STATEMENT OF FINANCIAL INTERESTS

For Use By Voting Members of, and Nominees to, the Regional Fishery Management Council, and Members of the Scientific and Statistical Committee (SSC)

Authority to Require this Information

Section 302(j) of the Magnuson-Stevens Fishery Conservation and Management Act (Magnuson-Stevens Act) and the financial disclosure regulations at 50 C.F.R. 600.235 require that "affected individuals" must meet certain financial disclosure requirements. In Section 302(j)(1) of the Magnuson-Stevens Act, the term "affected individual" means an individual who is nominated by the governor of a state for appointment as a voting member of a Council in accordance with Section 302(b)(2); or who is a voting member of a Council appointed in accordance with Section 302(b)(2); or Section 302(b)(5) who is not subject to disclosure and recusal requirements under the laws of an Indian tribal government. The reauthorization of the Magnuson-Stevens Act, at Section 302(g)(1)(D) also requires that each member of an SSC be treated as an "affected individual," but only for the purposes of paragraphs (2), (3)(B), (4), and (5)(A) of Section (302)(j).

Financial interest in harvesting, processing, lobbying, advocacy or marketing (1) includes:
(i) Stock, equity, or other ownership interests in, or employment with, any company, business, fishing vessel, or other entity or employment with any entity that has any percentage ownership in or by another entity engaging in any harvesting, processing, lobbying, advocacy, or marketing activity in any fishery under the jurisdiction of the Council concerned;
(ii) Stock, equity, or other ownership interests in, or employment with, any company or other entity or employment with any entity that has any percentage ownership in or by another entity that provides equipment or other services essential to harvesting, processing, lobbying, advocacy, or marketing activities in any fishery under the jurisdiction of the Council concerned, such as a chandler or a dock operation.
(iii) Employment with, or service as an officer, director, or trustee of, an association whose members include companies, vessels, or other entities engaged in any harvesting, processing, lobbying, advocacy, or marketing activities, or companies or other entities providing services essential to harvesting, processing, lobbying, advocacy, or marketing activities in any fishery under the jurisdiction of the Council concerned; and
(iv) Employment with an entity that has any percentage ownership in or by another entity providing consulting, legal, or representational services to any entity engaging in, or providing equipment or services essential to, harvesting, processing, lobbying, advocacy, or marketing activities in any fishery under the jurisdiction of the Council concerned, or to any association whose members include entities engaged in the activities described in paragraphs (1) (i) and (ii) of this definition.

Reporting and Filing Requirements

The Magnuson-Stevens Act requires the disclosure of any financial interest in harvesting, processing, lobbying, advocacy, or marketing activity that is being, or will be undertaken within any fishery over which the Council concerned has jurisdiction. An affected individual must disclose such financial interest held by that individual; the affected individual's spouse, minor child, partner; or any organization (other than the Council) in which that individual is serving as an officer, director, trustee, partner, or employee. The information required to be reported must be disclosed on NOAA Form 88-195, or such other form as the Secretary may prescribe. The Financial Interest Form must be filed by each nominee for Secretarial appointment with the Assistant Administrator by April 15 or, if nominated after March 15, 1 month after nomination by the Governor. A seated voting member appointed by the Secretary must file a Financial Interest Form with the Executive Director of the appropriate Council within 45 days of taking office; must file an update of his or her statement with the Executive Director of the appropriate Council within 30 days of the time any such financial interest is acquired or substantially changed by the affected individual or the affected individual's spouse, minor child, or partner, or any organization (other than the Council) in which that individual is serving as an officer, director, trustee, partner, or employee; and must update his or her form annually and file that update with the Executive Director of the appropriate Council by February 1 of each year regardless of whether any information has changed on that form. The Executive Director must in a timely manner, provide copies of and updates to the Financial Interest Forms of appointed Council members to the NMFS Regional Administrator, the Regional Attorney who advises the Council, and the NMFS' Office of Sustainable Fisheries. These completed financial interest forms shall be kept on file in the Office of the NMFS Regional Administrator and at the Council offices, and shall be made available for public inspection at such offices during normal office hours. In addition, the forms shall be made available at each Council meeting or hearing and shall be posted for download from the Internet on the Council's website. Councils must retain the Financial Interest Form for a Council member for at least 5 years after the expiration of that individual's last term.

An individual being considered for appointment to an SSC must file the Financial Interest Form with the Regional Administrator for the geographic area concerned within 45 days prior to appointment. A member of the SSC must file an update of his or her statement with the Regional Administrator for the geographic area concerned within 30 days of the time any such financial interest is acquired or substainally changed by the SSC member or the SSC member's spouse, minor child, partner, or any organization (other than the Council) in which that individual is serving as an officer, director, trustee, partner, or employee; and must update his or her form annually and file that update with the Regional Administrator by February 1 of each year. The Regional Administrator shall maintain on file the Financial Interest Forms of all SSC members for at least 5 years after the expiration of that individual's term on the SSC. Such forms are not subject to section 302(j)(5)(B) and C of the Magnuson-Stevens Act.

Items to Report on NOAA Form 88-195, "Statement of Financial Interests:

Specific information must be disclosed for each relevant financial interest or relationship that may call into question whether there may be conflict of interest between (1) your financial interests and relationships and (2) your Council related actions and activities. The information to be listed does not require a showing of the amount of financial interest, but does require complete disclosure of any and all types of financial interest relationships in any fishery under the jurisdiction of the Council concerned.

In the event any of the required information, including holdings placed in trust, is not known to you but is known to another person, you should request that other person to submit the information on your behalf and should report such request in the section titled "Information Requested of Other Persons" on NOAA Form 88-195.

If you have no financial interest to disclose, please complete and check the appropriate boxes on the last page of the NOAA Form 88-195 "Statement of Financial Interests" and return.

Name of Individual: Include yourself, your spouse, a minor child or partner. *(If not yourself, your relationship to individual.)*

Entity Name/Full Address: Include name and full address of a company, business, fishing vessel, other entity or relationship. *(Entities may include: affiliations, associations, cooperatives, corporations, organizations, universities, etc.)*.

Description/Relationship of Financial Interest: Include a description of the financial interest and the relationship *(marketing, processing, guide, charter, consultant, contractor)*; degree of ownership (percentage) or share holdings or any other monetary or in-kind enumeration of a company, business, fishing vessel, other entity or relationship; directorship of, or employee of, a company, business, organization, other entity or relationship; contracted relationship; contributions to advocacy organizations; and the initial date the financial interest or relationship began.

Fisheries of Interest/Gear Type: Identify the fishery associated with this particular financial interest or relationship, the gear type utilized, and the product type produced *(fresh, frozen, filleted, canned)*.

Examples:

(1) *If you own a one-third interest in a fishing vessel, your response should include:*

Name: John Doe	Council: New England Council	Committee:
Name of Individual John and Mary Doe (Joint ownership)		(If not yourself, your relationship to individual.)
Entity Name/Full Address	**Description/Relationship of Financial Interest**	**Fisheries of Interest/Gear Type**
Entity: Miss Amy Inc. Full Address City, State 00000	Commercial fishing vessel, harvester one-third interest by myself and my spouse Date Began: 3/2000	Atlantic Herring Trawl Product Produced: fresh

(2) If your spouse is employed by a State government agency involved in the Council process and you have contracted with NMFS for stock assessment research, your response should include:

Name: John Doe	Council: New England Council	Committee:
Name of Individual Mary Doe (Spouse)		(If not yourself, your relationship to individual.)
Entity Name/Full Address	**Description/Relationship of Financial Interest**	**Fisheries of Interest/Gear Type**
Entity: EFG Agency Full Address City, State, 00000	Agency involved in Council process Biologist Date Began: 2000	All Species
Name of Individual John Doe		(If not yourself, your relationship to individual.)
Entity Name/Full Address	**Description/Relationship of Financial Interest**	**Fisheries of Interest/Gear Type**
Other Entity or Relationship: NMFS Full Address City, State 00000	Produce stock assessment Contractor Date Begun:: 2004	Orange rockfish

NOAA Form 88-195 (9/93)
U.S. Department of Commerce

OMB NO 0648 0192
Expiration Date 10/31/

Name:	Council:	Committee:

Name of Individual (If not yourself, your relationship to individual.)		
Entity Name/Full Address	**Description/Relationship of Financial Interest**	**Fisheries of Interest/Gear Type**
Entity:	Date Began:	Product Produced:
Other Entity/Relationship:	Date Began:	Product Produced:
Name of Individual (If not yourself, your relationship to individual.)		
Entity Name/Full Address	**Description/Relationship of Financial Interest**	**Fisheries of Interest/Gear Type**
Entity:	Date Began:	Product Produced:
Other Entity/Relationship:	Date Began:	Product Produced:
Name of Individual (If not yourself, your relationship to individual.)		
Entity Name/Full Address	**Description/Relationship of Financial Interest**	**Fisheries of Interest/Gear Type**
Entity:	Date Began:	Product Produced:
Other Entity/Relationship:	Date Began:	Product Produced:

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Name:	Council:	Committee:

Name of Individual		(If not yourself, your relationship to individual.)
Entity Name/Full Address	**Description/Relationship of Financial Interest**	**Fisheries of Interest/Gear Type**
Entity:	Date Began:	Product Produced:
Other Entity/Relationship:	Date Began:	Product Produced:
Name of Individual		(If not yourself, your relationship to individual.)
Entity Name/Full Address	**Description/Relationship of Financial Interest**	**Fisheries of Interest/Gear Type**
Entity:	Date Began:	Product Produced:
Other Entity/Relationship:	Date Began:	Product Produced:
Name of Individual		(If not yourself, your relationship to individual.)
Entity Name/Full Address	**Description/Relationship of Financial Interest**	**Fisheries of Interest/Gear Type**
Entity:	Date Began:	Product Produced:
Other Entity/Relationship:	Date Began:	Product Produced:

Information Requested of Other Persons. In the event any of the required information, including holdings placed in trust, is not known to you but is known to another person, you should request that other person to submit the information on your behalf and should report such request in the section below.

Name and Address	Date of Request	Nature of Subject Matter

☐ **CHECK BOX, IF YOU HAVE NO APPLICABLE INFORMATION TO DISCLOSE**

Position/Type of Filing:

- ☐ Council Nominee
- ☐ Council Member
- ☐ SSC Member

- ☐ Original filing
- ☐ Annual filing
- ☐ Supplementary filing

Certification

I certify that the statements I have made are true complete and correct to the best of my knowledge and belief. I understand that if during the period of my appointment, I undertake new employment, I must promptly file an amended statement, and I must also report any new financial interests acquired during this period. I also certify that I am currently familiar with the statutes, regulations, and policies governing my responsibilities and conduct as applied to the duties I am assigned.

Printed Name: ______________________________

Council/Committee: ______________________________

Signed: ______________________________

Dated: ______________________________

Requests for Assistance or Additional Information

Refer to the financial disclosure regulations at 50 C.F.R. 600.235 for additional information. If you have any questions regarding the Statement of Financial Interests or related issues, please contact the Office of the Assistant General Counsel for Administration, U.S. Department of Commerce, 14th and Constitution Avenue, N.W., Room 5882, Washington, D.C. 20230, or telephone (202) 482-5384.

Paperwork Reduction Act

Notwithstanding any other provision of law, no person is required to respond to nor shall a person be subject to a penalty for failure to comply with a collection of information subject to the requirements of the Paperwork Reduction Act unless that collection of information displays a currently valid OMB Control Number. The public reporting burden for this collection of information, on this NOAA Form 88-195, is estimated to average 35 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 aspect of this collection of information, including suggestions for reducing this burden to the National Marine Fisheries Service, Office of the Chief Information Officer (F/CIO), 1315 East-West Highway, SSMC #3, 3rd Floor, Silver Spring, Maryland 20910.

Public Access to Information

The Statement completed by voting members of the Regional Fishery Management Councils will be retained by the Council, made available on the Council Internet Site, and made available for public review at reasonable hours at the Council Office, and at each public hearing or public meeting.