



(b) (6), (b) (7)(C)

CITATION AND NOTIFICATION OF PENALTY

We believe that you violated the Animal Welfare Act (7 U.S.C. § 2131 et seq.) (AWA), as described below.

Date of Alleged Violation: (b) (6), (b) (7)(C) 2015

9 C.F.R. § 2.126(b) Access and inspection of records and property; submission of itineraries. The use of a room, table, or other facilities necessary for proper examination of the records and inspection of the property or animals must be extended to APHIS officials by the dealer, exhibitor, intermediate handler or carrier, and a responsible adult shall be made available to accompany APHIS officials during the inspection process.

You failed to have a responsible adult available to accompany APHIS officials during the inspection process.

Date of Violation: (b) (6), (b) (7)(C) 2015

9 C.F.R. § 3.1(c)(1) Housing facilities, general. Surfaces. General requirements. The surfaces of housing facilities including houses, dens, and other furniture-type fixtures and objects within the facility must be constructed in a manner and made of materials that allow them to be readily cleaned and sanitized, or removed or replaced when worn or soiled. Interior surfaces and any surfaces that come in contact with dogs or case must be free of excessive rust that prevents the required cleaning and sanitization, or that affects the structural strength of the surface.

You failed to maintain surfaces of housing facilities. APHIS officials observed the following:

- 1) Excessive rust on wire metal dividers in the outdoor section of the third building with some areas of broken fencing.
- 2) Sharp and jagged wires used to hold access doors and attach fencing in the dog enclosures at levels accessible by the dogs.

Date of Violation: (b) (6), (b) (7)(C) 2015

9 C.F.R. § 3.1(c)(2) Housing facilities, general. Surfaces. Maintenance and replacement of surfaces. All surfaces must be maintained on a regular basis. Surfaces of housing facilities including houses, dens, and other furniture-type

fixtures and objects within the facility that cannot be readily cleaned and sanitized, must be replaced when worn or soiled.

You failed to clean and sanitize surfaces with which animals come into contact. APHIS officials observed the following:

- 1) Accumulation of dirt on plastic food receptacles in dog enclosures.
- 2) Accumulation of dirt and debris on the damaged areas of cracked concrete flooring in two enclosures.

Date of Violation: (b) (6), (b) (7)(C) 2015

9 C.F.R. § 2.40(b)(2) Attending veterinarian and adequate veterinary care (dealers and exhibitors). Each dealer or exhibitor shall establish and maintain programs of adequate veterinary care that include the use of appropriate methods to prevent, control, diagnose, and treat diseases and injuries, and the availability of emergency, weekend, and holiday care.

You failed to provide adequate veterinary care. APHIS officials observed the following:

- 1) One ten-year old male Japanese Chin with a severely cloudy right eye that had thickened, clear discharge on the surface of the eye and wet eyelids; several areas of loosely matted hair with feces caked to the matted areas around the hind legs; discharge from the left side of the nose, and the skin fold around the nose; severe buildup of grey/tan material on the surface of the canine teeth, several missing cheek teeth, and red, moderately swollen gums;
- 2) One male Pomeranian with a buildup of a thick, brown/grey substance covering it's cheek teeth and moderately swollen gums;
- 3) One female Japanese Chin with slightly cloudy eyes; a buildup of a light brown substance encasing the cheek teeth and moderately reddened gums;
- 4) One female King Charles Cavalier with matted hair on both sides, of its lower back and under its tail; a thick, grey/tan material encasing all of the upper and lower cheek teeth and approximately half of the surface of each canine; a milky grey/tan substance along the gum line of all of the cheek teeth; a milky, string-like material located between the gums and upper right cheek teeth; loose teeth along the right side of the mouth and moderately red and swollen gums with areas pulled back from the teeth;
- 5) One female Shih Tzu with a mildly cloudy eye; a thick brown crusting discharge present on both eyelids and along the right side of its face; a thick, yellow/tan material encasing all of the upper and lower cheek teeth and approximately half of the surface of each canine tooth and severely red and swollen gums with areas pulled back from the teeth; and
- 6) One female Shiba Inu with hair loss on both ears, beneath the ears, along the jaw line, and around the top of the eyes with small, red spots of pin-point bleeding found throughout the areas of hair loss



around the eyes, on the ears and on the jaw line; thickened skin around both ears; a crusty, brown material inside each ear with associated discharge, and overgrown toenails.

Date of Violation (b) (6), (b) (7)(C) **2016**

9 C.F.R. § 2.40(a)(1) Attending veterinarian and adequate veterinary care (dealers ad exhibitors). Each dealer or exhibitor shall have an attending veterinarian who shall provide adequate veterinary care to its animals in compliance with this section. Each dealer and exhibitor shall employ an attending veterinarian under formal arrangements. In the case of a part-time attending veterinarian or consultant arrangements, the formal arrangements shall include a written program of veterinary care and regularly scheduled visits to the premises of the dealer or exhibitor.

You failed to identify an attending veterinarian with a valid, active license to practice veterinary care.

The penalty for the alleged violation(s) described above is \$1,500.

UNITED STATES DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE

USDA
OFFICIAL WARNING
NOTICE OF ALLEGED VIOLATION

CASE NUMBER:

(b) (6), (b) (7)(C)

ALLEGED VIOLATOR:

(b) (6), (b) (7)(C)

ADDRESS (City, State, ZIP Code):

(b) (6), (b) (7)(C)

The U.S. Department of Agriculture has evidence that on or about the date(s) listed below, you or your organization committed the following alleged violation(s) of Federal laws:

Date of Alleged Violation (b) (6), (b) (7)(C) 2015

9 C.F.R. § 2.25(a) Requirements and procedures.

(a) Each carrier and intermediate handler, and each exhibitor not required to be licensed under section 3 of the Act and the regulations of this subchapter, shall register with the Secretary by completing and filing a properly executed form which will be furnished, upon request, by the AC Regional Director. The registration form shall be filed with the AC Regional Director for the State in which the registrant has his or her principal place of business, and shall be updated every 3 years by the completion and filing of a new registration form which will be provided by the AC Regional Director.

You failed to register with the Secretary of Agriculture prior to transporting animals in commerce.

Date of Violation: (b) (6), (b) (7)(C) 2015

9 C.F.R. § 3.140(a) Care in transit.

(a) During surface transportation, it shall be the responsibility of the driver or other employee to visually observe the live animals as frequently as circumstances may dictate, but not less than once every 4 hours, to assure that they are receiving sufficient air for normal breathing, their ambient temperatures are within the prescribed limits, all other applicable standards are being complied with and to determine whether any of the live animals are in obvious physical distress and to provide any needed veterinary care as soon as possible. When transported by air, live animals shall be visually observed by the carrier as frequently as circumstances may dictate, but not less than once every 4 hours, if the animal cargo space is accessible during flight. If the animal cargo space is not accessible during flight, the carrier shall visually observe the live animals whenever loaded and unloaded and whenever the animal cargo space is otherwise accessible to assure that they are receiving sufficient air for normal breathing, their ambient temperatures are within the prescribed limits, all other applicable standards are being complied with and to determine whether any such live animals are in obvious physical

Reference Number: (b) (6), (b) (7)(C)

(b) (6), (b) (7)(C)

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distress. The carrier shall provide any needed veterinary care as soon as possible. No animal in obvious physical distress shall be transported in commerce.

You failed to provide necessary veterinary care as soon as possible. The dog, Lexie, showed signs of physical distress in or around (Deer Lodge, MT) Missoula, MT and veterinary care was not provided until you reached Sandpoint, ID.



The Animal and Plant Health Inspection Service (APHIS) published federal regulations to ensure the welfare of animals and help prevent the spread of animal and plant pests and diseases. Since violations of the regulations can have serious and costly impacts that are detrimental to the public interest, APHIS is providing you with an Official Warning for the alleged violation(s) described above. This Official Warning is not to be construed as a final agency action, or as an adjudicated finding of a violation. If APHIS obtains evidence of any future violation of these federal regulations, APHIS may pursue civil penalties, criminal prosecution, or other sanctions for this alleged violation(s) and for any future violation(s). If you have any questions concerning this Official Warning or alleged violation(s), please contact the APHIS official listed in this notice.

APHIS OFFICIAL (Name): Steven M. Bennett	OFFICE ADDRESS: 4700 River Road, Unit 85 Riverdale, MD 20737	
APHIS OFFICIAL (Title): Director, Investigative and Enforcement Services	DATE ISSUED: <u>10/18/2017</u>	TELEPHONE NUMBER: (301) 851-2948

APHIS FORM 7060

Previous editions may be used

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UNITED STATES DEPARTMENT OF AGRICULTURE ANIMAL AND PLANT HEALTH INSPECTION SERVICE	CASE NUMBER: IL160001-AC
 OFFICIAL WARNING NOTICE OF ALLEGED VIOLATION	ALLEGED VIOLATOR: University of Illinois at Urbana-Champaign c/o: Peter E. Schiffer, PhD, Vice Chancellor for Research, Institutional Official
	ADDRESS (City, State, ZIP Code): Urbana, IL 61801



The U.S. Department of Agriculture has evidence that on or about the date(s) listed below, you or your organization committed the following alleged violation(s) of Federal laws:

Date of Alleged Violation: On or about April 24, 2015

9 C.F.R. § 2.31(d)(1)(ix) Institutional Animal Care and Use Committee (IACUC). (d) IACUC review of activities involving animals. (1) In order to approve proposed activities or proposed significant changes in ongoing activities, the IACUC shall conduct a review of those components of the activities related to the care and use of animals and determine that the proposed activities are in accordance with this subchapter unless acceptable justification for a departure is presented in writing; Provided, however, That field studies as defined in part 1 of this subchapter are exempt from this requirement. Further, the IACUC shall determine that the proposed activities or significant changes in ongoing activities meet the following requirements: (ix) Activities that involve surgery include appropriate provision for pre-operative and post-operative care of the animals in accordance with established veterinary medical and nursing practices...

You failed to conduct major operative procedures in facilities intended for that purpose and those facilities must be operated and maintained under aseptic conditions. A rumenotomy surgical teaching laboratory was conducted on 6 cows in a preparation area not dedicated surgical suite. Following the surgical teaching laboratory and after three days, the cows were removed to a UIUC facility in which the post-operative care and observation was inadequate. As a result, and within 16 days, five out of six adult cows developed post-operative peritonitis, four of those were euthanized and one died.

Date of Alleged Violation: On or about April 24, 2015

9 C.F.R. § 2.32(c)(1)(iii) Personnel qualifications. (c) Training and instruction of personnel must include guidance in at least the following areas: (1) Humane methods of animal maintenance and experimentation, including: (iii) Proper pre-procedural and post-procedural care of animals.

You failed to provide proper post-procedural care of animals following a rumenotomy surgical teaching laboratory conducted on six cows. After three days, the cows were moved to a UIUC facility where post-operative care and observation was inadequate. Five out of six adult cows developed post-operative peritonitis, four of those were euthanized and one died.

Date of Alleged Violation: On or about April 24, 2015

9 C.F.R. § 2.32(c)(1)(iv) Personnel qualifications. (c) Training and instruction of personnel must include guidance in at least the following areas: (1) Humane methods of animal maintenance and experimentation, including: (iv) Aseptic surgical methods and procedures.

You failed to provide adequate training, instruction, and guidance of personnel in aseptic surgical methods and procedures. Aseptic techniques were not followed and five out of six adult cows developed post-operative peritonitis, four of those were euthanized and one died.



The Animal and Plant Health Inspection Service (APHIS) published federal regulations to ensure the welfare of animals and help prevent the spread of animal and plant pests and diseases. Since violations of the regulations can have serious and costly impacts that are detrimental to the public interest, APHIS is providing you with an Official Warning for the alleged violation(s) described above. This Official Warning is not to be construed as a final agency action, or as an adjudicated finding of a violation. If APHIS obtains evidence of any future violation of these federal regulations, APHIS may pursue civil penalties, criminal prosecution, or other sanctions for this alleged violation(s) and for any future violation(s). If you have any questions concerning this Official Warning or alleged violation(s), please contact the APHIS official listed in this notice.

APHIS OFFICIAL (Name): Steven M. Bennett	OFFICE ADDRESS: 4700 River Road, Unit 85 Riverdale, MD 20737
APHIS OFFICIAL (Title): Director, Investigative and Enforcement Services	DATE ISSUED: 10/24/2017 TELEPHONE NUMBER: (301) 851-2948

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UNITED STATES DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE

USDA
OFFICIAL WARNING
NOTICE OF ALLEGED VIOLATION

CASE NUMBER:
KS160001-AC

ALLEGED VIOLATOR:
City of Clay Center

ADDRESS (City, State, ZIP Code):
Clay Center, KS 67432

The U.S. Department of Agriculture has evidence that on or about the date(s) listed below, you or your organization committed the following alleged violation(s) of Federal laws:

Date of Alleged Violation: September 26, 2015

9 C.F.R. § 2.1(a)(1) Requirements and application.

(a)(1) Any person operating or intending to operate as a dealer, exhibitor, or operator of an auction sale, except persons who are exempted from the licensing requirements under paragraph (a)(3) of this section, must have a valid license. A person must be 18 years of age or older to obtain a license. A person seeking a license shall apply on a form which will be furnished by the AC Regional Director in the State in which that person operates or intends to operate. The applicant shall provide the information requested on the application form, including a valid mailing address through which the licensee or applicant can be reached at all times, and a valid premises address where animals, animal facilities, equipment, and records may be inspected for compliance. The applicant shall file the completed application form with the AC Regional Director.

You failed to obtain a valid USDA license before operating as an exhibitor.

Date of Violation: September 26, 2015

9 C.F.R. § 2.10 Licensees whose licenses have been suspended or revoked.

(a) Any person whose license has been suspended for any reason shall not be licensed in his or her own name or in any other manner within the period during which the order of suspension is in effect. No partnership, firm, corporation, or other legal entity in which any such person has a substantial interest, financial or otherwise, will be licensed during that period. Any person whose license has been suspended for any reason may apply to the AC Regional Director, in writing, for reinstatement of his or her license. No license will be renewed during the period that it is suspended. Renewal of the license may be initiated during the suspension in accordance with §§ 2.2(b) and 2.12.

(b) Any person whose license has been revoked shall not be licensed in his or her own name or in any other manner; nor will any partnership, firm, corporation, or other legal entity in which any such person has a substantial interest, financial or otherwise, be licensed.

(c) Any person whose license has been suspended or revoked shall not buy, sell,

transport, exhibit, or deliver for transportation, any animal during the period of suspension or revocation

You failed to operate as an exhibitor with a valid license. A Consent Decision, issued on August 17, 2015, suspended your exhibitor license on September 8, 2015 for a period of one month, continuing thereafter until such time as compliance was achieved. During this suspension period, you exhibited ring-tailed lemurs in the courthouse square for Piotique.

Date of Violation: October 8, 2015

9 C.F.R. § 2.40(b)(2) Attending veterinarian and adequate veterinary care (dealers and exhibitors).

(b) Each dealer or exhibitor shall establish and maintain programs of adequate veterinary care that include:

(2) The use of appropriate methods to prevent, control, diagnose, and treat diseases and injuries.

You failed to provide adequate veterinary care and use appropriate methods to prevent, control, diagnose, and treat diseases and injuries.

- 1) A doe that had been nursing two fawns was thin with visible ribs and prominent hipbones and vertebrae.
- 2) Three chipmunks had various wounds to include thinning rough coat, a large scab on the back of the neck, missing portions of ears, a large scar on the head, and a missing portion of the tail.

Date of Violation: October 8, 2015

9 C.F.R. § 3.84(d) Cleaning, sanitization, housekeeping, and pest control.

(d) Pest control. An effective program for control of insects, external parasites affecting nonhuman primates, and birds and mammals that are pests, must be established and maintained so as to promote the health and well-being of the animals and reduce contamination by pests in animal areas.

You failed to implement an effective program for the control of insects and pests. The outdoor enclosure for four Japanese macaques and the indoor enclosure for two ring-tailed lemurs had excessive flies. The indoor enclosure for two ring-tailed lemurs also had rodent feces on the floor around it.



The Animal and Plant Health Inspection Service (APHIS) published federal regulations to ensure the welfare of animals and help prevent the spread of animal and plant pests and diseases. Since violations of the regulations can have serious and costly impacts that are detrimental to the public interest, APHIS is providing you with an Official Warning for the alleged violation(s) described above. This Official Warning is not to be construed as a final agency action, or as an adjudicated finding of a violation. If APHIS obtains evidence of any future violation of these federal regulations, APHIS may pursue civil penalties, criminal prosecution, or other sanctions for this alleged violation(s) and for any future violation(s). If you have any questions concerning this Official Warning or alleged violation(s), please contact the APHIS official listed in this notice.

APHIS OFFICIAL (Name): Steven M. Bennett	OFFICE ADDRESS: 4700 River Road, Unit 85 Riverdale, MD 20737	
APHIS OFFICIAL (Title): Director, Investigative and Enforcement Services	DATE ISSUED: 10/26/2017	TELEPHONE NUMBER: (301) 851-2948

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Previous editions may be used

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UNITED STATES DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE

USDA
OFFICIAL WARNING
NOTICE OF ALLEGED VIOLATION

CASE NUMBER:
(b) (6), (b) (7)(C)
ALLEGED VIOLATOR:
(b) (6), (b) (7)(C)
ADDRESS (City, State, ZIP Code):
(b) (6), (b) (7)(C)

The U.S. Department of Agriculture has evidence that on or about the date(s) listed below, you or your organization committed the following alleged violation(s) of Federal laws:

Date of Alleged Violation: (b) (6), (b) (7)(C) 2016, (b) (6), (b) (7)(C) 2016, (b) (6), (b) (7)(C) 2016, (b) (6), (b) (7)(C) 2016 and (b) (6), (b) (7)(C) 2017

9 C.F.R. § 2.40(b)(2) Attending veterinarian and adequate veterinary care (dealers and exhibitors.

You failed to provide adequate veterinary care to prevent, control, diagnose and treat disease and injuries. APHIS officials observed the following:

- (1) One (1) female Golden Retriever that was very thin and lost six (6) of eleven (11) puppies in her current litter,
- (2) One (1) Yorkshire Terrier exhibiting hair loss, scabs, scratches, ocular discharge, and dental issues,
- (3) One (1) Yorkshire Terrier exhibiting discharge from the left ear canal,
- (4) One (1) Golden Retriever exhibiting wounds, blood tinged discharge, thick yellow discharge, and hairless skin,
- (5) One (1) Husky exhibiting hairless, thickened pink skin that was moist and tinged with blood, and
- (6) One (1) German Shepherd exhibiting a creamy discharge around the right eye.

Date of Violation: (b) (6), (b) (7)(C) 2015 and (b) (6), (b) (7)(C) 2017

9 C.F.R. § 3.1(a) Housing facilities, general.

You failed to maintain housing facilities that are structurally sound. APHIS officials observed the following:

- (1) Two (2) unfilled dirt holes that exposed the holes in buried panels, holes along the primary enclosure fence and holes along the side of a dog shelter.
- (2) The front side of a dog shelter had a hole chewed along the opening of a shelter structure
- (3) In the northwest enclosure, a section of the enclosure panel that was pushed away creating a gap between the panel and the concrete slab that could trap a dog and cause injury.

Date of Violation: (b) (6), (b) (7)(C) 2016

9 C.F.R. § 3.1(f) Housing facilities, general.

You failed to provide regular disposal of water in a manner to minimize contamination and disease risks. The West kennel building was not equipped with two (2) wash-downs o to prevent standing water and an accumulation of food and animal wastes.

Date of Violation: (b) (6), (b) (7)(C) 2016 and (b) (6), (b) (7)(C) 2017

9 C.F.R. § 3.6(a)(2)(x) Primary enclosures.

You failed to construct and maintain primary enclosures for dogs. The elevated mesh flooring in one (1) enclosure in a manner that does not allow the feet and legs of the enclosed litter of puppies to fall through.

Date of Violation: (b) (6), (b) (7)(C) 2015

9 C.F.R. § 3.6(a)(2)(xii) Primary enclosures.

You failed to construct and maintain primary enclosures for dogs. You failed to replace the wire flooring in at least four (4) elevated enclosures in which at least 30% of the plastic coating has worn off.

Date of Violation: (b) (6), (b) (7)(C) 2017

9 C.F.R. § 3.6(c)(1)(ii) Primary enclosures.

You failed to provide adequate floor space in animal enclosures. APHIS officials observed one (1) enclosure housing a litter of nine (9) puppies.

Date of Violation: (b) (6), (b) (7)(C) 2015

9 C.F.R. § 3.9(b) Feeding.

You failed to clean and sanitize food receptacles. APHIS officials observed at least twelve (12) food receptacles that had a build-up of food residue, dirt, and oils.

Date of Violation: (b) (6), (b) (7)(C) 2016

9 C.F.R. § 3.10 Watering

You failed to clean and sanitize water receptacles. APHIS officials observed at least five (5) water receptacles with an accumulation of dirt at the bottom.

Date of Violation: (b) (6), (b) (7)(C) 2015, (b) (6), (b) (7)(C) 2016, and (b) (6), (b) (7)(C) 2016

9 C.F.R. § 3.11(a) Cleaning, sanitization, housekeeping, and pest control.



You failed to remove excreta and food waste to prevent excessive accumulation of feces and food waste to reduce disease hazards, insects, pests and odors. You failed to remove feces of one (1) enclosure on a daily basis.



The Animal and Plant Health Inspection Service (APHIS) published federal regulations to ensure the welfare of animals and help prevent the spread of animal and plant pests and diseases. Since violations of the regulations can have serious and costly impacts that are detrimental to the public interest, APHIS is providing you with an Official Warning for the alleged violation(s) described above. This Official Warning is not to be construed as a final agency action, or as an adjudicated finding of a violation. If APHIS obtains evidence of any future violation of these federal regulations, APHIS may pursue civil penalties, criminal prosecution, or other sanctions for this alleged violation(s) and for any future violation(s). If you have any questions concerning this Official Warning or alleged violation(s), please contact the APHIS official listed in this notice.

APHIS OFFICIAL (Name): Steven M. Bennett	OFFICE ADDRESS: 4700 River Road, Unit 85 Riverdale, MD 20737	
APHIS OFFICIAL (Title): Director, Investigative and Enforcement Services	DATE ISSUED: 10/26/2017	TELEPHONE NUMBER: (301) 851-2948

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UNITED STATES DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE

USDA
OFFICIAL WARNING
NOTICE OF ALLEGED VIOLATION

CASE NUMBER:
LA150005-AC

ALLEGED VIOLATOR:
Louisiana Purchase
Gardens and Zoo/City of
Monroe

ADDRESS (City, State, ZIP Code):
Monroe, Louisiana 71210

The U.S. Department of Agriculture has evidence that on or about the date(s) listed below, you or your organization committed the following alleged violation(s) of Federal laws:

Date of Alleged Violation: February 24, 2014

9 C.F.R. § 3.75(c)(1) Housing facilities, general. Surfaces, general requirements. The surfaces of housing facilities – including perches, shelves, swings, boxes, houses, dens, and other furniture-type fixtures or objects within the facility – must be constructed in a manner and made of materials that allow them to be readily cleaned and sanitized, or removed or replaced when worn or soiled. Furniture-type fixtures or objects must be sturdily constructed and must be strong enough to provide for the safe activity and welfare of nonhuman primates. Floors may be made of dirt, absorbent bedding, sand, gravel, grass, or other similar material that can be readily cleaned, or can be removed or replaced whenever cleaning does not eliminate odors, diseases, pests, insects, or vermin. Any surfaces that come in contact with nonhuman primates must: (i) be free of excessive rust that prevents the required cleaning and sanitization, or that affects the structural strength of the surface; and (ii) be free of jagged edges or sharp points that might injure the animals.

You failed to properly maintain housing facilities. APHIS officials observed wooden primate enclosures with rotting wood, wood with areas where paint was worn away and wire/metal areas with varying degrees of rust.

Date of Violation: February 24, 2014

9 C.F.R. § 3.125(a) Facilities, general. Structural strength.

The facility must be constructed of such material and of such strength as appropriate for the animals involved. The indoor and outdoor housing facilities shall be structurally sound and shall be maintained in good repair to protect the animals from injury and to contain the animals.

You failed to provide a structurally sound facility. APHIS officials observed mammal enclosures with varying degrees of rust on doors, cage furniture, cage walls, and enclosure fences.



Date of Violation: February 24, 2014

9 C.F.R. § 3.131(c) Sanitation. Housekeeping.

Premises (buildings and grounds) shall be kept clean and in good repair in order to protect the animals from injury and to facilitate the prescribed husbandry practices set forth in this subpart. Accumulations of trash shall be placed in designated areas and cleared as necessary as directed by the attending veterinarian.

You failed to keep premises clean and in good repair. APHIS officials observed the following:

- 1) Paint peeling from the ceiling in the cooler and dry feed storage room,
- 2) Peeling paint and sealer on the floor,
- 3) Rusted metal shelves holding clean food containers, and
- 4) Wooden shelves holding clean food containers and utensils that were falling apart or covered with old, dirty, shelf paper.

Date of Violation: March 9, 2015

9 C.F.R. § 3.81(a)(3) Environment enhancement to promote psychological well-being. Social grouping.

Dealers, exhibitors, and research facilities must develop, document, and follow an appropriate plan for environment enhancement adequate to promote the psychological well-being of nonhuman primates. The plan must be in accordance with the currently accepted professional standards as cited in appropriate professional journals or reference guides, and as directed by the attending veterinarian. This plan must be made available to APHIS upon request, and, in the case of research facilities, to officials of any pertinent funding agency. The plan, at a minimum, must address each of the following: Nonhuman primates may not be housed with other species of primates or animals unless they are compatible, do not prevent access to food, water, or shelter by individual animals, and are not known to be hazardous to the health and well-being of each other. Compatibility of nonhuman primates must be determined in accordance with generally accepted professional practices and actual observations, as directed by the attending veterinarian, to ensure that the nonhuman primates are in fact compatible. Individually housed nonhuman primates must be able to see and hear nonhuman primates of their own or compatible species unless the attending veterinarian determines that it would endanger their health, safety, or well-being.

You failed to follow an appropriate plan to promote the psychological well-being of a nonhuman primate. A gibbon was housed without access to other nonhuman primates.



The Animal and Plant Health Inspection Service (APHIS) published federal regulations to ensure the welfare of animals and help prevent the spread of animal and plant pests and diseases. Since violations of the regulations can have serious and costly impacts that are detrimental to the public interest, APHIS is providing you with an Official Warning for the alleged violation(s) described above. This Official Warning is not to be construed as a final agency action, or as an adjudicated finding of a violation. If APHIS obtains evidence of any future violation of these federal regulations, APHIS may pursue civil penalties, criminal prosecution, or other sanctions for this alleged violation(s) and for any future violation(s). If you have any questions concerning this Official Warning or alleged violation(s), please contact the APHIS official listed in this notice.

APHIS OFFICIAL (Name): Steven M. Bennett	OFFICE ADDRESS: 4700 River Road, Unit 85 Riverdale, MD 20737	
APHIS OFFICIAL (Title): Director, Investigative and Enforcement Services	DATE ISSUED: 10/26/2017	TELEPHONE NUMBER: (301) 851-2948

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UNITED STATES DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE



**OFFICIAL WARNING
NOTICE OF ALLEGED VIOLATION**

CASE NUMBER:

(b) (6), (b) (7)(C)

VIOULATOR:

(b) (6), (b) (7)(C)

ADDRESS (City, State):

(b) (6), (b) (7)(C)

The Animal and Plant Health Inspection Service (APHIS) has evidence that on or about [REDACTED] (b) (6), (b) (7)(C) 2017, (b) (6), (b) (7)(C) 2017 and [REDACTED] (b) (6), (b) (7)(C) 2016, you failed to comply with the regulations issued under the Animal Welfare Act (7 U.S.C. § 2131 *et seq.*) (AWA), as documented in the attached inspection report(s).

APHIS published Federal regulations to ensure the welfare of animals and help prevent the spread of animal and plant pests and diseases. Since violations of the regulations can have serious and costly impacts that are detrimental to animals and the public interest, APHIS is providing you with this Official Warning. This Official Warning is not to be construed as a final agency action or an adjudicated finding of a violation. If APHIS obtains evidence of any violation of these Federal regulations in the future, APHIS may pursue civil penalties and other sanctions for these alleged violations and for any future violations. If you have any questions concerning this Official Warning, please contact the APHIS office telephone number listed in this notice.

APHIS OFFICIAL (Name):

Gerald Rushin

OFFICE ADDRESS:

4700 River Road
Riverdale, MD 30737

APHIS OFFICIAL (TITLE):

Assistant Deputy Administrator
Animal Care

DATE ISSUED:

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TELEPHONE NO:

(970) 494-7478

CERTIFIED MAIL RECEIPT NO:

(b) (6), (b) (7)(C)

APHIS FORM 7060

Previous editions may be used

Rev. March 2017

UNITED STATES DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE



CASE NUMBER:

(b) (6), (b) (7)(C)

ALLEGED VIOLATOR:

(b) (6), (b) (7)(C)

ADDRESS (City, State, ZIP Code):

(b) (6), (b) (7)(C)

The U.S. Department of Agriculture has evidence that on or about the date(s) listed below, you or your organization committed the following alleged violation(s) of Federal laws:

Date of Alleged Violation (b) (6), (b) (7)(C) 2013 - (b) (6), (b) (7)(C) 2013

9 C.F.R. § 2.33(b)(2) Attending veterinarian and adequate veterinary care.

Each research facility shall establish and maintain programs of adequate veterinary care that include:

The use of appropriate methods to prevent, control, diagnose, and treat diseases and injuries, and the availability of emergency, weekend, and holiday care.

(b) (6), (b) (7)(C) (b) (6), (b) (7)(C) failed to use appropriate methods to prevent, control, diagnose, and treat diseases and injuries for three rabbits used in protocol 13-028. (b) (6), (b) (7)(C) failed to monitor the weight loss of the rabbits, a possible indicator of pain or distress. (b) (6), (b) (7)(C) discovered one rabbit dead and euthanized a second rabbit that suffered injuries from other rabbits. (b) (6), (b) (7)(C) continued using a third rabbit that suffered a luxating patella, but received only two days of treatment.

Date of Violation: (b) (6), (b) (7)(C) 2013

9 C.F.R. § 2.75(b)(1) Records: Dealers and exhibitors.

Every dealer other than operators of auction sales and brokers to whom animals are consigned, and exhibitor shall make, keep, and maintain records or forms which fully and correctly disclose the following information concerning animals other than dogs and cats, purchased or otherwise acquired, owned, held, leased, or otherwise in his or her possession or under his or her control, or which is transported, sold, euthanized, or otherwise disposed of by that dealer or exhibitor. The records shall include any offspring born of any animal while in his or her possession or under his or her control.

(b) (6), (b) (7)(C) failed to maintain acquisition records for 13 goats, purchased on October 22, 2013, from a source unlicensed by USDA. (b) (6), (b) (7)(C) did not maintain record of the individual identifiable information for the source of the goats.

Date of Violation: (b) (6), (b) (7)(C) 2013

9 C.F.R. § 3.125(a) Facilities, general. Structural strength.

The facility must be constructed of such material and of such strength as appropriate for the animals involved. The indoor and outdoor housing facilities shall be structurally sound and shall be maintained in good repair to protect the animals from injury and to contain the animals.

(b) (6), (b) (7)(C) failed to maintain enclosures in a manner that protected animals from possible injury. The shelter housing 39 sheep at location 91, pasture 6 had rusted metal siding with sharp edges that caused the risk of injury or ingestion to the animals. The shelter's interior had a hole in the wood, with rough edges and exposed plastic.

Date of Violation: (b) (6), (b) (7)(C) 2013

9 C.F.R. § 3.131(d) Sanitation. Pest Control.

A safe and effective program for the control of insects, ectoparasites, and avian and mammalian pests shall be established and maintained.

(b) (6), (b) (7)(C) failed to maintain an effective pest control program. Building F had accumulations of rodent feces on top of the feed container and window sills. Animal Care (AC) Inspectors observed a mouse near the feed container and saw holes chewed through one of the building's screens.

Date of Violation: (b) (6), (b) (7)(C) 2014 and (b) (6), (b) (7)(C), 2014

9 C.F.R. § 2.31(c)(7) Institutional Animal Care and Use Committee (IACUC). IACUC functions. With respect to activities involving animals, the IACUC, as an agent of the research facility, shall:

Review and approve, require modifications in (to secure approval), or withhold approval of those components of proposed activities related to the care and use of animals, as specified in paragraph (d) of this section.

The IACUC failed to review and approve a modification to protocol 13-009. The approved protocol directed that the 11 sheep undergoing bone marrow collection surgery receive the post-operative pain medication, Buprenorphine, every four to six hours following surgery. None of the 11 sheep received the pain medication. The day after surgery, three sheep (#5160, #5165, #B3751,) had swelling at the surgery site and/or mild lameness, possible indications of pain or discomfort.

Date of Violation: (b) (6), (b) (7)(C) 2014 (b) (6), (b) (7)(C) 2014

9 C.F.R. § 2.31(d)(1)(iv)(A) Institutional Animal Care and Use Committee (IACUC). IACUC review of activities involving animals.

Procedures that may cause more than momentary or slight pain or distress to the animals will:

Be performed with appropriate sedatives, analgesics or anesthetics, unless withholding

such agents is justified for scientific reasons, in writing, by the principal investigator and will continue for only the necessary period of time.

(b) (6), (b) (7)(C) failed to monitor sheep during thoracotomy surgery for protocol 14-004 to ensure that they received sufficient levels of anesthesia and were not in pain. (b) (6), (b) (7)(C) placed the animals on cardiac bypass and used paralytics for the surgery, rendering monitoring pain levels through heart rate and blood pressure ineffective since the cardiac bypass monitors controlled the heart and blood pressure during the procedure.

Date of Violation: (b) (6), (b) (7)(C) 2014 and (b) (6), (b) (7)(C) 2014

9 C.F.R. § 2.33(b)(4) Attending veterinarian and adequate veterinary care.

Each research facility shall establish and maintain programs of adequate veterinary care that include:

Guidance to principal investigators and other personnel involved in the care and use of animals regarding handling, immobilization, anesthesia, analgesia, tranquilization, and euthanasia.

The attending veterinarian failed to provide adequate guidance to the principal investigator and (b) (6), (b) (7)(C) personnel on the proper use of paralytic drugs used during thoracic surgeries for protocol 14-004. Surgery records for protocol 14-004 showed that three sheep (#B3379, #B3382, and #B3386) exhibited signs of pain, including kicking and increased heart rate and blood pressure, while being administered a paralytic drug multiple times during surgery. In addition, one of these sheep (#3386) received a medication that was not specified in the protocol.

Date of Violation: (b) (6), (b) (7)(C) 2015 – (b) (6), (b) (7)(C) 2015

9 C.F.R. § 2.31(c)(7) Institutional Animal Care and Use Committee (IACUC). IACUC functions. With respect to activities involving animals, the IACUC, as an agent of the research facility, shall:

Review and approve, require modifications in (to secure approval), or withhold approval of those components of proposed activities related to the care and use of animals, as specified in paragraph (d) of this section.

The IACUC failed to review and approve a modification to protocol 15-001. The approved protocol allowed the use of 10 swine for a non-survival surgery involving the spleen. Five of the swine (#B3465, #B3466, #B3467, #B3468, #G4474) underwent a non-survival surgery involving the liver rather than the spleen. The modified surgery was the same surgery performed on 11 swine in an earlier protocol (13-035) by the same principal investigator.

Date of Violation: (b) (6), (b) (7)(C) 2015

9 C.F.R. § 2.31(d)(1)(iv)(A) Institutional Animal Care and Use Committee (IACUC). IACUC review of activities involving animals.

Procedures that may cause more than momentary or slight pain or distress to the animals will:

Be performed with appropriate sedatives, analgesics, or anesthetics, unless withholding

such agents is justified for scientific reasons, in writing, by the principal investigator and will continue for only the necessary period of time.

The IACUC approved two protocols (#15-006 and #15-007) that failed to specify how sheep would be monitored for sufficient levels of anesthesia and analgesia during cardiac bypass surgery using paralytics. AC Inspectors previously requested on a similar protocol that additional monitoring methods be specified because heart rate and blood pressure were controlled by the cardiac bypass and could not be used to measure pain.

Date of Violation: (b) (6), (b) (7)(C) 2015

9 C.F.R. § 2.31(c)(7) Institutional Animal Care and Use Committee (IACUC). IACUC functions. With respect to activities involving animals, the IACUC, as an agent of the research facility, shall:

Review and approve, require modifications in (to secure approval), or withhold approval of those components of proposed activities related to the care and use of animals, as specified in paragraph (d) of this section.

The IACUC failed to review and approve a modification to protocol 15-001. The approved protocol called for a surgical procedure to make 8 defects to the spleens of 10 swine. Two of the swine, (#04445 and #04446) underwent surgical procedures that involved making 10 rather than 8 defects to the spleen.

Date of Violation: (b) (6), (b) (7)(C) 2015 – (b) (6), (b) (7)(C) 2015

9 C.F.R. § 2.31(c)(7) Institutional Animal Care and Use Committee (IACUC). IACUC functions. With respect to activities involving animals, the IACUC, as an agent of the research facility, shall:

Review and approve, require modifications in (to secure approval), or withhold approval of those components of proposed activities related to the care and use of animals, as specified in paragraph (d) of this section.

The IACUC failed to review and approve a modification to protocols 15-006 and 15-007. The approved protocols directed that the sheep receive post-operative pain medication, Buprenorphine, every 6 to 12 hours for three days. Seven of the sheep used in the protocols (#G4707, #G4708, #G4711, #G4702, #G4703, #G4706, and #G4713) received the drug once daily. One of the sheep (#G4705) received the drug twice on the first day and then once daily on the second and third days.

Date of Violation: (b) (6), (b) (7)(C) 2015 – (b) (6), (b) (7)(C) 2015

9 C.F.R. § 2.33(b)(5) Attending veterinarian and adequate veterinary care.

Each research facility shall establish and maintain programs of adequate veterinary care that include:

Adequate pre-procedural and post procedural care in accordance with current established veterinary medical and nursing procedures.

(b) (6), (b) (7)(C) failed to provide adequate post procedural care as directed in protocols 15-006 and 15-007. The protocols specified that sheep receive post-operative pain medication, Buprenorphine, for three days and Ketofen for 5 days after surgery. In addition, sheep with elevated pain scores of two or more were to receive additional pain medication. Two sheep in study 15-006 (#G4707 and #G4711) and two sheep in study 15-007 (#G4706 and #G4702) had elevated pain scores of two or more, but did not receive additional pain medications as needed.

Date of Violation: (b) (6), (b) (7)(C) 2015

9 C.F.R. § 3.125(a) Facilities, general. Structural strength.

The facility must be constructed of such material and of such strength as appropriate for the animals involved. The indoor and outdoor housing facilities shall be structurally sound and shall be maintained in good repair to protect the animals from injury and to contain the animals.

(b) (6), (b) (7)(C) failed to maintain enclosures in structurally sound condition. The shelter in Alan Front 7 pasture, housing 14 sheep, had rotted plywood with jagged edges on an interior wall. The shelter for the Left Horse Paddock 5 pasture, housing 16 sheep, had rotted plywood with jagged edges on an interior wall. The shelter for Patterson's Field 3 pasture, housing 41 goats, had a metal surface with rusted, sharp edges. In addition, this shelter's rain gutter was not securely attached.

The Animal and Plant Health Inspection Service (APHIS) published federal regulations to ensure the welfare of animals and help prevent the spread of animal and plant pests and diseases. Since violations of the regulations can have serious and costly impacts that are detrimental to the public interest, APHIS is providing you with an Official Warning for the alleged violation(s) described above. This Official Warning is not to be construed as a final agency action, or as an adjudicated finding of a violation. If APHIS obtains evidence of any future violation of these federal regulations, APHIS may pursue civil penalties, criminal prosecution, or other sanctions for this alleged violation(s) and for any future violation(s). If you have any questions concerning this Official Warning or alleged violation(s), please contact the APHIS official listed in this notice.

APHIS OFFICIAL (Name): Steven M. Bennett	OFFICE ADDRESS: 4700 River Road, Unit 85 Riverdale, MD 20737	
APHIS OFFICIAL (Title): Director, Investigative and Enforcement Services	DATE ISSUED: 10/2/2017	TELEPHONE NUMBER: (301) 851-2948



UNITED STATES DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE

USDA
OFFICIAL WARNING
NOTICE OF ALLEGED VIOLATION

CASE NUMBER:

(b) (6), (b) (7)(C)

ALLEGED VIOLATOR:

(b) (6), (b) (7)(C)

ADDRESS (City, State, ZIP Code):

(b) (6), (b) (7)(C)

The U.S. Department of Agriculture has evidence that on or about the date(s) listed below, you or your organization committed the following alleged violation(s) of Federal laws:

Date of Alleged Violation (b) (6), (b) (7)(C) 2012 to (b) (6), (b) (7)(C) 2016

9 C.F.R. § 2.1(a)(1) Requirements and application:

Any person operating or intending to operate as a dealer, exhibitor, or operator of an auction sale, except persons who are exempted from the licensing requirements under paragraph (a)(3) of this section, must have a valid license. A person must be 18 years of age or older to obtain a license. A person seeking a license shall apply on a form which will be furnished by the AC Regional Director in the State in which that person operates or intends to operate. The applicant shall provide the information requested on the application form, including a valid mailing address through which the licensee or applicant can be reached at all times, and a valid premises address where animals, animal facilities, equipment, and records may be inspected for compliance. The applicant shall file the completed application form with the AC Regional Director.

You failed to obtain a valid USDA license prior to transporting animals in commerce. You operated a website that facilitated the import and sale of puppies/dogs without a USDA license.



The Animal and Plant Health Inspection Service (APHIS) published federal regulations to ensure the welfare of animals and help prevent the spread of animal and plant pests and diseases. Since violations of the regulations can have serious and costly impacts that are detrimental to the public interest, APHIS is providing you with an Official Warning for the alleged violation(s) described above. This Official Warning is not to be construed as a final agency action, or as an adjudicated finding of a violation. If APHIS obtains evidence of any future violation of these federal regulations, APHIS may pursue civil penalties, criminal prosecution, or other sanctions for this alleged violation(s) and for any future violation(s). If you have any questions concerning this Official Warning or alleged violation(s), please contact the APHIS official listed in this notice.

APHIS OFFICIAL (Name): Steven M. Bennett	OFFICE ADDRESS: 4700 River Road, Unit 85 Riverdale, MD 20737	
APHIS OFFICIAL (Title): Director, Investigative and Enforcement Services	DATE ISSUED: 10/18/2017	TELEPHONE NUMBER: (301) 851-2948

APHIS FORM 7060

Previous editions may be used

Rev. 9-13-16

UNITED STATES DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE

USDA
OFFICIAL WARNING
NOTICE OF ALLEGED VIOLATION

CASE NUMBER:	(b) (6), (b) (7)(C)
ALLEGED VIOLATOR:	(b) (6), (b) (7)(C)
ADDRESS (City, State, ZIP Code):	(b) (6), (b) (7)(C)

The U.S. Department of Agriculture has evidence that on or about the date(s) listed below, you or your organization committed the following alleged violation(s) of Federal laws:

Date of Alleged Violation (b) (6), (b) (7)(C) 2015

9 C.F.R. § 2.40(b)(2) Attending veterinarian and adequate veterinary care (dealers and exhibitors).

- b) Each dealer or exhibitor shall establish and maintain programs of adequate veterinary care that include:
- (2) The use of appropriate methods to prevent, control, diagnose, and treat diseases and injuries, and the availability of emergency, weekend, and holiday care.

You failed to establish and maintain a program of adequate veterinary care and use appropriate methods to prevent, control, diagnose, and treat diseases and injuries.

- 1) A female hedgehog with a swollen area on the side and underneath her lower right jaw, a red spot in the center of the swollen area and a lower lip that appeared to be reddened.
- 2) A male hedgehog was wobbly on its feet, then fell and failed to get up. The hedgehog's legs and body were trembling and/or shaking and he appeared thin.

Date of Violation: (b) (6), (b) (7)(C) 2015

9 C.F.R. § 2.40(b)(2) Attending veterinarian and adequate veterinary care (dealers and exhibitors).

- b) Each dealer or exhibitor shall establish and maintain programs of adequate veterinary care that include:
- (2) The use of appropriate methods to prevent, control, diagnose, and treat diseases and injuries, and the availability of emergency, weekend, and holiday care
- (3) Daily observation of all animals to assess their health and well-being; Provided, however, that daily observation of animals may be accomplished by someone other than the attending veterinarian; and Provided, further, That a mechanism of direct and

frequent communication is required so that timely and accurate information on problems of animal health, behavior, and well-being is conveyed to the attending veterinarian.

You failed to establish and maintain a program of adequate veterinary care and use appropriate methods to prevent, control, diagnose, and treat diseases and injuries, and to convey timely and accurate information on problems of animal health to the attending veterinarian. There was a female marmoset with missing hair on the upper 1 ½ inches near the base of the tail, the lower half of the tail appeared short and broken off/barbered. Although aware of the condition of the marmoset's tail, you had not consulted with the attending veterinarian.



The Animal and Plant Health Inspection Service (APHIS) published federal regulations to ensure the welfare of animals and help prevent the spread of animal and plant pests and diseases. Since violations of the regulations can have serious and costly impacts that are detrimental to the public interest, APHIS is providing you with an Official Warning for the alleged violation(s) described above. This Official Warning is not to be construed as a final agency action, or as an adjudicated finding of a violation. If APHIS obtains evidence of any future violation of these federal regulations, APHIS may pursue civil penalties, criminal prosecution, or other sanctions for this alleged violation(s) and for any future violation(s). If you have any questions concerning this Official Warning or alleged violation(s), please contact the APHIS official listed in this notice.

APHIS OFFICIAL (Name): Steven M. Bennett	OFFICE ADDRESS: 4700 River Road, Unit 85 Riverdale, MD 20737	
APHIS OFFICIAL (Title): Director, Investigative and Enforcement Services	DATE ISSUED: 10/18/2017	TELEPHONE NUMBER: (301) 851-2948

APHIS FORM 7060

Previous editions may be used

Rev. 9-13-16



UNITED STATES DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE

USDA
OFFICIAL WARNING
NOTICE OF ALLEGED VIOLATION

CASE NUMBER:
(b) (6), (b) (7)(C)

ALLEGED VIOLATOR:
(b) (6), (b) (7)(C)

ADDRESS (City, State, ZIP Code):
(b) (6), (b) (7)(C)

The U.S. Department of Agriculture has evidence that on or about the date(s) listed below, you or your organization committed the following alleged violation(s) of Federal laws:

Date of Alleged Violation: **(b) (6), (b) (7)(C) 2015**

9 C.F.R. § 2.1(a)(1) Requirements and application.

(a)(1) Any person operating or intending to operate as a dealer, exhibitor, or operator of an auction sale, except persons who are exempted from the licensing requirements under paragraph (a)(3) of this section, must have a valid license. A person must be 18 years of age or older to obtain a license. A person seeking a license shall apply on a form which will be furnished by the AC Regional Director in the State in which that person operates or intends to operate. The applicant shall provide the information requested on the application form, including a valid mailing address through which the licensee or applicant can be reached at all times, and a valid premises address where animals, animal facilities, equipment, and records may be inspected for compliance. The applicant shall file the completed application form with the AC Regional Director.

You failed to obtain a valid USDA license prior to acting as a dealer for three puppies that were imported into the United States from Korea for resale as pets.

Date of Violation: **(b) (6), (b) (7)(C) 2015**

9 C.F.R. § 2.1(a)(1) Requirements and application.

(a)(1) Any person operating or intending to operate as a dealer, exhibitor, or operator of an auction sale, except persons who are exempted from the licensing requirements under paragraph (a)(3) of this section, must have a valid license. A person must be 18 years of age or older to obtain a license. A person seeking a license shall apply on a form which will be furnished by the AC Regional Director in the State in which that person operates or intends to operate. The applicant shall provide the information requested on the application form, including a valid mailing address through which the licensee or applicant can be reached at all times, and a valid premises address where animals, animal facilities, equipment, and records may be inspected for compliance. The applicant shall file the completed application form with the AC Regional Director.

You failed to obtain a valid USDA license prior to acting as a dealer for one puppy that was imported into the United States from Korea for resale as a pet.

Date of Violation: (b) (6), (b) (7)(C) 2015

9 C.F.R. § 2.1(a)(1) Requirements and application.

(a)(1) Any person operating or intending to operate as a dealer, exhibitor, or operator of an auction sale, except persons who are exempted from the licensing requirements under paragraph (a)(3) of this section, must have a valid license. A person must be 18 years of age or older to obtain a license. A person seeking a license shall apply on a form which will be furnished by the AC Regional Director in the State in which that person operates or intends to operate. The applicant shall provide the information requested on the application form, including a valid mailing address through which the licensee or applicant can be reached at all times, and a valid premises address where animals, animal facilities, equipment, and records may be inspected for compliance. The applicant shall file the completed application form with the AC Regional Director.

You failed to obtain a valid USDA license prior to acting as a dealer for three puppies that were imported into the United States from Korea for resale as pets.

Date of Violation: (b) (6), (b) (7)(C) 2015

9 C.F.R. § 2.151(a)(1)(iii) Certifications.

(a) Required certificates. Except as provided in paragraph (b) of this section, no person shall import a live dog from any part of the world into the continental United States or Hawaii for purposes of resale, research, or veterinary treatment unless the following conditions are met:

- (1) Health certificate. Each dog is accompanied by an original health certificate issued in English by a licensed veterinarian with a valid license to practice veterinary medicine in the country of export that:
- (iii) States that the dog is at least 6 months of age.

You failed to ensure puppies imported into the United States were at least six months of age prior to transport. The Korean Health Certificates accompanying two puppies stated the puppies were born on September 13, 2014 and September 20, 2014 making them five or less months of age.

Date of Violation: (b) (6), (b) (7)(C) 2015

9 C.F.R. § 2.1(a)(1) Requirements and application.

(a)(1) Any person operating or intending to operate as a dealer, exhibitor, or operator of an auction sale, except persons who are exempted from the licensing requirements under paragraph (a)(3) of this section, must have a valid license. A person must be 18 years of age or older to obtain a license. A person seeking a license shall apply on a form which will be furnished by the AC Regional Director in the State in which that person operates or intends to operate. The applicant shall provide the information requested on the application form, including a valid mailing address through which the licensee or applicant can be reached at all times, and a valid premises address where animals, animal facilities, equipment, and records may be inspected for compliance. The applicant shall file the completed application form with the AC Regional Director.

You failed to obtain a valid USDA license prior to acting as a dealer for two puppies that were imported into the United States from Korea for resale as pets.

Date of Violation: (b) (6), (b) (7)(C) 2015

9 C.F.R. § 2.1(a)(1) Requirements and application.

(a)(1) Any person operating or intending to operate as a dealer, exhibitor, or operator of an auction sale, except persons who are exempted from the licensing requirements under paragraph (a)(3) of this section, must have a valid license. A person must be 18 years of age or older to obtain a license. A person seeking a license shall apply on a form which will be furnished by the AC Regional Director in the State in which that person operates or intends to operate. The applicant shall provide the information requested on the application form, including a valid mailing address through which the licensee or applicant can be reached at all times, and a valid premises address where animals, animal facilities, equipment, and records may be inspected for compliance. The applicant shall file the completed application form with the AC Regional Director.

You failed to obtain a valid USDA license prior to acting as a dealer for one puppy that was imported into the United States from Korea for resale as a pet.

Date of Violation: (b) (6), (b) (7)(C) 2015

9 C.F.R. § 2.1(a)(1) Requirements and application.

(a)(1) Any person operating or intending to operate as a dealer, exhibitor, or operator of an auction sale, except persons who are exempted from the licensing requirements under paragraph (a)(3) of this section, must have a valid license. A person must be 18 years of age or older to obtain a license. A person seeking a license shall apply on a form which will be furnished by the AC Regional Director in the State in which that person operates or intends to operate. The applicant shall provide the information requested on the application form, including a valid mailing address through which the licensee or applicant can be reached at all times, and a valid premises address where animals, animal facilities, equipment, and records may be inspected for compliance. The applicant shall file the completed application form with the AC Regional Director.

You failed to obtain a valid USDA license prior to acting as a dealer for one puppy that was imported into the United States from Korea for resale as a pet.

Date of Violation: (b) (6), (b) (7)(C) 2015

9 C.F.R. § 2.1(a)(1) Requirements and application.

(a)(1) Any person operating or intending to operate as a dealer, exhibitor, or operator of an auction sale, except persons who are exempted from the licensing requirements under paragraph (a)(3) of this section, must have a valid license. A person must be 18 years of age or older to obtain a license. A person seeking a license shall apply on a form which will be furnished by the AC Regional Director in the State in which that person operates or intends to operate. The applicant shall provide the information requested on the application form, including a valid mailing address through which the licensee or

applicant can be reached at all times, and a valid premises address where animals, animal facilities, equipment, and records may be inspected for compliance. The applicant shall file the completed application form with the AC Regional Director.

You failed to obtain a valid USDA license prior to acting as a dealer for two puppies that were imported into the United States from Korea for resale as pets.

Date of Violation: (b) (6), (b) (7)(C) 2015

9 C.F.R. § 2.151(a)(1)(iii) Certifications.

(a) Required certificates. Except as provided in paragraph (b) of this section, no person shall import a live dog from any part of the world into the continental United States or Hawaii for purposes of resale, research, or veterinary treatment unless the following conditions are met:

- (1) Health certificate. Each dog is accompanied by an original health certificate issued in English by a licensed veterinarian with a valid license to practice veterinary medicine in the country of export that:
- (iii) States that the dog is at least 6 months of age.

You failed to ensure puppies imported into the United States were at least six months of age prior to transport. The Korean Health Certificates accompanying two puppies stated they were four months of age.

Date of Violation: (b) (6), (b) (7)(C), 2015

9 C.F.R. § 2.1(a)(1) Requirements and application.

(a)(1) Any person operating or intending to operate as a dealer, exhibitor, or operator of an auction sale, except persons who are exempted from the licensing requirements under paragraph (a)(3) of this section, must have a valid license. A person must be 18 years of age or older to obtain a license. A person seeking a license shall apply on a form which will be furnished by the AC Regional Director in the State in which that person operates or intends to operate. The applicant shall provide the information requested on the application form, including a valid mailing address through which the licensee or applicant can be reached at all times, and a valid premises address where animals, animal facilities, equipment, and records may be inspected for compliance. The applicant shall file the completed application form with the AC Regional Director.

You failed to obtain a valid USDA license prior to acting as a dealer for three puppies that were imported into the United States from Korea for resale as pets.

Date of Violation: (b) (6), (b) (7)(C) 2015

9 C.F.R. § 2.151(a)(1)(iii) Certifications.

(a) Required certificates. Except as provided in paragraph (b) of this section, no person shall import a live dog from any part of the world into the continental United States or Hawaii for purposes of resale, research, or veterinary treatment unless the following conditions are met:

- (1) Health certificate. Each dog is accompanied by an original health certificate issued in English by a licensed veterinarian with a valid license to practice veterinary medicine in the country of export that:
- (iii) States that the dog is at least 6 months of age.

You failed to ensure puppies imported into the United States were at least six months of age prior to transport. The Korean Health Certificates accompanying two puppies stated they were four months of age.

Date of Violation: (b) (6), (b) (7)(C) 2016

9 C.F.R. § 2.1(a)(1) Requirements and application.

- (a)(1) Any person operating or intending to operate as a dealer, exhibitor, or operator of an auction sale, except persons who are exempted from the licensing requirements under paragraph (a)(3) of this section, must have a valid license. A person must be 18 years of age or older to obtain a license. A person seeking a license shall apply on a form which will be furnished by the AC Regional Director in the State in which that person operates or intends to operate. The applicant shall provide the information requested on the application form, including a valid mailing address through which the licensee or applicant can be reached at all times, and a valid premises address where animals, animal facilities, equipment, and records may be inspected for compliance. The applicant shall file the completed application form with the AC Regional Director.

You failed to obtain a valid USDA license while acting as a dealer for two puppies that were imported into the United States from Korea for resale as pets.

Date of Violation: (b) (6), (b) (7)(C) 2016

9 C.F.R. § 2.151(a)(1)(iii) Certifications.

- (a) Required certificates. Except as provided in paragraph (b) of this section, no person shall import a live dog from any part of the world into the continental United States or Hawaii for purposes of resale, research, or veterinary treatment unless the following conditions are met:

- (1) Health certificate. Each dog is accompanied by an original health certificate issued in English by a licensed veterinarian with a valid license to practice veterinary medicine in the country of export that:
- (iii) States that the dog is at least 6 months of age.

You failed to ensure puppies imported into the United States were at least six months of age prior to transport. The Korean Health Certificates accompanying two puppies stated they were between five and six months of age.

Date of Violation: (b) (6), (b) (7)(C) 2016

9 C.F.R. § 2.1(a)(1) Requirements and application.

- (a)(1) Any person operating or intending to operate as a dealer, exhibitor, or operator of an auction sale, except persons who are exempted from the licensing requirements under

paragraph (a)(3) of this section, must have a valid license. A person must be 18 years of age or older to obtain a license. A person seeking a license shall apply on a form which will be furnished by the AC Regional Director in the State in which that person operates or intends to operate. The applicant shall provide the information requested on the application form, including a valid mailing address through which the licensee or applicant can be reached at all times, and a valid premises address where animals, animal facilities, equipment, and records may be inspected for compliance. The applicant shall file the completed application form with the AC Regional Director.

You failed to obtain a valid USDA license prior to acting as a dealer for one puppy that was imported into the United States from Korea for resale as a pet.

Date of Violation: (b) (6), (b) (7)(C) 2016

9 C.F.R. § 2.151(a)(1)(iii) Certifications.

(a) Required certificates. Except as provided in paragraph (b) of this section, no person shall import a live dog from any part of the world into the continental United States or Hawaii for purposes of resale, research, or veterinary treatment unless the following conditions are met:

(1) Health certificate. Each dog is accompanied by an original health certificate issued in English by a licensed veterinarian with a valid license to practice veterinary medicine in the country of export that:

(iii) States that the dog is at least 6 months of age.

You failed to ensure a puppy imported into the United States was at least six months of age prior to transport. The Korean Health Certificate accompanying the puppy stated it was four months of age.

Date of Violation: (b) (6), (b) (7)(C) 2016

9 C.F.R. § 2.1(a)(1) Requirements and application.

(a)(1) Any person operating or intending to operate as a dealer, exhibitor, or operator of an auction sale, except persons who are exempted from the licensing requirements under paragraph (a)(3) of this section, must have a valid license. A person must be 18 years of age or older to obtain a license. A person seeking a license shall apply on a form which will be furnished by the AC Regional Director in the State in which that person operates or intends to operate. The applicant shall provide the information requested on the application form, including a valid mailing address through which the licensee or applicant can be reached at all times, and a valid premises address where animals, animal facilities, equipment, and records may be inspected for compliance. The applicant shall file the completed application form with the AC Regional Director.

You failed to obtain a valid USDA license prior to acting as a dealer for two puppies that were imported into the United States from Korea for resale as pets.

Date of Violation: (b) (6), (b) (7)(C) 2016

9 C.F.R. § 2.1(a)(1) Requirements and application.

(a)(1) Any person operating or intending to operate as a dealer, exhibitor, or operator of an auction sale, except persons who are exempted from the licensing requirements under paragraph (a)(3) of this section, must have a valid license. A person must be 18 years of age or older to obtain a license. A person seeking a license shall apply on a form which will be furnished by the AC Regional Director in the State in which that person operates or intends to operate. The applicant shall provide the information requested on the application form, including a valid mailing address through which the licensee or applicant can be reached at all times, and a valid premises address where animals, animal facilities, equipment, and records may be inspected for compliance. The applicant shall file the completed application form with the AC Regional Director.

You failed to obtain a valid USDA license prior to acting as a dealer for one puppy that was imported into the United States from Korea for resale as a pet.

Date of Violation (b) (6), (b) (7)(C) 2016**9 C.F.R. § 2.1(a)(1) Requirements and application.**

(a)(1) Any person operating or intending to operate as a dealer, exhibitor, or operator of an auction sale, except persons who are exempted from the licensing requirements under paragraph (a)(3) of this section, must have a valid license. A person must be 18 years of age or older to obtain a license. A person seeking a license shall apply on a form which will be furnished by the AC Regional Director in the State in which that person operates or intends to operate. The applicant shall provide the information requested on the application form, including a valid mailing address through which the licensee or applicant can be reached at all times, and a valid premises address where animals, animal facilities, equipment, and records may be inspected for compliance. The applicant shall file the completed application form with the AC Regional Director.

You failed to obtain a valid USDA license prior to acting as a dealer for two puppies that were imported into the United States from Korea for resale as pets.

Date of Violation: (b) (6), (b) (7)(C) 2016**9 C.F.R. § 2.151(a)(1)(iii) Certifications.**

(a) Required certificates. Except as provided in paragraph (b) of this section, no person shall import a live dog from any part of the world into the continental United States or Hawaii for purposes of resale, research, or veterinary treatment unless the following conditions are met:

- (1) Health certificate. Each dog is accompanied by an original health certificate issued in English by a licensed veterinarian with a valid license to practice veterinary medicine in the country of export that:
- (iii) States that the dog is at least 6 months of age.

You failed to ensure puppies imported into the United States were at least six months of age prior to transport. The Korean Health Certificates accompanying two puppies stated they were both five months of age.

Date of Violation: (b) (6), (b) (7)(C) 2016

9 C.F.R. § 2.1(a)(1) Requirements and application.

(a)(1) Any person operating or intending to operate as a dealer, exhibitor, or operator of an auction sale, except persons who are exempted from the licensing requirements under paragraph (a)(3) of this section, must have a valid license. A person must be 18 years of age or older to obtain a license. A person seeking a license shall apply on a form which will be furnished by the AC Regional Director in the State in which that person operates or intends to operate. The applicant shall provide the information requested on the application form, including a valid mailing address through which the licensee or applicant can be reached at all times, and a valid premises address where animals, animal facilities, equipment, and records may be inspected for compliance. The applicant shall file the completed application form with the AC Regional Director.

You failed to obtain a valid USDA license prior to acting as a dealer for two puppies that were imported into the United States from Korea for resale as pets.

Date of Violation: (b) (6), (b) (7)(C) 2016

9 C.F.R. § 2.151(a)(1)(iii) Certifications.

(a) Required certificates. Except as provided in paragraph (b) of this section, no person shall import a live dog from any part of the world into the continental United States or Hawaii for purposes of resale, research, or veterinary treatment unless the following conditions are met:

- (1) Health certificate. Each dog is accompanied by an original health certificate issued in English by a licensed veterinarian with a valid license to practice veterinary medicine in the country of export that:
- (iii) States that the dog is at least 6 months of age.

You failed to ensure puppies imported into the United States were at least six months of age prior to transport. The Korean Health Certificates accompanying two puppies stated they were both five months of age.

Date of Violation: (b) (6), (b) (7)(C) 2016

9 C.F.R. § 2.1(a)(1) Requirements and application.

(a)(1) Any person operating or intending to operate as a dealer, exhibitor, or operator of an auction sale, except persons who are exempted from the licensing requirements under paragraph (a)(3) of this section, must have a valid license. A person must be 18 years of age or older to obtain a license. A person seeking a license shall apply on a form which will be furnished by the AC Regional Director in the State in which that person operates or intends to operate. The applicant shall provide the information requested on the application form, including a valid mailing address through which the licensee or applicant can be reached at all times, and a valid premises address where animals, animal facilities, equipment, and records may be inspected for compliance. The applicant shall file the completed application form with the AC Regional Director.



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Date of Violation (b) (6), (b) (7)(C) 2016

9 C.F.R. § 2.151(a)(1)(iii) Certifications.

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- (1) Health certificate. Each dog is accompanied by an original health certificate issued in English by a licensed veterinarian with a valid license to practice veterinary medicine in the country of export that:
- (iii) States that the dog is at least 6 months of age.

You failed to ensure puppies imported into the United States were at least six months of age prior to transport. The Korean Health Certificates accompanying two puppies stated they were both five months of age.

Date of Violation: (b) (6), (b) (7)(C) 2016

9 C.F.R. § 2.1(a)(1) Requirements and application.

(a)(1) Any person operating or intending to operate as a dealer, exhibitor, or operator of an auction sale, except persons who are exempted from the licensing requirements under paragraph (a)(3) of this section, must have a valid license. A person must be 18 years of age or older to obtain a license. A person seeking a license shall apply on a form which will be furnished by the AC Regional Director in the State in which that person operates or intends to operate. The applicant shall provide the information requested on the application form, including a valid mailing address through which the licensee or applicant can be reached at all times, and a valid premises address where animals, animal facilities, equipment, and records may be inspected for compliance. The applicant shall file the completed application form with the AC Regional Director.

You failed to obtain a valid USDA license prior to acting as a dealer for one puppy that was imported into the United States from Korea for resale as a pet.



The Animal and Plant Health Inspection Service (APHIS) published federal regulations to ensure the welfare of animals and help prevent the spread of animal and plant pests and diseases. Since violations of the regulations can have serious and costly impacts that are detrimental to the public interest, APHIS is providing you with an Official Warning for the alleged violation(s) described above. This Official Warning is not to be construed as a final agency action, or as an adjudicated finding of a violation. If APHIS obtains evidence of any future violation of these federal regulations, APHIS may pursue civil penalties, criminal prosecution, or other sanctions for this alleged violation(s) and for any future violation(s). If you have any questions concerning this Official Warning or alleged violation(s), please contact the APHIS official listed in this notice.

APHIS OFFICIAL (Name): Steven M. Bennett	OFFICE ADDRESS: 4700 River Road, Unit 85 Riverdale, MD 20737	
APHIS OFFICIAL (Title): Director, Investigative and Enforcement Services	DATE ISSUED: 10/18/2017	TELEPHONE NUMBER: (301) 851-2948

APHIS FORM 7060

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