

# TRAWL IDENTIFICATION OF OWNERSHIP INTEREST

## PACIFIC COAST GROUND FISH

UNITED STATES DEPARTMENT OF COMMERCE  
National Oceanic and Atmospheric Administration  
National Marine Fisheries Service, Northwest Region  
Fisheries Permits Office  
7600 Sand Point Way NE, Bldg. 1  
Seattle, WA 98115-0070



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## INSTRUCTIONS

This form will provide NOAA Fisheries with information on owner of QS permit, MS permit, MS/CV endorsed permit or vessel registered to a trawl limited entry permit for the purpose of determining compliance with accumulation limits associated with each of these permits and associated quota share.

A form must be filled out for each permit you have an ownership interest at the time the above permits are renewed and by new mothership or mothership/catcher vessel permit owners as part of transfer request or as part of a QS permit application. Also, all owners of vessels who have a vessel account must submit a form to renew the account. **If a permit owner and the owner of the vessel registered to the permit are the same and the ownership interest in both permit and vessel are identical, you need only complete one form. However you must certify identical ownership interest in Field 4 (see below).** Please type or print legibly in ink. Attach additional sheets as necessary. Sign in ink, have your signature notarized, keep a copy for your records and mail the completed form to the address listed above.

### SECTION A - PERMIT OWNER IDENTIFICATION

This section may be pre-filled using information from NOAA Fisheries records. If the form is not pre-filled, you must complete all sections. Please verify that the information included is correct and make any necessary corrections by crossing out and filling in correct data on the form.

- ! **Field 1. Check all boxes that apply:** An Ownership interest form is required if you own any of these permits or the vessels registered to them.
- ! **Field 2. Permit Number:** List the Federal groundfish limited entry permit number or other permit number as appropriate.
- Field 3. Vessel Name/USCG Vessel Number:** If you are submitting an ownership interest form for a vessel, please provide the name of the vessel and its USCG vessel number.
- ! **Field 4. Certification:** If the listed owner of the permit and the owner of the vessel registered to the permit are the same person and ownership interest in both permit and vessel are identical please, certify by checking YES. If the same person owning both the permit and the registered vessel are the same but have different ownership interest (different shareholders and/or ownership amounts) for the permit and vessel, check NO and fill out separate forms for the permit and vessel.
- ! **Fields 5-6. Name/TIN/DOB:** Enter the name of the business entity or individual that owns the permit. If a business entity, list their tax identification number (TIN). If an individual, list their date of birth (DOB) using the format of mm/dd/yyyy.
- ! **Field 7. State Registered:** If a business entity is listed in Field 5, list the state where that entity was established and is currently recognized as active.
- ! **Field 8. Business Mailing Address:** Enter the business mailing address, including street or PO Box number, state, and zip code, where the item(s) should be sent. Also list a physical address for first receivers, if different from mailing address.
- ! **Fields 9-11. Business Phone, Fax and Email:** List the business telephone and fax numbers including the area codes; the fax number and email are optional.

**SECTION B - IDENTIFICATION OF SHAREHOLDERS AND PARTNERS**

This section is partially pre-filled using the business entity name(s) from Section A. The intent of Section B (Parts 1 and 2) is to identify all of the individuals who control the business and their percent of ownership interest. [Note: Only ownership interest for shareholders with greater than or equal to 2% ownership interest in the business entity must be reported.]

**Part 1 – first level**

Part 1 will be pre-filled with the business entities or individuals listed in Section A. List the TIN for business entities and the DOB for individuals. List the mailing address (if different than Section A), and the % ownership interest in the permit as listed in Section A. If there is only one individual listed, then the percent ownership interest held should equal 100%. If one business entity is listed, then the percent ownership interest held should equal 100%. If an individual and a business entity are listed, then list the percent of the individual and the percent of the business entity. (see examples below)

**Part 2 – second level**

If the information from Part 1 includes both individual and business entities, then Part 2 should be completed. Part 2 will be pre-filled with any business entity names from Part 1. List the individual names of all shareholders/partners of the business entity with greater than or equal to 2% ownership interest. The DOB is required for each individual as an additional means of identification. List each individual's business mailing address and the percent ownership interest they hold in the business entity. The individual(s) listed under each business should equal 100%, except for cases where some shareholders/partners in the business entity own less than 2% and are, therefore, not listed on this form. Information should be provided down to the individual level. If necessary, attach an additional sheet of paper. (see examples below).



*A business entity established under the laws of the United States or any State must submit proof that it is so established and verify that it is an active corporation. NOAA Fisheries may request further documentation as proof of ownership, including percentage of ownership. Note the Privacy Act Statement at the end of the form.*

**Example A: jointly named owners on permit , two individuals**

**Part 1**

NAME	TIN/DOB	BUSINESS MAILING ADDRESS	% HELD
Ahab, Captain R	05/15/1959	1234 Petrale St, Astoria, OR 54321	75
Starbuck, Jim T	10/23/1963	PO Box 555, Newport, OR 54123	25
<b>TOTAL OWNERSHIP =</b>			<b>100%</b>

**Part 2**

	NAME	DOB	BUSINESS MAILING ADDRESS	% HELD
	business name from Part 1			
List individual names				
<b>TOTAL OWNERSHIP =</b>				<b>%</b>

Not Required

**Example B: jointly named owners on permit, an individual and a business**

**Part 1**

NAME	TIN/DOB	BUSINESS MAILING ADDRESS	% HELD
Dragger, Joe A	05/15/1959	3 Dover Lane Astoria, OR 54321	50%
Trawlers, Inc.	91-1234567	PO Box 70, Newport, OR 54123	50%
<b>TOTAL OWNERSHIP =</b>			<b>100%</b>

**Part 2**

NAME	DOB	BUSINESS MAILING ADDRESS	% HELD	
business name from Part 1 Trawlers, Inc.				
List individual names	Ahab, Captain R	05/15/1959	1234 Petrale St, Astoria, OR 54321	55%
	Starbuck, Jim T	10/23/1963	PO Box 555, Newport, OR 54123	30%
	Ishmael, Mark S	03/07/1965	8 White Whale Dr. Newport, OR 54123	10%
	Queequeg, Warren G	07/23/1968	13 Wildside Blvd. Astoria, OR 54321	3%
<b>TOTAL OWNERSHIP of Business 1 =</b>			<b>100%</b>	

**Example C: jointly named owners on permit, two businesses**

**Part 1**

NAME	TIN/DOB	BUSINESS MAILING ADDRESS	% HELD
Trawlers, Inc.	91-1234567	PO Box 70, Newport, OR 54123	30%
Big Boat, LLC	71-7654321	4 Ever Whiting Astoria, OR 54321	70%
<b>TOTAL OWNERSHIP =</b>			<b>100%</b>

**Part 2**

NAME	DOB	BUSINESS MAILING ADDRESS	% HELD	
business name from Part 1 Trawlers, Inc.				
List individual names	Ahab, Captain R	05/15/1959	1234 Petrale St, Astoria, OR 54321	55%
	Starbuck, Jim T	10/23/1963	PO Box 555, Newport, OR 54123	30%
	Ishmael, Mark S	03/07/1965	8 White Whale Dr. Newport, OR 54123	10%
	Queequeg, Warren G	07/23/1968	13 Wildside Blvd. Astoria, OR 54321	5%
<b>TOTAL OWNERSHIP of Business 1 =</b>			<b>100%</b>	
business name from Part 1 Big Boat, LLC				
List individual names	Hake, Fred C	06/03/1950	4 Ever Whiting Astoria, OR 54321	33 <sup>1/3</sup> %
	Hake, Brenda K	08/30/1954	4 Ever Whiting Astoria, OR 54321	33 <sup>1/3</sup> %
	Hake, Jr., Fred J	11/23/1975	12 Ever Whiting Astoria, OR 54321	33 <sup>1/3</sup> %
<b>TOTAL OWNERSHIP of Business 2 =</b>			<b>100%</b>	

### **SECTION C - CERTIFICATION OF APPLICANT AND NOTARY**

The authorized agent must sign and date the form in the presence of a notary to certify that the individual(s) signing the form have satisfactorily identified themselves. By signing and dating the form, the authorized agent certifies that all information set forth in the form is true, correct, and complete to the best of the applicant's knowledge and belief. The form will not be considered without the authorized agent's signature. If a single individual is listed in Field 5 above, then that individual must sign. If two individuals are listed in Field 5 above, then both individuals must sign. If an individual and a business entity are listed in Field 5 above, then the individual and the authorized agent for the business entity must both sign.

The notary must sign and date this section, and affix notary stamp or seal.



*The authorized agent must include a copy of the corporate resolution or other authorizing document allowing the authorized agent to sign and certify on behalf of the business entity.*

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### SECTION A – PERMIT OWNER IDENTIFICATION

1. Are you a:      MS Permit Owner    MS/CV endorsed permit owner    QS Permit Owner    Vessel Owner

2. Permit Number:

3. Vessel Name:

USCG Vessel Number:

4. If the same person(s) owns both the permit and vessel registered to it, please certify whether the ownership interests (shareholders and percent of ownership) are identical in both:

Yes  No **If you check no, separate forms must be provided for each permit and/or vessel**

5. Permit/Vessel Owner Name

6. TIN (if business) or DOB(if person)

7. State Registered, if business entity

8. Business Mailing Address (also list physical address for first receiver, if different)

*Street or PO Box*

9. Business Phone

(    )   (    )

10. Business Fax (*optional*)

(    )   (    )

*City*

*State*

*Zip Code*

11. Business Email (*optional*)

### SECTION B - IDENTIFICATION OF SHAREHOLDERS AND PARTNERS PART 1 – first level

NAME <i>(Last, First, Middle Initial)</i>	TIN or DOB	BUSINESS MAILING ADDRESS <i>(Street or PO Box, City, State, Zip Code)</i>	% INTEREST HELD
<b>TOTAL OWNERSHIP =</b>			<b>%</b>

**SECTION B - IDENTIFICATION OF SHAREHOLDERS AND PARTNERS  
PART 2 – second level**

**NOTE: Owners of a business entity from Part 1 above must be listed down to the level of individual persons that make up that business. If more than one business is listed, be clear which individuals belong to which business. If necessary, attach an additional sheet of paper with the information required below.**

NAME <i>(Last, First, Middle Initial)</i>		DOB <i>(mm/dd/yyyy)</i>	BUSINESS MAILING ADDRESS <i>(Street or PO Box, City, State, Zip Code)</i>	% INTEREST HELD <i>(IN BUSINESS)</i>
business name from Part 1				
list individual names				
<b>TOTAL OWNERSHIP of Business 1 =</b>				<b>%</b>
business name from Part 1				
list individual names				
<b>TOTAL OWNERSHIP of Business 2 =</b>				<b>%</b>
business name from Part 1				
list individual names				
<b>TOTAL OWNERSHIP of Business 3 =</b>				<b>%</b>

**SECTION C – CERTIFICATION AND NOTARY**

*Under penalties of perjury, I hereby declare that I, the undersigned, completed this form, and the information contained herein is true, correct, and complete to the best of my knowledge and belief.*

Signature of Authorized Representative	Date
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Printed Name of Authorized Representative (NOTE: attach authorization, if needed)

Notary Public Signature <input type="checkbox"/> ATTEST	Affix Notary Stamp or Seal Here
Date Commission Expires	

**WARNING STATEMENT:** A false statement on this form is punishable by permit sanctions (revocation, suspension, or modification) under 15 CFR 904, a civil penalty of up to \$140,000 under 16 USC 1858, and/or criminal penalties including, but not limited to, fines or imprisonment or both under 18 USC 1001.

**PRIVACY ACT STATEMENT:** Your DOB and/or TIN are confidential and protected under the Privacy Act. Provision of your DOB or TIN is mandatory as part of this collection. The primary purpose for requiring the DOB and/or TIN is to verify the identity of individuals/entities doing business with the government to provide a unique identification for assistance to comply with the Debt Collection Improvement Act of 1996 (Public Law 104-134) and for enforcement activities. The information collected is part of a Privacy Act System of Records, COMMERCE/NOAA #19, Permits and Registration for United States Federally Regulated Fisheries. A notice was published in the Federal Register on April 17, 2008 (73 FR 20914) and became effective on June 11, 2008 (73 FR 33065).

**PRA STATEMENT:** Public reporting burden for this collection of information is estimated to average 0.5 hours per response, including the time for reviewing the 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 aspect of this collection of information, including suggestions for reducing the burden, to NOAA/National Marine Fisheries Service, Northwest Region, Attn: Assistant Regional Administrator, Sustainable Fisheries Division, 7600 Sand Point Way NE, Seattle, WA 98115. Some of the information collection described above is confidential under section 402(b) of the Magnuson-Stevens Act and under NOAA Administrative Order 216-100, Protection of Confidential Fisheries Statistics. Phone number, fax, email, TIN, and DOB are not released to the public. The names of individuals who have an ownership interest in an entity that owns a permit, vessel or processing plant and the actual percentage of ownership are considered business confidential and are not released to the public.