/> EXPORT PERMIT <input type="checkbox"/> RE-EXPORT CERTIFICATE <input checked="" type="checkbox"/> OTHER CERTIFICATE (see block 9) </div> <div style="text-align: right;"> Page 1 of 1 1. Original Permit/Certificate No. 02US063766/9 2. Valid until 10/29/2005 </div> </div>							
3. Permittee (name and address, country) FELD ENTERTAINMENT dba RINGLING BROS. AND BARNUM AND BAILEY 8607 WESTWOOD CENTER DRIVE VIENNA, VA 22182 U.S.A.		4. Consignee (name and address, country) FELD ENTERTAINMENT DBA RINGLING BROS. AND BARNUM AND BAILEY ON TOUR IN MEXICO AND CANADA							
5. Special Conditions •Must comply with attached circus/live animal exhibition permit conditions. •U.S. ENDANGERED SPECIES [50 CFR 17.4]: PRE-ACT •Permit may be copied for multiple shipments; must present copies for validation to USFWS for inspection during re-import, and re-export; permittee to retain original. •Animals traveling in a live animal exhibit cannot be sold or otherwise transferred while outside of its state of usual residence. •Transfer of elephants under this permit must meet all requirements of USDA animal care "guidelines for the control of tuberculosis in elephants." Animals in group c and d must adhere to travel restrictions in the "guidelines." •Exception to designated port [50 CFR 14.32]: may use Laredo, Texas; must schedule with USFWS insp. at 956-726-2234 at least 72 hrs. prior to use. (continued in block 9b) <i>For live animals, only valid if the transport conditions comply with the CITES Guidelines for Transport of Live Animals or, in the case of air transport, with IATA Live Animals Regulations.</i>		5a. Purpose of Transaction Q 5b. Security No. 439266698 6. U.S. Management Authority DIVISION OF MANAGEMENT AUTHORITY U.S. FISH AND WILDLIFE SERVICE DEPARTMENT OF THE INTERIOR WASHINGTON, D.C. 20240 UNITED STATES OF AMERICA 10/30/2002 Issuing Date United States Management Authority AUTHORITY: Endangered Species Act of 1973 (16 USC 1531 et. seq.)							
7/8. Common Name and Scientific name (genus and species) of Animal or Plant A. Common Name ASIAN ELEPHANT Scientific Name ELEPHAS MAXIMUS		9. Description of Part or Derivative, including identifying marks or numbers (age/sex if live) 9. PRE-CONVENTION: LIVE; 0.1; BORN IN 1961; CHIP# 031*123*381; "ZINA".							
12. Country of Origin UNKNOWN		Permit/Certificate No. Date of Issue 12b. Breeding Operation No.							
12a. Country of Last Re-export CANADA		Re-export Certificate No. CA-CW-TC-0132-99 Date of Issue 06/14/1999 12c. Pre-Convention: Date of Acquisition APPROX. 1972							
B. Common Name Scientific Name		9. ELEPHANTS ARE TO BE SHIPPED IN SOCIAL GROUPINGS IN SPECIALLY DESIGNED BOX CARS THAT ARE IN COMPLIANCE WITH ANIMAL WELFARE ACT SPECIFICATIONS. 10. 11. Quantity (including units) 11a. Total Exported/Quota							
12. Country of Origin Permit/Certificate No. Date of Issue 12b. Breeding Operation No.		12a. Country of Last Re-export Re-export Certificate No. Date of Issue 12c. Pre-Convention: Date of Acquisition							
13. Export / Re-export Endorsement: The official who inspects shipment upon exportation / re-exportation must enter the total quantities of specimens being exported / re-exported in this block. <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">See Block 7</td> <td style="width: 50%;">Quantity</td> </tr> <tr> <td>A</td> <td></td> </tr> <tr> <td>B</td> <td></td> </tr> </table>		See Block 7	Quantity	A		B		14. Bill of Lading/Air Way-Bill Number Port of Exportation / Re-exportation Total No. of Shipping Containers	
See Block 7	Quantity								
A									
B									
15. This document valid only with inspecting official's ORIGINAL stamp, signature and date in this block. <div style="text-align: right;"> Inspecting Official's Stamp, Signature and Date </div>									

FELD 0005599

RINGLING BROS. AND BARNUM & BAILEY CIRCUS

Blue Unit Animal Census 2005

Revised 2/9/2005

ASIAN ELEPHANTS

(Elephas maximus)

Owned by RBBB

10 total

	<u>NAME</u>	<u>DOB</u>	<u>SEX</u>	<u>ORIGIN</u>	<u>CHIP #</u>	<u>3/4/2004</u>	<u>TRANSPORTATION METHOD</u>
1	Karen	1969	F	1969 Trefflich, NY; Thailand	030*770*291	8369	TRAVEL BY TRAIN
2	Minyak	1967	F	R. Schmitt, 1972	033*310*383	10,547	TRAVEL BY TRAIN
3	Mysore	1950	F	1984 T. Diano, OH	030*628*330	6590	TRAVEL BY TRAIN
4	Susan	1951	F	1954 India	031*051*801	8732	TRAVEL BY TRAIN
5	Nichole	1976	F	1980 H. Ruhe W. Ger./ Burma	030*774*099	8355	TRAVEL BY TRAIN
6	Bonnie	10/29/1994	F	RBBB/CEC Sire: Vance Dam: Sid	033*605*015	6382	TRAVEL BY TRAIN
7	Juliette	12/30/1992	F	RBBB/Williston Sire: Pete Dam: Iki II	033*558*616	5506	TRAVEL BY TRAIN
8	Kelly Ann	1/1/1996	F	RBBB/CEC Sire: Vance Dam: Sally	033*615*260	5,277	TRAVEL OVERLAND
9	Sara	4/16/2001	F	RBBB/CEC Sire: Charlie Dam: Icky II	066*112*289	2171	TRAVEL OVERLAND

FELD 0006254

CENTER FOR ELEPHANT CONSERVATION

Animal Census 2005

Revised 1/17/2005

ASIAN ELEPHANTS

(Elephas maximus)

Owned by RBBB

14 total

	<u>NAME</u>	<u>DOB</u>	<u>SEX</u>	<u>ORIGIN</u>	<u>ID</u>	<u>WT# - 01/23/02</u>
1	Alana	1976	F	1980 H.Ruhe W. Ger./ Burma		7970
2	Emma	1971	F	1990 B. Moore, MI.		4900
3	Icky II	1978	F	1980 H.Ruhe W. Ger./ Burma		7945
4	Louie	1966	F	1968 Import by S. Kellern		7390
5	Zina	1961	F	1972 Smart Circus, Eng.	031*123*381	6640
6	Shirley	2/19/1995	F	RBBB/CEC		4475
				Sire:Vance Dam:Mala		
7	Jewell	1951	F	1954 India	030*631*884	
8	Josky	1967	F	1972 R. Schmitt, Fla.		11430
9	Mala	1967	F	1972 R. Schmitt, Fla.		9065
10	Sally	1967	F	1972 R. Schmitt, Fla.		9000
11	Sid	1967	F	R. Schmitt, Fla.		
12	Doc "Fish"	5/8/1997	M	RBBB/CEC	044*368*119	8'1" - Height 9/16/04
				Sire: Charlie Dam Alana		5,564 lbs. - Weight 9/16/04
13	Lutzi	1950	F	1954 India	030*634*105	7422
14	Tova	1969	F	1990 B. Moore, MI.	065*775*287	8876

Owned by G.Jacobson

1 total

1	Smokey	1983	N/M			10640
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FELD 0006269