# Statement of Financial Interests
# For Regional Fishery Management Council Voting Members, Nominees and Members of a Scientific and Statistical Committee

## Who needs to file a financial disclosure?

You, because you were nominated by the Governor of a state or appointed by the Secretary of Commerce to serve as a voting member of a Regional Fishery Management Council (Council); or you are a nominee to or a member of a Scientific and Statistical Committee (SSC).

## What is the purpose of a financial disclosure?

The duties and responsibilities of your position require you to file the Statement of Financial Interests to fulfill the requirements of the Magnuson-Stevens Act. The purpose of this report is to assist you and NMFS in avoiding conflicts between official duties and private financial interests or affiliations. You may not vote on any Council decision that would have a significant and predictable effect on a financial interest disclosed in your report. Under penalty of law, please ensure that the information you provide is complete and accurate.

## What must I disclose on this form?

The Magnuson-Stevens Act requires the disclosure of any financial interest in harvesting, processing, lobbying, advocacy, or marketing activity that is being, or will be, undertaken within any fishery over which a Council has jurisdiction. This also includes employment with an entity that provides consulting, legal, or representational services relating to harvesting, processing, lobbying, advocacy, or marketing activities. You must disclose such financial interest held by yourself; your spouse, minor child, business partner; or any organization (other than the Council) in which you are serving as an officer, director, trustee, business partner, or employee. This does not include financial interests in entities engaging in scientific fisheries research.

## When do I need to file my financial disclosure?

**Nominees:** This form must be filed by each nominee for Secretarial appointment with the Assistant Administrator by April 15 or, if nominated after March 15, 1 month after nomination by the Governor.

**Members:** A seated voting member appointed by the Secretary must file this form with the Executive Director of the appropriate Council within 45 days of taking office; and must file an update with the Executive Director of the appropriate Council within 30 days of the time any such financial interest is acquired or substantially changed. All Council members must file this form annually by February 1st regardless of whether any information on the form has changed**.**

**SSC Nominees and Members:** Nominees to an SSC must file this form with the Regional Administrator for the geographic area concerned within 45 prior to appointment; and must file an update with the Regional Administrator for the geographic area concerned within 30 days of the time any such financial interest is acquired or substantially changed. All SSC members must file this form annually by February 1st regardless of whether any information on the form has changed**.**

## Questions?

If you have any questions about how to complete this form, please contact your Council Executive Director, NMFS Regional Office or the NOAA General Counsel for your Council.

# PENALTIES

Knowing and willful falsification of information required to be reported may subject you to criminal prosecution or subject you to civil penalties. It is unlawful for an affected individual to knowingly and willfully fail to disclose, or to falsely disclose, any financial interest as required by the Magnuson Stevens Act, or to knowingly vote on a Council decision in violation of this Act. In addition to the criminal penalties applicable, a violation of this provision may result in removal from Council or SSC membership.

# STATEMENT OF FINANCIAL INTERESTS

**Nominee or Member's Name (*Print last, first, middle initial*) _____**

**Name of Council or Council Committee _____**

**Type of Appointment (list Nominee or Member) _____**

**Type of Filing: ☐ Annual ☐ Supplemental ☐ Nominee**

## Instructions

1. Carefully read the questions for Parts 1-3 on the following pages.

2. In Part 1, you must answer "yes" or "no" for each question provided. If you select "Yes," check the box by any applicable financial interest from the list below the question and provide the appropriate detail explaining your selection. If you need more room to provide detail, please attach those pages to this form.

3. In Part 2, you must answer "yes" or "no" for each question provided. If you select "Yes," check the box by any applicable financial interest from the list below the question and provide the appropriate detail explaining your selection. If you need more space to provide detail, please attach those pages to this form.

4. In Part 2, if you select "I have no spouse, business partner, or minor children," you may skip the rest of Part 2 and move to Part 3. Answer Part 3, if necessary.

5. After you have completed the form, sign and date the form on the last page.

6. Submit the completed form to NMFS for Council nominees; to your Council Executive Director for seated Council members; or to the Regional Administrator for the geographic area concerned for SSC members or nominees.

**Paperwork Reduction Act**
Notwithstanding any other provision of law, no person is required to respond to nor shall a person be subject 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. The public reporting burden for this information, on this NOAA Form 88-195, is estimated to average 35 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any aspect of this collection of information, including suggestions for reducing this burden to the National Marine Fisheries Service, Office of the Chief Information Officer (F/CIO), 1315 East-West Highway, SSMC #3, 3rd Floor, Silver Spring, Maryland 20910.

**Public Access to Information**
This form, as completed by seated members of the Regional Fishery Management Councils, will be retained by the Council, made available on the Council's websites, and made available for public review at reasonable hours at the Council's Office and at each public hearing or public meeting.

# Part 1: Personal Financial Interest

## Section 1.1: Assets and Ownership

### Question 1.1.1

Do you have any **stock, equity or ownership interest** (whole or partial ownership) in a **company or business** engaged in any of the following activities in any fishery under the jurisdiction of the Council concerned?

- ○ No
- ○ Yes

*Check all that apply:*

- ☐ Harvesting
- ☐ Processing
- ☐ Marketing
- ☐ Provides equipment essential to any of the listed activities
- ☐ Provides other services essential to any of the listed activities

***Please list and describe each applicable interest, as indicated above. Please include the percentage ownership or share holdings or any other monetary or in-kind enumeration of the company or business. Please include company or business name, date the interest began, and fishery or fisheries of interest.***

### Question 1.1.2

Do you have any **stock, equity or ownership interest** (whole or partial ownership) in any **fishing vessel** engaged in any of the following activities in any fishery under the jurisdiction of the Council concerned?

- ○ No
- ○ Yes

*Check all that apply:*

- ☐ Harvesting
- ☐ Processing
- ☐ Marketing
- ☐ Provides equipment essential to any of the listed activities
- ☐ Provides other services essential to any of the listed activities

***Please list and describe each applicable interest, as indicated above. Please include the percentage ownership or share holdings or any other monetary or in-kind enumeration of the vessel. Please include vessel name, company or business name, date the interest began, gear type and fishery or fisheries of interest.***

## Question 1.1.3

Do you have any **stock, equity or ownership interest** (whole or partial ownership) in any **other entity** engaged in any of the following activities in any fishery under the jurisdiction of the Council concerned?

- ○ No
- ○ Yes

*Check all that apply:*

- ☐ Harvesting
- ☐ Processing
- ☐ Marketing
- ☐ Provides equipment essential to any of the listed activities
- ☐ Provides other services essential to any of the listed activities

***Please list and describe each applicable interest, as indicated above. Please include the percentage ownership or share holdings or any other monetary or in-kind enumeration of the entity. Please include entity name, date the interest began, and fishery or fisheries of interest.***

## Question 1.1.4

Do you have any **stock, equity or ownership interest** (whole or partial) in a company, business, or other entity that provides any of the following services for any fishery under the jurisdiction of the Council concerned?

- ○ No
- ○ Yes

*Check all that apply:*

- ☐ Lobbying
- ☐ Advocacy
- ☐ Consulting
- ☐ Legal
- ☐ Representational Services

***Please list and describe each applicable interest, as indicated above. Please include the percentage ownership or share holdings or any other monetary or in-kind enumeration of the entity. Please include entity name, date the interest began, and fishery or fisheries of interest.***

## Question 1.1.5

Do you have any **stock, equity or ownership interest** in **any entity that either owns (wholly or partially) or is owned by (wholly or partially) another entity** that is engaged in or that provides any of the following activities or services for any fishery under the jurisdiction of the Council concerned?

- ○ No
- ○ Yes

*Check all that apply:*

- ☐ Consulting
- ☐ Legal
- ☐ Representational Services
- ☐ Lobbying
- ☐ Advocacy
- ☐ Harvesting
- ☐ Processing
- ☐ Marketing
- ☐ Provides equipment essential to any of the listed activities
- ☐ Provides other services essential to any of the listed activities

*Please list and describe each applicable interest, as indicated above. Please include the percentage ownership or share holdings or any other monetary or in-kind enumeration of the entity. Please include company or business name, date the interest began, and fishery or fisheries of interest.*

## Section 1.2: Employment

### Question 1.2.1

Do you have **employment** with any **company or business** engaged in any of the following activities in any fishery under the jurisdiction of the Council concerned?

- ○ No
- ○ Yes

*Check all that apply:*

- ☐ Harvesting
- ☐ Processing
- ☐ Marketing
- ☐ Provides equipment essential to any of the listed activities
- ☐ Provides other services essential to any of the listed activities

*Please list and describe each applicable interest, as indicated above. Please include beginning date of employment, company or business name, and fishery or fisheries of interest.*

### Question 1.2.2

Do you have employment with a **fishing vessel** engaged in any of the following activities in any fishery under the jurisdiction of the Council concerned?

- ○ No
- ○ Yes

*Check all that apply:*

- ☐ Harvesting
- ☐ Processing
- ☐ Marketing
- ☐ Provides equipment essential to any of the listed activities
- ☐ Provides other services essential to any of the listed activities

*Please list and describe each applicable interest, as indicated above. Please include beginning date of employment, vessel name, gear type, and fishery or fisheries of interest.*

## Question 1.2.3

Do you have employment with **any other entity** engaged in any of the following activities in any fishery under the jurisdiction of the Council concerned?

- ○ No
- ○ Yes

*Check all that apply:*

- ☐ Harvesting
- ☐ Processing
- ☐ Marketing
- ☐ Provides equipment essential to any of the listed activities
- ☐ Provides other services essential to any of the listed activities

***Please list and describe each applicable interest, as indicated above. Please include beginning date of employment, entity name, and fishery or fisheries of interest.***

## Question 1.2.4

Do you have employment with **any company, business, or other entity** that provides any of the following services for any fishery under the jurisdiction of the Council concerned?

- ○ No
- ○ Yes

*Check all that apply:*

- ☐ Lobbying
- ☐ Advocacy
- ☐ Consulting
- ☐ Legal
- ☐ Representational Services

***Please list and describe each applicable interest, as indicated above. Please include beginning date of employment, entity name, and fishery or fisheries of interest.***

## Question 1.2.5

Do you have employment with **any entity that either owns (wholly or partially) or is owned by (wholly or partially) another entity** that is engaged in or that provides any of the following activities or services for any fishery under the jurisdiction of the Council concerned?

- ○ No
- ○ Yes

*Check all that apply:*

- ☐ Consulting
- ☐ Legal
- ☐ Representational Services
- ☐ Harvesting
- ☐ Processing
- ☐ Marketing
- ☐ Lobbying
- ☐ Advocacy
- ☐ Provides equipment essential to any of the listed activities
- ☐ Provides other services essential to any of the listed activities

*Please list and describe each applicable interest, as indicated above. Please include beginning date of employment, entity name, and fishery or fisheries of interest.*

### Question 1.2.6

Do you have employment with **an association or organization** whose members include companies, vessels, or other entities that are engaged in any of the following activities or services for any fishery under the jurisdiction of the Council concerned?

- ○ No
- ◉ Yes

*Check all that apply:*

- ☐ Harvesting
- ☐ Processing
- ☐ Lobbying
- ☐ Advocacy
- ☐ Marketing
- ☐ Consulting
- ☐ Legal
- ☐ Representational Services
- ☐ Provides equipment essential to any of the listed activities
- ☐ Provides other services essential to any of the listed activities

*Please list and describe each applicable interest, as indicated above. Please include beginning date of employment, association name, and fishery or fisheries of interest.*

## Section 1.3: Other Service with an association or organization

### Question 1.3.1

Are you **serving as an officer, director, or trustee** of any organization or association whose members include companies, vessels, or other entities that are engaged in or provide any of the following activities or services for any fishery under the jurisdiction of the Council concerned?

- ○ No
- ◉ Yes

*Check all that apply:*

- ☐ Harvesting
- ☐ Processing
- ☐ Lobbying
- ☐ Advocacy
- ☐ Marketing
- ☐ Consulting
- ☐ Legal
- ☐ Representational Services
- ☐ Provides equipment essential to any of the listed activities
- ☐ Provides other services essential to any of the listed activities

*Please list and describe each applicable interest, as indicated above. Please include beginning date of service, entity name, and fishery or fisheries of interest.*

# Part 2: Financial Interest of Spouses, Business Partners, and Minor Children

**If you have no spouse, business partner, or minor children, check the box below and proceed to Part 3.**

☐ I have no spouse, business partner, or minor children

## Section 2.1: Assets and Ownership

### Question 2.1.1

Does your spouse, business partner, or minor child have any **stock, equity or ownership interest** (whole or partial ownership) in a **company or business** engaged in any of the following activities for any fishery under the jurisdiction of the Council concerned?

○ No

○ Yes

*Check all that apply:*

☐ Harvesting
☐ Processing
☐ Marketing
☐ Provides equipment essential to any of the listed activities
☐ Provides other services essential to any of the listed activities

***Please list and describe each applicable interest, as indicated above. Please include the percentage ownership or share holdings or any other monetary or in-kind enumeration of the company or business. Please include company or business name, date the interest began, and fishery or fisheries of interest.***

### Question 2.1.2

Does your spouse, business partner, or minor child have any **stock, equity or ownership interest** (whole or partial) in any **fishing vessel** engaged in any of the following activities for any fishery under the jurisdiction of the Council concerned?

○ No

○ Yes

*Check all that apply:*

☐ Harvesting
☐ Processing
☐ Marketing
☐ Provides equipment essential to any of the listed activities
☐ Provides other services essential to any of the listed activities

***Please list and describe each applicable interest, as indicated above. Please include the percentage ownership or share holdings or any other monetary or in-kind enumeration of the vessel. Please include vessel name, company or business name, date the interest began, gear type, and fishery or fisheries of interest.***

## Question 2.1.3

Does your spouse, business partner, or minor child have any **stock, equity or ownership interest (whole or partial)** in any **other entity** engaged in any of the following activities for any fishery under the jurisdiction of the Council concerned?

- ○ No
- ☐ Yes

*Check all that apply:*

- ☐ Harvesting
- ☐ Processing
- ☐ Marketing
- ☐ Provides equipment essential to any of the listed activities
- ☐ Provides other services essential to any of the listed activities

***Please list and describe each applicable interest, as indicated above. Please include the percentage ownership or share holdings or any other monetary or in-kind enumeration of the entity. Please include entity name, date the interest began, and fishery or fisheries of interest.***

## Question 2.1.4

Does your spouse, business partner, or minor child have any **stock, equity or ownership interest** (wholly or partially) in **a company, business, or other entity** that provides any of the following services for any fishery under the jurisdiction of the Council concerned?

- ☐ No
- ☐ Yes

*Check all that apply:*

- ☐ Consulting
- ☐ Legal
- ☐ Representational Services
- ☐ Lobbying
- ☐ Advocacy

***Please list and describe each applicable interest, as indicated above. Please include the percentage ownership or share holdings or any other monetary or in-kind enumeration of the entity. Please include entity name, date the interest began, and fishery or fisheries of interest.***

## Question 2.1.5

Does your spouse, business partner, or minor child have any **stock, equity or ownership interest in any entity that either owns (wholly or partially) or is owned by (wholly or partially) another** entity that is engaged in or that provides any of the following activities or services for any fishery under the jurisdiction of the Council concerned?

- ☐ No
- ☐ Yes

*Check all that apply:*

- ☐ Consulting
- ☐ Legal
- ☐ Representational Services
- ☐ Lobbying
- ☐ Advocacy
- ☐ Harvesting
- ☐ Processing
- ☐ Marketing
- ☐ Provides equipment essential to any of the listed activities
- ☐ Provides other services essential to any of the listed activities

***Please list and describe each applicable interest, as indicated above. Please include the percentage ownership or share holdings or any other monetary or in-kind enumeration of the entity. Please include entity name, date the interest began, and fishery or fisheries of interest.***

## Section 2.2 Employment of Spouse, Business Partner, or Minor Child

### Question 2.2.1

Does your spouse, business partner, or minor child have **employment** with any **company or business** engaged in any of the following activities for any fishery under the jurisdiction of the Council concerned?

- ○ No
- ○ Yes

*Check all that apply:*

- ☐ Harvesting
- ☐ Processing
- ☐ Marketing
- ☐ Provides equipment essential to any of the listed activities
- ☐ Provides other services essential to any of the listed activities

***Please list person and relationship and describe each applicable interest, as indicated above. Please include beginning date of employment, company or business name, and fishery or fisheries of interest.***

### Question 2.2.2

Does your spouse, business partner, or minor child have **employment** with a **fishing vessel** engaged in any of the following activities for any fishery under the jurisdiction of the Council concerned?

- ○ No
- ○ Yes

*Check all that apply:*

- ☐ Harvesting
- ☐ Processing
- ☐ Marketing
- ☐ Provides equipment essential to any of the listed activities
- ☐ Provides other services essential to any of the listed activities

***Please list person and relationship and describe each applicable interest, as indicated above. Please include beginning date of employment, vessel name, gear type, and fishery or fisheries of interest.***

### Question 2.2.3

Does your spouse, business partner, or minor child have employment with **any other entity** engaged in any of the following activities for any fishery under the jurisdiction of the Council concerned?

- ○ No
- ○ Yes

*Check all that apply:*

- ☐ Harvesting ☐ Processing
- ☐ Marketing
- ☐ Provides equipment essential to any of the listed activities
- ☐ Provides other services essential to any of the listed activities

***Please list person and relationship and describe each applicable interest, as indicated above. Please include beginning date of employment, entity name, and fishery or fisheries of interest.***

## Question 2.2.4

Does your spouse, business partner, or minor child have employment with **any company, business, or other entity** that provides any of the following services for any fishery under the jurisdiction of the Council concerned?

- ○ No
- ○ Yes

*Check all that apply:*

- ☐ Lobbying
- ☐ Advocacy
- ☐ Consulting
- ☐ Legal
- ☐ Representational Services

***Please list person and relationship and describe each applicable interest, as indicated above. Please include beginning date of employment, entity name, and fishery or fisheries of interest.***

## Question 2.2.5

Does your spouse, business partner, or minor child have employment with **any entity that either owns (wholly or partially) or is owned by (wholly or partially) another entity** engaged in or that provides any of the following activities or services for any fishery under the jurisdiction of the Council concerned?

- ○ No
- ○ Yes

*Check all that apply:*

- ☐ Consulting
- ☐ Legal
- ☐ Representational Services
- ☐ Harvesting
- ☐ Processing
- ☐ Lobbying
- ☐ Advocacy
- ☐ Marketing
- ☐ Provides equipment essential to any of the listed activities
- ☐ Provides other services essential to any of the listed activities

***Please list person and relationship and describe each applicable interest, as indicated above. Please include beginning date of employment, entity name, and fishery or fisheries of interest.***

## Question 2.2.6

Does your spouse, business partner, or minor child have employment with **an association or organization** whose members include companies, vessels, or other entities engaged in any of the following activities in any fishery under the jurisdiction of the Council concerned?

- ○ No
- ○ Yes

*Check all that apply:*

- ☐ Harvesting
- ☐ Processing
- ☐ Lobbying
- ☐ Advocacy
- ☐ Marketing
- ☐ Provides equipment essential to any of the listed activities
- ☐ Provides other services essential to any of the listed activities
- ☐ Consulting
- ☐ Legal
- ☐ Representational Services

***Please list person and relationship and describe each applicable interest, as indicated above. Please include beginning date of employment, association name, and fishery or fisheries of interest.***

## Section 2.3: Service with an association or organization by Spouse, Business Partner, or Minor Child

### Question 2.3.1

Does your spouse, business partner, or minor child serve as an officer, director, or trustee of any organization or association whose members include companies, vessels, or other entities engaged in any of the following activities in any fishery under the jurisdiction of the Council concerned?

- ○ No
- ○ Yes

*Check all that apply:*

- ☐ Harvesting
- ☐ Processing
- ☐ Lobbying
- ☐ Advocacy
- ☐ Marketing
- ☐ Consulting
- ☐ Legal
- ☐ Representational Services
- ☐ Provides equipment essential to any of the listed activities
- ☐ Provides other services essential to any of the listed activities

***Please list person and relationship and describe each applicable interest, as indicated above. Please include beginning date of service, entity name, and fishery or fisheries of interest.***

# Part 3: Information Requested of Other Persons

In the event any of the required information, including holdings placed in trust or percentage ownership, is not known to you but is known to another person, you should request that other person to submit the information on your behalf and should report such request in the space below.

***Please report to whom you have requested information for Part 3. When available, have that person please list and describe each applicable interest. Please include the percentage ownership or share holdings or any other monetary or in-kind enumeration. Please include entity name, date the interest began, and fisheries of interest.***

# Signature

**I certify that the statements I have made on this form and all attached statements are true, complete, and correct to the best of my knowledge.**

**Signature**_____ **Date *(mm/dd/yyyy)***_____