



UNDER THE HAMMER

Are Auction Houses in Australia and New Zealand
Contributing to the Demise of Elephants and Rhinos?

September 2016



International Fund for Animal Welfare



LOT NO#

116

Libation
Cup

LOT NO#

116

SOLD AS IS, WHERE IS. ALL SALES FINAL. Thank-you



Photo: © IFAW/D. Willetts

CONTENTS

EXECUTIVE SUMMARY	2
01// INTRODUCTION	5
The Global Elephant and Rhino Poaching Crisis	5
02// THE INVESTIGATION	6
Why an Investigation into Auction Houses?	6
Summary of Methodology	7
03// INVESTIGATION FINDINGS	8
Ivory Lots: October 2014 – June 2015	8
Auction Results	11
Sales by Auction House	12
Rhino Horn Lots: October 2014 – June 2015	17
04// WILDLIFE TRADE RULES AND OBLIGATIONS	18
International Agreements	18
Domestic Legislation and Enforcement	19
Auction House Policies	20
05// A QUESTION OF PROVENANCE	21
The Importance of Provenance	21
Evidence of Provenance in Catalogue Listings	24
Observations at Australian Auctions April – May 2015	26
Auction House Policies, Staff Knowledge and Advice	27
Ivory Auction Results and Provenance Documentation	28
Rhino Horn Auction Results and Provenance Documentation	29
06// CONCLUSIONS	33
07// RECOMMENDATIONS	34
To Auction Houses	34
To Potential Buyers	35
To Governments	35
APPENDIX 1:	36
Summary of Methodology and Protocols Used for this Investigation	36
How the Investigation was Undertaken	36
References and Endnotes	39

EXECUTIVE SUMMARY

African elephants and rhinos are facing an unprecedented crisis. Populations are plummeting across the continent due to astounding levels of poaching; on average, one elephant is killed every 15 minutes for its ivory, and over 1,300 rhinos were killed last year by poachers, up from just 13 in 2007.

No one would mistake the sound of an auctioneer's gavel for a poacher's rifle shot, but the distance between the two is closer than most of us realise. This report provides the results of the first ever investigation into the nature of the auction house trade in elephant ivory and rhino horn in Australia and New Zealand.

Across a nine-month period, IFAW found 2,772 ivory items for sale at 175 auctions in 21 auction houses in Australia and New Zealand. These included carvings, figures, jewellery, walking sticks, billiard cues, picture frames and ivory handled knives, as well as raw and carved tusks.

Seventy eight per cent were sold (where auction results were available).

Thirteen rhino horn items were also found, including raw and carved rhino horn, jewellery and wax seals. A carved rhinoceros horn libation cup sold for AUD\$67,100 and a pair of rhinoceros horns mounted on kauri shield sold for NZD\$38,500.

Only seven of 21 auction houses had written policies on their websites regarding rules or regulations. Only two of these seven made specific mention of trade in endangered species.

Auction houses provided little evidence to support the items they are selling were legally acquired. Only 8% of ivory items for sale were accompanied by provenance documentation (i.e. information regarding the origin, history and authenticity of the item).

SUMMARY OF IVORY ITEMS FOR SALE BY COUNTRY

Country	Auctions investigated	Ivory items for sale	Minimum total sales value*	Highest priced item	Top-sellers by volume and value
Australia	153	2,409	AUD\$635,204	AUD\$30,000 Pair of tusks (Vickers & Hoad)	Leonard Joel Lawsons Mossgreen & Martyn Cook
New Zealand	22	363	NZD\$110,705	NZD\$7,250 Single tusk (Cordy's Fine Arts)	Cordy's Fine Arts Dunbar Sloane

* Total sales value should be viewed conservatively as this represents only the value of items where auction results were available and does not include buyer premiums and taxes.

*Based on information available, as not all auction houses provided sold price information.





Only 7 of 21 auction houses had written policies on their websites regarding rules or regulations.

Only 2 of these 7 made specific mention of trade in endangered species.

This investigation has shown that elephant ivory and rhino horn items are readily available for sale at auction houses across Australia and New Zealand. Demand for these products and final sale prices remain high. Despite the difficulty in distinguishing between legally sourced and illegally sourced ivory and rhino horn, and the existence of international and domestic laws, auction houses provided an astounding lack of information regarding the provenance, authenticity and legality of these items.

In cases where illegal products have managed to enter the domestic market, current legislation and enforcement efforts do not do enough to prevent the domestic trade in these items. While this could be improved, reducing consumer demand for ivory and rhino products will ultimately be key.

To ensure Australia and New Zealand's auction houses are not contributing to the poaching crisis currently devastating Africa's elephants and rhinos, IFAW recommends:

- Auction houses refrain from selling further ivory and rhino horn items, and in the interim, review their policies to ensure proper documentation is provided at the point of sale, staff are trained in relevant laws and policies, and suspect items are reported.
- The public refrain from purchasing ivory and rhino items, to avoid contributing to the continuing demand for such products, and to ensure they are not unwittingly contributing to illegal international trade, and to report any suspect items.
- The Australian and New Zealand governments introduce offence provisions for cases where wildlife products, such as elephant ivory and rhino horn, are offered for sale without the necessary proof of legality, and increase resources for enforcement authorities to prevent illegal trade.

A carved rhinoceros horn libation cup sold for **AUD\$67,100**

A pair of rhinoceros horns mounted on kauri shield sold for **NZD\$38,500**

ONLY 8%



of ivory items for sale were accompanied by provenance documentation



01 // INTRODUCTION

The Global Elephant and Rhino Poaching Crisis

African elephants are facing an unprecedented crisis. Populations are plummeting across the continent due to astounding levels of poaching; out of a total of perhaps half a million animals, scientists estimate that more than 100,000 elephants were killed by poachers between 2010 and 2012 alone – an average of one elephant every 15 minutes.¹ Populations of one subspecies, the African forest elephant, have declined by 65% since 2002, meaning it could be extinct in the wild in a decade if the trend continues.²

The five species of rhinoceros that remain in Africa and Asia may face a similar fate. Fewer than 30,000 rhinos are estimated to be alive today and all are under great pressure from poaching. Poachers have killed at least 5,940 African rhinos since 2008, with at least 1,338 killed in 2015, an increase in poaching for the sixth consecutive year in a row.³ Nearly all of these were poached in South Africa, mostly in the Kruger National Park.⁴

Sadly, despite growing international attention, the massacre shows few signs of stopping. Wildlife trafficking has plagued the African continent in decades past, but the current generation of poachers are increasingly organised and well-armed; many are backed by international criminal syndicates and some are even linked to armed militia and militant groups.⁵

The recent surge in elephant poaching is driven by extraordinary consumer demand for their tusks, which are carved into a variety of objects including jewellery and decorative statues. The past ten years has seen soaring market prices for ivory products, largely due to a growing middle class in China and other Asian countries, where ivory and rhino products are coveted as status symbols, or in the case of rhino horn for purported medicinal benefits, and increasingly as investment vehicles, as species become ever more endangered and their parts and products rarer.

Australia and New Zealand are not immune from contributing to the global problem, both as consumer nations and as transit routes. In the last decade, 322 imported and 79 exported ivory items have been

confiscated by Australian authorities as well as 24 rhino products.⁶ In that time, New Zealand has confiscated 51 imported and 30 exported ivory items and rhino products. In Australia in February 2014, investigators from the Commonwealth Department of Environment, acting on intelligence gathered by the International Fund for Animal Welfare (IFAW), executed two search warrants at the properties of a Sydney-based online trading company, where a large number of carved ivory ornaments and jewellery with an estimated value of AUD\$80,000 were seized.⁷ In April 2015, 110kg of ivory was seized in Perth by customs officers checking an air cargo shipment en route to Malaysia from Malawi.⁸

In December 2015, a man from Napier, New Zealand, was fined NZD\$8,000 for illegally importing a number of elephant ivory items, after investigators executed a warrant at his property, following the interception of a carved elephant tusk at the International Mail Centre in Auckland.⁹ In 2013, an Auckland man pleaded guilty to eight charges in relation to illegal ivory trading and was fined NZD\$12,000.¹⁰

This report provides the results of the first ever investigation into the nature of the auction house trade in elephant ivory and rhino horn in Australia and New Zealand. A particular focus in this study was to investigate the sort of information readily available at auction houses that would assist potential bidders in determining if the ivory and rhino horn lots up for sale were legal.

THE INVESTIGATION

Why an Investigation into Auction Houses?

IFAW has been investigating the trade in wildlife parts and products offered for sale at online auction sites since 2004,¹¹ with Australia and New Zealand online auction sites being investigated in 2014.¹² These investigations naturally led to ‘bricks-and-mortar’ auction houses, with a recent 2014 investigation undertaken by IFAW in the USA revealing widespread concerns in regards to the scale of ivory being auctioned, the suspect nature of a significant proportion of the ivory being sold, and the wider impact on globally threatened elephant and rhino populations.¹³

In November 2014, following a campaign by conservation and animal welfare organisations including IFAW, Humane Society International Australia and Greenpeace¹⁴, Lawsons Auction House (Australia) withdrew a pair of black rhinoceros horns and two pairs of African elephant tusks (one mounted and the other unmounted), from their auction list. These were expected to reach bids of AUD\$70,000, AUD\$70,000 and AUD\$16,000 respectively. In New Zealand, Cordy’s auction house also withdrew a rhino horn after public concern.¹⁵

IFAW wanted to see just what rules (spoken or unspoken) govern real-world auction sales of these grisly totems. This report is the result of months of undercover investigations, data mining, and scrutiny of the Australian and New Zealand auction industries. It indicates that most of the trade in these countries is unfettered by commonsense standards of proof. Simply put, the current system does not include sensible precautions – retailers assume that they are blameless because they have not been required to show otherwise.

No one would mistake the sound of an auctioneer’s gavel for a poacher’s rifle shot, but the distance between the two is closer than most of us realise. Given the difficulties in differentiating legal and illegal elephant and rhino products, legal markets, including those in Australia and New Zealand, offer opportunities for criminals to launder illegal items.

Furthermore, continuing to place substantial monetary value on elephant ivory and rhino horn, regardless of source or origin, perpetuates global demand for such items. While great effort is undertaken to tackle the poachers and traffickers, it is vital that consumers around the world are not driving the demand for elephant tusks, rhino horns and the other tragic commodities that comprise the illegal wildlife trade.

Between 2010 – 12, an average of
**ONE AFRICAN ELEPHANT
KILLED
EVERY**

15
minutes

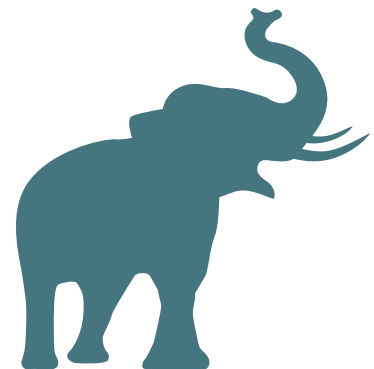




Photo: © IFAW/A. Hafford

Summary of Methodology

Between October 2014 and June 2015, IFAW investigators monitored 175 auctions and previews at 21 auction houses in Australia and New Zealand, specifically looking for elephant ivory and rhino horn lots for sale.

The investigation was conducted in four parts:

1. Retrospective survey of auction house catalogues and websites from 1 October 2014 to 30 April 2015.
2. Prospective survey of auction houses during May and June 2015.
3. Physical attendance by investigators at a selection of auction houses during April and May 2015.
4. Online monitoring of auctions (including live online auctions) during May and June 2015.

This report presents a summary of our findings. Further details of the methodology and protocols used for this investigation are available in Appendix 1 of this report.



03 //

INVESTIGATION FINDINGS

Ivory Lots October 2014 – June 2015

Of 21 auction houses surveyed and 175 auctions examined during the period October 2014 – June 2015, investigators found a total of 1,318 ivory lots* for sale, representing approximately 2,772 items. **Table 1** provides a summary of information collected during the course of the investigation.

In Australia, 153 auctions were investigated, uncovering 1,033 lots, representing approximately 2,409 items. Estimated values for these lots ranged from AUD\$10 – \$70,000 per lot. At the 22 auctions investigated in New Zealand, 285 lots, representing approximately 363 items, with estimated values ranging from NZD\$30 – \$22,000 per lot were discovered.

The majority (64%) of the ivory lots offered for sale during this period were found to be made entirely or mostly of ivory including **carvings and figures, jewellery, okimono (decorative objects) and netsukes (small sculptural objects), and raw and carved tusks**. Items where ivory made up a significant part of the listing (16%) such as walking sticks, billiard cues, utensils and boxes, and items where ivory was only a small component of the piece (19%), frames and ivory handled knives made up the remainder. This suggests it is the ivory itself that is sought after and that demand for such products in Australia and New Zealand remains high.

The highest price achieved during the investigation period at an Australian auction was AUD\$30,000 for a pair of tusks sold by Vickers & Hoad (Sydney), while Cordy's Fine Arts (Auckland), recorded the highest price in New Zealand with the sale of a single tusk for NZD\$7,250.

***In auction terminology, a lot can be an individual object or group of objects offered for sale at auction as a single unit.¹⁶ As some lots contained multiple items, some containing ivory and others not, the number of total ivory items is given in this report as an approximation.**

African Forest Elephant

65%
Decline
since 2002

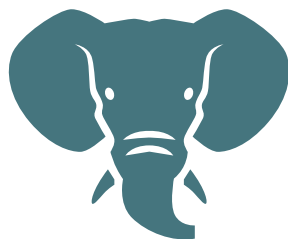


Table 1:
Summary of Information Collected, October 2014 – June 2015, at all Auctions Investigated
(Listed Alphabetically by Auction House)

AUSTRALIA

Auction House & Location	Number of Auctions Investigated	Number of Ivory Lots for Sale	Most Common Types of Ivory for Sale	Lowest Estimated Value Lot(s) * (product type) AUD\$	Highest Estimated Value Lot(s) * (product type) AUD\$	Highest Sold Price Lot ^{17*} (product type) AUD\$
Aalders (Sydney)	6	69	Carvings	\$30 (Serving ware)	\$20,000 (Sculpture)	\$3,000 (Puzzle Ball)
ABA Associates (Sydney)	4	9	Jewellery	\$10 (Combined Lot)	\$150 (Puzzle ball)	No data
Amanda Addams (Melbourne)	1	4	Figures	\$60 (Box)	\$5,500 (Figure)	No data
Arts of the World (Sydney)	1	3	Carvings	\$80 (Jewellery)	\$1,500 (Carving)	No data
Bargain Hunt (Sydney)	10	25	Painting on ivory	\$150 (Painting on ivory)	\$300 (4 Lots – painting on ivory & musical instrument)	\$3,800 (Utensils)
Bonhams (Sydney)	2	31	Figures	N/A	N/A	\$3,660 (Figure)
David Barsby (Sydney)	17	156	Jewellery	\$20 (Jewellery)	\$30,000 (Tusk)	\$2,400 (Carving)
Davidson (Sydney)	1	7	Figures	\$90 (Figure)	\$1500 (2 Lots – carving & two figures)	\$2,250 (Figures)
Golden Hammer (Sydney)	1	8	Carvings & netsukes	\$180 (Tool tooth pick set)	\$2,500 (Serving ware)	\$390
Lawsons (Sydney and Melbourne)	42	188	Carvings	\$40 (Various – utensils, jewellery, combined lot)	\$70,000 (Pair of elephant tusks) WITHDRAWN	\$20,000 (2 Lots – furniture & carving)
Leonard Joel (Sydney and Melbourne)	38	300	Jewellery	\$20 (Carving)	\$30,000 (Figure)	\$20,000 (Sculpture)
Mossgreen (Melbourne) and Martyn Cook (Sydney)	8	98	Carvings & sculptures & paintings on Ivory	\$100 (2 Lots – billiards cues & furniture)	\$25,000 (Sculpture)	\$26,000 (Sculpture)
Raffan, Kelaher and Thomas (Sydney)	3	30	Netsukes	\$30 (2 Lots – carvings)	\$3,000 (Tusk)	\$900 (Tusk)
Sotheby's Australia (Sydney, Melbourne, Adelaide and a Brisbane representative)	2	26	Jewellery	\$200 (3 Lots – netsuke & walking sticks)	\$10,000 (Figure)	\$8,000 (2 Lots – serving ware & carving)
Theodore Bruce (Sydney and Adelaide)	1	7	Jewellery	\$10 (Jewellery)	\$120 (Utensils)	\$280 (Jewellery)
Vickers and Hoad (Sydney)	14	53	Paintings on ivory & figures	\$30 (Combined Lot)	\$15,000 (Pair of tusks)	\$30,000 (Pair of tusks)
Woodlands (Victoria)	2	19	Okimonos	\$50 (2 Lots – tool & painting on ivory)	\$800 (Figure)	\$600 (Carving – card case)

*Based on information available, as not all auction houses provided estimates or sold price information for lots.

NEW ZEALAND

Auction House & Location	Number of Auctions Investigated	Number of Ivory Lots for Sale	Most Common Types of ivory for Sale	Lowest Estimated Value Lot(s) ^{18*} (product type) NZD\$	Highest Estimated Value Lot(s)* (product type) NZD\$	Highest Sold Price Lot* (product type) NZD\$
Art+Objects (Auckland)	2	22	Carvings & okimonos	\$30 (Netsuke)	\$8,000 (Carving)	\$2,900 (Tusk)
Cordy's Fine Arts (Auckland)	11	193	Carvings & figures	\$80 (4 Lots - carvings & okimonos)	\$22,000 (Tusk)	\$7,250 (Tusk)
Dunbar Sloane (Auckland and Wellington)	4	62	Figures	\$30 (Utensil)	\$6,000 (Figure)	\$4,750 (Figure)
Haywards (Dunedin)	5	8	Carvings	No data	No data	No data

*Based on information available, as not all auction houses provided estimates or sold price information for lots.

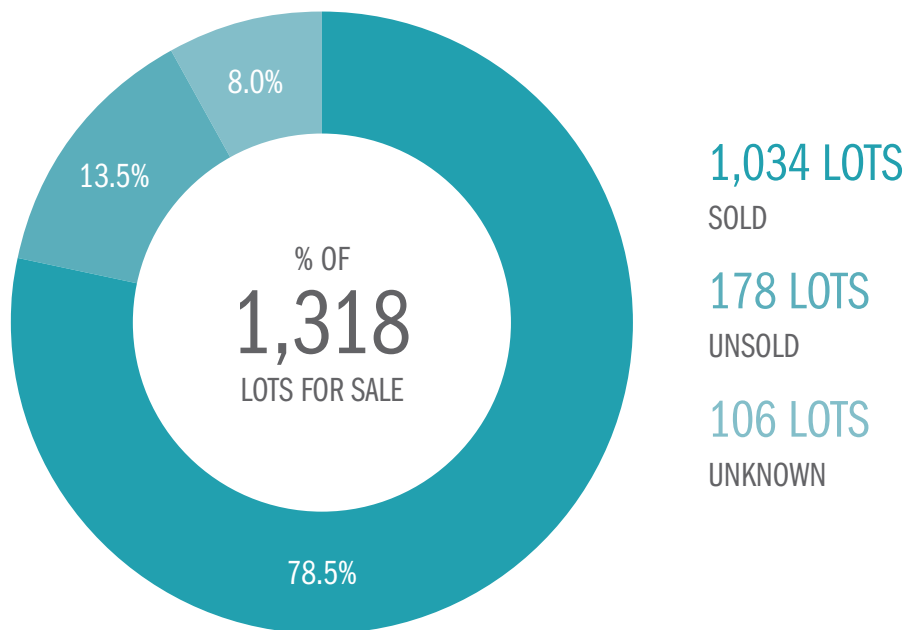


Auction Results

Investigators obtained final auction results for 1,212 of the total 1,318 lots of ivory found for sale, confirming at least 78.5% (1,034 lots) of the lots were sold, demonstrating that consumer demand for ivory products remains high (see **Figure 1**).

Figure 1:

Combined Sales Results for the 1,318 Ivory Lots Auctioned October 2014 – June 2015



AUSTRALIAN RESULTS

Confirmed sales of the 783 lots sold through Australian auctions (for which price information was available) totalled AUD\$635,204, with an average price per lot of AUD\$811.

NEW ZEALAND RESULTS

In New Zealand, 203 lots were confirmed as sold during the investigation. Based on the information available, investigators were able to confirm a total sale price achieved for the 203 lots to be NZD\$110,705, with the average sale price of NZD\$545.

The final totals of lots sold and prices achieved should be considered conservative, as investigators were not able to confirm if all the lots were sold and some of the sold lots did not provide information regarding sale prices.

Furthermore, sold prices recorded were the 'hammer price' and did not include a buyer premium or taxes, which were typically added to each sale.

Sales by Auction House

AUSTRALIA

Leonard Joel (Sydney and Melbourne), Lawsons (Sydney and Melbourne) and Mossgreen and Martyn Cook (Melbourne and Sydney) were the only three auction houses to feature in the top five for both most ivory lots sold and highest total price recorded. Sothebys went from 10th place in the list of Australian auction houses offering and selling ivory lots surveyed during the investigation (26 lots offered and 21 lots sold), to fourth on the list of highest total sales results with a total price of AUD\$61,800 achieved.

It should be noted that some auction houses may be underrepresented in the full dataset from October 2014 to June 2015. For example, Arts of the World (NSW), Woodlands (Vic) and Haywards (Dunedin) are under represented due to a lack of information able to be obtained for the study period (e.g. catalogues no longer available). Likewise some auction houses are under-represented in the full dataset as these auction houses were only identified and surveyed in May and June 2015.



Oriental ivory statuette © Rafael Laguillo. This image is represents the type of item for sale and is not an actual item up for auction. Auction sale items can be found on the auction house websites.

Table 2:

Top 10 Australian auction houses (from the 17 surveyed in this investigation) in order of those that offered, and subsequently sold the highest number of lots containing ivory during the investigation period.

Ranking	Australian Auction House & Location	Number of Ivory Lots Offered for Sale	Total Number of Ivory Lots Sold*
1	Leonard Joel (Sydney and Melbourne)	300	212
2	Lawsons (Sydney and Melbourne)	188	165
3	David Barsby (Sydney)	156	136
4	Mossgreen (Melbourne) and Martyn Cook (Sydney)	98	78
5	Aalders (Sydney)	69	66
6	Vickers and Hoad (Sydney)	53	48
7	Raffan, Kelaher and Thomas (Sydney)	30	29
8	Bonhams (Sydney)	31	25
9	Bargain Hunt (Sydney)	25	22
10	Sotheby's Australia (Sydney, Melbourne, Adelaide and a Brisbane representative)	26	21

*Based on information available, as not all auction houses provided sold price information.

Table 3:

The top 10 auction houses in Australia surveyed in this investigation, based on total sold price achieved for the ivory lots that were confirmed as sold (for which information was available) during the investigation.

Ranking	Australian Auction House & Location	Total Sold Price* AUD\$
1	Leonard Joel (Sydney and Melbourne)	\$158,510
2	Mossgreen and Martyn Cook (Melbourne and Sydney)	\$148,315
3	Lawsons (Sydney and Melbourne)	\$118,830
4	Sotheby's Australia (Sydney, Melbourne, Adelaide and a Brisbane representative)	\$61,800
5	Vickers and Hoad (Sydney)	\$61,562
6	David Barsby (Sydney)	\$30,480
7	Bonhams (Sydney)	\$23,852
8	Bargain Hunt (Sydney)	\$9,390
9	Aalders (Sydney)	\$8,255
10	Raffan, Kelaheer and Thomas (Sydney)	\$4,355

*Based on information available, as not all auction houses provided sold price information.

Clockwise from top left: Carved elephant's tusk © Alberto Tirado; Ancient purses © Rafael Laguillo; Antique bone or ivory sewing kit © Diane Labombarbe; Jewellery carved ivory sunflower © Carrie Merrell. These images represent the types of items for sale and are not an actual items up for auction. Auction sale items can be found on the auction house websites.





Ivory figurines © Gunter Nezhoda. This image is represents the type of item for sale and is not an actual item up for auction. Auction sale items can be found on the auction house websites.

NEW ZEALAND

Cordy's Fine Arts topped the list in this investigation for ivory lots offered, ivory lots sold and highest total sale price achieved. No sales results were available to investigators for the eight lots which were offered for sale by Haywards' auction house (Dunedin).

Table 4:

New Zealand auction houses investigated in order of those that offered, and subsequently sold the highest number of lots containing ivory during the investigation period.

Ranking	New Zealand Auction House & Location	Number of Ivory Lots Offered for Sale	Total Number of Ivory Lots Sold*
1	Cordy's Fine Arts (Auckland)	193	150
2	Dunbar Sloane (Auckland & Wellington)	62	39
3	Art+Objects (Auckland)	22	14
4	Haywards (Dunedin)	8	No data

*Based on information available, as not all auction houses provided information on sold lots.

Table 5:

Total sold price achieved for all ivory lots confirmed as sold (and for which price information was available) in New Zealand auction houses investigated.

Ranking	New Zealand Auction House & Location	Total Sold Price* NZD\$
1	Cordy's Fine Arts (Auckland)	\$76,645
2	Dunbar Sloane (Auckland and Wellington)	\$24,690
3	Art+Objects (Auckland)	\$9,370
4	Haywards (Dunedin)	No data

*Based on information available, as not all auction houses provided information on sold lots.

Clockwise from top left: Ivory inlaid jade brush © Patrick Krabeepetcharat; Ivory chess pieces © Alexandr Litovchenko; Ivory bangles © Omkar A V; Ivory balls © Ben Bryant. These images represent the types of items for sale and are not an actual items up for auction. Auction sale items can be found on the auction house websites.





Photo: © IFAW/J. Kinney

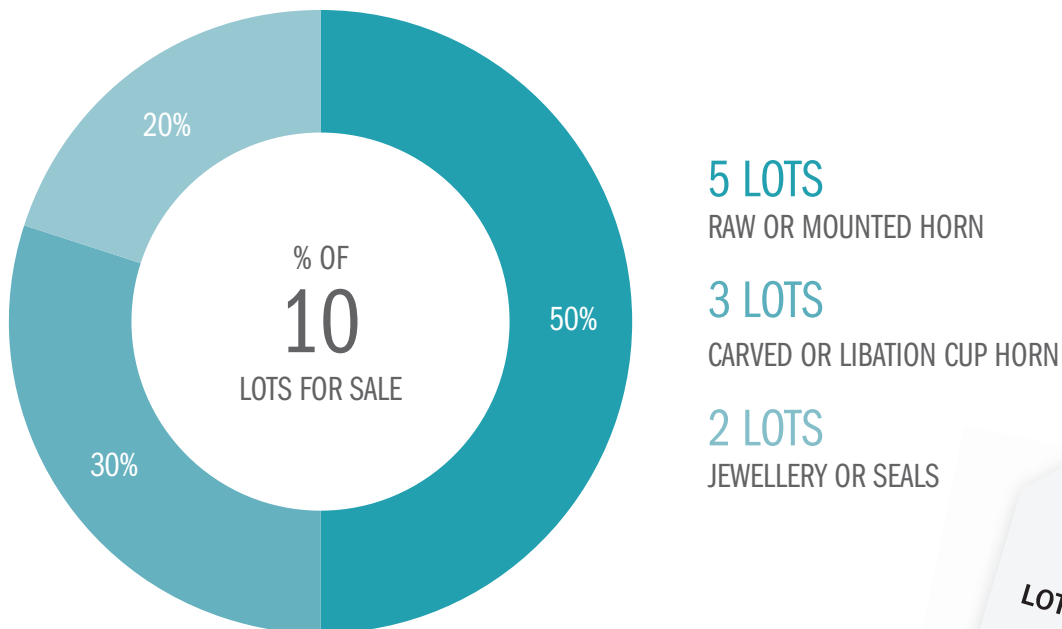


Rhino horns © Paul Fleet. This image is represents the type of item for sale and is not an actual item up for auction. Auction sale items can be found on the auction house websites.

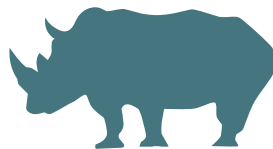
Rhino Horn Lots: October 2014 – June 2015

Investigators found a total of 10 rhino horn lots for sale (a total of 13 items) across the 21 auction houses reviewed in Australia and New Zealand during the investigation. Five auction houses in Australia and two in New Zealand were found to have rhino horn items listed. Eight lots were raw or carved rhino horn, one lot was jewellery and another lot comprised two wax seals. See **Figure 2** and **Table 7** for summary of rhino lots found at auction during this investigation.

Figure 2:
Rhino Horn Product Types at Auction October 2014 – June 2015



There are fewer than
30,000
RHINOS
alive today



04 //

WILDLIFE TRADE RULES AND OBLIGATIONS

International Agreements

The international trade in endangered species of wildlife is regulated by the **Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES)**.

Over 35,000 species are regulated by CITES globally, which currently has 183 Parties, including Australia and New Zealand. Parties agree which species are listed in the Appendices to the Convention,

and then regulate the import and export of listed species. Elephant and rhinoceros species are listed on Appendix I and II of the Convention.

CITES Appendix I

Species that are threatened with extinction and which are affected by international trade are placed on Appendix I of the Convention, offering the highest level of protection. With a few exceptions, commercial international trade in these species is prohibited and any shipments allowed are regulated by a system of matching import and export permits. Globally 600 animals are listed on Appendix I.

CITES Appendix II

Species that are not immediately threatened with extinction but may become so unless their trade is subject to strict regulation are placed on Appendix II of the Convention, meaning that export permits are required for international sales. Globally 4,400 animals are listed on Appendix II.



Domestic Legislation and Enforcement

	AUSTRALIA	NEW ZEALAND
Legislation to Meet CITES obligations:	Environment Protection and Biodiversity Conservation Act (EPBC Act) 1999	Trade in Endangered Species Act (TIES Act) 1989
Elephant Protection:	<p>Australia has adopted a stronger position (known as a stricter domestic measure) than is required under the Convention for both species of elephant, treating them as if they are listed on Appendix 1 and affording them the highest level of protection available.</p> <p>No elephant specimens may be imported for personal or commercial uses, except under a pre-Convention certificate which proves the specimen predates their 1975 listing on CITES, or for non-commercial purposes such as scientific research.</p>	<p>New Zealand has stricter domestic measures in place for the importation of personal and household effects.</p> <p>Under these provisions, import into New Zealand of personal and household effects of Appendix I and II species requires an export permit, re-export certificate, pre-Convention certificate, or other certificate of exemption issued by an appropriate Management Authority except in the following case: the specimen was acquired by the owner in New Zealand.¹⁹</p> <p>Items which are not considered as pre-Convention also require a New Zealand Import permit and NDF approval, except the populations of Botswana, Namibia, South Africa and Zimbabwe which are included in Appendix II and therefore require export/re-export documentation issued by the CITES Management Authority in the country of export only to enable to legal import into New Zealand.</p>
Rhino Protection:	<p>Australia has also brought in measures further restricting trade in rhinoceros. These measures prevent imports of hunting trophies from Appendix II listed southern white rhino. Vintage rhino hunting trophies may no longer be imported as 'personal and household effects'. Radio carbon dating is also required to conclusively prove the age of vintage rhino horn proposed for export.</p> <p>Australia does not recognise personal and household effects exemptions for Appendix I listed species.</p>	As above
Domestic Trade Regulation:	<p>The Australian Government does not regulate domestic trade of wildlife however it is an offence under the EPBC Act to be in possession of a wildlife specimen that has been illegally imported from overseas.</p> <p>State and territory governments have jurisdiction for the internal movement of wildlife and wildlife products. Wildlife specimens that have been legally imported from overseas may be traded domestically.</p> <p>There is no specific state/territory regulation of domestic trade in non-live elephant or rhinoceros specimens.</p>	<p>The New Zealand Government does not regulate domestic trade of CITES listed species; however it is an offence under the TIES Act to be in possession of a specimen that the holder knows, or should know, has been illegally imported.</p> <p>Under the TIES Act, a specimen that has been illegally imported can be seized from its holder.</p>
Legal Requirements for Domestic Sellers or Facilitators of Domestic Sales:	<p>There is currently no legal requirement for domestic sellers, or facilitators of domestic sales, such as auctioneers, to provide evidence at the point of sale which demonstrates the legal import, provenance, or age of the specimen.</p> <p>However, the individual in possession of the wildlife specimen must be able to demonstrate the legal source of the specimen if requested by the Department of the Environment.</p>	<p>There is currently no legal requirement for domestic sellers, or facilitators of domestic sales, such as auctioneers, to provide evidence at the point of sale which demonstrates the legal import, provenance, or age of the specimen.</p>
Penalties for Wildlife Trade Offences:	<p>The maximum penalty for wildlife trade offences is 10 years imprisonment and/or a fine of AUD\$180,000 for individuals and up to AUD\$900,000 for corporations.</p>	<p>Penalties for being in possession of a wildlife specimen that has been illegally imported from overseas include 5 years imprisonment and/or fines of NZD\$100,000 for individuals or NZD\$200,000 or corporations.²⁰</p>



Photo: © IFAW-WTI

Auction House Policies

Given the restrictions on trade in elephant and rhinoceros products, it was surprising that of the 21 auction houses surveyed, only seven were found to have written policies relating to rules and regulations, and only two specifically mentioned CITES.

The following seven auction houses, all in Australia, were found to have written policies on their websites to remind buyers to 'be aware' of rules or regulations regarding the importation of 'certain items' or that an export license may be required for 'some purchased items'.

1. Arts of the World (Sydney)
2. Bonhams (Sydney)
3. Lawsons (Sydney and Melbourne)
4. Leonard Joel (Sydney)
5. Mossgreen and Martyn Cook (Melbourne and Sydney)
6. Raffan, Kelaher & Thomas (Sydney)
7. Sotheby's Australia (Sydney, Melbourne, Adelaide and a Brisbane representative)

Australian based Raffan, Kelaher & Thomas²¹ and Bonhams²² were the only two auction houses found to specifically mention CITES regulations regarding the import or re-export of animal products on their respective websites.

In New Zealand, investigators were unable to find written information for prospective buyers relating to CITES regulations and import or export permit requirements on the respective websites of any of the auction houses investigated.

05 //

A QUESTION OF PROVENANCE

The Importance of Provenance

‘Provenance’ refers to the record of an object’s history. Short of performing laboratory analyses, provenance provides the most useful information to assist in determining the authenticity, origin and legality of elephant ivory.

Determining whether an ivory and rhino horn item for sale at auction has been sourced legally or illegally is practically impossible from a visual assessment alone. It can also be difficult to tell if an item is authentic elephant ivory, as there are many ivory lookalike substances on the market, such as bone and resin, along with the ivory of other animals including mammoth, common warthog and narwhal.

While cracks might suggest an ivory item is older, these can also be caused by heat and humidity fluctuations, and imperfections can be deliberately included in the

castings of lookalike ivory pieces.²³ Additionally, while ivory tends to naturally yellow over time,²⁴ colour alone is not always a good indicator of its age, as ivory is very reactive to its environment, its colour can vary, and it can be stained or dyed, sometimes deliberately for deceptive purposes. For example, the owner of an African art and antiques store in Philadelphia, United States, was prosecuted for deliberately staining newly acquired ivory from West Africa, to make the items appear old in order to sell them as ‘antiques’.²⁵

Clockwise from top left: Tusks on a carved wooden pedestal © Paper Street Design; Carved ivory elephant © Philip Cacka; Ivory bangles © Omkar A V; Ivory chopsticks © Jarvarman. These images represent the types of items for sale and are not an actual items up for auction. Auction sale items can be found on the auction house websites.



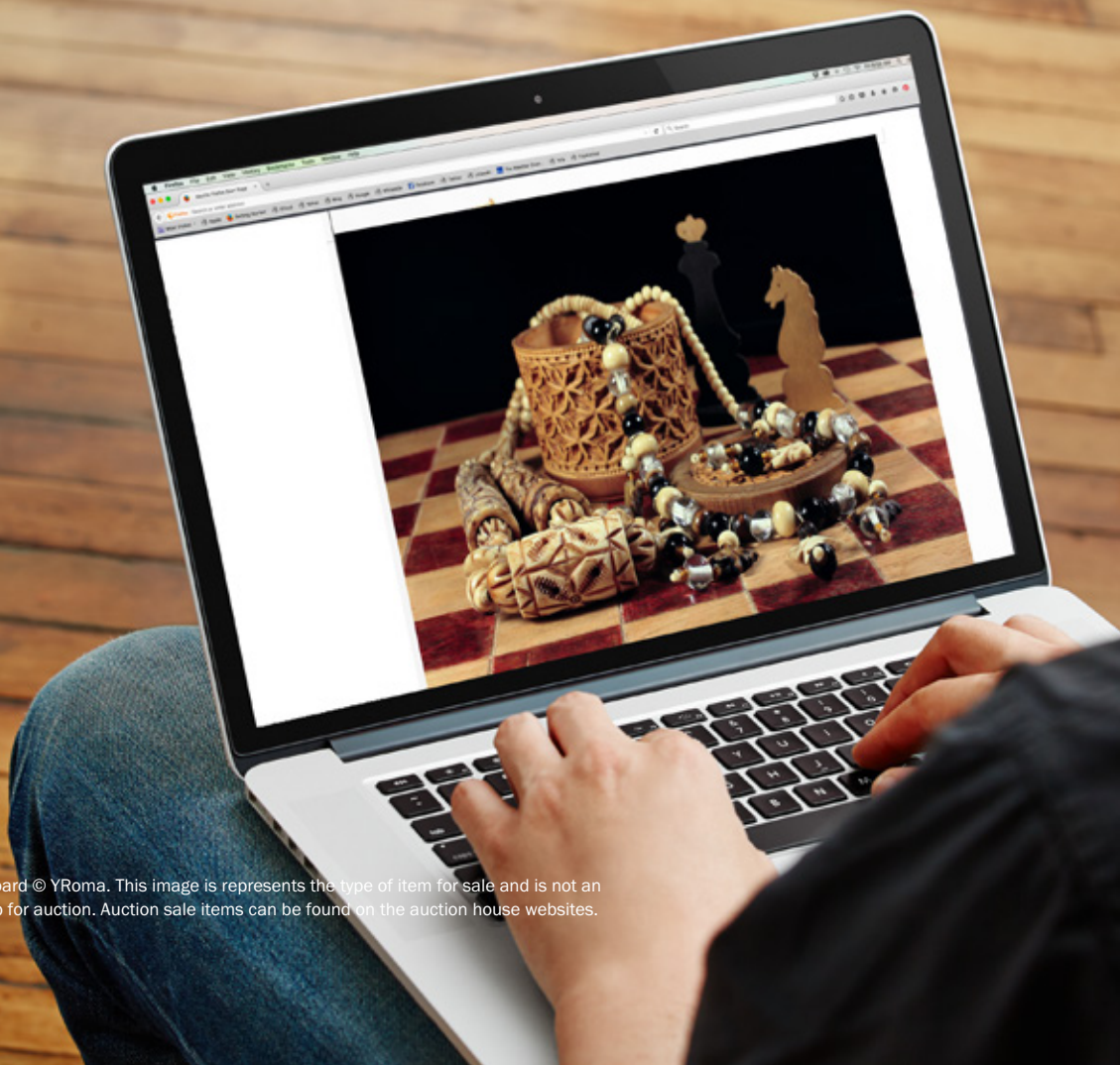
Given the difficulties in relying on a visual assessment alone, prospective buyers are reliant on the information provided by an auction house regarding the authenticity and provenance (or history) of each ivory or rhino horn lot for sale – such as information provided via catalogue descriptions, correspondence with the auction house or at a preview or auction event.

Provenance is a matter of documentation and should provide contextual and circumstantial evidence of an object's place of origin or its earliest known history, its original production or discovery and a chronology of formal ownership, custody, location and/or places of storage.²⁶

The information provided in auction house catalogue descriptions for the ivory lots found for sale between October 2014 and June 2015 varied widely - from providing no information at all; describing items as 'old' or 'antique'; noting a period or century; referencing markings, stamps, seals, or signatures; making reference to provenance; or making reference to documentation. **Table 6** provides a summary of information auction houses made available, along with IFAW's assessment of how useful this information is.



Ivory warrior figurine © Dario Lo Presti. This image represents the type of item for sale and is not an actual item up for auction. Auction sale items can be found on the auction house websites.



Ivory chess board © YRoma. This image represents the type of item for sale and is not an actual item up for auction. Auction sale items can be found on the auction house websites.

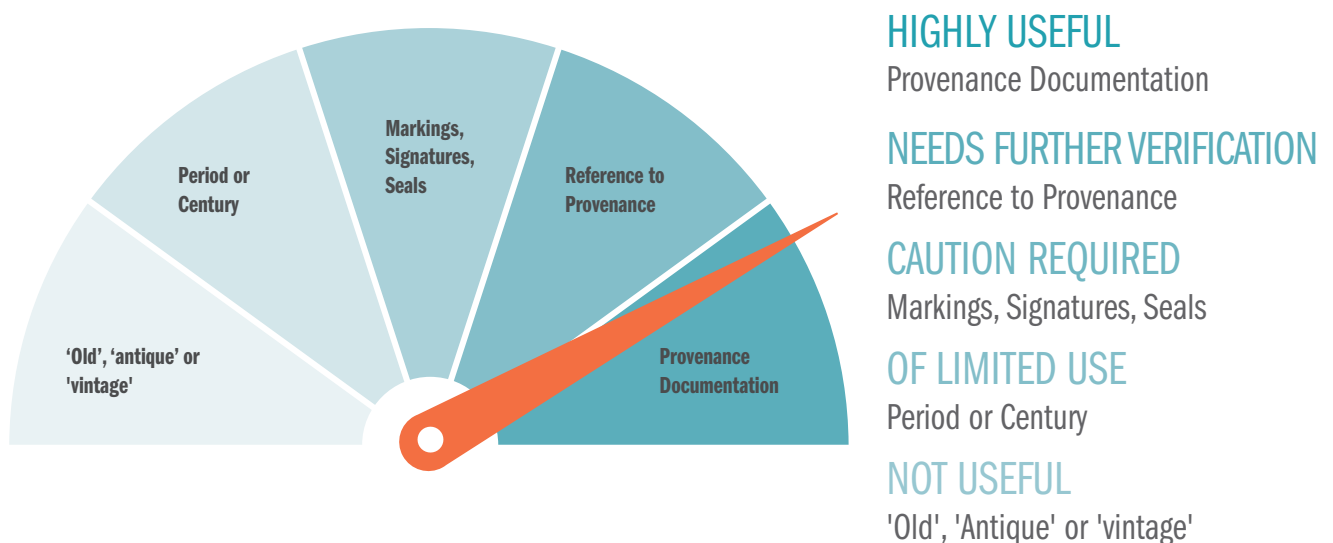
Table 6:

The table below provides a summary of the types of provenance information offered by auction houses selling ivory and rhino horn items, along with IFAW's assessment of how useful this information is to potential bidders in determining the item's age, source and authenticity, and hence whether it is legal.

Information	Form of Information	Usefulness for Determining the Age, Source or Authenticity of Ivory
Provenance Documentation	Documentation including: Original receipts, photographs, certificates of authenticity, handwritten notes from previous owners, gift documentation, documented research, CITES permits or certificates, certified appraisals, affidavits, or wills. An oral or written history, such as an autobiography, may connect a person to a particular object.	Highly useful. Establishing provenance is essentially a matter of documentation and the information provided should be verifiable.
Reference to Provenance	Provenance referred to verbally or in a catalogue description.	Needs further verification. Useful as a guide to provenance, but establishing provenance is essentially a matter of documentation and the information provided should be verifiable.
Markings, Signatures, Seals	Reference to markings, signatures and seals in a catalogue description or shown in a catalogue image.	Caution required. Useful for helping to identify the manufacturer, artist, or period or century of an object. However, from about 1900 onwards most Japanese ivory carving has been directed toward the copying of old netsuke, complete with signatures of dead artists, and the forging of Chinese ivory antiquities. ²⁷
Period or Century	For example Qing dynasty, Vintage, Circa 1900, 18th Century.	Of limited use unless verifiable. While this can provide an estimate or indication of the period or century the object was made, this is dependent on the reliability and expertise of the appraiser and basis for the information.
'Old', 'antique' or 'vintage'		Not useful. The interpretation of 'old' and 'antique' varies greatly and is dependent on the reliability and expertise of the appraiser and basis of the information.

Figure 3:

Usefulness of information provided by auction houses in determining age, source and authenticity of ivory



Evidence of Provenance in Catalogue Listings

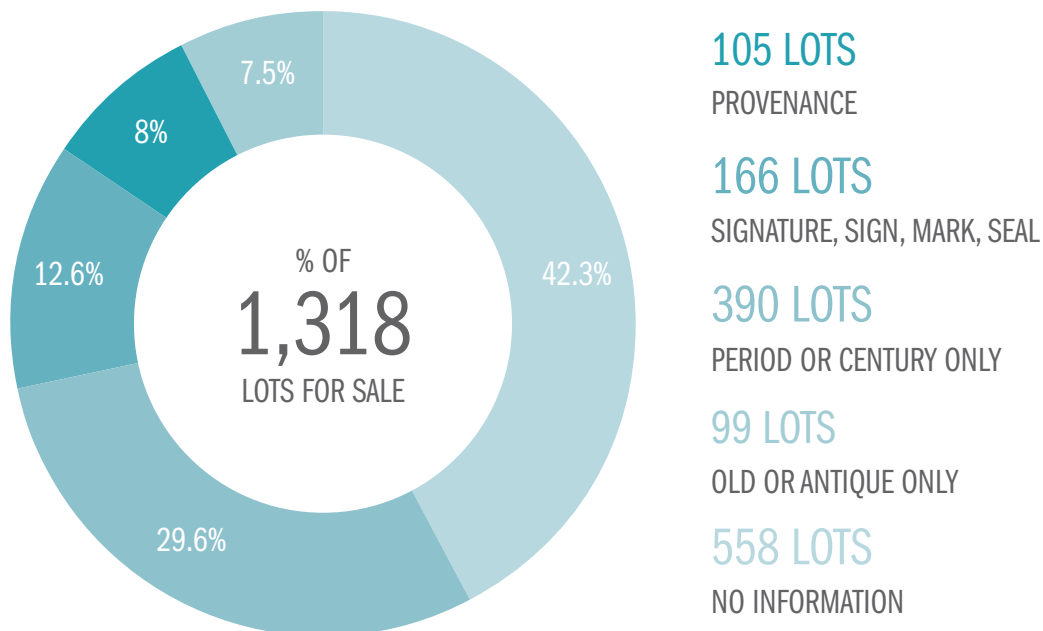
Despite the importance of provenance documentation in providing potential buyers with confidence in relation to the authenticity, source and legality of an ivory item, and considering that both Australia and New Zealand have strict import and re-export regulations for ivory, the lack of information displayed by auction houses on their websites and catalogues for each ivory or rhino horn lot offered for sale between October 2014 and June 2015 was surprising.

Investigators found only **8% (105 lots) of the 1,318 catalogue listings included comments on provenance**, including referencing estates or collections, retail and purchase dates, purchase locations, and previous auction information. Approximately 30 of these lots were found to refer specifically to documentation including, for example, postcards and photos, publications, 'paperwork', 'original document', Certificates of Ownership, Information Pack on Provenance, Authentication Report and Certificates of Authenticity.

In some instances images of the documentation were included in the catalogue listing, for example, Certificates of Authenticity and Certificates of Ownership; however, these images were not always at a resolution that allowed for adequate reading of the information.

Investigators found that the catalogue listings for almost half (558 lots) of the 1,318 lots (42.3%) did not include any reference to provenance or age, and did not note any markings at all. A further 99 lots (7.5%) were simply referred to as 'old' or 'antique' in the catalogue listings. Almost 30% (390 lots) only referenced a period, century or 'circa' date. (See Figure 4)

Figure 4:
Information Provided in Catalogue Listings 1318 Ivory Lots October 2014 – June 2015





Observations at Australian Auctions April – May 2015

Investigators physically attended 12 separate auctions and/or previews across nine Australian auction houses during April and May 2015, with a focus on what, if any, documentation regarding the provenance, age or source of each ivory lot was available on inspection. Please note all research in New Zealand was undertaken via websites.

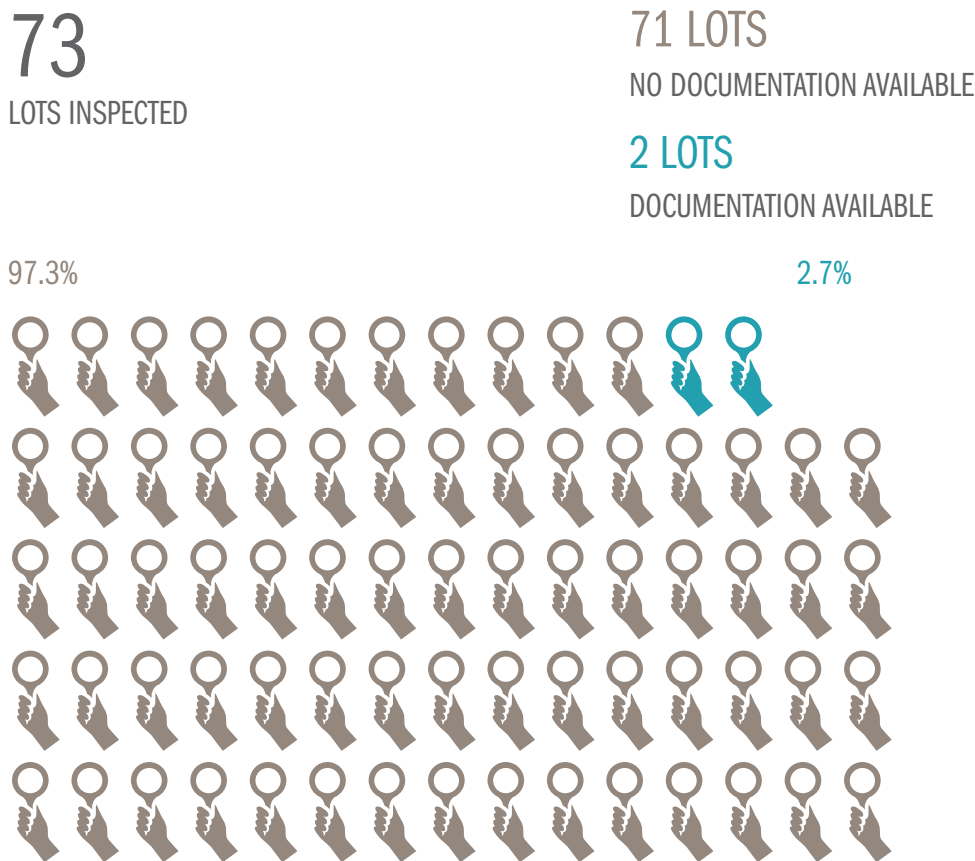
A total of 96 lots, representing over 172 items of ivory, including tusks, carvings, figures, okimonos, netsukes, jewellery, utensils, and serving ware, were offered for sale at these auctions. Investigators were able to inspect a total of 73 lots of ivory, assessing the availability of provenance information and documentation for each (representing approximately 144 items).

Investigators were unable to inspect the remaining 23 lots offered for sale at the nine auctions attended for a variety of reasons, including lots reportedly being sold prior to the preview and investigators being unable to locate the lots during the preview.

Of the 73 lots inspected by investigators, only two had provenance documentation available. For the remaining 71 lots, which represented more than 97% of those inspected, no documentation relating to provenance was available at the time of inspection.

Figure 5:

Availability of Provenance Documentation for 73 Lots Inspected at Australian Auctions Attended April – May 2015





Clockwise from top left: Antique Japanese Netsuke © MJ0007; Antique ivory figurines © Kilted Arab; Vintage carved fan © RV0233; Ivory beads bracelet © jun Mu. These images represent the types of items for sale and are not an actual items up for auction. Auction sale items can be found on the auction house websites.

Auction House Policies, Staff Knowledge and Advice

For the 71 lots inspected at auctions or previews in Australia for which no documentation relating to ownership or authenticity was available, investigators sought further information about the provenance of the items. In the majority of cases (46 lots or 64.7%), no information was provided by auction house staff upon request.

Where information was provided verbally, investigators were concerned that in some cases the explanations offered did not provide sufficient assurances about the items' provenance. For example, the staff at one particular auction house provided no information upon request but rather sought to justify that omission with the blanket assertion that **inclusion in the catalogue was enough proof of legality and authenticity**. At another auction house, staff provided no documentation but stated that **items could be returned if they were found not to be ivory**. There were also a number of instances reported by investigators in which auction house staff offered their own opinion as to the likely source or age of some

lots, such as that the items were sourced locally, or that they thought the item was from the 1950s and therefore legal because it predated the 1970s.

For 16 lots, auction house staff indicated to investigators that **documentation could be made available upon sale, or provided should the purchaser wish to travel**. In some instances (three lots), investigators were informed that they were simply **not able or allowed to view the documentation until after the sale**.

Ivory Auction Results and Provenance Documentation

Despite it being an offence under Australian law to be in possession of illegally imported ivory, **71% of the lots (50 of the 71 lots) where documentation was not available at the time of preview were sold**, for a total combined price of AUD\$41,465. 16 lots were unsold and sale results were not obtained for the remaining five lots. The median price was AUD\$300.

The top 10 sold prices for lots without documentation across the 12 auctions (undertaken at nine auction houses) that were attended or previewed between April–May 2015, ranged between AUD\$1,500 – AUD\$5,000, and were for figures, netsukes, carvings, and tusks. Most of the catalogue listings for these particular lots noted a period or century or that the item was signed. Upon request, auction staff explained that documents were available for only three of these 10 lots, and in a number of instances auction staff asserted without further evidence that the **inclusion in their catalogue was enough proof of legality and authenticity**.



Ivory bracelet © Venus Angel. This image is represents the type of item for sale and is not an actual item up for auction. Auction sale items can be found on the auction house websites.



Rhino Horn Auction Results and Provenance Documentation

Of the 21 auction houses surveyed seven (five in Australia and two in New Zealand) were found to have lots containing rhino horn for sale during the investigation.

Investigators found **provenance information referenced in the catalogue listings for only four of the 10 rhino lots**. Provenance information such as purchase date, import date, estate and previous auction information was referenced in these listings.

Of the four lots where provenance information was referenced, only **one lot was confirmed as sold and achieved AUD\$67,100 (including premium)**; one lot was withdrawn from auction and two lots were unsold.

Despite investigators finding that **six of the 10 rhino lots had no information provided in the catalogue listing** regarding age, origin or history or provenance, or simply described the lot as 'old', three of these lots were confirmed as sold. These included **a pair of rhinoceros horns mounted on a kauri shield (a wooden plaque shaped from the wood of an ancient tree species) that achieved NZD\$38,500**. One lot was withdrawn from auction and two lots were unsold.

Very low estimated prices were provided (AUD\$40–AUD\$80) in the listings for each of the 'ornamental rhino horn' and 'rhino horn style' lots which suggests that these were not authentic rhino horn. However, as the sold price information was not available this cannot be confirmed.

According to auction houses, the value in rhino horn objects is related to scarcity, rarity of the objects, beauty, and their value as a symbol of wealth and status and as an investment.²⁸ During the investigation period, Lawsons (Sydney) listed a pair of black rhinoceros horns (with provenance documentation) with an estimated value of AUD\$50,000–\$70,000. These horns were subsequently withdrawn from sale in November 2014 following pressure from the public to do so.²⁹

Lawsons, General Manager went on record, saying 'We decided the correct thing was to withdraw it and not encourage the sale of these kinds of items in the future. Even if it doesn't encourage trade, it's the right thing to do'.²⁹

At the time of going to print, Lawsons listed a rhino horn Libation Cup for sale, with an estimated value of AUD\$18,000–\$22,000. After IFAW contacted Lawsons, the item was subsequently withdrawn from sale, however, a request to remove ivory lots from the same sale was rejected.

Consumer Demand is increasingly driving



ORGANISED POACHERS





Photo: © IFAW/D. Willetts

Table 7:
Summary of rhino lots at auction houses October 2014 - June 2015.

AUSTRALIA

Auction House	Item	Information in Catalogue Listing Regarding Provenance (History, Origin and Age)	Estimated Value AUD\$	Sale Result	Sold Price AUD\$
Arts of the World	A white rhinoceros horn love token for a pendant	No Information	\$200-225	Withdrawn	
Bargain Hunt (Sydney)	Rhino horn style decoration	No information	\$40-60	SOLD	Not available
Bargain Hunt (Sydney)	Ornamental rhino horn style decoration	No information	\$50-80	SOLD	Not available
Bonhams (Sydney)	A Chinese carved rhinoceros horn libation cup	Provenance		SOLD	\$67,100 (incl. premium)
Lawsons (Sydney and Melbourne)	Pair of African black rhinoceros horns	Provenance	\$50,000-70,000	Withdrawn	
Leonard Joel (Sydney and Melbourne)	A Chinese carved horn carving	'Old'	\$1,500-2,600	Unsold	



NEW ZEALAND

Auction House	Item	Information in Catalogue Listing Regarding Provenance (History, Origin and Age)	Estimated Value NZD\$	Sale Result	Sold Price NZD\$
Cordy's Fine Art (Auckland)	Two old rhinoceros horn personal wax seal	'Old'	\$180	Unsold	
Cordy's Fine Art (Auckland)	A large old African rhino horn, natural condition, unmounted	Provenance	\$35,000	Unsold	
Cordy's Fine Art (Auckland)	A rare ceremonial rhinoceros horn libation cup	Provenance	\$35,000	Unsold	
Dunbar Sloane (Auckland and Wellington)	Pair rhinoceros horns mounted on kauri shield wall plaque	No information	\$40,000–70,000	SOLD	\$38,500



Photo: © IFAW/R. Gangale

LOT NO#
43
Pair of Tusks

LOT NO#
43
SOLD AS IS, WHERE IS. ALL SALES FINAL. Thank you

06 // CONCLUSIONS

This report provides the results of the first-ever investigation into the nature of the auction house trade in elephant ivory and rhino horn in Australia and New Zealand. A particular focus in this study was to investigate the sort of information readily available at auction houses that would assist potential bidders in determining if the ivory and rhino horn lots up for sale were legal.

The world's elephant and rhinoceros populations are facing a very uncertain future. Consumer demand for status symbols, cultural and ornamental items is driving unprecedented poaching and illegal trade of wildlife products across international borders.

Despite international efforts to prevent and regulate trade in these species, trafficking of elephant ivory and rhinoceros horn continues to occur. Australia and New Zealand are not immune to such illegal activity which is contributing to the global problem.

The results of this IFAW investigation have shown that elephant ivory and rhino horn items are readily available for sale at auction houses across Australia and New Zealand. Demand for these products and final sale prices remain high, with more than 78% of elephant ivory lots confirmed as sold, and a pair of mounted rhinoceros horns without provenance documentation selling for NZD\$38,500.

Despite the difficulty in distinguishing between legally sourced and illegally sourced ivory, and the existence of international and domestic regulations relating to the import and export of elephant ivory and rhino horn (including offence provisions should someone be found in possession of illegally imported wildlife product), investigators discovered that only 8% (105 lots) of the 1,318 lots offered for sale by Australian and New Zealand auction houses included any reference to provenance. A similar lack of information was evident for rhino horn lots, although a far smaller sample size was investigated.

The high number of confirmed sales of lots where no provenance documentation was available suggests a general lack of knowledge of potential offence provisions, such as large fines and possible jail sentences for illegal possession, or that these are not a strong deterrent for potential buyers.

Equally concerning was the lack of information available to prospective buyers regarding legal requirements should they wish to export items made from, or containing, elephant ivory or rhino horn. In addition, the low level of knowledge regarding such requirements expressed by auction house staff was troubling.

While ongoing enforcement action remains important to prevent illegal wildlife trade, it cannot succeed alone. INTERPOL* estimates that seizures represent only about 10% of the actual traffic in illegal goods.³⁰ In cases where illegal products have managed to enter the domestic market, current legislation and enforcement efforts do not do enough to prevent the domestic trade in these items. While legislation could be improved and more done to strengthen compliance and enforcement, reducing consumer demand for products of endangered wildlife will ultimately be key. Auction houses, governments and potential buyers all have a role to play to ensure Australia and New Zealand's domestic markets are not contributing to the poaching crisis currently devastating Africa's elephants and rhinos.

***INTERPOL is the world's largest international police organisation, with 190 member countries. Its role is to enable police around the world to work together to make the world a safer place. Its high-tech infrastructure of technical and operational support helps meet the growing challenges of fighting crime in the 21st century.**

RECOMMENDATIONS

To Auction Houses

- Refrain from selling any elephant ivory or rhino horn items, to ensure there is no opportunity for illegal wildlife products to be laundered in the system.
- As an interim step, urgently review policies and only permit the listing in auction catalogues of items containing elephant ivory or rhino horn which are accompanied by provenance documentation of the highest confidence. All such documentation must be available for preview prior to sale of the item.
- Provide greater levels of information to potential buyers outlining the threat of illegal trade, the need for provenance documentation to accompany all listings and sales, and relevant legislative and regulatory requirements and offences.
- Train staff to ensure all policies and information relating to the sale of wildlife products (particularly elephant ivory and rhino horn) are understood and clearly communicated to potential bidders prior to auction and during proceedings.
- Report suspect items and items where provenance documentation is not forthcoming to the relevant enforcement authorities in Australia or New Zealand.



To Potential Buyers

- Refrain from purchasing any elephant ivory or rhino horn parts or products, to avoid contributing to the continuing demand for such products, and prevent unwittingly contributing to the illegal international trade in elephant ivory and rhino horn. If purchasing only do so where appropriate certification and/or provenance information is provided prior to purchase.
- Report any instances of suspect wildlife trade to the relevant enforcement authorities in Australia or New Zealand.
 - Australia:
wildlifetrade.compliance@environment.gov.au
 - New Zealand:
cites@doc.govt.nz

To the Australian and New Zealand Governments

- Introduce offence provisions for cases where wildlife products such as elephant ivory and rhino horn, are offered for sale without the necessary proof of legality. This will place legal responsibility for the sale of wildlife products on prospective sellers.
- Increase resources to relevant management and enforcement authorities to ensure international and domestic regulations concerning the trade in wildlife products are better enforced.



Acknowledgements

IFAW would like to thank all those who took part in the investigations, auction house visits and analysis of data for their contributions to this report. In particular, IFAW wishes to thank principal researcher and co-author, Fiona Gordon of Gordon Consulting, Rebecca Wu and Ron Moorhouse for collating and analysing investigation data and auction results, and Kylie Winkworth for valuable advice and intelligence, as well as all the IFAW staff who have contributed to this report.

APPENDIX 1

Summary of Methodology and Protocols Used for this Investigation

This report presents the findings of an investigation of 21 auction houses in Australia and New Zealand found to offer lots of elephant ivory and rhino horn for sale between 1 October 2014 and 30 June 2015.

The investigation was undertaken between April 2015 and July 2015 in four parts:

1. Retrospective survey of auction house catalogues and websites from 1 October 2014 to 30 April 2015.
2. Prospective survey of auction houses during May and June 2015.
3. Physical attendance at a selection of Australian auction houses during April and May 2015.
4. Online monitoring of auctions (including live online auctions) during May and June 2015.

How the Investigation was Undertaken

Whenever ivory is mentioned in this report, it refers only to elephant ivory unless otherwise specified.

21 auction houses in Australia and New Zealand were monitored for ivory and rhino horn sales during the period from October 2014 to June 2015. These auction houses were selected based on the prevalence of ivory and rhino items offered for sale at previous auctions.

Any lots found that clearly indicated that the items for sale were not real elephant ivory or real rhino horn, for example described as 'faux', 'fake', 'French ivory', 'imitation', 'marine ivory' or 'bone' were not included in the data analysis for this report, although it is interesting to note that such terms have frequently been used by online sellers to try to avoid restrictions on ivory trade introduced by a number of responsible online retailers.

Project investigators noted unsold lots and identified, as far as practicable, where these lots were re-listed. Where a re-listed lot was confirmed, only the most recently listed lot remained in the data used for this report, to avoid double counting.

Parts 1 & 2

Investigators searched auction house catalogues for ivory and rhino horn lots offered for sale between October 2014 and June 2015. Each lot found was recorded, along with the lot number and description provided by the auction house, estimated values, whether the lot was sold or not sold, the price achieved, and any information available relating to the provenance, origin or age of the lot and other information readily available.

Auction house policies relating to any documentation requirements when offering ivory items for sale and shipping requirements for ivory and rhino horn were noted.

The information was obtained directly from the auction house catalogues and websites.

Part 3

A selection of 12 previews and/or auctions at Australian auction houses were physically attended by investigators during April and May 2015. The purpose of personally attending some of the previews and/or auctions was to gather qualitative information on the 'on the ground' practices of auctioneers, check the availability of documentation regarding provenance for ivory and rhino horn lots offered for sale, ascertain the knowledge of auction house staff and to gain an insight into how the lots were being purchased (i.e. winning bid type).

Part 4

A selection of 17 auctions were monitored online (some live online) during May and June 2015 to observe how items were typically purchased, whether by floor, phone, absentee or internet bidders.



References and Endnotes

1. George Wittemyer et al. (2014) Illegal Killing for Ivory Drives Global Decline in African Elephants. *Proceedings of the National Academy of Sciences* 111:36, available at <http://www.pnas.org/content/111/36/13117.full>
2. Fiona Maisels, et al. (2013). Devastating Decline of Forest Elephants in Central Africa. *PLOS One*, available at <http://journals.plos.org/plosone/article?id=10.1371/journal.pone.0059469>.
3. International Union for Conservation of Nature (IUCN) Species Survival Commission's African Rhino Specialist Group (AfrSG), as cited by Save the Rhino (2016). Poaching Statistics. Available at: https://www.savetherhino.org/rhino_info/poaching_statistics [accessed 26 April 2016]
4. IFAW (21 November 2014) South Africa, Rhino poaching hits record level. Media release. Cape Town, South Africa.
5. Bryan Christy, (12 August 2015) How Killing Elephants Finances Terror in Africa, *National Geographic*, available at <http://www.nationalgeographic.com/tracking-ivory/article.html>
6. Seizure information extracted from CITES trade database. Available at: <http://trade.cites.org/> [accessed December 2015]
7. IFAW Oceania (2014) "Click to Delete: Australian websites selling endangered wildlife" <http://www.ifaw.org/australia/resource-centre/click-delete-australian-websites-selling-endangered-wildlife>
8. ABC News (9 April 2015) Customs seize ivory in air cargo at Perth <http://www.abc.net.au/news/2015-04-09/customs-seize-ivory-in-air-cargo-at-perth/6381712>
9. NZ Department of Conservation (22 December 2015) Napier man fined for illegally importing elephant ivory. <http://www.doc.govt.nz/news/media-releases/2015/napier-man-fined-for-illegally-importing-ivory/>
10. Marty Sharpe. Napier man Patrick Cooper advised others on how to import ivory illegally. *Dominion Post*. (17 November 2015) Available at: <http://www.stuff.co.nz/dominion-post/news/74133345/Napier-man-Patrick-Cooper-advised-others-on-how-to-import-ivory-illegally> [accessed 26 April 2016]
11. See, IFAW (2004), 'Elephants on the High Street': <http://www.ifaw.org/united-kingdom/node/6338>; IFAW (2005) 'Caught in the Web': <http://www.ifaw.org/australia/resource-centre/caught-web/>; IFAW (2007), 'Bidding for Extinction': <http://www.ifaw.org/australia/resource-centre/bidding-extinction/>; IFAW (2008), 'Killing with Keystrokes': <http://www.ifaw.org/australia/resource-centre/killing-keystrok-0/>; IFAW (2011), 'Killing with Keystrokes 2.0': <http://www.ifaw.org/australia/resource-centre/killing-keystrokes/>; IFAW (2014), 'Wanted: Dead or Alive': <http://www.ifaw.org/australia/resource-centre/wanted-dead-or-alive-exposing-online-wildlife-trade/>;
12. IFAW Oceania (2014) "Click to Delete: Australian websites selling endangered wildlife" <http://www.ifaw.org/australia/resource-centre/click-delete-australian-websites-selling-endangered-wildlife>
IFAW Oceania (2014) "Click to Delete: Endangered wildlife for sale in New Zealand" <http://www.ifaw.org/australia/resource-centre/click-delete-endangered-wildlife-sale-new-zealand>
13. IFAW (2014) "Bidding Against Survival: The Elephant Poaching Crisis and the Role of Auction Houses in the U.S. Ivory Market.
14. Esther Han, (11 November 2014) "Lawsons pulls both elephant ivory and rhino horns off the auction list after public uproar." *Sydney Morning Herald* <http://www.smh.com.au/nsw/lawsons-pulls-both-ivory-and-rhino-horns-off-the-auction-list-after-public-uproar-20141111-11kjiv.html>
15. Kurt Bayer, Rhino horn withdrawn from sale, *NZ Herald* (11 April 2016) Available at: http://www.nzherald.co.nz/nz/news/article.cfm?c_id=1&objectid=11620585 [accessed 26 April 2016]
16. Sotherbys Glossary viewed online www.sotherbys.com/en/Glossary.html
17. Note: The final purchase price for an individual lot at auction is comprised of the hammer price, buyer's premium and any applicable sales taxes. Only the Hammer Price (the highest bid accepted by the auctioneer) has been noted and recorded in this investigation and has been referred to as the Sold price.
18. Based on information available as not all lots had estimates or price information. For example, some sold lots did not have sold price information available.
19. CITES Notification to the Parties. No. 2015/003. Geneva (16 January 2015) Concerning New Zealand Stricter domestic measures regarding personal and household effects <https://cites.org/sites/default/files/notif/E-Notif-2015-003.pdf>
20. Trade in Endangered Species Act 1989, Government of New Zealand. Section 45. Viewed online <http://www.legislation.govt.nz/act/public/1989/0018/latest/whole.html#DLM147027>
21. Raffan, Kelaher & Thomas stated clearly that a CITES permit is required prior to the exportation of any items made of, or incorporating, animal material such as ivory or tortoiseshell.
22. Bonhams clearly indicated in listings where a lot contains or is made of ivory and stated that "the United States Government has banned the import of ivory into the USA", clearly indicated where a lot is subject to CITES regulations when exporting and provided ivory, tortoiseshell and other wildlife items as examples. This auction house also provided a link to further information on regulations.
23. Mark Chervenka, (Online Article), "Ivory: Genuine, Fake and Confusing" *Real Or Repro*, viewed online <http://www.realorrepro.com/article/Ivory-genuine-fake-confusing>
24. Chantelaine's Antiques and Appraisals Magazine (Online) "Caring for Ivory and Bone, http://www.antiques-art-collectibles.com/collectible/ivory_bone.html
25. <http://www.fws.gov/le/pdf/Eyes-on-Ivory-NY-2015.pdf> In June 2014 he was sentenced for smuggling elephant ivory into the United States, receiving 30 months imprisonment, followed by 2 years of supervised release.
26. Definition of Provenance: Source <https://en.wikipedia.org/wiki/Provenance> <http://www.pbs.org/wgbh/roadshow/glossary/provenance.html>
27. Encyclopædia Britannica, (2016). Ivory carving (art form). Available at: <http://www.britannica.com/art/ivory-carving> [accessed 26 April 2016]
28. Anne Davies (31 March 2014) Rhino horns sold for \$92,500 in Sydney. *Sydney Morning Herald* <http://www.smh.com.au/environment/conservation/rhino-horns-sold-for-92500-in-sydney-20140331-35t0p.html>
Webbs (18 October 2013) Record Price at Auction viewed online at <http://www.webbs.co.nz/news/record-price-auction>
Blouin Art Info (18 October 2013) Record Price for Chinese Rhinoceros Horns at New Zealand Auction viewed online at <http://au.blouinartinfo.com/news/story/973151/record-price-for-chinese-rhinoceros-horns-at-new-zealand>
29. Esther Han (11 November 2014) "Lawsons pulls both elephant ivory and rhino horns off the auction list after public uproar." *Sydney Morning Herald* viewed online <http://www.smh.com.au/nsw/lawsons-pulls-both-ivory-and-rhino-horns-off-the-auction-list-after-public-uproar-20141111-11kjiv.html>
30. Bryan Christy (2012). Ivory worship. *National Geographic*, October 2012. (Accessed 29 May 2014) Available at: <http://ngm.nationalgeographic.com/2012/10/ivory/christy-text> [accessed 26 April 2016]



LOT NO#

278

Ivory
Sculpture


278

SOLD AS IS, WHERE IS. ALL SALES FINAL. Thank-you

IFAW

6 Belmore Street
Surry Hills
NSW 2010
Tel: 1800 00 4329
Tel: 02 9288 4900
Fax: 02 9288 4901
Email: info-au@ifaw.org

Find out more information
www.ifaw.org

 [ifaw.au](https://www.facebook.com/ifaw.au)

 [@IFAWAU](https://twitter.com/IFAWAU)

