

NOTICE OF OFFICE OF MANAGEMENT AND BUDGET ACTION

Date 07/05/2012

Department of Commerce
National Oceanic and Atmospheric Administration
FOR CERTIFYING OFFICIAL: Simon Szykman
FOR CLEARANCE OFFICER: Diana Hynek

In accordance with the Paperwork Reduction Act, OMB has taken action on your request received 03/29/2012

ACTION REQUESTED: Revision of a currently approved collection
TYPE OF REVIEW REQUESTED: Regular
ICR REFERENCE NUMBER: 201203-0648-005
AGENCY ICR TRACKING NUMBER:
TITLE: Atlantic Highly Migratory Species Permit Family of Forms
LIST OF INFORMATION COLLECTIONS: See next page

OMB ACTION: Approved without change
OMB CONTROL NUMBER: 0648-0327

The agency is required to display the OMB Control Number and inform respondents of its legal significance in accordance with 5 CFR 1320.5(b).

EXPIRATION DATE: 07/31/2015

DISCONTINUE DATE:

BURDEN:	RESPONSES	HOURS	COSTS
Previous	44,673	10,576	1,233,963
New	37,177	9,801	657,211
Difference			
Change due to New Statute	0	0	0
Change due to Agency Discretion	-1,496	-367	-359,836
Change due to Agency Adjustment	-6,000	-408	-216,916
Change Due to Potential Violation of the PRA	0	0	0

TERMS OF CLEARANCE:

OMB Authorizing Official:

Kevin F. Neyland
Deputy Administrator,
Office Of Information And Regulatory Affairs

List of ICs

IC Title	Form No.	Form Name	CFR Citation
Initial vessel permit application - Atlantic tunas, HMS charter/headboat	NA	Atlantic Tunas and Atlantic HMS initial permit application	
Renewal -- Vessel applications for Atlantic tunas, HMS charter/headboat	NA	Atlantic Tunas and Atlantic HMS permit application	
Renewal - Atlantic tunas limited access permits	NA	Atlantic Tunas and Atlantic HMS Permit Application	
Initial application - Atlantic Tunas Dealer	NA	Northeast Region Seafood Dealer Permit Application	
Renewal - Atlantic tunas dealer permits	NA	NE Region Dealer Permit Application	
International Trade Permits	NA	HMS International Trade Permit	
Initial and Renewal - HMS Angling	NA	Atlantic Tunas and HMS permit application	
Smoothhound initial permit and addition of gear for smoothhound to NE Region Federal Fisheries Permit (no added burden for latter)	NA	Application for federal smoothhound permit	
Initial Atlantic HMS Squid Trawl Permit	NA, NA	NE Region Vessel Permit Application, Initial Incidental HMS Squid Trawl Permit	

PAPERWORK REDUCTION ACT SUBMISSION

Please read the instructions before completing this form. For additional forms or assistance in completing this form, contact your agency's Paperwork Clearance Officer. Send two copies of this form, the collection instrument to be reviewed, the supporting statement, and any additional documentation to: Office of Information and Regulatory Affairs, Office of Management and Budget, Docket Library, Room 10102, 725 17th Street NW, Washington, DC 20503.

1. Agency/Subagency originating request	2. OMB control number b. <input type="checkbox"/> None a. _____ - _____
3. Type of information collection (<i>check one</i>) a. <input type="checkbox"/> New Collection b. <input type="checkbox"/> Revision of a currently approved collection c. <input type="checkbox"/> Extension of a currently approved collection d. <input type="checkbox"/> Reinstatement, without change, of a previously approved collection for which approval has expired e. <input type="checkbox"/> Reinstatement, with change, of a previously approved collection for which approval has expired f. <input type="checkbox"/> Existing collection in use without an OMB control number For b-f, note Item A2 of Supporting Statement instructions	4. Type of review requested (<i>check one</i>) a. <input type="checkbox"/> Regular submission b. <input type="checkbox"/> Emergency - Approval requested by _____ / _____ / _____ c. <input type="checkbox"/> Delegated
	5. Small entities Will this information collection have a significant economic impact on a substantial number of small entities? <input type="checkbox"/> Yes <input type="checkbox"/> No
	6. Requested expiration date a. <input type="checkbox"/> Three years from approval date b. <input type="checkbox"/> Other Specify: _____ / _____
7. Title	
8. Agency form number(s) (<i>if applicable</i>)	
9. Keywords	
10. Abstract	
11. Affected public (<i>Mark primary with "P" and all others that apply with "x"</i>) a. ___ Individuals or households d. ___ Farms b. ___ Business or other for-profit e. ___ Federal Government c. ___ Not-for-profit institutions f. ___ State, Local or Tribal Government	12. Obligation to respond (<i>check one</i>) a. <input type="checkbox"/> Voluntary b. <input type="checkbox"/> Required to obtain or retain benefits c. <input type="checkbox"/> Mandatory
13. Annual recordkeeping and reporting burden a. Number of respondents _____ b. Total annual responses _____ 1. Percentage of these responses collected electronically _____ % c. Total annual hours requested _____ d. Current OMB inventory _____ e. Difference _____ f. Explanation of difference 1. Program change _____ 2. Adjustment _____	14. Annual reporting and recordkeeping cost burden (<i>in thousands of dollars</i>) a. Total annualized capital/startup costs _____ b. Total annual costs (O&M) _____ c. Total annualized cost requested _____ d. Current OMB inventory _____ e. Difference _____ f. Explanation of difference 1. Program change _____ 2. Adjustment _____
15. Purpose of information collection (<i>Mark primary with "P" and all others that apply with "X"</i>) a. ___ Application for benefits e. ___ Program planning or management b. ___ Program evaluation f. ___ Research c. ___ General purpose statistics g. ___ Regulatory or compliance d. ___ Audit	16. Frequency of recordkeeping or reporting (<i>check all that apply</i>) a. <input type="checkbox"/> Recordkeeping b. <input type="checkbox"/> Third party disclosure c. <input type="checkbox"/> Reporting 1. <input type="checkbox"/> On occasion 2. <input type="checkbox"/> Weekly 3. <input type="checkbox"/> Monthly 4. <input type="checkbox"/> Quarterly 5. <input type="checkbox"/> Semi-annually 6. <input type="checkbox"/> Annually 7. <input type="checkbox"/> Biennially 8. <input type="checkbox"/> Other (describe) _____
17. Statistical methods Does this information collection employ statistical methods <input type="checkbox"/> Yes <input type="checkbox"/> No	18. Agency Contact (person who can best answer questions regarding the content of this submission) Name: _____ Phone: _____

19. Certification for Paperwork Reduction Act Submissions

On behalf of this Federal Agency, I certify that the collection of information encompassed by this request complies with 5 CFR 1320.9

NOTE: The text of 5 CFR 1320.9, and the related provisions of 5 CFR 1320.8(b)(3), appear at the end of the instructions. *The certification is to be made with reference to those regulatory provisions as set forth in the instructions.*

The following is a summary of the topics, regarding the proposed collection of information, that the certification covers:

- (a) It is necessary for the proper performance of agency functions;
- (b) It avoids unnecessary duplication;
- (c) It reduces burden on small entities;
- (d) It used plain, coherent, and unambiguous terminology that is understandable to respondents;
- (e) Its implementation will be consistent and compatible with current reporting and recordkeeping practices;
- (f) It indicates the retention period for recordkeeping requirements;
- (g) It informs respondents of the information called for under 5 CFR 1320.8(b)(3):
 - (i) Why the information is being collected;
 - (ii) Use of information;
 - (iii) Burden estimate;
 - (iv) Nature of response (voluntary, required for a benefit, mandatory);
 - (v) Nature and extent of confidentiality; and
 - (vi) Need to display currently valid OMB control number;
- (h) It was developed by an office that has planned and allocated resources for the efficient and effective management and use of the information to be collected (see note in Item 19 of instructions);
- (i) It uses effective and efficient statistical survey methodology; and
- (j) It makes appropriate use of information technology.

If you are unable to certify compliance with any of the provisions, identify the item below and explain the reason in Item 18 of the Supporting Statement.

Signature of Senior Official or designee

Date

Agency Certification (signature of Assistant Administrator, Deputy Assistant Administrator, Line Office Chief Information Officer, head of MB staff for L.O.s, or of the Director of a Program or StaffOffice)

Signature

Date

Signature of NOAA Clearance Officer

Signature

Date

SUPPORTING STATEMENT
HIGHLY MIGRATORY SPECIES PERMIT FAMILY OF FORMS
OMB CONTROL NO. 0648-0327

A. JUSTIFICATION

This request is for revision and extension of a current information collection.

The collection consists of vessel and dealer permits which are part of the National Marine Fisheries Service (NMFS) program to manage Atlantic highly migratory species (HMS) including tuna, billfish, sharks, and swordfish. The HMS fishery management program is implemented under the [Atlantic Tunas Convention Act](#) (16 U.S.C. 971) and [Magnuson-Stevens Fishery Conservation and Management Act](#) (MSA) (16 U.S.C. 1801), the 2006 Consolidated HMS Fishery Management Plan, and the regulations at [50 CFR part 635](#) and [part 300 subpart M](#). The covered permits are listed in the table below.

Recently, NMFS has added two vessel permits (Smoothhound Shark and Incidental HMS Squid Trawl permits – approved in 2011 change requests). The smoothhound shark permit requirement is not yet effective. Amendment 3 to the 2006 Consolidated HMS FMP (Amendment 3) (75 FR 30484, June 1, 2010; corrected by 75 FR 50715, August 17, 2010) will bring smoothhound sharks under federal management and require a smoothhound shark permit for the retention of the species. The final rule implementing Amendment 3 published in June 2010, but the effective date for all smoothhound shark management measures was delayed to provide time for the NMFS Southeast Regional Office of Protected Resources to finalize a Biological Opinion (BiOp) under Section 7 of the [Endangered Species Act \(ESA\)](#) for the Amendment 3 management measures. Since publication of the final rule implementing Amendment 3, the [Shark Conservation Act of 2010](#) (Public Law 111-348) became law. This legislation directly impacts the smoothhound shark fishery. Since NMFS still needs to complete BiOp for Amendment 3, and because the Agency needs to consider and implement congressionally-mandated smoothhound fishery management measures under the Shark Conservation Act, on November 10, 2011, NMFS indefinitely postponed the effective date of the Amendment 3 smoothhound management measures, including the smoothhound shark permit requirement (76 FR 70064). The Agency anticipates that smoothhound shark permit requirement will be effective before the expiration of this renewal. Notice of the effective date will be provided to the public through a variety of channels.

NMFS has removed two dealer permits (Shark and Swordfish Dealer permits) and five vessel permits (Shark Directed and Incidental; Swordfish Directed, Incidental, and Handgear) from this collection. Revision: The two dealer permits and five vessel permits were removed because the associated costs and burdens were already reported under OMB Control No. 0648-0205, Southeast Region Permit Family of Forms. To avoid double counting the costs and burden associated with these permits, they have been removed from this information collection. Two small information collections, duplicative of those already in this collection, have been removed. Some permit fees have been reduced, also.

Dealer Permits
HMS International Trade Permit
Atlantic Tunas Dealer
Vessel Permits
Atlantic Tunas (except for tuna longline)
HMS Charter/Headboat
HMS Recreational
Smoothhound Shark (not yet effective)
Incidental HMS Squid Trawl

1. Explain the circumstances that make the collection of information necessary.

The purpose of this collection of information is to comply with the statutory obligations of the Atlantic Tunas Convention Act of 1975 (ATCA; 16 U.S.C. 971), the [Tunas Convention Act](#) (TCA, 16 U.S.C. 955), the MSA (16 U.S.C. 1853), and the implementing regulations at 50 CFR part 635 and part 300 subpart M.

Section 971d(c)(3) of ATCA provides the statutory authority to promulgate regulations as necessary and appropriate to implement the recommendations of the International Commission for the Conservation of Atlantic Tunas (ICCAT). As a contracting party to ICCAT, the United States is required to implement ICCAT recommendations and take part in the collection of biological statistics for research purposes (fishing effort and catch). The United States (U.S.) must implement specific quotas established by ICCAT and support ICCAT rebuilding and fishery management programs. ICCAT recommendations have also established statistical and catch document programs to track the trade of bluefin tuna (Atlantic, Pacific, and Southern bluefin tuna), swordfish, and frozen bigeye tuna. Statistical document programs recommended by the Commission for the Conservation of Southern Bluefin Tuna and the Indian Ocean Tuna Commission are also implemented under the authority of ATCA to effectively implement ICCAT consignment document programs.

The U.S. is also a member of the Inter-American Tropical Tuna Commission (IATTC), and authorized under the Tunas Convention Act to implement resolutions approved by IATTC. Like ICCAT, IATTC has adopted a resolution for a frozen bigeye tuna statistical document program.

The Atlantic tunas, swordfish, billfish and shark fisheries are also managed under the MSA and the Consolidated HMS Fishery Management Plan, and several of these fisheries are subject to catch quotas with the goal of recovering the stocks to a level commensurate with maximum sustainable yield. Section 303(b) of the MSA provides statutory authority to require permits for fisheries governed by management plans issued by the Secretary of Commerce.

Regulations at 50 CFR parts 635 and 300 subpart M require the permits listed above. The importance of the information collected prior to permit issuance and the use of the permit system is explained in Question 2.

2. Explain how, by whom, how frequently, and for what purpose the information will be used. If the information collected will be disseminated to the public or used to support information that will be disseminated to the public, then explain how the collection complies with all applicable Information Quality Guidelines.

Permits can be used to accomplish many functions. One of the main purposes for issuing permits is to identify the participants in a particular trade or industry. NMFS manages fisheries on a regional basis; likewise, permits are issued by regional offices and the permit databases are regionally distributed. The HMS Management Division works with two regions (Northeast and Southeast) and the Office of Science and Technology to issue HMS permits. Under these current HMS regulations, it is possible that the same business will hold more than one HMS permit. For example, dealers may hold both the Atlantic tunas dealer permit and the HMS international trade permit. Conversely, vessels in the HMS recreational fishery can be identified as holding only one HMS vessel permit. All other respondents could hold more than one dealer or (commercial) vessel permit.

Vessel Permits

The general information collected for vessel permits includes all or some of the following:

- Vessel owner, corporate status, birthdate or corporation filed date, social security number or Federal ID number, names of additional owners, and contact information (e.g. address, phone, etc.)
- Vessel name, registration, and port
- Vessel characteristics (including length) and construction type
- Gear type/category
- Signature and payment/delivery information.

Transfers of tuna purse seine limited access permits require the following additional information: previous year's original valid/expired permit.

Collection of information through annual vessel permits provides current information on the vessel owners participating in these fisheries, thus facilitating quota monitoring necessary to avoid exceeding catch quotas for HMS. For example, NMFS requires that vessel permits be displayed to dealers and that permit numbers be recorded on dealer reports in order to validate landings of bluefin tuna.

A current permit holder list aids NMFS in the communication and enforcement of fishery regulations through distribution of management program brochures, fish identification guides, and regulatory compliance guides. In addition, a permit "universe" facilitates collecting catch and effort information about recreational fisheries, as required by law. NMFS constructs sampling frames for dockside and telephone surveys from permit holder lists and uses the list to select vessels for logbooks and/or at-sea observers (addressed under separate collections). Such surveys, logbooks and observer reports provide essential information for management of the Atlantic tunas and HMS fisheries in the U.S., particularly in terms of quota allocation decisions

which follow ICCAT and MSA recommendations, such as allocating fishing opportunities consistent with traditional fishing patterns and considering the economic values to various user groups. NMFS operates a mandatory angler catch reporting program for bluefin tuna (addressed under a separate collection) that is linked to the permit number to avoid false reporting and facilitates enforcement. Another purpose of the vessel permit requirement is that it serves as a useful tool in support of enforcement of fishery regulations. That is, the permit can be revoked as a penalty for a violation of fishery conservation measures.

Note: the most recent Northeast Region Initial Permit Application form does not include a checkbox for smoothhound shark because the permit is not yet effective. When this permit is implemented, a checkbox will be added, as approved in the 2011 change request.

Dealer Permits

The general information collected for dealer applications includes all or some of the following information:

- Business & owner Name and Contact information (e.g. phone, address, business website, etc.), birth date for the sole proprietor or applicant
- Business report or articles of incorporation (other than sole proprietorship)
- Facilities where product is received or other business addresses/contact information
- Applicant name and contact information
- Federal Tax I.D. number
- Type of dealer permit requested
- Other NMFS dealer permit identification
- Applicant signature and date.

Note: the Federal Taxpayer Identification Number (TIN) requirement is included in this revision, specifically for support of the cost recovery requirement in the Southeast Region Gulf of Mexico Red Snapper IFQ Program, OMB Control No. 0648-0551. Dealers with HMS dealer permits are likely to participate in the cost recovery program for red snapper. Collection of the TIN is necessary to ensure that we are collecting from the person who owes the debt. If the fee submission and payment are not received, the agency must begin collection processes and those collection processes cannot be initiated or accomplished without the TIN. *Because the TIN in this instance is collected for NMFS cost recovery, there is demonstrable practical utility. In addition, cost recovery is mandated by the MSA (16 U.S.C. 1852 et seq.) as amended in 2006, and the collection of TINs in such an instance is supported by [31 U.S.C. Section 7701](#).* Requiring TINS on permit applications is the only method we have for identifying TINs for those involved, or who may become involved, in the IFQ program.

For dealer permits, submission of the appropriate hard copy application is required, as indicated below in Question 3. In general, the purpose and use of dealer permits is to (1) identify fish dealers and the characteristics of their operations; (2) increase compliance (e.g., impose permit sanctions pending collection of required reports or unpaid penalties); (3) provide a mailing list

for the dissemination of important information to the industry; and (4) provide a universe for data collection samples.

Although the information collected is not expected to be disseminated directly to the public, it may be used in the development or review of fishery management plans or subject to release through a [Freedom of Information Act](#) request, and is therefore subject to NOAA's Information Quality Guidelines. The MSA and other confidentiality requirements would apply to any such proposed release. NOAA Fisheries will retain control over the information and safeguard it from improper access, modification, and destruction, consistent with NOAA standards for confidentiality, privacy, and electronic information. See the response to Question 10 of this Supporting Statement for more information on confidentiality and privacy. The information collection is designed to yield data that meet all applicable information quality guidelines. Prior to dissemination, the information will be subject to quality control measures and a pre-dissemination review pursuant to [Section 515 of Public Law 106-554](#).

3. Describe whether, and to what extent, the collection of information involves the use of automated, electronic, mechanical, or other technological techniques or other forms of information technology.

The public can request an application for Atlantic tunas, HMS Charter/headboat, and HMS recreational vessel permits via both telephone (888-872-8862) and secure internet automated systems (<https://hmspermits.noaa.gov/>). Applicants may fill out and submit an application electronically via an internet automated system. These automated systems are available on a 7 day/24 hour basis, and are available at no additional charge to the permit holder beyond the cost of the permit. After an electronic application has been submitted, a vessel owner can track the application process and permit status via the Internet (www.hmspermits.gov). Once application processing is complete, a permit can be printed off the Web site or faxed or mailed back to the vessel owner.

Alternatively, fillable, printable applications for these permits can be obtained directly from the internet site or through the mail via an automated internet or phone request and submitted by mail. Automated information is available on a toll free telephone line (888-USA-TUNA).

All other permit applications must be submitted in hard copy. Electronic versions of the applications are available to be printed and filled out by hand or as form-fillable Adobe .pdf files.

For dealer permits, renewal is facilitated by providing a pre-filled renewal application. Vessel permits for Atlantic tunas, HMS Charter/headboat, and HMS Recreational also provide pre-filled fields for both Internet and phone renewal.

4. Describe efforts to identify duplication.

The HMS Advisory Panel meets twice per year to discuss issues pertinent to management of HMS fisheries, including permits. This panel includes representatives from fishing and

processing industries, environmentalists, the academic community, and the Atlantic, Gulf of Mexico, and Caribbean states and/or territories. Through this forum and the federal rule-making process, information including any potential duplication of permitting requirements is identified.

Vessel Permits

No other federally-issued fishing permits are required for the activities covered by the permits in this collection. State permits may be necessary for fishing in some states' waters for certain species. HMS permitted vessels may participate in other federally regulated commercial fisheries (i.e., northeast multi-species) for which permits are issued. NMFS is investigating means to consolidate the permitting process so that permits for multiple fisheries may be issued/renewed through a single application process (i.e., one stop shopping).

Dealer Permit

Tuna Dealer permits are species-specific for purchasing tunas from fishing vessels (see table below). In addition, HMS dealers who import, export, or re-export species covered by the HMS International Trade permits (ITPs) are required to hold that permit as well. So, although U.S. dealers may be required to hold more than one permit for purchasing and trading HMS, each permit covers a different function, and none of the permits are duplicative in the activities they cover.

Tuna dealer permit requirements.

SPECIES	PERMIT FOR PURCHASE FROM VESSEL	PERMIT FOR TRADE
Atlantic bluefin tuna	Atlantic Tunas Dealer Permit	HMS ITP
Atlantic bigeye tuna	Atlantic Tunas Dealer Permit	HMS ITP (frozen only)
Southern bluefin tuna	None	HMS ITP

5. If the collection of information involves small businesses or other small entities, describe the methods used to minimize burden.

Annual permitting does not have a significant impact on small businesses (all respondents are considered small businesses). The minimal burden per application is outlined in Question 12. Impacts have been minimized for several vessel permits by providing application and renewal services over the Internet and telephone, as discussed in Question 3.

6. Describe the consequences to the Federal program or policy activities if the collection is not conducted or is conducted less frequently.

If this information collection were not conducted, the U.S. would have difficulty in complying with international reporting obligations under ICCAT, possibly resulting in violations of ICCAT recommendations, including catch and capacity reporting requirements. ICCAT penalties may include reduction in the assigned country catch quota equal to a minimum of 125% of the excess harvest. In addition, trade restrictions may be imposed on countries that fail to restrict catch to the level of the assigned quotas.

Estimates of the status of the Atlantic HMS stocks would be less accurate without this information, since all contracting parties to ICCAT must submit catch and effort information on an annual basis. Without such catch and effort statistics, the conservation and management objectives of ICCAT with respect to the tuna rebuilding programs could be jeopardized. Furthermore, it would be difficult for the United States to formulate domestic policy consistent with the MSA, which must be based on sound socio-economic and biological data and analyses. NMFS would be less able to prepare documents such as Regulatory Impact Reviews, or Environmental Impact Statements, etc., as required under the Magnuson-Stevens Act, National Environmental Policy Act, and other applicable laws.

If this information collection were not conducted, NMFS would not gather the annual permitting information that provides an accurate vessel and dealer list and facilitates quota monitoring and data collections necessary to meet ICCAT obligations. Widening the timeframe for collection of information on HMS fisheries participants (e.g., every two years rather than annually) would provide a less accurate sampling frame that is the basis for fleet size calculations used for annual catch and effort estimates. Many vessels are sold, transferred, or move to new locations from year to year. It is also necessary to issue annual dealer permits in order to ensure accurate records of landings and to communicate regulatory changes efficiently and effectively.

Likewise, annual permitting for trade participants provides NMFS with a comprehensive list of individuals involved in trade of species included in regional fishery management organization (regional fishery management organizations, e.g. ICCAT) statistical document programs. This allows NMFS to communicate program requirements, including time-sensitive changes, and collect necessary data for required regional fishery management organization reports. If reports are not submitted, the U.S. could be penalized by quota reductions as discussed above.

7. Explain any special circumstances that require the collection to be conducted in a manner inconsistent with OMB guidelines.

Not Applicable.

8. Provide information on the PRA Federal Register Notice that solicited public comments on the information collection prior to this submission. Summarize the public comments received in response to that notice and describe the actions taken by the agency in response to those comments. Describe the efforts to consult with persons outside the agency to obtain their views on the availability of data, frequency of collection, the clarity of instructions and recordkeeping, disclosure, or reporting format (if any), and on the data elements to be recorded, disclosed, or reported.

A Federal Register Notice published on October 21, 2011 (76 FR 65500) solicited public comment. No comments were received.

All of the permits covered under this collection were established via the federal rulemaking process which required analyses of the impacts of the permits and provided an opportunity for

public comment. In addition, the HMS Advisory Panel meets twice annually to provide input on HMS regulatory and operations programs.

9. Explain any decisions to provide payments or gifts to respondents, other than remuneration of contractors or grantees.

There are no payments or gifts to respondents.

10. Describe any assurance of confidentiality provided to respondents and the basis for assurance in statute, regulation, or agency policy.

As stated on the forms, the information collected is confidential under section 402(b) of the MSA, as amended in 2006. It is also confidential under [NOAA Administrative Order 216.100](#), which sets forth procedures to protect confidentiality of fishery statistics.

A Privacy Act System of Records Notice, Commerce/NOAA-19, Permits and Registrations for United States Federally Regulated Fisheries, was published in the [Federal Register](#) on June 11, 2008 (73 FR 33065).

11. Provide additional justification for any questions of a sensitive nature, such as sexual behavior and attitudes, religious beliefs, and other matters that are commonly considered private.

No sensitive questions are asked.

12. Provide an estimate in hours of the burden of the collection of information.

Numbers of respondents, responses, burden hours and recordkeeping/reporting costs for each permit are given in the table below (*see next page*). For most permit types, the number of respondents is estimated based on actual 2010 data.

Permit Type	Annual Respondents/ Responses (Current minus removed permits)	Annual Respondents/ Respondents (Requested)	Time per Response (hrs)	Annual Burden (hrs)	Cost (\$) (@\$15/hr)
VESSEL PERMITS					
INITIAL -- Atlantic Tunas (General, Harpoon & Trap categories), HMS Charter/headboat	10,681	9,075	30 min	4,538	68,070
RENEWAL -- Atlantic Tunas (General, Harpoon & Trap categories), HMS Charter/headboat	2,636	2,270	6 min.	227	3,405
INITIAL -- HMS Angling	0	2,108	30 min	1,054	15,810
RENEWAL -- HMS Angling	25,000	18,972	6 min.	1,897	28,455
RENEWAL -- Atlantic Tunas Purse seine limited access	5	5	6 min.	1	15
SUBTOTAL (Tuna Permits)	38,322	32,430	N/A	7,717	115,755
INITIAL -- Incidental HMS squid trawl permit (burden approved in 2011 change request)	79	79	15 min	20	300
RENEWAL -- Incidental HMS squid trawl permit (will be covered under NE Region Permits)	N/A	0	0	0	0
INITIAL -- Smoothhound shark permit (burden approved in 2011 change request)	4,000	4,000	30 min	2,000	30,000
RENEWAL -- Smoothhound shark permit (separate renewal not required, just gear line on NE Permit)	N/A	0	0	0	0
TOTALS (VESSEL)	42,401	36,509	N/A	9,737	146,055
DEALER PERMITS					
INITIAL - Atlantic Tunas	110	50	15 min.	13	195
RENEWAL - Atlantic Tunas	336	377	5 min.	31	465
HMS ITP	330	241	5 min.	20	300
TOTALS (DEALER)	776	668	N/A	64	960
GRAND TOTALS*	43,177	37,177	N/A	9,801	147,015

13. Provide an estimate of the total annual recordkeeping/reporting cost burden to the respondents resulting from the collection (excluding the value of the burden hours in Question 12 above)

Permit Type	Annual Responses (Requested)	Estimated Permit Cost (\$)	+ Application Submission and/or Permit Delivery Cost	Total Recordkeeping and Reporting Cost (\$)
VESSEL PERMITS				
Atlantic Tunas, HMS Charter/headboat, HMS recreational, purse seine limited access – internet application & self printed/faxed/mailed (99% of 32,430)	32,106	\$20	\$0.0	\$642,120
Atlantic Tunas, HMS Charter/headboat, HMS recreational – hardcopy application (0.95% of 32,430)	308	\$20	\$0.50	\$6,314
Atlantic Tunas, HMS Charter/headboat, HMS recreational – overnight delivery (.05% of 32,430)	16	\$20	\$3.55	\$377
Smoothhound shark – hardcopy application (not yet effective)	4,000	\$0	\$0.50	\$2,000
Incidental HMS squid trawl permit – hardcopy application	79	\$0	\$0.50	\$40
SUBTOTAL	36,509	N/A	N/A	\$650,851
DEALER PERMITS				
Atlantic Tunas	427	\$0	\$0.50	\$214
HMS ITP	241	\$25	\$0.50	\$6,146
SUBTOTAL	668			\$6,360
TOTALS	37,177			\$657,211

14. Provide estimates of annualized cost to the Federal government.

The cost of all these permits will be reimbursed by an administrative cost recovery fee included in the permit fee, and there will be no cost to the Federal government.

15. Explain the reasons for any program changes or adjustments.

Program changes:

Since the last action under this OMB Control No., NMFS has removed two dealer permits (Shark and Swordfish Dealer permits) and five vessel permits (Shark Directed and Incidental and Swordfish Directed, Incidental, and Handgear) from this collection. These permits were removed because they are currently covered under OMB Control No. 0648-0205, Southeast Region Permit Family of Forms. The total respondents and responses removed are 1,476; hours, 359; and recordkeeping/reporting costs \$100,388.

Two information collections that are no longer applicable have been removed: a separate charter vessel permit application and a permit termination notice. This accounts for 20 responses, 8 hours and \$8 in recordkeeping/reporting costs.

Changes in permit fees: Previously, the Atlantic Tunas, Atlantic HMS and Angler permit fee was \$28; it has been changed to \$20. For the 32,430 requested permits, total cost is reduced by \$259,440.

Program Changes – Total Decreases: Responses, 1,496; hours, 367, recordkeeping/reporting Costs: \$359,836.

Adjustments:

In the last iteration of this information collection, a fee of \$113 was included for Atlantic Tunas dealer permits; in reality, per the Northeast Regional Office, there has never been a fee for these permits. The inclusion must have been based on a discussion conducted at some point, with an erroneous conclusion drawn. For the requested 427 permits, this reduces costs by \$48,251.

For permits now in this collection, there are net decreases in Atlantic tunas vessel permits and dealer permits; the two new permits retain their initial estimates. The total decreases related to permit number decreases are: 6,000 responses, 408 hours and \$168,665.

Adjustments – Total Decreases: Responses, 6,000; hours, 408; recordkeeping/reporting costs: \$216,916.

Currently approved responses, burden hours and cost: 44,673, 10,576 and \$1,233,963.

Requested: 37,177, 9,801 and \$657,211.

16. For collections whose results will be published, outline the plans for tabulation and publication.

No publication of information is planned other than annual summary tables of the total number and type of permit issued by state and region. Such tables may appear in reports to ICCAT, Stock Assessment and Fishery Evaluation reports, Environmental Assessments, Regulatory Impact Reviews, etc.

17. If seeking approval to not display the expiration date for OMB approval of the information collection, explain the reasons why display would be inappropriate.

NA.

18. Explain each exception to the certification statement.

NA.

Section B. Collections of information employing statistical methods

This collection does not employ statistical methods.

U.S. Department of Commerce
 NOAA/National Marine Fisheries Service
 Northeast Region Permit Office
 55 Great Republic Drive
 Gloucester, MA 01930
 Tel: (978) 281-9370



Application for Federal Smoothhound Permit

Please see attachment for application instructions

Section 1 - Owner and Vessel Information

Owner Name: Street Address: City: State: Zip Code:	Name of Vessel: Northeast Federal Vessel Permit Number (if one has been issued): USCG Documentation Number or State Registration Number:
--	--

Section 2 - Fishery / Gear Information

Gear Codes:	310-Bottom Trawl	320-Midwater Trawl	330-Other / General Trawl	700-Gill/Entangling nets
	911-Handlines	912-Rod & Reel	913-Tub Trawl	915-Bandit Gear
				920-Longlines or Setlines
Fishery:	Smoothhound			
Gear Codes: please write in the gear codes from the list above that you intend to fish with.				

Section 3 – Applicant’s Name and Signature

I, the undersigned, am the owner or legally authorized agent of the owner of the vessel named in Section 1 above. I affirm, subject to the penalties provided in 18 USC 1001, that all information that I have given in obtaining this permit is true and correct. By signing this application, I am applying for a Federal smoothhound permit for the vessel named above in Section 1 of this application.

Signature: _____

Print Name: _____

Date: _____

To avoid a delay in processing, please verify and complete all sections above and include all information requested on the back of this form.

Any information submitted on this NOAA approved permit application form, which is not otherwise protected under federal law, may be disclosed upon request.

Instructions - Northeast Federal Fisheries

Initial Application for a Smoothhound Permit

This is your Initial Vessel Permit Application for a **Federal** Smoothhound permit that is required by the National Marine Fisheries Service

If you wish to apply for this permit, and **you have already renewed** your vessel's Northeast Region permit(s) for the 2012 permit year:

1. Complete all sections and return this application to the address on the front of this form.

If you wish to apply for this permit, and **your vessel has not been issued a permit for the 2012 permit year or your vessel has never been issued permits from the Northeast Region:**

1. Complete this application and return it along with a copy of the vessel's unexpired Coast Guard Documentation or State Registration.
2. If your vessel is owned by a corporation, partnership, or LLC, submit a list, signed and dated, of the names and addresses of all owners, corporate officers, and shareholders of the corporation.
3. If your vessel is owned by a partnership, you must submit a Partnership Agreement and a list of the names and addresses of all partners.

SECTION 1: VESSEL/OWNER INFORMATION: Enter current and correct information all for items

SECTION 2: FISHERY / GEAR INFORMATION

Gear Codes: You must select at least one gear code or multiple gear codes from those listed on the front of this form. Further restrictions apply for longline and gillnet gear. Please refer to 50 CFT § 635.21 for more details or visit the HMS webpage at <http://www.nmfs.noaa.gov/sfa/hms/>. Vessels are allowed to possess and land a limited amount of incidental smoothhounds harvested with trawl gear. For specific limit amounts, contact the Highly Migratory Species (HMS) Management Division at 301-713-2347 or visit the HMS webpage at <http://www.nmfs.noaa.gov/sfa/hms/>.

SECTION 3: OWNER'S SIGNATURE AND INSTRUCTIONS

Please sign the form. Unsigned or incomplete applications will be returned. Your signature is an affirmation under penalty of perjury, that all the information provided in obtaining this permit is true [18 USC 1001].

Your signature on this application is also an affirmation that you are requesting that a smoothhound permit be issued to the vessel named on the application.

PAPERWORK REDUCTION ACT STATEMENT: Public reporting burden for this collection of information is estimated to average 30 minutes per response, including the 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 other suggestions for reducing this burden to Highly Migratory Species Management Division, National Marine Fisheries Service, F/SF1, 1315 East West Highway, Silver Spring, MD 20910.

All landings and catch data, and any other information protected under federal law, will be kept confidential. 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 No. 0648-0327.



NATIONAL OCEANIC & ATMOSPHERIC ADMINISTRATION
ATLANTIC TUNAS & ATLANTIC HIGHLY MIGRATORY SPECIES
PERMIT APPLICATION



(READ INSTRUCTIONS PRIOR TO COMPLETING THE INITIAL APPLICATION)

SECTION 1 - OWNER INFORMATION

Owner Type (choose one): [] Individual [] Partnership [] Corporation

Owner or Corporation Name (if more than one individual, circle name of primary contact): _____

Street Address: _____

City: _____ State _____ Zip _____

Daytime Phone: _____ Evening Phone: _____ Fax: _____

Email Address: _____

SECTION 2 - VESSEL INFORMATION

Vessel Name (if vessel is unnamed, write "unnamed"): _____

Coast Guard Documentation Number: _____ State Registration Number: _____

Home Port: _____ (City, State) Principal Port, if different: _____ (City, State)

Vessel Length: _____ (to nearest foot) Year Built: _____

Crew Size: _____ Construction: [] Wood [] Fiberglass [] Steel [] Other

Gross Tonnage: _____ Propulsion: [] Gasoline [] Diesel [] Other

Main Engine Horsepower: _____ Hold Capacity, if applicable: _____ (pounds)

Number of Passengers licensed to carry for Charter/Headboat: [] 6 or less OR Number, if more than 6: _____

SECTION 3 - ATLANTIC TUNAS & HMS CATEGORY INFORMATION

Category (check only one)

- [] Atlantic HMS Charter/Headboat.....
[] Atlantic HMS Angling (Recreational)..
[] Atlantic Tunas General.....
[] Atlantic Tunas Harpoon.....
[] Atlantic Tunas Trap

Primary Gear Type (check only one)

- [] Rod & Reel [] Handline [] Bandit gear [] Speargun [] Green stick
[] Rod & Reel [] Handline [] Speargun
[] Rod & Reel [] Handline [] Harpoon [] Bandit gear [] Green Stick (Harpoon only)
[] Pound Net [] Fish Weir

SECTION 4 - OWNER'S SIGNATURE The undersigned is the owner or legally-authorized agent of the owner of the vessel named in Section 1 above. Issuance of a permit in one of the commercial categories (categories other than Angling) subjects a vessel to applicable requirements of the Fishing Vessel Safety Act of 1988 (46 CFR 25.28). Call the U.S. Coast Guard for details (see instructions for phone numbers).

Signature: _____

Date: _____ Print Name: _____

SECTION 5 - PAYMENT/DELIVERY INFORMATION: There is a \$20.00 fee for the Atlantic tunas & Atlantic HMS permits. Note delivery surcharge below. Mail this application and payment to: NOAA Permits, P.O. Box 979016, St. Louis, MO 63197-9000

[] Check if paying by money order/check (Make payable to NMFS Permits) * Please see notice at end of application.

[] Check if paying by credit card and fill out the information below:

Credit Card Type (check one): [] Visa [] MasterCard [] Discover [] American Express

Account Number: _____ Expiration Date (MM/YY): _____

Card Holder Name: _____ Signature: _____

Billing address for credit card, if different than address above: _____ Date: _____

DELIVERY OPTIONS (CHECK ONE):

- [] Send permit by Priority Mail at additional charge of \$4.95
[] Fax permit to number indicated in Section 1
[] Send permit by regular mail
[] I will print my permit from the Internet once processed

FEDERAL ATLANTIC TUNAS & ATLANTIC HMS CHARTER/HEADBOAT PERMIT APPLICATION INSTRUCTIONS

An Atlantic tunas permit is required to fish commercially for bluefin, yellowfin, bigeye, albacore, and skipjack tunas. An Atlantic HMS Angling permit is required for all owners/operators of recreational vessels fishing for and/or retaining regulated Atlantic Highly Migratory Species (Atlantic tunas, sharks, swordfish and billfish) in the Atlantic Ocean, including the Gulf of Mexico and Caribbean Sea. An Atlantic HMS Charter/Headboat permit is required for all charter or headboat vessels fishing for and/or retaining regulated Atlantic Highly Migratory Species in the Atlantic Ocean, including the Gulf of Mexico and Caribbean Sea. Please complete the attached application/renewal form and return to the address indicated at the bottom of the form. If your application/renewal, including payment, is complete, your permit will be mailed, faxed, or available to print (depending on your preferred delivery method) within 3 business days. Questions on the permit application/renewal process, call (888) USA-TUNA (872-8862); for tuna fisheries regulations: (978) 281-9260; for Fishing Vessel Safety Act regulations see phone numbers below.

The following information is provided to help you complete the application/renewal form.

- ***You may select only ONE permit category per permit. You may change this category when: a) renewing a permit; or b) within 10-calendar days from the date of issuance to correct any potential errors in the permit category. Therefore, once you have obtained your permit check it immediately to ensure it's accuracy.***
- A permit may be owned by more than one person, but the owner information should match the owner information on the vessel's state registration or U.S. Coast Guard documentation. If more than one person is listed, please indicate the person who will be the primary point of contact for the permit.
- If you would like your permit faxed, please indicate the appropriate fax number in Section 1 and select the fax option in Section 5. If you would like to print your permit from your printer via the Internet (www.hmspermits.gov) once the permit is processed (approximately 3 business days), select the print option in Section 5.
- If your vessel is unnamed, write "unnamed" in the space for Vessel Name in Section 2.
- The vessel's home port refers to the port where the vessel is located for most of the year. The principal port refers to the port where the majority of the vessel's landings occur. The vessel's home and principal port may be different.
- If your vessel is constructed of more than one material, choose "other". Please check only one box.
- You do not need to submit copies of state registration or U.S. Coast Guard documentation as NMFS no longer requires submission of copies with the permit application. However, a copy of the vessel's valid U.S. Coast Guard documentation or, if not documented, a copy of its valid state registration must be carried on board the vessel and must match the information on the Atlantic tunas or Atlantic HMS permit.
- For vessels owned by a partnership or corporation, you do not need to submit a copy of the letter of partnership or articles of incorporation, but you are advised to maintain the corporate or partnership document in your files and must furnish the document to NOAA Fisheries Service upon request.
- For Atlantic HMS Charter/Headboat permits, you do not need to submit a copy of a captain's license as NOAA Fisheries Service no longer requires submission of a copy with the permit application. However, while persons aboard a vessel that has been issued an Atlantic HMS Charter/Headboat permit are fishing for or are in possession of Atlantic tunas, sharks, swordfish, and/or billfish, the operator of the vessel must have a valid Merchant Marine License or Uninspected Passenger Vessel License, issued by the U.S. Coast Guard; **this license must be carried on board the vessel.**
- Commercial vessels are subject to the Fishing Vessel Safety Act of 1988. For information, contact the U.S. Coast Guard office in your district:

Maine to New York	(617) 223-8315	South Carolina to Florida	(305) 415-6868
New Jersey to North Carolina	(757) 398-6554	Gulf of Mexico	(504) 589-4554

INFORMATION REGARDING CATEGORIES:

COMMERCIAL CATEGORIES: Commercial size tuna taken under any of these categories may be sold.

Minimum sizes for sale: **Atlantic bluefin tuna:** ≥ 73 inches total curved fork length (CFL)

Yellowfin and bigeye tuna: ≥ 27 inches CFL **Other tunas:** no minimum sizes

ATLANTIC HMS CHARTER/HEADBOAT: Owners of charter boats or headboats used to fish for, take, retain, or possess Atlantic tunas, sharks, swordfish, and billfish must obtain this permit. For bluefin tuna, anglers aboard Atlantic HMS Charter/Headboat-permitted vessels may collectively fish under either the Angling or General category daily retention limit, but not both on the same day. Commercial size tunas taken aboard vessels permitted in the Atlantic HMS Charter/ Headboat category may be sold to licensed dealers only. Authorized gear: rod & reel (including downriggers), handline, bandit gear, green-stick, and spearguns (recreational only, no bluefin).

ATLANTIC TUNAS TRAP: Vessel owners who conduct trap operations that may result in the incidental taking of large medium and giant BFT must obtain this permit. Note that only one bluefin per year may be retained. Authorized gear: pound nets and fish weirs.

ATLANTIC TUNAS GENERAL: Vessel owners who harvest Atlantic tunas, including large medium and giant bluefin, by handgear and plan to sell the tuna must obtain this permit. Authorized gear: rod & reel (including downriggers), handline, harpoon, greenstick, and bandit gear.

ATLANTIC TUNAS HARPOON: Vessel owners who conduct a commercial harpoon fishery only for Atlantic tunas, including large medium and giant bluefin, must obtain this permit. Vessels permitted in the Harpoon category may not participate in the General category fishery. Authorized gear: Harpoon.

RECREATIONAL CATEGORY: Atlantic HMS taken under the Angling category size and retention limits MAY NOT be sold.

Minimum sizes for possession:

Atlantic bluefin tuna: ≥ 27 inches CFL

Yellowfin and bigeye tuna: ≥ 27 inches CFL

Other tunas: no minimum sizes

Sharks: ≥ 54 inches FL

Swordfish: ≥ 47 inches LJFL

Blue marlin: ≥ 99 inches LJFL

White marlin: ≥ 66 inches LJFL

Sailfish: ≥ 63 inches LJFL

ATLANTIC HMS ANGLING: Private recreational vessels used to fish for, take, retain, or possess Atlantic tunas, sharks, swordfish, and billfish must obtain this permit. All bluefin must be reported within 24 hours of landing to NMFS by calling (888) 872-8862 or accessing the www.hmspermits.gov website. If bluefin are landed in the states of North Carolina or Maryland, they should be reported to a reporting station prior to removing fish from the vessel. Information about the state harvest tagging programs, including reporting station locations, can be obtained in North Carolina by calling (800) 338-7804, and in Maryland by calling (410) 213-1531. Authorized gear: rod & reel (including downriggers), handline, and spearguns (except for bluefin).

For further information regarding Tuna or HMS permits please call the Northeast Regional Office HMS Division at (978) 281-9260.

PAPERWORK REDUCTION ACT STATEMENT: Collection of information through annual permitting serves three purposes: (1) it provides current information on the vessel owners participating in the Atlantic tuna fisheries; (2) it provides an up-to-date sampling frame that is the basis for fleet size calculations used for catch and effort estimates in fisheries that do not require mandatory reporting, thus enabling the U.S. to meet international obligations to report catch statistics for Atlantic tunas; and (3) aids NOAA Fisheries Service in the enforcement of fishery regulations. Public reporting burden for this initial permit application of information is estimated to average 30 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining data needed, and completed & reviewing the collection of information. Permit renewals are accomplished by using an automated phone system at (888) 872-8862 or by accessing the web site at www.nmfspermits.com. Public reporting burden for renewal by telephone or web is estimated to average 6 minutes per response. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to: National Marine Fisheries Service, F/SF1, 1315 East West Highway, Silver Spring, MD 20910. Providing the requested information in the permit application is mandatory for managing the Atlantic tuna fisheries in accordance with the Atlantic Tunas Convention Act (16 U.S.C. 971 et seq.) and the Magnuson-Stevens Fishery Conservation and Management Act (Magnuson-Stevens Act). It is agency policy not to release confidential information, other than in aggregate form, as the Magnuson-Stevens Act protects (in perpetuity) the confidentiality of those submitting information. Summaries of permit information by category may be released. Notwithstanding any other provision of the law, no person is required to respond to, nor shall any 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. This is an approved information collection under OMB #0648-0327 and expires March 31, 2012.

Notice to Customers Making Payment by Check

If you send us a check, it will be converted into an electronic funds transfer (EFT). This means we will copy your check and use the account information on it to electronically debit your account for the amount of the check. The debit from your account will usually occur within 24 hours, and will be shown on your regular account statement.

You will not receive your original check back. We will destroy your original check, but we will keep the copy of it. If the EFT cannot be processed for technical reasons, the copy will be processed in place of your original check.



United States Department of Commerce
National Oceanic and Atmospheric Administration
National Marine Fisheries Service
Northeast Region
55 Great Republic Drive
Gloucester, MA 01930

October 25, 2010

Dear Federal Northeast Seafood Dealer Permit Applicant:

Enclosed is a *Federal Northeast Seafood Dealer Permit Application* for permit year 2011 (January 1, 2011 – December 31, 2011). Species that require a Federal Northeast seafood dealer permit (NE dealer permit) are listed on the reverse side of this letter. All dealers of species covered under a Federal Fisheries Management Plan (FMP) or dealers purchasing from vessels permitted in the NE region, must have been issued and have in their possession, a valid NE dealer permit for that species. All dealers must submit to NOAA Fisheries Service (NMFS) trip-level electronic reports of all lobster, shellfish, and fish purchased or received, with the exception of dealers holding only a NE dealer permit for Atlantic tunas. Go to: http://www.nero.noaa.gov/dealer_er/ for important information on reporting requirements.

Notice to American lobster dealers: All federally permitted lobster-only dealers are required to provide NMFS with trip-level electronic reports on a weekly basis of all lobster and fish purchased or received for a commercial purpose. For questions on the Federal lobster dealer reporting requirements, contact Scott McNamara at (207) 780-3322 or by email at scott.mcnamara@noaa.gov.

Dealers who purchase Highly Migratory Species (HMS), specifically Atlantic bigeye, albacore, yellowfin, and skipjack (BAYS) tunas, Atlantic sharks, and/or Atlantic swordfish, must report these species electronically if permits for NE species requiring electronic reporting are also held. If dealers do not have NE dealer permits, reports for HMS should be submitted to the local port agent or call John Mahoney at (508) 984-0063 if you have any questions. Atlantic tuna dealers who purchase or receive domestic bluefin tuna have separate reporting requirements. Call (978) 281-9140 if you have questions regarding bluefin tuna reporting.

- Existing dealers** (Part 1, below) - If you already have a NE dealer permit, enclosed is a pre-printed application.
- New dealers** (Part 2, reverse side) – If you are a new seafood dealer and have not been issued a NE dealer permit previously, an initial NE dealer permit application is enclosed.
- Federally regulated species** (Part 3, reverse side) – A list of species that require a NE dealer permit.

Part 1

Information for existing dealers on renewing permits

To renew your NE dealer permit or to make a change to your existing NE dealer permits you must submit a complete application to the Northeast Permit Office. All required reports for all transactions must be received and accepted by NMFS before your permit will be issued. Enclosed is a pre-printed application which is based on the most recent NE dealer permits issued to you.

- ❖ To **add** a fishery not currently held, mark an "X" next to the desired fishery permit on the application.
- ❖ To **cancel** a fishery which you currently hold, write "cancel" next to each fishery permit that you wish to cancel.

Instructions for completing the NE dealer permit renewal application are enclosed. In most cases, the answers to commonly asked application questions can be found in these instructions.

Application requirements

You must submit a complete and accurate application. All required receipt, purchase, and Processed Products reports must be received and accepted by NMFS before we can issue you a NE dealer permit. NMFS will notify you by mail if your application is not complete and/or required reports have not been received.

Part 2

Information for new dealers (initial applications)

To apply for NE dealer permits you must submit an initial application to the Northeast Permit Office. Enclosed is an initial NE dealer permit application along with detailed instructions for completing the application. In most cases, the answers to commonly asked application questions can be found in these instructions. For information on Federal dealer permits for the South Atlantic and Gulf (including sharks and swordfish), call (727) 824-5326.

Application requirements

You must submit a complete and accurate application before we can issue you a NE dealer permit. We will notify you by mail if your application is not complete.

Part 3

List of regulated species requiring a NE dealer permit

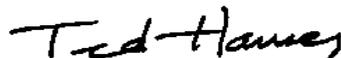
American lobster	Northeast Multispecies continued -	NE Skate continued -
Atlantic bluefish	Atlantic Cod	Clearnose skate
Atlantic deep-sea red crab	Atlantic halibut	Little skate
Atlantic herring	Haddock	Rosette skate
Atlantic mackerel	Offshore hake	Smooth skate
Atlantic sea scallop	Ocean Pout	Thorny skate
Atlantic tunas -	Pollock	Winter skate
Atlantic bluefin tuna	Redfish (ocean perch)	Squids -
Albacore tuna	Red hake (ling)	<i>Illex</i> squid
Bigeye tuna	Silver hake (whiting)	<i>Loligo</i> squid
Skipjack tuna	White hake	Ocean quahog
Yellowfin tuna	Windowpane flounder (sand dab)	Scup
Black sea bass	Winter flounder (blackback)	Spiny dogfish
Butterfish	Witch flounder (grey sole)	Summer flounder
Monkfish	Yellowtail flounder	Surfclam
Northeast Multispecies -	Northeast Skate complex	Tilefish
American plaice (dab)	Barndoor skate	Atlantic Hagfish

Highly Migratory Species (HMS) International Trade Permit (ITP): Dealers that trade bluefin tuna, swordfish, southern bluefin tuna, or frozen bigeye tuna internationally are required to obtain an HMS ITP. Information on the HMS ITP can be found at:

www.nmfs.noaa.gov/sfa/hms/ITP/index.htm or by calling (727) 824-5326.

Follow the instructions carefully. Failure to meet all of the requirements of the application will delay the issuance of your permit. If you have further questions regarding your dealer application, contact the Northeast Permit Office at 978-282-8438.

Sincerely,



Ted Hawes, Operations Manager
Northeast Region Permit Office

Enclosures



National Marine Fisheries Service
Northeast Regional Office / Fisheries Statistics Office



Application Instructions
Federal Fisheries Dealer Permit

Mail completed application packages to: NOAA Fisheries Service (NMFS), Northeast Permit Office, 55 Great Republic Drive, Gloucester, MA 01930. **Note:** There is a 30-day processing period for all application packages. This 30-day processing period begins when a **correct and complete** application package has been received by the Northeast Permit Office and all required reports have been submitted and accepted by NMFS. Failure to provide the required information will delay processing of your dealer permit.

For further information, call the Northeast Permit Office at (978) 282-8438

➤ **Section 1 - Dealer Information**

If you already have a NE dealer permit, enclosed is a pre-printed application, which is partially completed for you.

If you are a new seafood dealer and have not been issued a NE dealer permit previously, an initial NE dealer permit application is enclosed.

If you are applying for an Atlantic Mackerel or Atlantic Herring at Sea Processor permit, you must enter a vessel name and hull number where indicated and include a copy of the vessel's current Coast Guard Documentation or State Registration.

Before submitting your application, review the dealer information placed in Section 1 to ensure it is correct. Make any corrections on the lines provided. It is important to include your Southeast Dealer Permit Number in Section 1 if you have been issued a dealer permit by the Southeast Region of NMFS.

➤ **Section 1A - Additional Dealer Information**

If your company or business purchases or receives regulated species at more than one location, each address must be listed on the application. Space is available on the back of the dealer permit application form for the required listing of additional addresses. You do not need a separate dealer number for the additional locations as long as the businesses at these locations are all the same business entity.

➤ **Section 2 - Selected Fisheries**

If not already marked, place an 'X' next to each of the fisheries for which you are requesting a Federal Fisheries Dealer Permit. **Please note:** If you are issued any of the Northeast dealer permits on this application, with the exception of the Atlantic tunas permits, you must provide NMFS with weekly, trip-level electronic reports of all lobster, shellfish, and fish purchased or received for a commercial purpose.

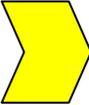
➤ **Section 3 – Applicant's Signature**

Before mailing, carefully review the application form for accuracy and completeness. Sign and date the application in Section 3 and return it to the address listed above.



PLEASE READ IMPORTANT INFORMATION
ON THE REVERSE
BEFORE SIGNING YOUR APPLICATION

Corporations, Partnerships and Sole Proprietorships

 **Failure to provide the applicable information below WILL DELAY processing of your application.**

Corporations

All dealer corporations and LLCs submitting an **initial application** package **must submit the following documentation with the initial application:**

 A copy of the certificate of incorporation listing the names and addresses of all officers and shareholders of the corporation / LLC.

All dealer corporations and LLCs submitting a **renewal application** package **must submit the following documentation with the renewal application:**

 A list of the names and addresses of all officers and shareholders of the corporation / LLC.

Partnerships

All dealer partnerships submitting an **initial application** package **must submit the following documentation with the initial application:**

 A copy of the Partnership Agreement.

All dealer partnerships submitting a **renewal application** package **must submit the following documentation with the renewal application:**

 A list of the names and addresses of all current partners.

Sole Proprietorships

All dealer applicants who will be operating under a sole proprietorship **must submit the following documentation with your initial application only:**

 A statement in writing that you are operating under a sole proprietorship and that the business is not owned by a corporation, LLC, or a partnership.

Dealer Reports

An application is complete when all requested forms, information, and documentation have been received, and the applicant has submitted all applicable reports specified in the Federal regulations including dealer electronic weighout reports and processed products reports [CFR § 648.7, § 622.5 and § 635.5].

Failure to submit the reports required under either CFR § 648.7, § 622.5 and § 635.5 may bar issuance of any Northeast dealer permit [CFR § 648.6]. If you have any questions concerning your compliance with the reporting regulations for Northeast managed species, please contact your local NMFS Field Office (list enclosed). Questions concerning reporting for bluefin tuna [CFR § 635.5], should be directed to the Highly Migratory Species Office at (978) 281-9140.

Be aware: The Fisheries Statistics Office may report dealers to the NOAA Fisheries Service Office of Law Enforcement for failure to submit all reports or for failure to report in a timely fashion. Activities that do not comply with the provisions of the Magnuson-Stevens Act may subject the violator to fines and/or permit sanctions.



National Marine Fisheries Service
Northeast Regional Office / Fisheries Statistics Office



Review Checklist

Dealer Permit Application

IMPORTANT: READ BEFORE CONTINUING

Please review the information below to ensure that your application contains all of the proper documentation needed to process your dealer permit application.

Failure to include this information with your application WILL DELAY processing of your application.

1. Review your address and contact information - make any necessary changes on your application.
2. Check the dealer permits you have selected – do they represent the type of fish and shellfish you buy?
3. If you conduct business under the same company name in more than one location, list the addresses of those locations on back of application.
4. Sign and date your application.
5. Include the names of officers, shareholders, or partners in your corporation, LLC, or partnership (see application instructions for additional information).
6. If you are a Sole Proprietorship, include operating statement once with initial application.

Revised November 16, 2010

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TWO-SIDED PRINTING**



United States Department of Commerce
 National Oceanic and Atmospheric Administration
 National Marine Fisheries Service
 Northeast Region
 55 Great Republic Drive
 Gloucester, MA 01930

Federal Northeast Seafood Dealer Initial Dealer Permit Application

SECTION 1 - DEALER INFORMATION

Southeast Dealer # (if available) _____

Company name: _____

Owner's Name: _____

Mailing Address: _____

City: _____ State : _____ Zip Code: _____

Telephone: _____ Fax Number: _____

**Vessel Name: _____ **Vessel Hull Number: _____

**** (if you are applying for an Atlantic Mackerel at Sea Processor permit or an Atlantic Herring at Sea Processor permit, you must enter a vessel name and hull number above and include a copy of the vessel's current Coast Guard Documentation or State Registration.)**

All corporations, LLCs, and partnerships must provide a copy of the Certificate of Incorporation listing the names of all partners, officers, and/or shareholders in the company. Failure to provide this information WILL DELAY the processing of your application.

If regulated species are purchased or received for commercial purposes at more than one place of business, each address must be listed. List those additional addresses on the back of this form in Section 1A.

SECTION 2 - FISHERIES

Select the fisheries desired by placing an (X) in the boxes provided. Select all fisheries that apply.

- | | | |
|---|---|---|
| <input type="checkbox"/> Atlantic bluefin tuna | <input type="checkbox"/> Northeast multispecies | <input type="checkbox"/> Scup |
| <input type="checkbox"/> Other Atlantic Tunas (Yellowfin, Bigeye, Skipjack, Albacore) | <input type="checkbox"/> American lobster | <input type="checkbox"/> Black sea bass |
| <input type="checkbox"/> Surfclam/Ocean quahog - Dealer | <input type="checkbox"/> Skate | <input type="checkbox"/> Monkfish |
| <input type="checkbox"/> Surfclam/Ocean quahog - Processor | <input type="checkbox"/> **Atlantic mackerel at sea processor | <input type="checkbox"/> Atlantic bluefish |
| <input type="checkbox"/> Summer flounder | <input type="checkbox"/> Squid, Atlantic mackerel, butterfish | <input type="checkbox"/> Spiny Dogfish |
| <input type="checkbox"/> Atlantic sea scallop | <input type="checkbox"/> Atlantic herring - Dealer | <input type="checkbox"/> Tilefish |
| <input type="checkbox"/> Atlantic Hagfish | <input type="checkbox"/> **Atlantic herring At Sea Processor | <input type="checkbox"/> Atlantic Deep-sea Red Crab |
- ** (see note in Section 1)

SECTION 3 - OWNER'S NAME AND SIGNATURE

I affirm, subject to the penalties provided in 18 USC 1001, that all information I have given in obtaining this permit is true and correct.

Print Name: _____

Signature: _____

Date: _____

SECTION 1A - ADDITIONAL DEALER INFORMATION. If regulated species are purchased or received for commercial purposes at more than one place of business, each address must be listed below.

Company Address

Street:		
City:	State:	Zip:
Telephone:		

Company Address

Street:		
City:	State:	Zip:
Telephone:		

Company Address

Street:		
City:	State:	Zip:
Telephone:		

Company Address

Street:		
City:	State:	Zip:
Telephone:		

For further information, call Northeast Permits Operations at (978) 281-9370

Owner name, business officers and members, address, phone number, fax number, and permit information may be released via a NOAA Fisheries website. All other data submitted will be handled as confidential material in accordance with NOAA Administrative Order 216-100, Protection of Confidential Fishery Statistics.

The Paperwork Reduction Act requires potential respondents for a dealer/processor permit be notified of certain information regarding their rights and the burden associated with applying for a Federal dealer/processor permit. One of the regulatory steps taken by the National Marine Fisheries Service (NMFS) to carry out conservation and management objectives is the requirement of a permit for users of the resources. All the fisheries included on this application require a permit to purchase, or otherwise receive for transport for a commercial purpose, other than solely for transport on land, species harvested by the owner or operator of a fishing vessel issued a Federal fisheries permit for these species. Section 303(b)(1) of the Magnuson-Stevens Fishery Conservation and Management Act (MSFCMA) specifically recognizes the need for permit issuance.

The purpose and use of permits is to: (1) register fish dealers and processor, (2) list the characteristics of dealer/processor operations, (3) exercise influence over compliance (e.g. withhold issuance pending collection of unpaid penalties and / or required reports), (4) provide a mailing list for the dissemination of important information to the industry, (5) provide a universe for data collection samples, and (6) obtain first purchase information on landings to evaluate the biological, economic and social implications of management measures.

Notwithstanding any other provision of the law, no person is required to respond to, nor shall any 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. Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining data needed, and completing and reviewing the information. Send comments regarding this burden estimate or suggestions for reducing this burden to: National Marine Fisheries Service, Permit Office, 55 Great Republic Drive, Gloucester, MA 01930-2276.



Northeast Regional Office / Fisheries Statistics Office



55 Great Republic Drive, Gloucester MA 01930-2276

Phone: (978) 281-9264 Fax: (978) 281-9161

John Witzig, Ph.D., Office Director

Systems Management & Development

Jim St. Cyr, Section Chief
978-281-9369

Fishery Analysis, Monitoring & Permit Operations

Stanley Wang, Ph.D., Section Chief
978-281-9225

Vessel Reporting

Bethany Brosnan
978-281-9270

Fishery Permits

Ted Hawes
978-281-9296

Fishery Information

Greg Power, Section Chief
978-281-9304

NEW ENGLAND AREA

Portland ME 207-780-3322
Fax 207-780-3340
Marine Trade Ctr Suite 212
2 Portland Fish Pier
Portland, ME 04101-4633

Gloucester MA 978-281-9363
55 Great Republic Drive
Gloucester, MA 01930-2276
978-281-9338
978-281-9253
Fax 978-281-9372

New Bedford MA 508-984-0063
508-999-2452
Fax 508-990-2506
37 N. Second St
New Bedford, MA 02740-6329

Chatham MA 508-945-5961
Fax 508-945-3793
1619 Main Street
P.O. Box 1197
West Chatham, MA 02669

Point Judith RI 401-783-7797
Fax 401-782-2113
83 State St 2nd Flr
P.O. Box 3356
Narragansett, RI 02882-0547

Scott McNamara*
(cell 978-609-7747)
Merrie Cartwright, Ph.D.
(cell 978-875-0378)
Jodie York©
(cell 978-609-4148)
Jeni Menendez©
(cell 757-604-5331)
Don Mason

Caleb Gilbert
(cell 978-609-4143)
Rob Banks©
(cell 978-609-4146)

John Mahoney
(cell 978-609-8205)
Dan Syriala©
(cell 978-609-4144)
Katie Almeida©
(cell 757-775-6866)
Caela Schmidt©

Lorraine Spenle
(cell 978-609-4142)

Walter Anoushian *
(cell 978-609-4145)
Chris Zanni©
(cell 978-609-7921)
Elizabeth Marchetti©

MID-ATLANTIC AREA

East Hampton, NY 631-324-3569
Fax 631-324-3314
62 Newtown Ln, # 203
East Hampton, NY 11937

Patchogue NY 631-475-6988
Fax 631-289-8361
50 Maple Av
P.O. Box 606
Patchogue, NY 11772-98

Toms River NJ 732-818-1311
732-349-3533
Fax 732-349-4319
26 Main St, Suite O
P.O. Box 143
Toms River, NJ 08754

Cape May NJ 609-884-2113
Fax 609-884-4908
1382 Lafayette St
Cape May, NJ 08204

Hampton VA 757-723-3369
Fax 757-728-3947
1006N Settlers Landing Rd
P.O. Box 69172
Hampton, VA 23669

Victor Vecchio*
(cell 978-609-4155)
Marc Renaghan©
(cell 207-653-9039)
Sara Petrochic©
(cell 207-653-9039)

David McKernan
(cell 978-609-4151)

Joanne Pellegrino*
(cell 978-609-7980)

Casey Macisso©
(cell 978-609-8085)
Josh O'Connor©
(cell 978-609-8085)

Ingo Fleming
(cell 978-609-8084)

Alissa Wilson©
(cell 978-875-0595)

David Ulmer*
Steve Ellis
(cell 978-609-4147)
George Mattingly
(cell 978-609-4149)

* team leader & state partner coordinator / © Contract Staff

Other Contact Information

Web: <http://www.nero.noaa.gov/fso>

Email: reporting.ne@noaa.gov or permits.ne@noaa.gov

FSO.Data.Requests@noaa.gov

Help Desks

Dealer Electronic Reporting: 978-281-9212

IVR Reporting: 978-281-9172

Data Requests: 978-281-9133

Vessel Trip Reporting: 978-281-9246

Permits: 978-281-9370

Reporting Forms: 978-281-9157



NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION
**HIGHLY MIGRATORY SPECIES
 INTERNATIONAL TRADE PERMIT**



(READ INSTRUCTIONS PRIOR TO COMPLETING THE INITIAL APPLICATION)

SECTION 1 - DEALER/BUSINESS INFORMATION

Business Name		Federal ID No.	Date Business Formed (mm/dd/yy)
Business Type <input type="checkbox"/> Sole Proprietorship or Individual <input type="checkbox"/> Other _____ (Check one) <input type="checkbox"/> Joint Owner <input type="checkbox"/> Partnership <input type="checkbox"/> Corporate		Dun & Bradstreet (DUNS) No. (optional)	U.S. Importer No.
Mailing Address			Daytime Phone No. ()
City	State	Zip Code	Fax Phone No. ()
Email Address	Website	Cell Phone No. ()	

SECTION 2 - ADDITIONAL FACILITIES (add additional sheets if necessary)

Business Name		Daytime Phone No. ()	Fax Phone No. ()
Physical Address		City	State Zip Code
Business Name		Daytime Phone No. ()	Fax Phone No. ()
Physical Address		City	State Zip Code
Business Name		Daytime Phone No. ()	Fax Phone No. ()
Physical Address		City	State Zip Code

SECTION 3 - APPLICANT INFORMATION

Name	Social Security No.	Position in Business (if applicable)	
Street Address (if different from Section 1)			Daytime Phone No. ()
City	State	Zip Code	Fax Phone No. ()
Email Address	Birth Date (mm/dd/yy)	Cell Phone No. ()	

SECTION 4 - ADDITIONAL FEDERAL OR STATE DEALER LICENSES

List All Dealer License Number(s) with Corresponding State or Federal Agency

1.	2.	3.	4.
----	----	----	----

SECTION 5 - PAYMENT and DELIVERY INFORMATION

Mail this application with a check or money order made out to the United States Treasury for \$25.00 to: NMFS Permits Team Southeast Regional Office 263 13 th Avenue, South St. Petersburg, FL 33701	Delivery Options (check the appropriate box)		FOR OFFICE USE ONLY	
	<input type="checkbox"/> 2-Day Priority Mail (address in Section 1)		SERO Dealer No.	
	<input type="checkbox"/> Federal Express (For FedEx delivery, include completed air bill - see instructions on reverse side)		Expiration Date	Reviewer's Initials
			Violation Date	Cleared Date/Initials

SECTION 6 - APPLICANT SIGNATURE

Signature:	Date:
Print or type name:	Position in Business (if applicable)

NOAA National Marine Fisheries Service (NMFS) Highly Migratory Species International Trade Permit

A NMFS Highly Migratory Species International Trade Permit is required pursuant to 50 CFR 300.182 to import, export, or re-export swordfish, bluefin tuna, southern bluefin tuna, and/or frozen bigeye tuna, regardless of ocean area of origin.

Application Instructions

- Section 1 Print or type the requested information.

- Section 2 Print or type the names and addresses of additional facilities where fish are received, if applicable. If more space is needed, attach an additional sheet.

- Section 3 Print or type the requested information.

- Section 4 List all other state and Federal licenses, if applicable.

- Section 5 Select appropriate delivery options. For FedEx delivery, a completed airbill, including your account number or major credit card number with expiration date, is required. Include a check or money order for \$25 made payable to the *United States Treasury*.

- Section 6 The application must be complete and signed by the applicant or it will be returned. The applicant's signature declares under of penalty of law that all information on the application is true, accurate and complete.

Paperwork Reduction Act Notification: Public reporting burden for this collection of information is estimated to average 5 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining data needed, and completing and reviewing the information. Send comments regarding this burden estimate or suggestions for reducing this burden to: NMFS, Highly Migratory Species Division, 1315 East West Highway, Silver Spring, MD 20910. The Paperwork Reduction Act requires potential respondents for a dealer permit to be notified of certain information regarding their rights and the burden associated with applying for a Federal dealer permit. One of the regulatory steps taken by NMFS to carry out conservation and management objectives is the requirement of a permit for users of the resources. Section 971(d) of the Atlantic Tunas Convention Act authorizes the promulgation of regulations as may be necessary and appropriate to implement the recommendations of the International Commission for the Conservation of Atlantic Tunas (ICCAT). This permit is necessary for the implementation of required ICCAT trade monitoring programs. Pursuant to Section 402(b) of the Magnuson-Stevens Act, and consistent with NOAA Administrative Order 216-100 (Confidentiality of Fisheries Statistics), the Agency does not release confidential information submitted in compliance with provisions of the Act, other than in aggregate form and under circumstances required or authorized by law. Whenever data are requested or released to the general public, the Agency ensures that information on the pecuniary business activity of a dealer is not identified. Notwithstanding any other provision of the law, no person is required to respond to, nor shall any 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.



United States Department of Commerce
National Oceanic and Atmospheric Administration
National Marine Fisheries Service
Northeast Region
55 Great Republic Drive
Gloucester, MA 01930

January 24, 2011

Dear Federal Fisheries Vessel Permit Applicant:

Enclosed is an Initial Federal Northeast Region (NER) Fishing Vessel Permit Application and Instructions. This package contains answers to some of the frequently asked questions about completing your application.

Important

Please read and follow the application instructions carefully. Failure to provide all required information and additional documentation on or with the application will result in the application being returned to you for completion and or correction. This may significantly delay the issuance of your permit.

Federal Vessel Operator Permit

It is the responsibility of the vessel owner to ensure that their vessel issued NER permits is operated by an individual(s) with a valid Federal Vessel Operator permit. Any individual operating a vessel that is issued NER Federal Fishing Permits and fishing in the EEZ is subject to the vessel operator permit requirements.

The Federal Vessel Operator Permit is a photo ID which is issued by NOAA Fisheries Service. This permit must be carried by the operator of the vessel. Operator permits are issued for a 3-year period and renewal applications are mailed 45 days before the expiration of the permit.

To ensure that your operator has a valid operator permit or to obtain an application, please call the Permit Office at 978-282-8438. You or the operator of your vessel can obtain an application online at <http://www.nero.noaa.gov/permits/forms.html> - the Operator application is contained on the second link down called *Initial Vessel Operator Permit*.

Reminder: Vessel operators are required to report their operator permit number when completing their Vessel Trip Reports (VTRs).

Reporting Requirements

Except as noted below, the owner or operator of a fishing vessel that has been issued a Federal NER Fishing Permit has VTR reporting requirements for all fishing trips taken, regardless of species targeted or waters fished. The two exceptions to this requirement exist for surfclam and ocean quahog vessels which are required to report on clam log reports and for vessels that have only been issued an American lobster permit, which has no Federal reporting requirements. For more information, please call the Vessel Trip Reporting Office at 978-281-9246.



Application requirements

The following documents are enclosed in this package to assist you in completing your application and to help you understand important measures you must comply with as a permit holder:

- ❖ Initial vessel application.
- ❖ Detailed permit application instructions, which include a list of permit categories.
- ❖ Vessel Trip Report (VTR) guidelines.
- ❖ Gillnet form (if applicable).
- ❖ Vessel Ownership form.
- ❖ Summary of control dates for NER fisheries.

This letter and the enclosures only summarize the legal requirements. For a complete understanding of your obligations, you should consult the Code of Federal Regulations. This information can be found at <http://www.nero.noaa.gov/nero/regs/>.

Gillnet Form

If applying for a category A, E, or F NE multispecies permit with the intention of fishing with gillnet gear, you must complete sections 1 and 3 of the Gillnet Form. If you wish to order gillnet tags for either the NE multispecies or monkfish gillnet fishery at this time, you must also submit a completed Gillnet Form.

For more information, please call Permits at 978-282-8458 or download the application at <http://www.nero.noaa.gov/permits/forms/GillnetTagOrderForm.pdf>

Sale of Your Catch Requirements

All vessels issued a Federal NER fishing vessel permit, except those fishing on a party/charter trip, are required to sell their catch of federally managed species only to seafood dealers with a valid Federal NER dealer permit for that species. Federally permitted vessels with NER permits may not sell their catch of federally managed species to persons or seafood dealers that do not have valid Federal NER dealer permits.

Lobster Permit Holders

If you possess a limited access Federal American lobster permit and intend to fish with lobster traps, you must declare into at least one lobster conservation management area (LCMA) and indicate traps (gear code 800) as a gear type on your Federal permit application. Note: A vessel owner has 45 days from the first effective date of his/her permit within a permit year to make a change to the American Lobster permit category. For more information, please call Sustainable Fisheries at 978-281-9246.

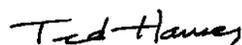
Tuna Permit Holders

Atlantic tunas vessel permits are issued through a separate permitting system, which can be accessed by phone at 888-872-8862 or via the Internet at www.nmfspermits.com.

Renew or Lose

All limited access permits for which your vessel is qualified must be renewed each fishing year. If you do not renew the vessel's limited access permit(s) in any fishing year, your vessel will no longer be eligible for the permit(s) in subsequent years.

Sincerely,

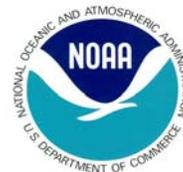


Ted Hawes, Operations Manager
Northeast Permit Office

Northeast Region Federal Fisheries Initial Permit Application



UNITED STATES DEPARTMENT OF COMMERCE
NATIONAL OCEANIC & ATMOSPHERIC ADMINISTRATION
NATIONAL MARINE FISHERIES SERVICE
PERMIT OFFICE
55 Great Republic Drive
GLOUCESTER, MA 01930-2276
Tel: (978) 281-9370



Section 1 - Vessel/Owner Information

Is this application for a vessel permit transfer? Yes No

If Yes, complete the vessel replacement portion of the Vessel Replacement, Upgrade, and Confirmation of Permit History Application.

Enter information in the spaces provided. All items must be completed.

Vessel Name:

Owner Name:

Mailing Address:

City:

State:

Zip:

Owner Telephone:

CG Documentation or State Registration Number:

Home Port:

Principal Port:

Previously permitted Vessel Permit # _____ (if applicable)

Section 2 - Vessel Information

Enter information in the spaces provided. All applicable items must be completed.

Vessel Length: _____

Overall length in feet.

Dredge Size: _____

Dredge size in feet.

Crew Size: _____

Average number or crew, including the captain.

Number of Dredges: _____

Total number of dredges aboard the vessel.

Gross Tonnage: _____

As recorded on US Coast Guard Documentation.

Pump Horsepower: _____

This item applies to surf clam/ocean quahog vessels only.

Year Built: _____

The year the vessel was built.

Construction: Please check the number that applies to your vessel.

1=Wood

2=Fiberglass

3=Steel

4=Other

Engine HP: _____

The vessel engine horsepower.

Propulsion: Please check the number that applies to your vessel.

1=Gasoline

2=Diesel

3=Other

Fish Hold Capacity: _____

Measured to the nearest 100 pounds.

Number of Charter/Party Passengers: _____

Number of passengers the vessel is licensed to carry.

(See page 3 of instructions for additional documents required)

Signature required on back of form OMB# 0648-0202 Expires 4/30/2013

Section 3 – Fishery Information

Gear Codes	120 – Purse Seine	210 – Beach Seine	220 – Boat Seines	310 – Bottom Trawl	320 – Midwater Trawl
330–Other Trawl	410 – Dredge	700 – Gill/Entangling Nets	800 – Pots & Traps	911 – Hand Lines	912 – Rod & Reel
913 – Tub Trawl	1010 – Harpoons	920 – Longlines / Setlines	1400 – Diving Gear	1200 – Other Gears	

Circle the number or letter of the fishery category for which you are applying. Clearly print the associated gear code(s) from the list above. Refer to the instructions for allowable gear code(s) per category.

If you select a fishery category and gear code combination(s) for which your vessel is not eligible, the processing of your permit may be delayed. See instructions for further details or call Northeast Permit Operations at (978) 281-9370.

Fisheries	Open Access Categories	Limited Access Categories Qualified Vessels Only	Gear Code(s)
Atlantic Sea Scallop		2 3 4 5 6 7 8 9	
Atlantic Sea Scallop – General		A B C	
Northeast Multispecies	HB I* J K	A C D E F HA	
Monkfish	E	A B C D F G H	
Surf Clam/Ocean Quahog	1 6		410 – Dredge only
Maine Mahogany Quahog		7	410 – Dredge only
Summer Flounder	2*	1	
Scup	2*	1	
Black Sea Bass	2*	1	
Squid, Mackerel, Butterfish	2* 3 4	1 5	
Incidental HMS Squid Trawl		1	
Spiny Dogfish	1		
Atlantic Bluefish	1 2*		
Atlantic Herring	D	A B C	
Tilefish	1 2*		
Atlantic Deep-Sea Red Crab	A	B C	
Skate	1		
American Lobster – Non Trap		1 2*	
American Lobster - Trap		A1 A2 A3 A4 A5 A6 AOC	800 – Pots and Traps only

*** Charter/Party permit categories**

Section 5 – Application Checklist & Signature

➔ **Please include the applicable forms below with your signed and dated application**

- _____ **All vessels:** copy of current (not expired) **US Coast Guard (CG) Documentation** or **State Registration**.
- _____ **Corporations, LLCs, Partnerships:** signed and dated list of current owners/officers/partners and their addresses.
- _____ **All vessels:** Vessel Ownership Form with each vessel application.
- _____ **Charter/Party requests:** CG Documentation must state “coastwise” or include a copy of a valid Captain’s license.

I, the undersigned, am the owner or legally authorized agent of the owner of the vessel named in Section 1. I affirm, subject to the penalties provided in 18 USC 1001, that all information provided obtaining this permit is true and correct.

Print Name: _____ **Signature:** _____ **Date:** _____

Public reporting burden for the collection of information on this application is estimated to average 45 minutes per response, including time for reviewing instructions, gathering needed data and documents, and completing the application. Send comments regarding this burden estimate or suggestions for reducing this burden to: NOAA Fisheries, 55 Great Republic Drive, Gloucester, MA 01930. The Paperwork Reduction Act (PRA) requires that potential respondents for this permit be notified of certain information regarding their rights and the burden associated with applying for Federal fisheries permits. Notwithstanding any other provision of the law, no person is required to respond to, nor shall any person be subject to a penalty for failure to comply with, a collection of information subject to the requirements of the PRA, unless that collection of information displays a currently valid OMB Control Number. Owner name, vessel characteristics, address, phone, and permit information will be released via a NOAA Fisheries website. All other data submitted will be handled as confidential material in accordance with NOAA Administrative Order 216-100, Protection of Confidential Fishery Statistics.
Revised 7/30/2011 OMB # 0648-0202 Expires: April 30, 2013



Vessel Ownership Form

- Completion of this form is required with each application for a Northeast Federal fishing permit.
- List all persons and entities who have an ownership interest in the vessel that is the subject of this application.
- Owners or persons who have an ownership interest in a vessel are defined as and include, but are not limited to, corporations, partnerships, LLCs, persons who are shareholders in a corporation, persons who have formed a partnership (general or limited), and any other entities that have ownership interest in the vessel.

Section A – Vessel applying for permit

Vessel Name:	Permit or Hull Number:
--------------	------------------------

Section B - All persons and entities that have an ownership interest in the vessel must be listed below. Do not include employees of the business unless they are an owner of the vessel or company.

Mr/Mrs/Ms	First Name	Middle Name	Last Name	Suffix Name
Check all that apply - Owner <input type="checkbox"/> Officer <input type="checkbox"/> Shareholder <input type="checkbox"/>				

Mr/Mrs/Ms	First Name	Middle Name	Last Name	Suffix Name
Check all that apply - Owner <input type="checkbox"/> Officer <input type="checkbox"/> Shareholder <input type="checkbox"/>				

Mr/Mrs/Ms	First Name	Middle Name	Last Name	Suffix Name
Check all that apply - Owner <input type="checkbox"/> Officer <input type="checkbox"/> Shareholder <input type="checkbox"/>				

I, the undersigned, am the owner or legally authorized agent of the owner of the vessel named in *Section A* above. I affirm, subject to the penalties provided in 18 U.S.C. 1001, that all information that I have given in obtaining this permit is true and correct.
 OMB# 0648-0202 Expires 04/30/2013

Name of Applicant (print clearly) _____

Signature of Applicant _____ Date _____

Please use the back of this form to provide information on all persons with an ownership interest in the vessel.

Page 2 - Section B Continued - All persons and entities that have an ownership interest in the vessel must be listed below. Do not include employees of the business unless they are an owner of the vessel or company.

Mr/Mrs/Ms	First Name	Middle Name	Last Name	Suffix Name
Check all that apply - Owner <input type="checkbox"/> Officer <input type="checkbox"/> Shareholder <input type="checkbox"/>				

Mr/Mrs/Ms	First Name	Middle Name	Last Name	Suffix Name
Check all that apply - Owner <input type="checkbox"/> Officer <input type="checkbox"/> Shareholder <input type="checkbox"/>				

Mr/Mrs/Ms	First Name	Middle Name	Last Name	Suffix Name
Check all that apply - Owner <input type="checkbox"/> Officer <input type="checkbox"/> Shareholder <input type="checkbox"/>				

Mr/Mrs/Ms	First Name	Middle Name	Last Name	Suffix Name
Check all that apply - Owner <input type="checkbox"/> Officer <input type="checkbox"/> Shareholder <input type="checkbox"/>				

Mr/Mrs/Ms	First Name	Middle Name	Last Name	Suffix Name
Check all that apply - Owner <input type="checkbox"/> Officer <input type="checkbox"/> Shareholder <input type="checkbox"/>				

I, the undersigned, am the owner or legally authorized agent of the owner of the vessel named in *Section A* above. I affirm, subject to the penalties provided in 18 U.S.C. 1001, that all information that I have given in obtaining this permit is true and correct.
 OMB# 0648-0202 Expires 04/30/2013

Name of Applicant (print clearly) _____

Signature of Applicant _____ Date _____

Please copy this form as needed to provide information on all persons with an ownership interest in the vessel in Section A.



National Marine Fisheries Service (NMFS)
Northeast Permit Office (978) 282-8438

Review checklist for the Initial Vessel Application



- ✓ Ensure your application is complete
- ✓ Please review the list below
- ✓ Failure to include this information with your application will result in processing delays or a possible return of your application.

Include with your signed and dated application:

- A copy of your **valid** Coast Guard Documentation or a copy of your **valid** State Registration. Expired registrations will not be accepted.
- If your vessel is owned by a corporation or LLC, include a copy of the Certificate of Organization/Incorporation including the full name and address of all officers and shareholders.
- If your vessel is owned by a Partnership, include a copy of Partnership Agreement and the full name and address of each partner.
- To be eligible for a Federal party/charter permit you must include a copy of your Captain's License **or** a copy of your U.S. Coast Guard Documentation with a *Coastwise* endorsement.
- Include a completed NMFS vessel ownership form listing all persons who have an ownership interest in the vessel.
- If applying for a NE multispecies category A, E, or F permit or a limited access monkfish permit with the intention of fishing with gillnet gear, you must complete the NMFS Gillnet Form. Call the Permit Office to obtain this application or go to <http://www.nero.noaa.gov/permits/forms.html>



**National Marine Fisheries Service
Northeast Regional Office/Fisheries Statistics Office**



Initial Vessel Application

Instructions for Northeast Federal Fishing Vessel Permits

Enclosed are the instructions for completing the Initial Fishing Vessel Application for Federal Northeast Region (NER) fishing permits. This package contains definitions for each field on the application, the additional documents required for a complete application, and a brief definition of the fishery permits. These instructions do not contain all the regulatory provisions that pertain to each fishery, and are not a substitute for the regulations. A copy of the regulations can be obtained through NOAA's National Marine Fisheries Service NERO web site:

<http://www.nero.noaa.gov>. If you have further questions, please contact the Sustainable Fisheries Division at (978) 281-9315.

Please read and follow the application instructions carefully. Failure to provide all required information and additional documentation will result in the application being returned to you for completion. You cannot fish without a current and valid permit.

Walk-in application processing service is not available. There is a 30-day processing period for all application packages. This 30-day processing period begins when a **correct and complete** application package is received in the Northeast Region Permit Office. Questions? Please refer to the NMFS Northeast Region Web Page at <http://www.nero.noaa.gov/permits/> for applications, instructions, fisheries regulations, and other important information, or call 978-281-9370 or e-mail Permits.ne@noaa.gov.

Mail the completed application package to:

National Marine Fisheries Service
Northeast Permit Office
55 Great Republic Drive
Gloucester, MA 01930-2276

Section 1 - Vessel and Owner Information (all items must be filled in)

Vessel Name

Current name of vessel, or enter "unnamed" if not applicable.

Owner Name

Include the owner name (business name or person name) **exactly** as it appears on the United States Coast Guard Documentation, State Registration, or Title of Vessel Ownership. If your vessel's state registration does not list all owners of the vessel, also provide a copy of the vessel's title, or other documentation from the appropriate state agency that identifies all vessel owners. If the vessel is owned by a company, LLC, or partnership, you must provide the full name and mailing address of all officers and shareholders in the business (see page 3 for further details).

Address and Telephone Number

Provide primary address and include 4-digit addition to zip code (if known). Also provide area code and phone number (additional phone numbers may be provided).

U.S. Coast Guard Documentation or State Registration Number

Provide United States Coast Guard Documentation Number or State Registration for your vessel. A copy of the USCG Documentation or State Registration is also required, see page 3 for further details.

Home Port

City and State where vessel is moored

Principal Port

City and State where the majority of your landings occur

Section 2 - Additional Vessel Information

(Except where noted, all items on must be completed)

- Vessel length:** Overall length in feet
- Crew Size:** Average number of crew, **including** the captain
- Gross Tonnage:** As recorded on US Coast Guard Documentation or estimated gross tonnage for state registered vessels
- Year Built:** Year vessel was built
- Main Engine HP:** Vessel engine horsepower
- Fish Hold Capacity:** Measured to the nearest 100 pounds
- Dredge Size:** Dredge size in **feet** (not required if vessel does not use dredge gear)
- Number of Dredges:** Total number of dredges aboard the vessel (not required if vessel does not use dredge gear)
- Pump Horsepower:** This item applies to surf clam/ocean quahog vessels only
- Construction:** 1=Wood, 2=Fiberglass, 3=Steel, 4=Other (Circle applicable number)
- Propulsion:** 1=Gasoline, 2=Diesel, 3=Other (Circle applicable number)
- Charter Passengers:** Number of charter/party/headboat passengers the vessel is licensed to carry (see page 3 for additional documents required)

Section 3 - Fishery Information

Except as noted for limited access fisheries, circle a fishery category and enter the applicable gear codes in the spaces provided. Refer to Northeast Fisheries Regulations for further restrictions – <http://www.nero.noaa.gov/ro/doc/the648.htm>

Category

For each fishery you want to apply for, select the category that best describes your fishing operations, and circle the category numbers or letters in the column marked "Category". A description of Northeast fisheries permits and categories is contained in this document on pages 4 – 10.

Gear Code

For each fishery permit and category you select, you must write in the applicable gear codes from the Gear Code table on the application. Write the gear code numbers in the column marked "Gear Code". For certain permit categories, you are restricted on the gear type you can use. For this information, see the description of each fishery below. Where applicable, you may select more than one gear code for a category. **If you do not write in any gear codes, the application cannot be processed and will be returned to you.**

Section 4 – Signature of Owner or Authorized Agent

Sign and date the form. Unsigned, or otherwise incomplete applications, will be returned. Your signature is an affirmation that, under penalty of perjury, all the information provided in order to obtain this permit is true and correct. Submitting false information in connection with an application could subject you to criminal/civil penalties or permit sanctions [18 U.S.C. 1001].

Additional Documents Required

USCG Documentation/State Registration

With each application, submit a copy of your current (not expired) United States Coast Guard (USCG) Certificate of Documentation. If the vessel is not documented, send a copy of a valid (not expired) state vessel registration for the vessel. Do not send your original. We cannot accept a bill of sale or an application for renewal of the USCG Documentation. If your vessel's state registration does not list all owners of the vessel, also provide a copy of the vessel's title, or other documentation from the appropriate state agency that identifies all vessel owners. A permit application will not be accepted if the vessel registration or documentation has expired before we receive it.

Business/Corporate Information

If the vessel is owned by a business, corporation, LLC, or a partnership, the following information must be submitted with the application form:

- A copy of the Certificate of Incorporation/Organization with the initial application.
- Partnerships must submit a copy of the partnership agreement each year which includes the full name and current mailing address of each partner.

Owner/Shareholder Information via the Vessel Ownership Form

All applicants must attach a completed NMFS vessel ownership form listing and identifying all owners and officers. Applicants must provide the full name of each owner and officer regardless of their percentage ownership in the vessel.

Charter/Party/Headboat Vessels

If you are applying for a charter/party/headboat permit, submit a valid copy (not expired) of at least one of the following:

- State license showing the vessel is authorized to carry charter/party passengers.
- US Coast Guard Documentation showing vessel is documented for "Coastwise" trade.
- US Coast Guard license to operate or navigate passenger-carrying vessels.

Gillnet Vessels applying for Limited Access NE Multispecies and Monkfish

If applying for a NE multispecies category A, E, or F permit with the intention of fishing with gillnet gear, you must complete sections 1 and 3 of the NMFS Gillnet Form. If you wish to order gillnet tags for either the NE multispecies or monkfish gillnet fishery, you must also submit a completed NMFS Gillnet Form.

Description of Northeast Fisheries Permits – Categories Are Shaded

❖ Atlantic Sea Scallop

Limited Access Permit Categories: These permits may only be issued to vessels that have previously held them or to approved replacements of such vessels. All permits issued will be valid for the entire fishing year. A vessel owner has 45 days from the first effective date of the permit within a permit year to make a change to the limited access Sea Scallop permit category (restrictions apply). If you are applying for a limited access scallop permit, you must attach a completed NMFS vessel ownership form (see page 3 for details). Further restrictions may apply, refer to Northeast Fisheries Regulations.

2*	Full-Time: This category includes all gear types except bottom trawl.
3*	Part-Time: This category includes all gear types except bottom trawl.
4	Occasional: This category includes all gear types except bottom trawl.
5*	Full-Time Small Dredge: Category 3 (Part-Time) vessel may elect this category for the entire year if the vessel uses one dredge no larger than 10.5 ft. and with no more than five people on board. This category is limited to dredge (gear code 410) gear only.
6*	Part-Time Small Dredge: Category 4 (Occasional) vessel may elect this category for the entire year if the vessel uses 1 dredge no larger than 10.5 ft. and with no more than five people on board. This category is limited to dredge (gear code 410) gear only.
7*	Full-Time: Authorized to use trawl nets: This category is limited to bottom trawl nets (gear code 310) only.
8*	Part-Time: Authorized to use trawl nets: This category is limited to bottom trawl nets (gear code 310) only.
9	Occasional: Authorized to use trawl nets: This category is limited to bottom trawl nets (gear code 310) only.

*** A VMS is required to be installed and in continuous operation onboard the vessel, unless the vessel is issued a VMS 'Letter of Exemption' from NMFS to power down the VMS unit.**

Limited Access General Category (LAGC) Scallop permit categories: These permits may only be issued to qualified vessels or to approved replacements of such vessels. Further restrictions may apply, refer to Northeast Fisheries Regulations. Owners of vessels issued an NGOM or Incidental scallop permit shall have one opportunity each fishing year to request a change in its permit category by submitting an application within 45 days of the effective date of the vessel's permit. After that date, the vessel must remain in that permit category for the duration of the fishing year. If you are applying for an IFQ scallop permit, you must attach a completed NMFS vessel ownership form (See page 3 for details).

A**	LAGC – Individual Fishing Quota (IFQ permit)
B**	LAGC – Northern Gulf of Maine (NGOM permit)
C**	LAGC – Incidental Catch (Incidental permit)

**** A VMS is required to be installed, activated, and a) transmitting a positional signal, or b) declared into a scallop power down activity code, or c) issued a VMS 'Letter of Exemption' from NMFS to power down the vessel's VMS unit.**

VMS purchase information:

Boatracs

Telephone: 858-458-8100
Fax: 858-458-8116

Skymate

Telephone: 866-759-6283
Fax: 703-814-8585

Thrane & Thrane

Telephone: 757-463-9557
Fax: 757-463-9581

- See page 11 for a list of Northeast Fisheries gear types and their codes

❖ Northeast Multispecies

“Regulated” species (NE multispecies requiring regulated mesh): cod, haddock, yellowtail flounder, pollock, redfish (ocean perch), winter flounder (blackback), American plaice (dab), witch flounder (grey sole), windowpane flounder (sand dab), white hake, Atlantic halibut, and Atlantic wolffish.

Other NE multispecies:

Silver hake (whiting), red hake (ling), offshore hake, and ocean pout.

Limited Access Permit Categories: These permits may only be issued to vessels that have previously held them or to approved replacements of such vessels. All permits issued will be valid for the entire fishing year. A vessel owner has 45 days from the first effective date of his/her permit within a permit year to make a change to the NE multispecies permit category. Further restrictions may apply to specific categories. Refer to Northeast Fisheries Regulations.

A*	Day-at-Sea (DAS): This category includes all gear types except dredge gear.
C	Small Vessel Exemption (less than or equal to 30 feet): This category includes all gear types except dredge gear.
D*	Hook Gear: (Vessels in this category may not change category) This category is limited to handlines (gear code 911), rod and reel (gear code 912), tub trawl (gear code 913) and longlines (gear code 920) gear only.
E*	Combination Vessels: (Vessels in this category may not change category) This category includes all gear types except a dredge.
F*	Large Mesh Individual DAS: Category A (Individual DAS) or E (Combination) vessels may elect this category for the entire year provided the vessels meet the following requirements. Category A DAS for vessels fishing under this permit category will be increased by 36%. These vessels must fish with either gillnets or trawl nets having a minimum of 8.5-inch square or diamond mesh when fishing in the Gulf of Maine, Georges Bank, or Southern New England Regulated Mesh Areas, and 7.5-inch diamond or 8.0-inch square mesh when fishing in the Mid-Atlantic Regulated Mesh Area. This category is limited to gear types/codes 120, 210, 220, 310, 320, 330 and 700 only.
HA	Handgear A: (Vessels in this category may not change category) The vessel may possess and land one Atlantic halibut and other possession restrictions for the remaining regulated species. This category is limited to rod and reel (gear code 912), handline (gear code 911) or tub trawl (gear code 913) gear only.

* An operational VMS is required to be on board the vessel to fish for groundfish under a NE multispecies DAS, on a sector trip, or a Handgear A vessel in the common pool that intends to fish in more than one broad stock area (BSA) on a single trip.

Open Access Permit Categories: Further restrictions may apply to specific categories. Refer to Northeast Fisheries Regulations.

HB	Handgear B: The vessel may possess and land one Atlantic halibut and other possession restrictions for the remaining regulated species. This category includes rod and reel (gear code 912), handline (gear code 911) or tub trawl (gear code 913) gear only.
I	Charter/Party: The vessel may possess and land multispecies in the EEZ when carrying passengers for hire (See page 3 for additional information). This category is limited to rod and reel (gear code 912) and handline (gear code 911) gear only.
J	Scallop Multispecies Possession Limit: The vessel may possess and land up to 300 lb of regulated species while fishing under a scallop DAS. Vessel must have a Limited Access Scallop Permit (Categories 2 – 9) to qualify for this category. This category includes all gear types.
K	Open Access Multispecies: The vessel may fish for silver hake (whiting), red hake (ling), offshore hake, ocean pout, or Atlantic halibut when participating in an exempted fishing program. This category includes all gear types.

- See page 11 for a list of NE Fisheries gear types and their codes.

❖ Monkfish

Limited Access Permit Categories: These permits may only be issued to vessels that have previously held them or to approved replacements of such vessels. Further restrictions may apply to specific categories. Refer to Northeast Fisheries Regulations.

A	Vessels in this category may fish for monkfish provided that they do not possess a limited access multispecies (with the exception of a Handgear A) permit or a limited access scallop permit. This category includes all gear types except dredge gear.
B	Vessels in this category may fish for monkfish provided that they do not possess a limited access multispecies (with the exception of a Handgear A) permit or a limited access scallop permit, and that are less than 51 Gross Registered Tons (GRT) and do not qualify for a Category A permit. This category includes all gear types except dredge gear.
C	Vessels in this category may fish for monkfish provided they possess a limited access multispecies permit or a limited access scallop permit. This category includes all gear types except dredge gear.
D	Vessels in this category may fish for monkfish provided they possess a limited access multispecies permit or a limited access scallop permit, and are less than 51 GRT and do not qualify for a Category C permit. This category includes all gear types except dredge gear.
F*	Offshore Fishery Program: Vessels electing this category must have an operational Vessel Monitoring System (VMS) installed on the vessel, and are restricted to fishing under a monkfish Days At Sea during the specified season of October 1–April 30 each year and within the Offshore Fishery Program Area. This category includes all gear types except dredge gear.

*** Operational VMS required**

To fish in the Offshore Fishery Program, a vessel must obtain a monkfish limited access Category F permit and fish under this permit for the entire fishing year, subject to the conditions and restrictions specified. The owner of a vessel, or authorized representative, may change the vessel's limited access monkfish permit category within 45 days of the effective date of the vessel's permit, provided the vessel has not fished under the monkfish DAS program during that fishing year.

Limited Access Permit Categories for Vessels Fishing South of 38° 20' N. Lat. – Vessels issued a limited access Category G or H permit are restricted to fishing under a monkfish DAS in the area south of 38° 20' N. lat.

G	Vessels may elect this category if they were issued permits in this category in the previous fishing year. This category includes all gear types except dredge gear.
H	Vessels may elect this category if they were issued permits in this category in the previous fishing year and that did not qualify for a category G permit. This category includes all gear types.

Open Access Permit Categories: This permit may be issued to any vessel not issued a monkfish limited access permit—to fish for, possess, or land monkfish. Further restrictions may apply to this category. Refer to Northeast Fisheries Regulations.

E	Incidental Catch: Vessels electing this category may possess and land a limited amount of monkfish, depending on fishing year, area fished, and gear fished. This category includes all gear types.
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Area Declaration: Please note that vessels without an operational VMS unit fishing exclusively in the Northern Fishery Management Area (NFMA) for monkfish must request a Southern Fishery Management Area (SFMA) Exemption Certificate in order to be exempt from the more restrictive management measures of the SFMA. Contact the Permit Office at 978-281-9370. Vessels with an operational VMS unit must declare the appropriate code to indicate they intend to fish exclusively in the NFMA.

- See page 11 for a list of NE fisheries gear types and their codes.

❖ Surfclam/Ocean Quahog

Surfclam and ocean quahog vessels, as well as Maine mahogany quahog vessels, are required to have an operational vessel monitoring system (VMS) on board their vessel. For open access surfclam and ocean quahog vessels, VMS installation and operation must be verified prior to issuance of the permit. Maine mahogany quahog permitted vessels are not required to install a VMS unit until they fish for, land, take, possess, or transfer ocean quahogs under a limited access Maine mahogany quahog permit. For more information on VMS requirements, call 978-281-9315.

Open Access Permit Categories: Further restrictions may apply to specific categories. Refer to Northeast Fishery Regulations.

1*	Surfclam: The vessel may fish for surfclams. This category is limited to dredge (gear code 410) gear only. VMS required.
6*	Ocean Quahog: The vessel may fish for ocean quahogs. This category is limited to dredge (gear code 410) gear only. VMS required.

To possess and land surfclams or ocean quahogs from the EEZ, an allocation of quota is required.

Limited Access Permit Categories: This permit may only be issued to vessels that have previously held it or to approved replacements of such vessels. Further restrictions may apply to this category. Refer to Northeast Fisheries Regulations.

7*	Maine Mahogany Quahog: The vessel may harvest and land ocean quahogs without an allocation from the EEZ in the area north of 43° 50' N. latitude. This category is limited to dredge (gear code 410) gear only.
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* Operational VMS required.

❖ Summer Flounder (Fluke)

Limited Access Permit Categories: This permit may only be issued to vessels that have previously held it or to approved replacements of such vessels. Further restrictions may apply to this category. Refer to Northeast Fisheries Regulations.

1	Commercial Moratorium: This category includes all gear types.
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Open Access Permit Categories: Further restrictions may apply to this category. Refer to Northeast Fisheries Regulations.

2	Charter/Party: May fish for or possess summer flounder in the EEZ while carrying passengers for hire (See Section 5D for additional information). This category includes all gear types.
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❖ Scup (Porgy)

Limited Access Permit Categories: This permit may only be issued to vessels that have previously held it or to approved replacements of such vessels. Further restrictions may apply to this category. Refer to Northeast Fisheries Regulations.

1	Scup Commercial Moratorium: This category includes all gear types.
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Open Access Permit Categories: Further restrictions may apply to this category. Refer to Northeast Fisheries Regulations.

2	Charter/Party: May fish for or possess scup in the EEZ while carrying passengers for hire (See Section 5D for additional information). This category includes all gear types.
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- See page 11 for a list of NE fisheries gear types and their codes.

❖ Black Sea Bass

Limited Access Permit Categories: This permit may only be issued to vessels that have previously held it or to approved replacements of such vessels. Further restrictions may apply to this category. Refer to Northeast Fisheries Regulations.

1	Black Sea Bass Commercial Moratorium: This category includes all gear types.
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Open Access Permit Categories: Further restrictions may apply to this category. Refer to Northeast Fisheries Regulations.

2	Charter/Party: May fish for or possess black sea bass in the EEZ north of 35° 15.3' N. latitude while carrying passengers for hire (See Section 5 D for additional information). This category includes all gear types.
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❖ Squid, Atlantic Mackerel, and Butterfish

Limited Access Permit Categories: These permits may only be issued to vessels that have previously held them or to approved replacements of such vessels. Further restrictions may apply to specific categories. Refer to Northeast Fisheries Regulations.

1	Loligo/Butterfish Moratorium: This category includes all gear types.
5	Illex Squid Moratorium: This category includes all gear types.

Open Access Permit Categories: Further restrictions may apply to specific categories. Refer to Northeast Fisheries Regulations.

2	Squid/Mackerel/Butterfish Charter/Party: May fish for or possess Loligo or Illex squid, mackerel or butterfish in the EEZ while carrying passengers for hire (See Section 5 D for additional information). This category includes all gear types.
3	Squid/Butterfish Incidental Catch: May fish commercially in the EEZ for up to 2,500 lb of Loligo squid per trip, 10,000 lb of Illex squid per trip, or 600 lb of butterfish per trip (unless the butterfish fishery closes prior to Oct 1 and then a 250 lb limit would be in effect for the remainder of the year). This category includes all gear types.
4	Atlantic Mackerel: May commercially fish for Atlantic mackerel in the EEZ. This category includes all gear types.

Note: Atlantic mackerel at-sea processing vessels must apply for a permit as a dealer/processor.

❖ Incidental Highly Migratory Species (HMS) Squid Trawl

Limited Access Permit Categories: Further restrictions may apply to specific categories. Refer to Atlantic Highly Migratory Species Fisheries Regulations.

1	Incidental Highly Migratory Species (HMS) Squid Trawl Permit: Allowed only for vessels issued a valid Illex Squid Moratorium permit. Authorizes the limited retention of incidentally-caught swordfish. This category only includes trawl gear.
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❖ Spiny Dogfish

Open Access Permit Categories: Further restrictions may apply to specific categories. Refer to Northeast Fisheries Regulations.

1	General: May commercially fish for, possess, or land spiny dogfish caught in or from the EEZ. This category includes all gear types.
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❖ Atlantic Bluefish

Open Access Permit Categories: Further restrictions may apply to specific categories. Refer to Northeast Fisheries Regulations.

1	Commercial: May possess or harvest Atlantic bluefish from the EEZ in excess of the daily possession limit. This category includes all gear types.
2	Charter/Party: May fish for or possess Atlantic bluefish from the EEZ while carrying passengers for hire (See Section 5D for additional information). This category includes all gear types.

❖ Atlantic Herring

Limited Access Permit Categories: These permits may only be issued to qualified vessels or to approved replacements of such vessels. Further restrictions apply to specific categories. Refer to Northeast Fisheries Regulations.

A*	All Areas: Authorizes the harvest of herring in any management area, without being subject to possession limits during the time when the total allowable catch (TAC) in the defined management area has not been reached. This category includes all gear types.
B*	Areas 2/3: Authorizes the harvest of herring only in Areas 2 or 3, without being subject to possession limits during the time when the TAC in the defined management area has not been reached. This category includes all gear types.
C*	Incidental Catch: Authorizes the harvest of up to 55,000 lb herring in any management area during the time when the TAC in the defined management area has not been met, with a limit of one landing per calendar day. This category includes all gear types.

*** All vessels applying for and issued a limited access herring permit, with the exception of fixed gear (weirs and stop seines) fishermen, must install and maintain an operable VMS unit, and comply with all VMS notification and reporting requirements. Such vessels may power down the VMS unit when in port, but must re-power the VMS unit and enter an appropriate trip designation prior to leaving port.**

Open Access Permit Categories: Further restrictions may apply to specific categories. Refer to Northeast Fisheries Regulations.

D	Open Access: Authorizes the harvest of up to 6,600 lb of herring in any management area during the time when the TAC in these management areas has not been met, with a limit of one landing per calendar day. This category includes all gear types.
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❖ Tilefish

Open Access Permit Categories: Effective November 1, 2009, a vessel must also fish under the authorization of an Individual Fishing Quota Allocation permit to possess more than the incidental trip limit of 300 lb of tilefish. Further restrictions may apply to these categories. Refer to Northeast Fisheries Regulations.

1	Open Access Commercial/Incidental: May possess or land tilefish in or from the EEZ, north of the VA/NC border, up to 300 lb per trip. In order for any vessel to possess more than 300 lb of tilefish per trip, the vessel must also fish under the authorization of an IFQ Allocation permit. This category includes all gear types.
2	Open Access Charter/Party: May fish for or possess tilefish in the EEZ, north of the VA/NC border, while carrying passengers for hire. This category includes all gear types.

- See page 11 for a list of NE Fisheries gear types and their codes.

❖ Atlantic Deep-Sea Red Crab

Limited Access Permit Categories: These permits may only be issued to vessels that have previously held them or to approved replacements of such vessels. Further restrictions may apply to this category. Refer to Northeast Fisheries Regulations.

B	Vessels in this category are subject to a baseline trip limit of 75,000 lb. This category is limited to pots and traps (gear code 800) gear only.
C	Vessels in this category demonstrated a qualifying trip with landings greater than 75,000 lb and qualified for a trip limit equal to the larger trip, rounded to the nearest 5,000 lb. This category is limited to pots and traps (gear code 800) gear only.

Open Access Permit Categories: This permit may be issued to any vessel not issued a red crab limited access permit—to fish for, possess, or land red crab in or from the EEZ.

A	May possess or land red crab in or from the EEZ up to 500 lb per trip. This category includes all gear types.
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❖ American Lobster

Limited Access Permit Categories: These permits may only be issued to vessels that have previously held them or to approved replacements of such vessels. If eligible, you may select more than one category. Note, if you designate more than one category, you will be subject to the most restrictive management measures, including trap allocations, of all of the categories selected. A vessel owner has 45 days from the first effective date of his/her permit within a permit year to make a change to the American Lobster permit category. Further restrictions may apply to specific categories. Refer to Northeast Fisheries Regulations at 50 CFR 697.

1	Commercial Non-Trap: May harvest lobster in the EEZ. This category includes all gear types except pots and traps. If you plan to fish with non-trap gear only, you are not required to elect trap gear areas.
2	Charter/Party Non-Trap: May harvest lobster in the EEZ while carrying passengers for hire. This category includes all gear types except pots and traps.
A1	Commercial Trap Gear Area 1: May harvest lobster in Federal Lobster Management Area 1. This category is limited to pots and traps (gear code 800) gear only.
A2	Commercial Trap Gear Area 2: May harvest lobster in Federal Lobster Management Area 2. This category is limited to pots and traps (gear code 800) gear only. Includes Area 2/3 overlap.
A3	Commercial Trap Gear Area 3: May harvest lobster in Federal Lobster Management Area 3. This category is limited to pots and traps (gear code 800) gear only. Must have a valid historic allocation to elect this area. Includes Area 2/3 overlap.
A4	Commercial Trap Gear Area 4: May harvest lobster in Federal Lobster Management Area 4. This category is limited to pots and traps (gear code 800) gear only. Must have a valid historic allocation to elect this area.
A5	Commercial Trap Gear Area 5: May harvest lobster in Federal Lobster Management Area 5. This category is limited to pots and traps (gear code 800) gear only. Must have a valid historic allocation to elect this area.
A6	Commercial Trap Gear Area 6: May harvest lobster in Federal Lobster Management Area 6. Vessel owner must possess a valid CT or NY state lobster license to be eligible for this category. This category is limited to pots and traps (gear code 800) gear only.
AOC	Commercial Trap Gear Outer Cape Area: May harvest in Outer Cape Federal Lobster Management Area. This category is limited to pots and traps (gear code 800) gear only.

❖ Skate

Northeast Skate Complex (Skate) - The following species of skates comprise the NE skate complex and are included under the Federal skate permit: Winter skate; barndoor skate; thorny skate; smooth skate; little skate; clearnose skate; and rosette skate.

Open Access Permit Categories: Further restrictions may apply to this category. Refer to Northeast Fisheries Regulations.

1 General: May commercially fish for, possess, or land skate caught in or from the EEZ. This category includes all gear types.

Gear codes and explanations for section 3 of application

Gear Type	Code	Gear Type	Code	Gear Type	Code
Purse Seines	120	Other Trawls	330	Rod and Reel	912
Beach Seines	210	Dredge	410	Tub Trawl	913
Boat Seines	220	Gill/Entangling Nets	700	Longlines or Setlines	920
Bottom Trawls	310	Pots and Traps	800	Harpoons	1010
Mid-water Trawls	320	Hand Lines	911	Other Gears	1200
				Diving Gear	1400

Public reporting burden for the collection of information on the initial vessel application is estimated to average 45 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining data needed, and completing and reviewing the information. Send comments regarding this burden estimate or suggestions for reducing this burden to: National Marine Fisheries Service, Permit Office, 55 Great Republic Drive, Gloucester, MA 01930. The Paperwork Reduction Act requires that potential respondents for a fishing vessel permit be notified of certain information regarding their rights and the burden associated with applying for Federal fisheries permits.

One of the regulatory steps taken by the National Marine Fisheries Service to carry out its conservation and management objectives is the requirement of a permit for users of the resources. All the fisheries included on this application require a permit to fish for or retain these species in or from the EEZ. Section 303(b)(1) of the Magnuson-Stevens Fishery Conservation and Management Act specifically recognizes the need for permit issuance. The purpose and use of these permits are to: (1) Register industry participants and fishing vessels; (2) list the characteristics of fishing vessels; (3) exercise influence over compliance; (4) provide a mailing list for the dissemination of important information to the industry; (5) register participants to be considered for limited access; and (6) provide a pool of participants for data collection samples. Notwithstanding any other provision of the law, no person is required to respond to, nor shall any 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. Owner name, vessel characteristics, address, phone, and permit information will be released via NMFS Fisheries website. All other data submitted will be handled as confidential material in accordance with NOAA Administrative Order 216-100, Protection of Confidential Fishery Statistics.

OMB# 0648-0202 Expires: 4/30/2013



Summary of Control Dates for Northeast Fisheries



This fact sheet informs permit applicants that there may be future management action taken by the New England Fishery Management Council, the Mid-Atlantic Fishery Management Council, or the Atlantic States Marine Fisheries Commission to establish eligibility criteria for determining future fishing access to the fisheries identified below. In each of these cases, the Council or Commission with management authority for the fishery requested the National Marine Fisheries Service to publish a date, after which vessels may not be eligible to participate in the fishery. This date is known as a control date. This fact sheet informs you that these control dates may potentially be used to determine future participation in the fishery.

THIS INFORMATION IS ADVISORY ONLY. It is intended to inform you only that these control dates have been established and may potentially be used to determine future participation in the fishery. It also provides you with notice that you may wish to locate and preserve records to substantiate and verify fishery participation, for use in the event a limited access program is established in the future.

Establishing a control date does not commit the Councils, Commission, or the National Marine Fisheries Service to develop any particular management system or criteria for participation in these fisheries. The Councils or Commission may choose a different control date, or may choose to establish a management program that does not make use of such a date.

For further information, please contact the appropriate fishery management council or commission:

New England Fishery Management Council (NEFMC) On the web: www.nefmc.org Telephone: 978-465-0492	Mid-Atlantic Fishery Management Council (MAFMC) On the web: www.mafmc.org Telephone: 302-674-2331
Atlantic States Marine Fisheries Commission (ASMFC) On the web: www.asmfc.org Telephone: 703-842-0740	Summary revised January 2011

Species	Control Date	Council	Current status of management action
Ocean pout	9-9-96	NEFMC	No action currently underway.
Bluefish	5-29-97	MAFMC	No action currently underway.
Spiny Dogfish	5-18-98	MAFMC lead (joint plan with NEFMC)	Amendment 3 is under development and may establish limited access and/or recreational management measures.
Capacity Control Scallop Multispecies, Monkfish DAS	9-10-99	NEFMC	No action currently underway.
Black Sea Bass	6-5-01	MAFMC	Would have established different classes of permits for the fishery; considered in Amendment 13 but not adopted by Council.
Atlantic Mackerel	7-5-02	MAFMC	Amendment 11 to the Squid/Mackerel/Butterfish FMP has been submitted by the Mid Atlantic Fishery Management Council and, if approved, would establish limited access mackerel fishery.
Hagfish	8-28-02	NEFMC	No action currently underway.
Whiting/red hake/offshore hake	3-25-03	NEFMC	Amendment 18 to the Northeast Multispecies FMP is under development and may establish some form of limited access for the whiting (small-mesh multispecies) fishery.
Loligo & Illex squid	5-20-03	MAFMC	Amendment 14 to the Squid/Mackerel/Butterfish FMP is under development and may establish a catch share program.
Multispecies Charter/Party	3-30-06	NEFMC	No action currently underway.
American Lobster	9-1-99 1-2-09	ASMFC	Management action is currently under development and may establish some form of limited access to fish with traps in Lobster Management Areas 1, 2, and the Outer Cape and potentially allow qualified permit holders to transfer traps in Area 2,3, and Outer Cape.
Skates	7-30-09	NEFMC	No action currently underway.

Ariana Marshall, International Trade Specialist, Afghanistan Investment and Reconstruction Task Force, *Tel:* 202-482-3754, *afghanmission2011@trade.gov.*

Elnora Moye,

Trade Program Assistant, Commercial Service Trade Mission Program, U.S. Department of Commerce.

[FR Doc. 2011-27302 Filed 10-20-11; 8:45 am]

BILLING CODE 3510-PP-P

DEPARTMENT OF COMMERCE

National Oceanic and Atmospheric Administration

Proposed Information Collection; Comment Request; Highly Migratory Species Permit Family of Forms

AGENCY: National Oceanic and Atmospheric Administration (NOAA).

ACTION: Notice.

SUMMARY: The Department of Commerce, as part of its continuing effort to reduce paperwork and respondent burden, invites the general public and other Federal agencies to take this opportunity to comment on proposed and/or continuing information collections, as required by the Paperwork Reduction Act of 1995.

DATES: Written comments must be submitted on or before December 20, 2011.

ADDRESSES: Direct all written comments to Diana Hynek, Departmental Paperwork Clearance Officer, Department of Commerce, Room 6616, 14th and Constitution Avenue, NW., Washington, DC 20230 (or via the Internet at *dHynek@doc.gov*).

FOR FURTHER INFORMATION CONTACT: Requests for additional information or copies of the information collection instrument and instructions should be directed to Steve Durkee (202) 670-6637 (*steve.durkee@noaa.gov*) or Karyl Brewster-Geisz (301) 427-8503 (*karyl.brewster-geisz@noaa.gov*), Highly Migratory Species Management Division (F/SF1), Office of Sustainable Fisheries, NMFS, 1315 East-West Highway, Silver Spring, MD 20910.

SUPPLEMENTARY INFORMATION:

I. Abstract

This request is for an extension of a current information collection.

Under the provisions of the Magnuson-Stevens Fishery Conservation and Management Act (16 U.S.C. 1801 *et seq.*), the National Oceanic and Atmospheric Administration's National Marine

Fisheries Service (NMFS) is responsible for management of the Nation's marine fisheries. In addition, NMFS must comply with the United States' obligations under the Atlantic Tunas Convention Act of 1975 (16 U.S.C. 971 *et seq.*). NMFS issues permits to fishing vessels and dealers in order to collect the information necessary to comply with domestic and international obligations, secure compliance with regulations, and disseminate necessary information.

Current regulations at 50 CFR 635.4 require that vessels participating in commercial and recreational fisheries for Atlantic highly migratory species (HMS) and dealers purchasing Atlantic HMS from a vessel, obtain a Federal permit issued by NMFS. Current regulations at 50 CFR 300.182 require that individuals entering for consumption (importing into the Customs territory of the United States or the separate customs territory of a U.S. insular possession, for domestic use), exporting, or re-exporting consignments of bluefin tuna, southern bluefin tuna, swordfish, or frozen bigeye tuna obtain an HMS International Trade Permit (ITP) from NMFS. This action addresses the renewal of permit applications currently approved under information collection, including both vessel and dealer permits. Vessel permits include Atlantic tunas, HMS charter/headboats, HMS angling, swordfish (directed, incidental, and hand gear), sharks (directed and incidental), smoothhound sharks, and incidental HMS squid trawl permits. Dealer permits include swordfish, sharks, and Atlantic tunas dealer permits and the HMS ITP.

II. Method of Collection

Applications for Atlantic Tunas, HMS Angling, and HMS Charter/Headboat Vessel Permits may be submitted online at <http://www.hmspermits.gov>, mailed, or faxed. All other applications including dealer permits and other vessel permits must be mailed.

III. Data

OMB Control Number: 0648-0327.

Form Number: None.

Type of Review: Regular submission (request for extension of a current information collection).

Affected Public: Business or other for-profit organizations.

Estimated Number of Respondents: 38,446.

Estimated Time per Response: HMS ITP application, initial and renewal Shark and Swordfish Dealer Permit applications, and renewal Atlantic Tunas Dealer Permit application, 5 minutes; renewal applications for the

following vessel permits—Atlantic Tunas, HMS Charter/Headboat, and HMS Angling, 6 minutes; initial Atlantic Tunas Dealer Permit application and the initial Incidental HMS Squid Trawl Permit, 15 minutes; initial and renewal shark and swordfish vessel permit applications, 20 minutes; initial applications for the following vessel permits—Atlantic Tunas, HMS Charter/Headboat, HMS Angling, and Smoothhound Shark, 30 minutes (the burden for renewal for the last two permits is covered under OMB Control No. 0648-0202 (checkbox on the Federal Fisheries Permit application).

Estimated Total Annual Burden Hours: 8,053.

Estimated Total Annual Cost to Public: \$1,190,593.50.

IV. Request for Comments

Comments are invited on: (a) Whether the proposed collection of information is necessary for the proper performance of the functions of the agency, including whether the information shall have practical utility; (b) the accuracy of the agency's estimate of the burden (including hours and cost) of the proposed collection of information; (c) ways to enhance the quality, utility, and clarity of the information to be collected; and (d) ways to minimize the burden of the collection of information on respondents, including through the use of automated collection techniques or other forms of information technology.

Comments submitted in response to this notice will be summarized and/or included in the request for OMB approval of this information collection; they also will become a matter of public record.

Dated: October 17, 2011.

Gwellnar Banks,

Management Analyst, Office of the Chief Information Officer.

[FR Doc. 2011-27251 Filed 10-20-11; 8:45 am]

BILLING CODE 3510-22-P

DEPARTMENT OF COMMERCE

National Oceanic and Atmospheric Administration

RIN 0648-XA747

Fisheries of the Exclusive Economic Zone Off Alaska; Recordkeeping and Reporting Requirements; Public Workshops

AGENCY: National Marine Fisheries Service (NMFS), National Oceanic and Atmospheric Administration (NOAA), Commerce.