

IMPORTANT UPDATES AND INFORMATION – PLEASE READ!

- As of February 1, 2024, you should now submit applications for Aquacultured Live Rock permits on line. You can submit and view your application, resolve any deficiencies, and even download for printing your open access permits. It is fast and easy, and in many cases you can submit your required information, documents, and application fees in minutes.
- PLEASE NOTE: Any user name or account created BEFORE 09/01/2021 is no longer valid.
- Only accounts created on or after 09/01/2021 will be allowed access to the new SERO On-Line Permitting System.
- Beginning 02/01/2022 – the permits office NO LONGER accepts checks or money orders as payment for application fees. You are REQUIRED to make your payments through your on line account.
- Beginning 02/01/2022 – The permits office no longer has an operational Fax Machine or Fax Line and will not be accepting supporting documents by fax. Supporting documents will only be accepted through your on line account or via mail, attention to your on-line application ID number.
- To Create a new account or sign into your existing account that was created after 09/01/2021, go to: go.usa.gov/xF7Cu

IF you choose to mail a paper application to our office, the application will be scanned and converted to a digital version and processed as an on-line application. You are still required to have an on-line account to complete your application payment. If you mail your application, you may only make your payment through your on line account AFTER your paper application is converted, processed and found to have no payment and a deficiency email has been sent to you. **If you mail a check or money order as payment - it will be returned to you.**



Instructions for the Federal Permit Application for Aquacultured Live Rock (permit renewal)

Rev 01/02/2024

In addition to the instructions provided herein, applicants with specific questions are encouraged to contact the Permits Office at (727) 824-5326 or toll free at (877) 376-4877 between 9:00 a.m. and 4:00 p.m. ET, or visit the SERO Permits website at <https://www.fisheries.noaa.gov/permits-and-forms>.

Please consult the U.S. Code of Federal Regulations whose guidance for application requirements, permit eligibilities, and related information will always prevail. NMFS will return incomplete or illegible applications.

Additional guidance regarding Aquacultured Live Rock is available on the web at:

<http://sero.nmfs.noaa.gov/aquaculture/>

General Instructions:

Aquacultured Live Rock (ALR) permits issued to one or more permit holders allow the deposit to and harvest of materials from a specific geographic location, or *site*. Use **this** application to renew an ALR permit for a site for which you are already listed as the permit holder on the most recent permit.

Use the **Federal Permit Application for Aquacultured Live Rock (NEW)** application to request an ALR permit for a site that has not previously been issued an ALR permit.

If you wish to apply as a new permit holder for an already existing site, see section below on how to conduct an ALR site transfer.

NMFS will not process requests to renew permits until applicants meet all reporting requirements (e.g., deposit reports) specific to the aquacultured live rock fishery. Ensure you comply with all reporting requirements in advance of any renewal application requests to avoid delays.

Under the current agreement between NMFS and the U.S. Army Corps of Engineers (USACE), the total acreage of all aquacultured live rock sites maintained by a single permit holder in Federal waters off the coast of Florida may not exceed 1.0 acres. Applicants desiring to maintain sites that exceed this 1.0 acre limit must contact their local USACE office (<http://www.usace.army.mil/Locations/>) and inquire about the individual permitting process for the deposit of aquacultured live rock in Federal waters off the coast of Florida.

NOTE: You may only conduct activity (e.g., deposition, harvest) on your site in years when you have an active federal Aquacultured Live Rock permit.

What Sections do I complete?

Complete all applicable sections of this application form. All application fields should be typed or printed in ink. Specifically,

- All applicants must fill out Section 1.
- All applicants must fill out Section 2a. If more than one vessel will be involved in the deposition or harvest of materials from the site, fill out Section 2b. Copy Section 2 as necessary to provide information about all vessels that may engage in the deposition or harvesting of materials from this site.
- All applicants must fill out Section 3. If the ALR permit is to be issued to one or more individuals, fill out section 5a for each individual to whom the permit is to be issued. If the ALR permit is to be issued to one or more businesses, fill out section 3b for each business to whom the permit is to be issued. Copy Section 3 as necessary to provide information about each individual or business requested to be an ALR Permit Holder.

What Sections do I complete (Continued)

- If the USCG documentation or state registration for any vessel listed in Section 2 indicates the vessel is owned by one or more individuals, fill out Section 4 for all individual owners of the vessel(s). Copy Section 4 as necessary to provide information about all individuals that own the vessel(s) listed in Section 2.
- If the USCG documentation or state registration for any vessel listed in Section 2 indicates the vessel is owned by one or more businesses, fill out Section 5 for all business owners of the vessel(s). Copy Section 5 as necessary to provide information about all individuals that own the vessel(s) listed in Section 2.
- Complete Section 6 to provide information about all businesses that own a business listed in Section 3b and/or Section 5. Copy Section 6 as necessary to provide information about all business owners within the ownership hierarchy of businesses requesting a permit or that own a vessel listed in this application.
- Complete Section 7 for all individual owners and officers of businesses listed in Section 3b, Section 5, and Section 6. Copy Section 7 as necessary to provide information about all individual owners and officers of businesses that are requesting a new permit or that own a vessel listed in this application.
- Complete Section 9 if any owners of the businesses listed in Section 3b, Section 5, or Section 6 hold an ownership percentage less than 1%. This is not common.
- All applicants must complete Section 9 and Section 10.
- See pages 3-5 for information about specific sections of this application.

What is the fee?

- The application fee is \$31 to renew an aquacultured Live Rock Permit. This application fee is collected to cover the administrative cost of processing the application, and is non-refundable.
- NMFS will not refund money for denied permits. Payments must be made through your on line SERO Permits account. DO NOT send payment to our office, it will be returned to you.
- The fee to replace an aquacultured live rock permit is \$18. Applications for duplicate permits must be submitted and paid for through your on-line account.

Where do I send the application?

Mail the complete application, payment, and all required supporting documentation (do not include payment) to:

National Marine Fisheries Service (F/SER14), 263 13th Avenue South, St. Petersburg, FL 33701.

Upon receipt, your application will be converted to a digital application and you will be notified of your payment deficiency via email.

Please note using the prepaid overnight delivery option does not expedite permit processing; it only expedites delivery of your completed permit package.

How do I transfer ownership of an existing Aquacultured Live Rock site?

If you are **not** the current permit holder for a particular site, you **must** complete a Federal Permit Application for Aquacultured Live Rock (NEW) and include a notarized statement signed by you and the current owner of the site. The notarized statement must provide details on the transfer and include the site number (e.g., AQU-XXX), latitude/longitude of the site, the full names and addresses and phone numbers of both the transferor and transferee. Note that all deposit and harvest reports for the site must be received by the NOAA Fisheries Permits Office and Florida Fish and Wildlife Research Institute, respectively, before the transfer can be finalized.

What supporting documentation do I need?

Documentation or state registration: Include a copy of the vessel's valid USCG Documentation or, if not required to be USCG Documented include a copy of the vessel's valid State Registration, for each vessel listed in Section 4.

Sample Deposit Material: For a NEW site, you must provide a sample of the rock you will be depositing on the site, along with the geographic description of the source site and the geologic description of the rock.

For an ESTABLISHED site - If the material to be deposited on the site for cultivation of live rock is from a different geological location than what was originally provided to NOAA Fisheries for the existing site, you must provide a sample of the new material with this application and include the geographic description of the source site and the geologic description of the rock.

What about reporting compliance?

Deposit

Federal aquacultured live rock permit holders must report to the Permits Office after each deposition of material on a site. Such reports must be postmarked no later than 7 days after deposition and must contain the following information:

- Permit number of site and date of deposit.
- Geological origin of material deposited.
- Amount of material deposited.
- Source of material deposited, that is, where obtained, if removed from another habitat, or from whom purchased.

The form "Report for the Deposit or Harvest of Aquacultured Live Rock" is available on our public website at

http://sero.nmfs.noaa.gov/operations_management_information_services/constituency_services_branch/permits/permit_application/index.html

Harvest

If you are landing your harvested aquacultured live rock **in Florida**, you must report to the Fisheries Dependent Monitoring Section of the Florida Fish and Wildlife Research Institute using standard form #33-610 (Marine Fisheries Trip Ticket). Call the trip ticket office at (727) 896-8626 for more information.

You may use the "Report for the Deposit or Harvest of Aquacultured Live Rock" form only if you are landing harvested aquacultured live rock **outside of Florida**.



APPLICATION SECTION 1 – SITE INFORMATION.

- For a site already established, provide the Site Number (as issued by the NMFS) for the site.

NMFS will issue a NEW site Number for a NEW site that has not been previously established or recorded.



APPLICATION SECTION 2 – VESSEL INFORMATION.

Complete Section 2 for all vessels to be permitted to deposit or harvest of materials from the site. Copy this page as necessary to provide information about all vessels.

- Enter the Official Number and the length of the vessel as they appear on the U.S. Coast Guard Certificate of Documentation, or the State Registration certificate for a vessel without USCG documentation.
- Provide the Hull Identification Number (HIN) if available. The HIN is a unique number assigned by the boat builder. Most HINs are shown on the state registration or USCG documentation.
- Provide hailing port or home port of the vessel in the fields provided.
- Provide information about the Port of Landing, which is where the vessel lands the aquacultured live rock, in the fields provided.
- For USCG documented vessels, provide the gross and net tonnage in the fields provided.
- Provide information about the vessel's physical characteristics in the fields provided.



APPLICATION SECTION 3 – PERMIT HOLDER INFORMATION.

Provide information about the individual(s) or business(es) to be listed as the permit holder. For individual permit holders, fill out section 3a. For business permit holders, complete Section 3b. If there is more than one permit holder, select a single Primary Mailing Recipient to whom all correspondence about this application and requested permits will be sent. Copy Section 3 as necessary to provide information about all individuals and businesses to be a permit holder. Specifically,

Section 3a

- For each individual permit holder, include the lessee's full name, Individual Tax ID number (SSN), date of birth, phone number, physical address, mailing address, sex, and race/ethnicity information.
- Indicate if the Individual is a United States citizen or permanent resident alien. Note, this information will not affect eligibility to obtain a permit.
- Provide an email address or SMS mobile phone number to receive digital updates about your permit and application status (when available).

APPLICATION SECTION 3 – PERMIT HOLDER INFORMATION (cont.)

Section 3b

- For each business that leases the vessel, provide the business's full name, Federal Employer Tax ID number (FEIN), date the business was formed, phone number, physical address, mailing address, and business type.
- Indicate if the business was established by the laws of the United States or any state of the United States. Note, this information will not affect eligibility to obtain a permit.
- Provide an email address or SMS mobile phone number to receive digital updates about your permit and application status (when available).
- For a brief definition of applicable business types, see our frequently asked questions at http://sero.nmfs.noaa.gov/operations_management_information_services/constituency_services_branch/permits/permit_faq/index.html

APPLICATION SECTION 4 -- INDIVIDUAL VESSEL OWNERS.



For each vessel listed in Section 2 that is owned by one or more individuals (as listed on the vessel's U.S. Coast Guard Certificate of Documentation or State Registration), complete Section 4 for all individual owners listed. Complete **Section 4a** for an **individual owner**. Also fill out **Section 4b** if the vessel is **jointly owned** by another individual. Photocopy **Section 4** as necessary to provide information for all individuals that own the vessel.

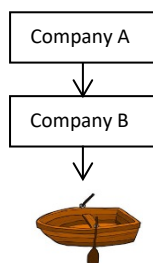
- For each owner, provide the owner's full name, Individual Tax ID number (SSN), date of birth, phone number, physical and mailing address, sex, and race/ethnicity information.
- Indicate if the owner is a United States citizen or permanent resident alien. Note, this information will not affect eligibility to obtain a permit.
- Provide an email address or SMS mobile phone number to receive digital updates about your permit and application status (when available).

APPLICATION SECTION 5 – BUSINESS VESSEL OWNERS.



For each vessel listed in Section 2 that is owned by one or more businesses (as listed on the vessel's U.S. Coast Guard Certificate of Documentation or State Registration), complete section 5 for all business owners listed. Complete section 5a for a single business owner. Also fill out Section 5b if the vessel is **jointly owned** by another business.

- NMFS will not issue permits to a business with an INACTIVE status with the applicable Secretary of State.
- Provide the business's full name, Federal Employer Tax ID number (FEIN), date the business was formed, phone number, physical and mailing address, and business type.
- Indicate if the business was established by the laws of the United States or any state of the United States. Note, this information will not affect eligibility to obtain a permit.
- Provide an email address or SMS mobile phone number to receive digital updates about your permit and application status (when available).
- For a brief definition of applicable business types, see our frequently asked questions at http://sero.nmfs.noaa.gov/operations_management_information_services/constituency_services_branch/permits/permit_faq/index.html



APPLICATION SECTION 6 –Businesses that Own Businesses

Complete this section for any business that owns more than 1% of any business listed within the ownership hierarchy of vessel owners or permit holders, as listed in Section 3b, or Section 5. For every business, the sum of ownership, by either individuals or other businesses, must total 100%. Photocopy this section as necessary to provide information about all businesses within the ownership hierarchy of the vessel.

- For each business, provide the business's full name, Federal Employer Tax ID number (FEIN), date the business was formed, phone number, physical and mailing address, and business type.

Application Section 6 (cont.)

- Indicate if the business was established by the laws of the United States or any state of the United States. Note, this information will not affect eligibility to obtain a permit.
- Provide an email address or SMS mobile phone number to receive digital updates about your permit and application status (when available).
- For a brief definition of applicable business types, see our frequently asked questions at http://sero.nmfs.noaa.gov/operations_management_information_services/constituency_services_branch/permits/permit_faq/index.html

Example: If a vessel's USCG documentation indicates that the vessel is owned by Company A, and Company A is owned by Company B. Provide information about Company A in section 5 and Company B in section 6.



APPLICATION SECTION 7 –Businesses Officers and Individual Owners

Complete this section for any individual that owns more than 1% of any business listed in Section 3b, Section 5, or Section 6. For every business, the sum of ownership, by either individuals or other businesses, must total 100%. Photocopy this section as necessary to provide information about all businesses within the ownership hierarchy of the vessel

- For each individual owner or officer, include the entity's full name, Individual Tax ID number (SSN), date of birth, phone number, physical address, mailing address, sex, and race/ethnicity information.
- Indicate if the individual is a United States citizen or permanent resident alien. Note, this information will not affect eligibility to obtain a permit.
- Provide an email address or SMS mobile phone number to receive digital updates about your permit and application status (when available).

Example: If a vessel's USCG documentation indicates that the vessel is owned by Company A, provide information about all owners and officers of Company A. If Company A is also owned in whole or part by Company B, complete section 8 to provide information about all individual owners and officers of Company A and Company B.

Photocopy this section as necessary to provide information about all businesses and their respective owners and officers that comprise the ownership hierarchy of the vessel.

Minor shareholders

Section 7C is left blank for most applicants. Complete Section 7C if a business listed in Section 3b, 5, 6, or 7 has owners that individually own less than 1% of the business. Provide the total percentage of ownership which is individually held by owners who own less than 1%.

APPLICATION SECTION 12 – Small Business or Organization Certification

This section is required for ALL applicants. Your revenue and employment estimates for the most recent complete calendar year your business or organization was active should include the revenues and employees of ALL affiliated businesses or organizations. In general, businesses or organizations are affiliated with each other when one business or organization controls or has the power to control another business or organization, or a third party controls or has the power to control both. Specifically, businesses or organizations are considered to be affiliated if they have 50% or more ownership in common. For e.g., if the same individual or individuals own or co-own multiple businesses, those businesses would be considered affiliated and thus should be treated as a single operation for the purpose of estimating annual gross revenues and employment.



APPLICATION SECTION 9 – SIGNATURE FOR APPLICATION

The signatory for a coral permit must be the individual who will be conducting the activity that requires the permit. In the case of a corporation or partnership that will be conducting live rock aquaculture activity, the signatory must be the principal shareholder or a general partner.

KNOWINGLY SUPPLYING FALSE INFORMATION OR WILLFULLY OVERVALUING ANY FISHING INCOME TO OBTAIN A PERMIT IS A VIOLATION OF FEDERAL LAW PUNISHABLE BY A FINE AND/OR IMPRISONMENT.

Public Burden Statement - A Federal agency may not conduct or sponsor, and a person is not required to respond to, nor shall a person be subject to a penalty for failure to comply with an information collection subject to the requirements of the Paperwork Reduction Act of 1995 unless the information collection has a currently valid OMB Control Number. The approved OMB Control Number for this information collection is 0648-0205. Without this approval, we could not conduct this survey or information collection. Public reporting for this information collection is estimated to be approximately 50 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the information collection. All responses to this information collection are required to obtain benefits. Send comments regarding this burden estimate or any other aspect of this information collection, including suggestions for reducing this burden to the: PRA Officer, National Marine Fisheries Service, F/SER26, 263 13th Avenue South, St. Petersburg, FL 33701.

Privacy Act Statement - Authority: The collection of this information is authorized under the Magnuson-Stevens Fishery Conservation and Management Act (16 U.S.C 1801 et seq.), the High Seas Fishing Compliance Act, the Tuna Conventions Act of 1950, the Antarctic Marine Living Resources Convention Act, the Western and Central Pacific Fisheries Convention Implementation Act (16 U.S.C. 6901 et seq.), the Marine Mammal Protection Act, the Endangered Species Act and the Fur Seal Act. The authority for the mandatory collection of the Tax Identification Number (TIN) is 31 U.S.C. 7701.

Purpose: In order to manage U.S. fisheries, the National Marine Fisheries Service (NMFS) requires the use of permits or registrations by participants in the United States. Information on NMFS permit applicants and renewing holders includes vessel owner contact information, date of birth, TIN and vessel descriptive information. Permit holder information may be used as sampling frames for surveys, as part of Fishery Management Council (FMC) analysis to support FMC decisions.

Routine Uses: The Department will use this information to determine permit eligibility and to identify fishery participants. Disclosure of this information is permitted under the Privacy Act of 1974 (5 U.S.C. Section 552a), to be shared within NMFS offices, in order to coordinate monitoring and management of sustainability of fisheries and protected resources, as well as with the applicable state or regional marine fisheries commissions and international organizations. Disclosure of this information is also subject to all of the published routine uses as identified in the Privacy Act System of Records Notice COMMERCE/NOAA-19, Permits and Registrations for the United States Federally Regulated Fisheries.

Disclosure: Furnishing this information is voluntary; however, failure to provide complete and accurate information will prevent the determination of eligibility for a permit.

The National Marine Fisheries Service requires this information for the conservation and management of marine fishery resources. The data reported will be used to develop, implement, and monitor fishery management activities for a variety of other uses. Responses to this collection are required to obtain or retain a fisheries permit under the Magnuson - Stevens Act. Non-confidential information may be released via a NOAA Fisheries website. Non-confidential information means: Name, Street Address, City, State, Zip code, Effective Date of Permit, Permit Types, Vessel Name, Vessel Identification Number, and in the case of a "for hire" vessel the Passenger Capacity, or individual, corporate and lease holders of permits. All other data submitted will be handled as confidential material in accordance with NOAA Administrative Order 216-100, Protection of Confidential Fishery Statistics. Notwithstanding any other provisions of the law, no person is required to respond to, nor shall any person be subjected to a penalty for failure to comply with, a collection of information subject to the requirements of the Paperwork Reduction Act, unless that collection of information displays a currently valid OMB Control Number.

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U.S. Department of Commerce, NOAA
 NMFS PERMITS OFFICE, F/SER14
 263 13th Avenue South
 St. Petersburg, FL 33701
 Toll Free 877-376-4877 (9:00 a.m. - 4:00 p.m. ET)
 727-824-5326 (9:00 a.m. - 4:00 p.m. ET)
<https://www.fisheries.noaa.gov/permits-and-forms>



FEDERAL PERMIT APPLICATION FOR AQUACULTURED LIVE ROCK (RENEWAL)

FOR OFFICE USE ONLY - DATE RECEIVED

FOR OFFICE USE ONLY
Application ID

SECTION 1 - SITE INFORMATION

Provide the SITE NUMBER (as assigned by NMFS) of the existing site in this box.

Check here if material was deposited on the site during the period of time the last permit for this site was valid.

☐

SECTION 2 - VESSEL INFORMATION

NOTE: THE permit holder may be different from the vessel owner. You must provide complete vessel and vessel owner information for each vessel to be used for the deposit or harvest of live rock material. A vessel may not be used for depositing or harvesting of material if it is not included on the application.

Official Number From USCG Certificate Of Documentation

Vessel Name

Hull Identification Number

Hailing Port City

Hailing Port County Or Parish

Hailing Port State

Port of Landing City

Port of Landing State

USCG DOCUMENTED VESSELS ONLY

Gross Tons

Net Tons

International Maritime Organization (IMO) Number
As applicable (see instructions)

State Registration Number (as applicable)

Year Built

Length (ft)

Total Horsepower

Crew Size - Including the Captain

ALL APPLICANTS—HOLD or FISH BOX CAPACITY: Estimate
How many pounds of product can you bring to the dock with a full hold or fish boxes (including ice chests)?

LIVE WELL CAPACITY: How many gallons of water does your live well hold?

Hull Material

- ☐ FIBERGLASS
☐ STEEL
☐ WOOD
☐ CEMENT
☐ OTHER (DESCRIBE)

Fuel Data

- ☐ DIESEL
☐ GASOLINE
☐ OTHER (DESCRIBE)

Fuel Capacity -
Total Gallons

SECTION 3a - INDIVIDUAL PERMIT HOLDER(S) INFORMATION

Section 3a: Primary or Sole PERMIT HOLDER: Complete this section if there is one or more individual that is the Aquacultured Live Rock Permit Holder.

MAILING RECIPIENT - By Default, All mail about this permit will go to the individual listed in THIS Section.

REQUIRED INFORMATION - Permits cannot be issued without this information.

Is this individual a United States Citizen or permanent resident alien?

☐

YES

☐

NO

Last Name

First Name

Middle Name

Suffix - Jr, Sr, etc.

If you are operating under a different name, what is your Doing Business As (DBA) name?

Individual Tax ID Number (SSN)

Date of Birth (MM/DD/YYYY)

Area Code

Phone Number

Email Address

Mailing Address

Apt #

City

State

County/Parish

Zip Code

Country

☐ Check box if the Physical Address is the same as the mailing address.

Physical Address (PO Box not acceptable)

Apt #

City

State

County/Parish

Zip Code

Country

DEMOGRAPHIC INFORMATION: NMFS is committed to monitoring its review and issuance processes to identify and address any inequities based on the sex, race, or ethnicity of its permit applicants. The applicant(s) should submit the requested demographic information for each owner or officer listed on the permit application to gather information needed for this important task. Submission of the requested information is voluntary. Demographic data will not be used to determine whether to issue a permit.

What is this individual's Sex?

☐

Male

☐

Female

What is this individual's race or ethnicity? Mark all that apply

☐

White

☐

Hispanic or Latino

☐

Asian

☐

Black or African American

☐

American Indian or Alaska Native

☐

Middle Eastern or North African

☐

Native Hawaiian or Pacific Islander

☐

Other

If there are additional individual Aquacultured Live Rock Permit Holders (joint permit holder) for this Aquacultured Live Rock Site, copy this page and provide the information for each additional individual.

SECTION 3b – BUSINESS PERMIT OWNER(S) INFORMATION

Section 3b: Primary or Sole Owner: Complete this section if there is one or more individual that is the Aquacultured Live Rock Permit Holder.

MAILING RECIPIENT - By Default, All mail about this permit will go to the individual listed in Section.

Type of business: ☐ S Corporation ☐ Cooperative ☐ Other _____ ☐ C Corporation ☐ Limited Liability Co. ☐ Partnership

Was this Business properly established by the laws of the United States or any state of the United States?

☐ YES
☐ NO

Registered Name of Business

Federal Employer Tax ID Number (FEIN)

Date Business Formed (MM/DD/YYYY)

Area Code

Phone Number

Email - REQUIRED

Mailing Address

Apt #

City

State

County/Parish

Zip Code

Country

☐ Check box if the Physical Address is the same as the mailing address.

Physical Address (PO Box not acceptable)

Apt #

City

State

County/Parish

Zip Code

Country

If there are additional Business Aquacultured Live Rock Permit Holders (Joint permit holder) for this Aquacultured Live Rock Site, copy this page and provide the information for each additional business.

SECTION 4 - INDIVIDUAL VESSEL OWNER(S) INFORMATION

Section 4a: Primary or Sole Owner: Complete this section if there is one or more individual shown on the USCG documentation, State Registration or title as the registered owner of the vessel. **Select only ONE mailing recipient.**

MAILING RECIPIENT - By Default, All mail about this permit will go to the individual listed in Section this Section unless the vessel is leased.

REQUIRED INFORMATION - Permits cannot be issued without this information.

Is this individual a United States Citizen or permanent resident alien?

☐

YES

☐

NO

Last Name

First Name

Middle Name

Suffix - Jr, Sr, etc.

If you are operating under a different name, what is your Doing Business As (DBA) name?

Individual Tax ID Number (SSN)

Date of Birth (MM/DD/YYYY)

Area Code

Phone Number

Email Address

Mailing Address

Apt #

City

State

County/Parish

Zip Code

Country

☐ Check box if the Physical Address is the same as the mailing address.

Physical Address (PO Box not acceptable)

Apt #

City

State

County/Parish

Zip Code

Country

DEMOGRAPHIC INFORMATION: NMFS is committed to monitoring its review and issuance processes to identify and address any inequities based on the sex, race, or ethnicity of its permit applicants. The applicant(s) should submit the requested demographic information for each owner or officer listed on the permit application to gather information needed for this important task. Submission of the requested information is voluntary. Demographic data will not be used to determine whether to issue a permit.

What is this individual's Sex?

☐

Male

☐

Female

What is this individual's race or ethnicity? Mark all that apply

☐

White

☐

Hispanic or Latino

☐

Asian

☐

Black or African American

☐

American Indian or Alaska Native

☐

Middle Eastern or North African

☐

Native Hawaiian or Pacific Islander

☐

Other

If there are additional individual vessel owners listed on the vessel's USCG Certificate of Documentation, State Vessel Registration or Vessel Title, copy this page and provide the information for each additional vessel owner.

SECTION 5 – BUSINESS VESSEL OWNER(S) INFORMATION

Section 5a: Primary or Sole Owner: Complete this section if there is one or more businesses shown on the USCG Documentation, State Registration or Title as the registered owner of the vessel. **NOTE—MAILING RECIPIENT** - By default, All mail about this permit will go to the business listed in Section 5a unless the vessel is leased.

REQUIRED INFORMATION - Permits cannot be issued without this information.

Type of business: ☐ S Corporation ☐ Cooperative ☐ Other _____ Was this Business properly established by the laws of the United States or any state of the United States? ☐ YES
☐ C Corporation ☐ Limited Liability Co. ☐ Partnership ☐ NO

COMPLETE Registered Name of Business

State where the Business is originally registered

Federal Employer Tax ID Number (FEIN)

Date Business Formed (MM/DD/YYYY)

Area Code

Phone Number

Email Address

Mailing Address

Apt #

City

State

County/Parish

Zip Code

Country

☐ Check box if the Physical Address is the same as the mailing address.

Physical Address (PO Box not acceptable)

Apt #

City

State

County/Parish

Zip Code

Country

Section 5b: Joint Owner: Complete this section if there is another business shown on the USCG Documentation, State Registration or Title as the registered joint owner of the vessel.

REQUIRED INFORMATION - Permits cannot be issued without this information.

Type of business: ☐ S Corporation ☐ Cooperative ☐ Other _____ Was this Business properly established by the laws of the United States or any state of the United States? ☐ YES
☐ C Corporation ☐ Limited Liability Co. ☐ Partnership ☐ NO

COMPLETE Registered Name of Business

State where the Business is originally registered

Federal Employer Tax ID Number (FEIN)

Date Business Formed (MM/DD/YYYY)

Area Code

Phone Number

Email Address

Mailing Address

Apt #

City

State

County/Parish

Zip Code

Country

☐ Check box if the Physical Address is the same as the mailing address.

Physical Address (PO Box not acceptable)

Apt #

City

State

County/Parish

Zip Code

Country

If there are additional Business vessel owners listed on the vessel's USCG Certificate of Documentation, State Vessel Registration or Vessel Title, copy this page and provide the information for each additional vessel owner.

SECTION 6 - BUSINESSES THAT OWN BUSINESSES

Complete this section for each business that owns 1% or more of a business listed in sections 3b and/or section 5. Copy this section as needed.

Section 6a: Business owner:

Business for which this business is an owner of:

Percent of Business Owned:

Type of
business:

☐

S Corporation

☐

Cooperative

☐

Other _____

☐

C Corporation

☐

Limited Liability Co.

☐

Partnership

Was this Business properly established by
the laws of the United States or any state
of the United States?

☐

YES

☐

NO

Registered Name of Business

Federal Employer Tax ID Number (FEIN)

Date Business Formed (MM/DD/YYYY)

Area Code

Phone Number

Mailing Address

Apt #

City

State

County/Parish

Zip Code

Country

☐

Check box if the Physical Address is the same as the mailing address.

Physical Address (PO Box not acceptable)

Apt #

City

State

County/Parish

Zip Code

Country

Section 6b: Additional Business owner:

Business for which this business is an owner of:

Percent of Business Owned:

Type of
business:

☐

S Corporation

☐

Cooperative

☐

Other _____

☐

C Corporation

☐

Limited Liability Co.

☐

Partnership

Was this Business properly established by
the laws of the United States or any state
of the United States?

☐

YES

☐

NO

Registered Name of Business

Federal Employer Tax ID Number (FEIN)

Date Business Formed (MM/DD/YYYY)

Area Code

Phone Number

Mailing Address

Apt #

City

State

County/Parish

Zip Code

Country

☐

Check box if the Physical Address is the same as the mailing address.

Physical Address (PO Box not acceptable)

Apt #

City

State

County/Parish

Zip Code

Country

SECTION 7 - BUSINESS OFFICERS AND BUSINESS OWNERS

Complete this section by providing information on all individual officers and owners that own 1% or more of any business listed in sections 3b, 6, 5.

REQUIRED INFORMATION - Permits cannot be issued without this information.

Business for which this individual is an officer/owner of:

Position Held - Check ALL That Apply

☐ President/CEO ☐ Vice President ☐ Secretary ☐ Treasurer ☐ Director/ Manager ☐ Shareholder ☐ Other

Percent of Business Owned:

Is this individual a United States Citizen or permanent resident alien?

☐ YES ☐ NO

Last Name

First Name

Middle Name

Suffix - Jr, Sr, etc.

If you are operating under a different name, what is your Doing Business As (DBA) name?

Individual Tax ID Number (SSN)

Date of Birth (MM/DD/YYYY)

Area Code

Phone Number

Email Address

Mailing Address

Apt #

City

State

County/Parish

Zip Code

Country

☐ Check box if the Physical Address is the same as the mailing address.

Physical Address (PO Box not acceptable)

Apt #

City

State

County/Parish

Zip Code

Country

DEMOGRAPHIC INFORMATION: NMFS is committed to monitoring its review and issuance processes to identify and address any inequities based on the sex, race, or ethnicity of its permit applicants. The applicant(s) should submit the requested demographic information for each owner or officer listed on the permit application to gather information needed for this important task. Submission of the requested information is voluntary. Demographic data will not be used to determine whether to issue a permit.

What is this individual's Sex?

☐ Male ☐ Female

What is this individual's race or ethnicity? Mark all that apply

☐ White

☐ Black or African American

☐ Native Hawaiian or Pacific Islander

☐ Hispanic or Latino

☐ American Indian or Alaska Native

☐ Other _____

☐ Asian

☐ Middle Eastern or North African

SECTION 8 - OWNER INFORMATION FOR UNNAMED MINOR SHAREHOLDERS OF BUSINESSES

☐ MINOR OWNERS - Check here if one or more owners (individual OR business) holds shares that are less than 1% of the total business shares.

☐ TOTAL PERCENTAGE of the business shares held by minor owners.

The total percentage of ownership of the business MUST equal 100%. If there are additional officers and /or shareholders, copy this page and provide the information for each additional officer/shareholder.

SECTION 9 - SMALL BUSINESS OR ORGANIZATION CERTIFICATION

ALL applicants must complete this section. This section applies to the permit holder as listed in section 4.

Information needed to complete this section: Please estimate your annual gross revenues (sales) for the most recent calendar year your business or organization was active prior to this year. Your primary activity is the activity that generated the greatest percentage of annual gross revenues in the most recent complete calendar year the business or organization was active. Review the business/organization descriptions in Boxes 1 through 7 and identify the one that describes the applicant's primary activity. If the business is primarily a seafood dealer or processor, estimate the number of employees for the most recent calendar year your business or organization was active prior to this year. Include all full-time, part-time, and temporary employees in your estimate, but do not include crew that work on any vessels owned by the business or organization or its affiliates. Your estimates should account for the revenues and employees of ALL businesses and organizations with which your business or organization is affiliated. See the instructions at the beginning of the application package for more information about affiliation. **If you have questions about affiliation and how it applies in your case, please call 727-824-5305 and ask for one of our Office's economists.**

How to fill out the form: Start with Box 1. If the answer to the question in Box 1 is "Yes," check "Yes" and answer the questions in the box to the right and follow the instructions in that box. If the answer to Question 1 is "No," check "No" and go to Box 2. Continue this process until you have either: (1) answered "Yes" to ONE of the questions in Boxes 1 through 6 AND the applicable questions in the boxes to the right, OR (2) answered all questions in Box 7.

<p>Box 1. Is the business primarily involved in harvesting seafood (commercial fishing)?</p> <p>Yes No</p> <p>If the answer is yes, go to question 1A to the right. Otherwise, go to Question 2 below.</p>	<p>1A) Was the business active prior to this year?</p> <p>Yes No</p> <p>If yes, go to question 1B. If no, you are done. Go to Section 9 of the application.</p>	<p>1B) What was the most recent year the business was active prior to this year?</p> <p>_____</p> <p>Did the business have more than \$11 million in gross receipts in that year? Yes No</p> <p>You are done. Go to Section 9 of the application.</p>
↓		
<p>Box 2. Is the business primarily involved in for-hire fishing services (charter, party/headboat)?</p> <p>Yes No</p> <p>If the answer is yes, go to question 2A to the right. Otherwise, go to Question 3 below.</p>	<p>2A) Was the business active prior to this year?</p> <p>Yes No</p> <p>If yes, go to question 2B. If no, you are done. Go to Section 9 of the application.</p>	<p>2B) What was the most recent year the business was active prior to this year?</p> <p>_____</p> <p>Did the business have more than \$14 million in gross receipts in that year? Yes No</p> <p>You are done. Go to Section 9 of the application.</p>
↓		
<p>Box 3. Is the business primarily involved in buying and selling seafood (seafood dealer/wholesaler)?</p> <p>Yes No</p> <p>If the answer is yes, go to question 3A to the right. Otherwise, go to Question 4 below.</p>	<p>3A) Was the business active prior to this year?</p> <p>Yes No</p> <p>If yes, go to question 3B. If no, you are done. Go to Section 9 of the application.</p>	<p>3B) What was the most recent year the business was active prior to this year?</p> <p>_____</p> <p>Did the business have more than 100 employees? Yes No</p> <p>You are done. Go to Section 9 of the application.</p>
↓		
<p>Box 4. Is the business primarily involved in processing seafood (seafood processor)?</p> <p>Yes No</p> <p>If the answer is yes, go to question 4A to the right. Otherwise, go to Question 5 on the next page.</p>	<p>4A) Was the business active prior to this year?</p> <p>Yes No</p> <p>If yes, go to question 4B. If no, you are done. Go to Section 9 of the application.</p>	<p>4B) What was the most recent year the business was active prior to this year?</p> <p>_____</p> <p>Did the business have more than 750 employees? Yes No</p> <p>You are done. Go to Section 9 of the application.</p>
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Next page

SECTION 9 - SMALL BUSINESS OR ORGANIZATION CERTIFICATION (cont.)

Box 5. Is the organization an Environmental, Conservation and Wildlife, or Professional Non-Profit Organization?

Yes No

If the answer is yes, go to question 5A to the right. Otherwise, go to Question 6 below.

5A) Was the organization active prior to this year?

Yes No

If yes, go to question 5B. If no, **you are done. Go to Section 9 of the application.**

5B) What was the most recent year the organization was active prior to this year?

Did the organization have more than \$19.5 Million in gross receipts? Yes No

You are done. Go to Section 9 of the application.



6) The business or organization must be primarily involved in another industry not related to fishing or seafood.

Refer to SBA's list of North American Industry Classification System (NAICS) codes

(see <https://www.sba.gov/document/support-table-size-standards>) and enter the NAICS code for your primary activity here:

Based on the applicable SBA size standard, check the appropriate box to indicate if the business or organization is Large or Small and report the year on which that conclusion was based.

Large

Small

Year:

STOP! You are done.

SECTION 10 - SIGNATURE FOR APPLICATION - REQUIRED

The undersigned certifies under penalty of perjury that the foregoing information is true and correct (28 USC 1746; 18 USC 1621; 18 USC 1001, 16 USC 1857).

The applicant must be an individual named as permit holder in Section 3a, or an officer or shareholder of the business listed in Section 3b as the permit holder.

Applicant Signature

Print Name

Position in Business

Date