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1 *Sustainability of threatened species displayed in public aquaria: a case study of Australian*
2 *sharks and rays*

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18

19 **Abstract** Zoos and public aquaria globally display numerous threatened vertebrate species and in the modern
20 context of these institutions as conservation hubs it is crucial that displays are sustainable. Elasmobranchs
21 (sharks and rays) are a taxonomic group of particular conservation concern. In this review, we examined the
22 taxonomic composition and conservation status of elasmobranchs displayed globally and found a higher
23 proportion of threatened elasmobranch species displayed than any other assessed vertebrate group. It is therefore
24 critical to identify elasmobranchs that require assessments of sustainability for aquarium displays. We propose a
25 new approach to identify sustainable captive populations of threatened elasmobranch species, defined as either
26 self-maintaining or from a source population that can sustain harvest levels without risk of population declines
27 below sustainable levels. We determined which displayed species are at risk of extinction in the wild – those
28 assessed as threatened on the IUCN Red List of Threatened Species, or Data Deficient (DD) species that may be
29 at an elevated risk of extinction due to life history traits and habitat associations. Captive breeding and wild
30 harvests of at-risk species displayed by Australian aquaria were examined to determine if the captive
31 populations are sustainable. Two species currently displayed in Australian aquaria do not have sustainable
32 captive populations and were identified as needing comprehensive assessments of sustainability for their
33 aquarium display. Such a sustainability assessment would incorporate the conservation benefits of the displays
34 and the ecological impacts of wild harvests. This review also highlights that change in public aquarium record
35 management systems are needed to improve conservation outcomes for captive elasmobranchs.

36

37 **Keywords** elasmobranch; zoos; aquarium display; conservation benefits; sustainability assessment

38 **Introduction**

39 The display of fishes in zoos and public aquaria has grown rapidly in recent decades, with conservative
40 estimates suggesting that approximately one million fish from >3,500 species are held by major aquaria
41 worldwide (WAZA 2009; ZSL 2014). Display stocks are often sourced from the ornamental fish trade (Tlustý et
42 al. 2013) where high proportions (including 90% or more of marine species displayed) are sourced solely from
43 the wild (Murray and Watson 2014). As the World Association of Zoos and Aquariums (WAZA) identifies
44 environmental sustainability as a core value for public aquaria (WAZA 2009), it is vital to ensure that public
45 aquarium fish displays are sustainable. This is imperative for the many species displayed that are considered to
46 be at risk of extinction, such as those species listed in threatened categories on the International Union for
47 Conservation of Nature (IUCN) Red List of Threatened Species (hereafter referred to as the 'IUCN Red List')
48 (IUCN 2016).

49 Elasmobranchs (sharks and rays) are a taxonomic group of particular conservation concern. Currently, 188 (18.1
50 %) of the 1041 elasmobranchs assessed on the IUCN Red List fall into a threatened category (Critically
51 Endangered, CR; Endangered, EN; or Vulnerable, VU). Data is considered inadequate to assess extinction risk,
52 and thereby accurately assign a category, for a further 449 species (Data Deficient, DD) (IUCN 2016).
53 Elasmobranchs are harvested for products such as meat, fins, liver, gill rakers, oil and skin, and further pressures
54 are placed on populations due to incidental catches, habitat loss, persecution and climate change (Last and
55 Stevens 2009; Dulvy et al. 2014). Further, the general life history traits of elasmobranchs include slow growth,
56 low fecundity and high longevity which results in a limited capacity to resist or recover from population
57 depletion (Stevens et al. 2000).

58 Since the inception of public aquaria in the 1870's, elasmobranchs have been an integral component of many
59 displays. Although collection for public aquarium displays has never been identified as a major driver of
60 elasmobranch fisheries, most exhibited individuals are harvested from the wild (Smale et al. 2012; Murray and
61 Watson 2014). The cumulative impact of various threatening processes have contributed to the increased
62 extinction risk for many species, and unsustainable targeted and incidental fisheries catches have caused
63 regional or local extinctions and the decline of many shark and ray populations (Dulvy et al. 2014). It is
64 therefore critical to identify elasmobranch species that are vulnerable to population declines below sustainable

65 harvest levels due to harvests for public aquaria and which therefore require comprehensive assessments of
66 sustainability.

67 We propose a new approach (Fig. 1) for the identification of elasmobranch species that are vulnerable to
68 population declines below sustainable levels due to wild harvests for public aquaria. First, we examine the
69 taxonomic composition and conservation status of elasmobranchs displayed globally to identify species at risk
70 of extinction in the wild. We then use the Australian case study to determine whether at-risk species have
71 sustainable captive populations, as it has a relatively comprehensive database compared to most regions and a
72 long history of displaying elasmobranchs dating back to a shark display at the Manly Aquarium (Sydney) in
73 1886 (SMH 1886). In the context of this review, captive populations were considered sustainable if they were
74 identified as self-maintaining, or sourced from a population able to withstand harvests without declines below
75 sustainable levels (Lees and Wilcken 2011, Simpfendorfer and Dulvy 2017). At-risk species identified as not
76 having sustainable captive populations urgently require comprehensive assessments of sustainability for
77 aquarium displays.

78 **Methods: literature and data review**

79 Currently recognised elasmobranch species and families were identified using both the Catalogue of Fishes
80 (Eschmeyer et al. 2016) and a literature review. We identified captive elasmobranch species at risk of extinction
81 in the wild using the IUCN Red List (IUCN 2016) to identify threatened species (CR, EN or VU) on display. In
82 the absence of an accurate extinction risk assessment due to insufficient available information we also
83 considered DD species alongside threatened species (Fig. 1). This is a precautionary approach taking into
84 consideration that Dulvy et al. (2014) estimated that 68 of 396 IUCN listed DD chondrichthyan species (sharks,
85 rays, and their close relatives, the chimaeras) were likely to be threatened due to life history traits and habitat
86 associations which may lead to low intrinsic rates of population growth or exposure to fisheries. Data Deficient
87 species on display were considered to be at risk if they were identified as potentially threatened by Dulvy et al.
88 (2014).

89 Information on current elasmobranch collections in public aquaria globally was collated using industry
90 databases and internet resources. Species 360 [formerly International Species Information System (ISIS)] animal
91 records database Zoological Information Management System (ZIMS) was accessed for data recovery (ISIS

92 2015a) and the web sites of the World Association of Zoos and Aquaria (WAZA) and its member zoo and
93 aquarium associations (see Online Resource 1) were browsed for links to studbooks, yearbooks or censuses. The
94 American Elasmobranch Society Captive Elasmobranch Census (AES CEC) (AES 2008) and the Zootierliste (a
95 current list of vertebrates held in European zoos and aquaria) (Zootierliste 2017) provided further information
96 on elasmobranch stocks in zoos and aquaria globally. The internet search engines Google Search and Google
97 Scholar were used to search for combinations of the following terms: ‘threat*’, ‘elasmobranch’, ‘shark’, ‘ray’,
98 ‘public aquari*’, ‘aquari*’ and the additional term ‘~bred’ to identify additional elasmobranch species that have
99 been displayed and bred in aquaria.

100 In order to determine whether captive populations of elasmobranch species at risk of extinction in the wild are
101 self-maintaining within Australian public aquaria, current stocks including captive breeding successes and
102 proposed wild harvests were reviewed. The Zoo and Aquarium Association (ZAA) Australasian Species
103 Management Program (ASMP) Regional Census and Plan (ZAA 2015) (hereafter the ZAA Census) publishes
104 elasmobranch stock and collection planning information for nine participating zoos and public aquaria in
105 Australia, while the most current stock numbers were accessed via the ZAA Collection Planning Online System
106 (CPOS) (ZAA 2016) (hereafter the ZAA CPOS). Internet searches were also conducted using the search engine
107 Google Search including the terms listed above, and including the term ‘Australia’ which identified a further
108 seven Australian public aquaria which display elasmobranchs but do not supply publicly available stocktakes.
109 The institutional websites (including their Facebook pages where relevant) and other photographic databases
110 (such as tripadvisor® Australia) relating to these aquaria were searched to identify elasmobranch species on
111 display. Species detected within photographic databases were recorded as follows: a) an identifiable species
112 with the number of individuals given by the source: recorded as total number of individuals given; b) an
113 identifiable species, no number of individuals given: recorded as one individual; c) an identifiable species,
114 photographic record of several individuals: recorded as the maximum count of individuals in a single
115 photograph; or, d) not an identifiable species: not recorded.

116 Elasmobranch species at risk of extinction in the wild that do not have self-maintaining captive populations in
117 Australian aquaria were examined to determine whether stock is sourced from wild populations that can
118 withstand harvests without population declines below sustainable levels. Harvests of species not listed as
119 threatened on the IUCN Red List were assumed to be sustainable by this definition (Simpfendorfer and Dulvy

120 2017). We reviewed the stocking levels and proposed wild harvests of each species to determine if future stock
121 is to be sourced from the wild. If future wild harvests are expected, the local conservation status of each species
122 was used to assess the potential risk of harvests to wild populations. This status is more relevant in the context
123 of elasmobranch harvests for Australian public aquaria than the IUCN Red List global assessment as most
124 elasmobranch harvests for Australian public aquaria occur locally. Local conservation statuses that were
125 considered were IUCN Red List regional assessments (if available for a particular species) and Australian
126 legislative listings (Commonwealth *Environment Protection and Biodiversity Conservation Act*; EPBC Act).
127 Captive populations identified as self-maintaining or harvested from a source population that can sustain
128 harvests without population declines below sustainable levels were considered sustainable (Lees and Wilcken
129 2011, Simpfendorfer and Dulvy 2017); while the remaining species were identified as requiring comprehensive
130 assessments of sustainability.

131 For the purposes of this review, the following taxonomic and nomenclatural assumptions are made regarding
132 species held in Australian aquaria: (a) records of *Rhynchobatus djiddensis* refer to *Rhynchobatus australiae* as
133 the former does not occur in Australian waters and is very unlikely that this species is held in any Australian
134 aquaria; (b) records of *Himantura uarnak* refer to *Himantura australis* for similar reasons; (c) *Trygonorrhina* sp.
135 recorded in ZAA affiliated aquaria are *Trygonorrhina fasciata* based on visual confirmation at the holding
136 aquaria (K. Buckley pers. obs.); (d) following recent taxonomic revision, *Myliobatis australis* is considered a
137 junior synonym of *Myliobatis tenuicaudatus* (White 2014); and, (e) resolution of the *Neotrygon kuhlii* species-
138 complex has resulted in the occurrence of two species in Australian waters: *N. australiae* (northern and western
139 Australia) and *N. trigonoides* (eastern Australia) (Last et al. 2016). However, these are recorded locally and on
140 the IUCN Red List as *N. kuhlii*. The term *N. australiae/trigonoides* is used here until such time that Australian
141 aquaria holdings can be identified. Given that *N. trigonoides* is very common along the Australian east coast
142 (where most major aquaria occur) it likely represents the bulk of holdings.

143 **Results**

144 Global review of taxonomic composition and extinction risk status

145 Records were found for a total 237 elasmobranch species exhibited globally in an unspecified number of public
146 aquaria, from 40 of the 61 elasmobranch families currently recognised (refer to Online Resource 2). The

147 distribution of assessed species among IUCN Red List categories is proportionally similar for elasmobranchs in
148 general, and elasmobranchs displayed in aquaria (Fig. 2). More elasmobranch species are considered to be DD
149 than any other category; and more DD species are displayed by aquaria than any other category. A similar
150 proportion of Least Concern (LC) species is displayed as DD species. Despite their numerical dominance in
151 public aquaria, LC and DD species are still underrepresented for their category, compared to Near Threatened
152 (NT) and threatened species (Fig. 3). Only 20.8 % and 14.5 % of all assessed LC and DD species, respectively,
153 are displayed by aquaria compared to between 30.0 %, and 37.4 % of all assessed CR, EN, VU and NT
154 elasmobranchs. Consequently, although only 18.1 % of all assessed elasmobranch species are considered to be
155 threatened more than a quarter (67 or 28.3 %) of exhibited elasmobranch species is listed in a threatened
156 category on the IUCN Red List (IUCN 2016) (Online Resource 2a). Notably, two taxa referred to here found in
157 public aquaria, *N. australiae/trigonoides* and *H. australis*, have not yet been evaluated (Not Evaluated, NE) by
158 the IUCN due to recent taxonomic revisions.

159 The 67 threatened elasmobranch species displayed in public aquaria represent 35.6 % of all threatened
160 elasmobranchs. However, a further ten threatened elasmobranch species were identified here as either
161 historically occurring in public aquaria and/or occurring in the ornamentals trade (see Online Resource 2b). As
162 public aquarium stocks are often sourced from the ornamentals trade (Tlustý et al. 2013), up to 41.0 % of
163 elasmobranchs that are now considered threatened have at some stage probably been displayed in zoos and
164 public aquaria. A further 65 species of elasmobranchs on display (27.4 % of all species displayed) are DD, and
165 15 of these are considered to be potentially threatened in the wild (Dulvy et al. 2014, Online Resource 2a).

166 For each elasmobranch family in public aquaria, an average (\pm standard deviation; SD) of 34.6 ± 23.7 % of
167 recognised species are displayed, however this ranged broadly from 2.1 % for the Etmopteridae (lantern sharks)
168 to 100 % for the monospecific families Rhincodontidae (whale shark) and Stegostomidae (zebra shark) (Fig. 4).
169 A high proportion (60.0 % or more) of species in the families Pristidae (sawfishes), Trygonorrhinidae (banjo
170 rays), Heterodontidae (bullhead sharks), and Ginglymostomidae (nurse sharks) are also displayed by public
171 aquaria (Fig. 4).

172 Notably, the family Dasyatidae (stingrays) is both large (94 species) and has a high proportion (36.2 %) of
173 species exhibited in public aquaria (Fig. 4). In terms of absolute numbers of species, the Dasyatidae, Rajidae

174 (hardnose skates) and Carcharhinidae (requiem sharks) dominate aquarium displays, along with the Triakidae
175 (houndsharks), Scyliorhinidae (catsharks) and Potamotrygonidae (river stingrays) (Table 1, Fig. 4). These six
176 families comprise more than half (51.1 %) of all species displayed in public aquaria.

177 Two of the six elasmobranch families dominating public aquarium displays are also notable for the very high
178 proportion of exhibited species that are listed as threatened or DD on the IUCN Red List. Of the family
179 Dasyatidae, 13 species (38.2 %) occurring in public aquaria are considered to be threatened and nine species
180 (26.5 %) are DD (Table 1). Of the nine DD species, three are considered to be potentially threatened (Dulvy et
181 al. 2014). Ten (71.4 %) of the 14 displayed species from the family Potamotrygonidae (river stingrays) are
182 classified as DD, although none are considered potentially threatened by Dulvy et al. (2014).

183 Six CR elasmobranch species are currently kept in public aquaria globally: the blue skate *Dipturus batis* (Dulvy
184 et al. 2006), Brazilian guitarfish *Pseudobatus horkelii* (Lessa and Vooren 2007), largetooth sawfish *Pristis*
185 *pristis* (Kyne et al. 2013), smalltooth sawfish *Pristis pectinata* (Carlson et al. 2013), Green sawfish *Pristis*
186 *zijsron* (Simpfendorfer 2013), and angelshark *Squatina squatina* (Ferretti et al. 2015).

187 Australia: a case study of captive populations

188 Records indicate that Australian zoos and public aquaria exhibited at least 739 individual elasmobranchs from
189 46 elasmobranch species during 2016 (Online Resource 3). Approximately one third of these species (30.4 %)
190 and individuals (35.0 %) fall within threatened categories (CR, EN or VU). A small proportion of displayed
191 species and individuals were DD (6.5 % and 2.2 %, respectively) with one of these, *Carcharhinus cautus*
192 (Bennett and Kyne 2003), considered to be potentially threatened (Dulvy et al. 2014). Two taxa displayed by
193 Australian aquaria, *N. australiae/trigonoides* and *H. australis*, have not yet been evaluated. Of all categories,
194 species that are assessed as LC comprise the greatest proportion of species exhibited while the greatest
195 proportion of individuals is from VU species (Fig. 5). Within each IUCN Red List category, the number of
196 individuals displayed was broadly proportional to the number of species on display (Fig. 5).

197 In Australian public aquaria, 58.7 % of the elasmobranch species identified as exhibited during 2016 have at
198 some time presented breeding behaviour or have successfully bred in public aquaria. This is a relatively high
199 success rate, as captive breeding activity has been identified in only 47.4 % of elasmobranch species displayed

200 by public aquaria globally (Online Resource 2a and 2b). In Australian aquaria, there were significantly more
201 individuals on display for species for which breeding activity has previously been recorded in captivity ($24.4 \pm$
202 25.5 SD) than for those that have not (4.3 ± 3.6 SD); t-test, $t(27) = 3.96$, $p = <0.001$. Breeding activity in
203 captivity has been recorded for similar proportions of threatened and potentially threatened DD species
204 compared to other species in Australian aquaria (Table 2), with the highest percentage of past breeding activity
205 reported for VU (69.2 %) and NT (77.8 %) species.

206 Australian public aquaria currently display 16 species that are either listed within a threatened category (CR,
207 EN, VU), or are DD species considered to be potentially threatened by Dulvy et al. (2014) (Online Resource 3,
208 Table 3). However, the regional IUCN Red List assessment for 12 of these species varies from the global
209 assessment and the species is not considered threatened in Australian waters (Table 3). Consequently, only four
210 of the 16 species identified above may be considered as threatened or potentially threatened in Australian
211 waters. These species are the speartooth shark *Glyphis glyphis*, estuary stingray *Hemirhynchus fluviorum*, grey
212 nurse shark *Carcharias taurus*, and largetooth sawfish *P. pristis*.

213 *Glyphis glyphis*

214 Three individuals of the Endangered *G. glyphis* (Compagno et al. 2009) are displayed by Australian public
215 aquaria. In Australian Commonwealth waters this species is assessed as critically endangered (EPBC Act)
216 (Table 3). The three individuals were originally collected as part of a planned breeding program (L. Squires,
217 Cairns Marine, pers. comm.), although to date no breeding activity has been reported. There is no intention to
218 collect further stock from the wild (ZAA 2015).

219 *Hemirhynchus fluviorum*

220 There are at least 113 individual *H. fluviorum* displayed by three Australian public aquaria (ZAA 2016, Online
221 Resource 3). One aquarium hosts 111 of these individuals (ZAA 2016) and this captive population is a large
222 breeding group (R. Jones, Merlin Entertainments, pers. comm.). In 2015 the ZAA Census recorded the intent by
223 one public aquarium to acquire ten female individuals to join a single male on display (ZAA 2015).

224 *Carcharias taurus*

225 There are currently 15 individual *C. taurus* present in Australian public aquaria (Online Resource 3) and in
226 2015, the ZAA Census reported that Australian public aquaria intended to acquire more individuals from the
227 wild (ZAA 2015) as brood stock to support the *C. taurus* breeding program (Smith et al. 2013). However, in
228 contrast to *H. fluviorum*, Australian captive populations of *C. taurus* have had limited breeding success.
229 Although *C. taurus* have mated and pupped several times in Australian aquaria, in nearly all cases pups were
230 stillborn (ZAA 2015), and currently only two on display in Australia are captive bred (Smith et al. 2013). Wild
231 populations of *C. taurus* in Australian waters are considered to be Critically Endangered on the east coast and
232 Near Threatened on the west coast (Table 3). Since 2002 there has been a moratorium on collection of *C. taurus*
233 for display in public aquaria as the Recovery Plan for Grey Nurse Shark (reviewed in 2014) continues to
234 identify collection for public aquaria as a 'secondary threat' to *C. taurus* populations (DOE 2014).

235 *Pristis pristis*

236 The eleven *P. pristis* currently held in Australian public aquaria are not intended for breeding purposes, and at
237 least one public aquarium intends to undertake future wild harvests (ZAA 2015, ZAA 2016, D. Wedd, Territory
238 Wildlife Park, pers. comm.). Although *P. pristis* is listed on Appendix I of the Convention on International
239 Trade in Endangered Species (CITES) (which restricts international trade) and on Appendix I of the Convention
240 on Migratory Species (which prohibits harvests with very limited exceptions), *P. pristis* may still be harvested
241 from the wild in both the Northern Territory of Australia and Queensland. Specifically, the Northern Territory
242 Director of Fisheries has the discretion to issue a permit for the collection of *P. pristis* for the purpose of public
243 aquarium displays; while in Queensland a permit may be issued to collect *P. pristis* for the purpose of public
244 display or public education (DOE 2015). Not all of the harvested *P. pristis* remain in captivity: in the Northern
245 Territory at least 13 wild harvested *P. pristis* have been released into their natal river system after outgrowing
246 local public aquaria. The survivorship of the released individuals is unknown, but is the focus of a separate
247 study (K. Buckley et al. unpublished data).

248 **Discussion**

249 Compared to other faunal groups, a high proportion of threatened elasmobranchs are displayed globally and,
250 considering their conservation status and life history traits, a number of these species have wild populations that
251 may be vulnerable to population declines below sustainable levels in part due to aquarium harvests. These

252 species warrant comprehensive sustainability assessments for aquarium displays incorporating conservation
253 benefits and ecological impacts. On a local Australian level, two species urgently require such assessments of
254 sustainability: *C. taurus* and *P. pristis*. Improved record keeping and/or accessibility to records maintained by
255 public aquaria are necessary to facilitate the identification of all species displayed which require comprehensive
256 assessments of sustainability.

257 Global review of patterns in taxonomic composition and conservation status

258 This review found that the number of elasmobranch species displayed globally by zoos and public aquaria and
259 listed as threatened (CR, EN, VU) on the IUCN Red List declines with increasing threat category, a pattern
260 consistent with that of zoo displays of threatened mammals and birds recorded by ISIS (Conde et al. 2011). This
261 pattern is likely to reflect aquarium collection management based on availability (e.g. rarity and species
262 protection measures). In contrast, the proportion of all assessed threatened elasmobranchs that are displayed by
263 aquaria, at least 35.6 %, is much higher than the proportion of threatened birds (15.6 %), mammals (23.0 %),
264 reptiles (22.2 %) or amphibians (29.2 %) displayed by zoos (Conde et al. 2013). This indicates a trend by
265 aquaria to display a higher proportion of threatened elasmobranch species than would be expected from a
266 comparison with other vertebrate animal groups. Further, a slight preference to display threatened rather than
267 non-threatened species is indicated by the higher proportion of threatened elasmobranch species on display, out
268 of all displayed species (28.3 %) than the overall proportion of elasmobranchs that are threatened (18.1 %;
269 IUCN 2016).

270 While there are many factors which may contribute to the notably high proportion of threatened elasmobranchs
271 displayed in public aquaria globally, this does not explain why, proportionally, more threatened elasmobranchs
272 are displayed than other faunal groups. For example, historical factors such as established ease of husbandry and
273 static collection planning (i.e. commencing a pattern of display well prior to a species' threatened listing) could
274 result in the continuous display of a species despite the recognition of declines in wild populations. For more
275 novel and charismatic species, collection planning based on marketability considerations is probable for species
276 such as manta rays and sawfishes, all of which are now listed as threatened. Further, modern zoos and public
277 aquaria have redefined themselves from their traditional role as primarily recreational facilities to conservation
278 hubs, and this new role is now widely recognised (Zimmermann et al. 2007; WAZA 2009; Beri et al. 2010).

279 Threatened elasmobranch species may therefore be chosen for display as ‘flagship species’ to educate the
280 public, raise funds, support in-situ conservation efforts or for ex-situ breeding programs. Although the display of
281 many threatened elasmobranch species may well be explicable, it does highlight the need to consider whether
282 displays are sustainable in the context of modern aquaria as conservation hubs.

283 Species listed as threatened on the IUCN Red List are considered to have an elevated risk of extinction in the
284 wild (IUCN 2001) and it is therefore important to identify particular species that are vulnerable to population
285 declines below sustainable levels due to wild harvests for public aquaria. However, a number of species that are
286 not listed as threatened may also be at risk of extinction in the wild. For example, Dulvy et al. (2014) calculated
287 that 68 of 396 (17.3 %) DD listed chondrichthyans are potentially threatened due to life history traits and habitat
288 associations which may elevate their risk of extinction; and fifteen of these species occur in public aquaria
289 (Online Resource 2a). As a precautionary measure, our approach to identifying species vulnerable to population
290 declines below sustainable levels due to wild harvests for public aquaria therefore incorporates consideration of
291 threatened species and DD species that are potentially threatened due to distribution or life history traits, as
292 identified by Dulvy et al. (2014) (Fig. 1). These species may not be able to withstand harvests without
293 population declines below sustainable levels (see Simpfendorfer and Dulvy 2017). If captive populations of
294 these species are not self-maintaining, and future wild harvests are proposed, comprehensive assessments of
295 sustainability for their aquarium display are warranted (Fig. 1).

296 A number of elasmobranch families on display in public aquaria have both a high proportion of species
297 displayed, with many of these species assessed as threatened on the IUCN Red List or DD species that have
298 been identified as potentially threatened. For example, two of the three species on display from the family
299 Ginglymostomidae are threatened, including the tawny nurse shark *Nebrius ferrugineus* (VU) (Pillans 2003) and
300 the shorttail nurse shark *Pseudoginglymostoma brevicaudatus* (VU) (Nel et al. 2004). The third species,
301 *Ginglymostoma cirratum*, is considered to be DD (Rosa et al. 2006) but is a potentially threatened species
302 (Dulvy et al. 2014). Both species from the two monospecific elasmobranch families Rhincodontidae and
303 Stegostomidae are assessed as threatened, being the whale shark *Rhincodon typus* (EN) (Pierce and Norman
304 2016) and the zebra shark *Stegostoma fasciatum* (EN) (Dudgeon et al. 2016). Finally, the Pristidae is considered
305 to be one of the most threatened elasmobranch families (Dulvy et al. 2014) and all three of the sawfish species
306 on display are assessed as CR. Considering both their proportionally high levels of representation in public

307 aquaria and their elevated risk of extinction in the wild, it is a priority to determine if captive populations of all
308 threatened and potentially threatened species from the families Ginglymostomidae, Rhincodontidae,
309 Stegostomidae and Pristidae are self-maintaining or sourced from a wild population populations that can
310 withstand harvests without population declines below sustainable levels. As no individuals on display from the
311 families Rhincodontidae (whale shark) and the Pristidae (sawfishes) are captive bred, we know that all have
312 been sourced from the wild.

313 Two elasmobranch families, the Dasyatidae and Rajidae, dominate aquarium displays in terms of total number
314 of species on display, with a high proportion of displayed species (38.2 % and 33.3 %, respectively) being
315 threatened. Further, the Dasyatidae is one of seven elasmobranch families at highest risk of extinction due to life
316 history sensitivity (low intrinsic rates of population growth) and exposure to fisheries, and three of the nine DD
317 species on display have been identified as potentially threatened (Dulvy et al. 2014). Although none of the DD
318 species on display have been identified as potentially threatened, members of the family Rajidae are similarly
319 considered to be highly susceptible to extinction (Dulvy and Reynolds 2002). Threatened species, and DD
320 species that may be at an elevated risk of extinction due to distribution or life history traits, from the families
321 Rajidae and Dasyatidae warrant an examination of captive populations to determine if they are self-maintaining
322 or sourced from a wild population that will not be depleted below sustainable levels.

323 The Potamotrygonidae has the highest proportion of DD species on display in public aquaria of any
324 elasmobranch family with ten of the 14 species on display (71.4 %) considered to be DD. Although none of
325 these DD species are considered to be potentially threatened by Dulvy et al. (2014), the Potamotrygonidae is the
326 only elasmobranch family to be completely restricted to freshwater habitats and all species are considered to be
327 of concern for conservation and management (de Araújo et al. 2004). In addition, one displayed species, the
328 previously DD *Potamotrygon tigrina*, was recently reassessed as EN (García Vásquez et al. 2016). In order to
329 minimise potential risk to wild populations an examination of captive populations of all threatened and DD
330 species from the Potamotrygonidae is warranted to determine if they are self-maintaining or sourced from a wild
331 population that can sustain harvests without depletion below sustainable levels.

332 Unless captive populations are self-maintaining, assessments of sustainability are required for wild collections
333 of all CR species on display in public aquaria (Fig. 1). Critically Endangered species face an 'extremely high

334 risk of extinction in the wild' (IUCN 2001) which is often the result of cumulative risks to their wild
335 populations, which may include harvests for aquarium displays. It is therefore unlikely that any wild populations
336 of CR species could sustain harvests without depletion below sustainable levels. The CR species present in
337 public aquaria globally and needing an examination of their captive populations are: *D. batis*, *P. horkelii*, *P.*
338 *pristis*, *P. pectinata*, *P. zijsron*, and *S. squatina*.

339 Australian case study of captive populations

340 In 2016, a higher proportion of threatened elasmobranch species were displayed in Australian zoos and public
341 aquaria (30.4 % of species on display) than globally (28.0 % of species on display) (IUCN 2016). Regional
342 trends in the proportions of species assigned to each IUCN Red List category cannot account for the high
343 proportion of threatened elasmobranchs on display in Australia. Both globally and within the Indo-Australasian
344 region, the proportion of species within an IUCN threatened category decreases as the threat category grows
345 more severe (White and Kyne 2010). In contrast, Australian aquaria display a higher proportion of VU species
346 than NT species. Additionally, while the proportion of DD species in the Indo-Australasian region is 29.2 %
347 (White and Kyne 2010), the proportion of DD species on display is much less at only 6.5 %. It is unknown why
348 Australian aquaria display relatively more VU species and fewer DD species, but the trend highlights the
349 importance of ensuring public aquarium collections are sustainable. Notably, more LC species are displayed
350 than any other IUCN Red List category, possibly reflecting the relative local availability for wild harvests of
351 these species.

352 In Australian aquaria there is both a high proportion of VU, NT and DD elasmobranch species that have
353 displayed breeding activity in captivity, and slightly higher stocking levels than would be expected given the
354 proportion of species that they represent. There is also a significant positive relationship between the number of
355 individuals on display and a history of breeding activity in captivity, and therefore it is expected that the high
356 stocking levels of VU, NT and DD species on display is a result of captive breeding successes for these species.
357 Captive breeding of aquarium fish can greatly reduce or even eliminate the need to harvest stock from wild
358 populations (Tlusty 2002). As successful captive breeding increases the size of captive elasmobranch
359 populations in Australian aquaria, some populations are expected to become self-maintaining thereby reducing
360 or negating the need for wild harvests.

361 Due to the combination of challenges presented in transporting large elasmobranchs (Smith 1992) and the
362 relative ease and cost-effectiveness of collecting specimens close to the destination aquarium, most
363 elasmobranch harvests for Australian zoos and public aquaria likely occur locally. The appropriate management
364 of local wild populations is an important consideration when undertaking harvests of elasmobranchs (Smith
365 1992) and it is therefore appropriate to use the local conservation status at the point of harvest for each species
366 to assess the potential risk of harvests to wild populations. In total this review identified 16 species on display in
367 Australian public aquaria that are considered as globally threatened on the IUCN Red List, or for which there is
368 insufficient information available to accurately assess their status (DD) but are considered to be potentially
369 threatened by Dulvy et al. (2014). Of these species, four were found to be regionally threatened on the IUCN
370 Red List: *G. glyphis*, *H. fluviorum*, *C. taurus* and *P. pristis* (Table 3). These four species may be regarded as
371 having source populations that may not be able to sustain harvests without population declines below
372 sustainable levels. However, no future acquisitions for aquaria are proposed for *G. glyphis* and therefore an
373 assessment of sustainability for existing aquarium displays is not required unless future harvests from the
374 threatened wild populations are proposed.

375 It is likely that captive populations of *H. fluviorum* are self-maintaining in Australian aquaria as the existing
376 stock is principally comprised of a large breeding group (R. Jones, Merlin Entertainments, pers. comm.).
377 Consequently, any future acquisitions would likely occur by transfers between aquaria and future wild harvests
378 for the purposes of aquarium display in Australia are unlikely, at least in current aquaria. We consider that an
379 assessment of sustainability for *H. fluviorum* is therefore not required unless future wild harvests are proposed.

380 Without population supplementation it is predicted that the captive Australian population of *C. taurus* will be
381 extinct by the year 2044 (Smith et al. 2013). Only two *C. taurus* on display are captive bred (Smith et al. 2013),
382 from a total of eight pups born in captivity in Australia since 1995 (NSW Primary Industries 2005). One of the
383 top priority actions identified in the Recovery Plan for Grey Nurse Shark (DOE 2014) is to ‘Determine whether
384 it is feasible and appropriate for management protocols to enable captive breeding and investigate survivorship
385 in captivity, to maintain a sustainable captive population without further collection from the wild’ (DOE 2014).
386 Given that high stocking levels and self-maintaining captive populations of several elasmobranch species do
387 already occur in Australian aquaria as a result of captive breeding successes, it is possible that a self-maintaining
388 captive *C. taurus* population may be established in the future. However, achieving reliable success in breeding

389 *C. taurus* presents many challenges despite ongoing research into artificial insemination options for the species
390 (ABC News 2016). Supplementation from the wild may be the only option to support the breeding program and
391 prevent the loss of a captive *C. taurus* population in in Australian aquaria. The CR status of wild *C. taurus*
392 populations on the east coast of Australia indicate that they are unlikely to tolerate harvests without the risk of
393 population declines below sustainable levels. The *Carcharias taurus* population on the west coast are not
394 considered to be threatened and it is less likely that harvests for public aquaria would put the population at risk
395 of decline below a sustainable level. A comprehensive assessment of sustainability for the aquarium display of
396 *C. taurus*, taking into account the potential to establish a self-maintaining captive population, would assist
397 stakeholders to meet their conservation commitments and would help inform the current moratorium on
398 collection.

399 The CR *P. pristis* population in captivity is not intended for breeding purposes and it is unlikely that this would
400 occur in the near future. *Pristis pristis* may attain seven metres total length and has a complex euryhaline life
401 cycle (Last and Stevens 2009) which makes the establishment of a *P. pristis* breeding program problematic. In
402 addition, although the congeneric smalltooth sawfish *Pristis pectinata* has bred in captivity, no offspring
403 survived (Henningsen et al. 2004). Nevertheless, Objective 7 of the Sawfish and River Sharks Multispecies
404 Recovery Plan (which aims to 'Reduce and, where possible, eliminate any adverse impacts of collection for
405 public aquaria on sawfish and river shark species') recommends action to research captive breeding
406 opportunities (DOE 2015) and a comprehensive assessment of sustainability could incorporate consideration of
407 the establishment of a breeding program. An important consideration for an assessment of sustainability for *P.*
408 *pristis* is the success of releases from public aquaria to the wild, as this could significantly influence the impact
409 of wild harvests. Current research examining the survivorship of aquarium released *P. pristis* (K. Buckley et al.
410 unpublished data) will provide vital information to inform this assessment. As a limited wild harvest is currently
411 allowed for domestic public aquaria, *P. pristis* urgently requires a comprehensive assessment of sustainability to
412 support the management of ongoing wild harvests.

413 Future directions

414 Two species have been identified in this review as needing urgently requiring comprehensive assessments of
415 sustainability for Australian aquarium displays: *C. taurus* and *P. pristis*. As yet there have been no assessments

416 of sustainability for an Australian public aquarium display of a threatened elasmobranch species. The need for
417 comprehensive assessments of sustainability prior to harvesting elasmobranch species at risk of population
418 decline below sustainable levels is reflected by State and Territory Fisheries permit requirements for public
419 aquarium collections of elasmobranchs in Australian waters, which commonly require some form of
420 justification in terms of educational or conservation benefits and sustainability of harvest (Online Resource 4).

421 Many authors agree that both in-situ and ex-situ conservation approaches must be considered in comprehensive
422 assessments of sustainability of zoo and aquarium displays (Redford et al. 2012; Lacy 2013; Conde et al. 2013),
423 due in part to the large number of prevailing conceptions of ‘sustainability’ (Bond et al. 2012). For example,
424 within the zoo and aquarium industry, definitions of sustainability range from the maintenance of captive
425 population viability (in terms of genetic, physiological, behavioural, and morphological traits) (Lacy 2013) to
426 sustainable collection practices (WAZA 2009; ZAA 2014) and the commitment to undertake conservation
427 activities associated with threatened species on display (IUCN 2002). Comprehensive assessments of
428 sustainability incorporating both educational or conservation benefits of displays and ecological impacts of
429 harvests would provide regulatory bodies with a consistent and defensible basis for decision making,
430 particularly as Australian permit requirements to collect elasmobranchs for display in aquaria usually identify
431 educational or conservation benefits as a justification for the harvests. Additionally, assessments would provide
432 public aquaria with clear strategies and targets, such as elasmobranch captive breeding and longevity goals, or
433 public education and field conservation projects, which can be met to achieve sustainable displays.

434 The large number of DD elasmobranch species complicated the identification of captive elasmobranch species
435 at an elevated risk of extinction in the wild. These species were able to be incorporated into the analyses by
436 identifying DD species that have been identified as potentially threatened in the wild, although there is a level of
437 statistical uncertainty in this process (Dulvy et al. 2014). Considerable future research effort is needed to
438 provide the ecological knowledge required for an accurate IUCN Red List assessment of all current DD
439 elasmobranch species. As a taxonomic group of particular conservation concern, a precautionary approach to
440 wild harvests of DD elasmobranch species should be undertaken until the necessary research is complete.

441 The lack of a comprehensive and current database of elasmobranch stocks in zoos and public aquaria precluded
442 an accurate assessment of global species holdings. Although the database ZIMS is considered to be the most

443 comprehensive database of animals held in zoos and aquaria globally (ISIS 2015a) and has been used to
444 examine the taxonomic composition of terrestrial vertebrates in captivity (Conde et al. 2011), ZIMS is voluntary
445 and was only redesigned to cater for aquarium collections in 2012. In 2015, ZIMS recorded approximately 3,000
446 individual elasmobranchs in public aquaria (ISIS 2015b) compared to the 9,578 elasmobranchs recorded by the
447 AES CEC seven years prior (AES 2008). Despite the relatively comprehensive results of the 2008 AES CEC,
448 participation in this census was also voluntary and only 129 of the estimated 315 public aquaria globally
449 participated (AES 2008, WAZA 2009). Further, the rapid growth in the number of aquaria globally (particularly
450 in high growth areas such as China) (WAZA 2009) mean that many aquaria remain uncensused to date, leading
451 to considerable uncertainty in the status of captive elasmobranch populations.

452 Within Australian public aquaria, the most current Australasian regional elasmobranch database is the ZAA
453 CPOS (ZAA 2016) in which participation is voluntary. Several Australian aquaria are not members of the ZAA
454 and institutional restrictions prevented direct access to stocking information. Some data was gathered from
455 publicly available sources (such as public aquarium websites and tourism web sites) but the lack of
456 comprehensive species lists and numbers of individuals held ultimately determined that this data may be
457 incomplete and that the stocking levels of some species are uncertain. Further to these issues, several species
458 identifications in the ZAA records required clarification and the possible duplication of data in some instances
459 led to further uncertainty in stock numbers. Finally, the intended source/s of future acquisitions is currently not
460 identified in the ZAA CPOS, which compromises our ability to identify species intended to be harvested from
461 wild populations.

462 The uncertainty in species and numbers of elasmobranchs displayed globally and regionally indicates the need
463 for current and comprehensive regional databases for threatened elasmobranch species held by zoos and aquaria.
464 Regional databases could be effectively supported by regional zoo and aquarium associations which often
465 already have access to detailed stocking levels of threatened species within their region. Data recorded would
466 include details of proposed acquisitions (whether from wild harvests, breeding programs or transfers from other
467 aquaria) and would use currently accepted taxonomic nomenclature to alleviate species identification issues.
468 Participation in a regional threatened elasmobranch database would be strongly encouraged for all institutions
469 that harvest threatened elasmobranchs from the wild for display purposes, and the regional databases could
470 provide data to ZIMS, supporting its' continuing development as a comprehensive global database. This would

471 be a vital step towards effective global management of these species by facilitating the identification of
472 threatened elasmobranch species on display that are vulnerable to declines of wild populations below
473 sustainable levels.

474 **Conclusions**

475 Many elasmobranchs exhibited by public aquaria are at risk of extinction in the wild and yet continue to be
476 harvested from the wild for displays. This review demonstrates that a progressive analysis of aquarium stocks
477 can identify elasmobranch species that do not have sustainable captive populations. This includes identifying
478 species at risk (or potentially at risk) of extinction in the wild, without self-maintaining captive populations, and
479 for which harvests are proposed from wild populations that cannot withstand harvests for public aquarium
480 displays without population declines below sustainable levels.

481 Elasmobranch species that do not have sustainable captive populations, and that are at risk or potentially at risk
482 of extinction in the wild, urgently require comprehensive assessments of sustainability for aquarium displays
483 prior to future harvests. Defensible sustainability assessments that address individual species and incorporate
484 both conservation benefits of the displays as well as the potential ecological impacts of wild harvests will ensure
485 that the conservation commitments of stakeholders are upheld. For example State and Territory Fisheries
486 agencies will be able to demonstrate robust justification for harvest permits issued, in terms of educational or
487 conservation benefits and sustainability of harvests, while public aquaria will identify strategies and targets to
488 achieve sustainable displays and thereby meet their core conservation values.

489 As a result of this review, we identify the need for an improvement in data management of threatened
490 elasmobranch species in zoos and public aquaria to ensure that harvests for display purposes are not causing
491 unsustainable declines to wild populations. This could be achieved by the establishment of comprehensive
492 regional databases for zoos and public aquaria, with participation strongly encouraged for all institutions that
493 harvest threatened species from the wild.

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