



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

November 13, 2008

Dear Federal Northeast Seafood Dealer Permit Applicant:

Enclosed is a *Federal Northeast Seafood Dealer Permit Application* for permit year 2009 (January 1, 2009 – December 31, 2009). 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 detailed reports electronically for all receipts and purchases, with the exception of dealers holding only a NE dealer permit for American lobster and/or Atlantic tunas.

Dealers who purchase Highly Migratory Species (HMS), specifically Atlantic bigeye, albacore, yellowfin, and skipjack (BAYS) tunas, Atlantic shark, 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 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 and all required reports must be received and accepted by NMFS. 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 the 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 NOAA Fisheries before we can issue you a NE dealer permit. NOAA Fisheries 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 the 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

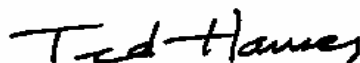
List of regulated species requiring a NE dealer permit

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 978-281-9370.

Sincerely,



Ted Hawes, Team Lead
Northeast Permit Office

Enclosures



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.)**

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

The information requested on this form is not confidential and will be available to the general public upon request.

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, 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), (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.



NATIONAL MARINE FISHERIES SERVICE
Northeast Regional Office / Fisheries Statistics Office



Application Instructions
Federal Fisheries Dealer Permit

Mail completed application packages to: National Marine Fisheries Service (NOAA Fisheries Service), 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) 281-9370

➤ **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 NOAA Fisheries Service.

➤ **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:** All dealers must submit detailed reports electronically for all receipts and purchases, with the exception of dealers holding only a NE dealer permit for American lobster and/or Atlantic tunas.

➤ **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.

Corporation, Partnership and Sole Proprietorship Information

Corporations

All dealer corporations submitting an **initial application** package must ensure that it includes a copy of the certificate of incorporation showing officers and shareholders owning 25% or more of the shares of the corporation.

All dealer corporations submitting a **renewal application** package must ensure that it includes information listing all current officers, along with their addresses, and shareholders owning 25% or more of the shares of the corporation, along with their addresses.

Partnerships

All dealer partnerships submitting an **initial application** package must ensure that it includes a copy of the partnership agreement.

All dealer partnerships submitting a **renewal application** package must ensure that it includes 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, **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 or by 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 CFR § 648.7, § 622.5 and § 635.5 may bar issuance of any Northeast dealer permit (except for American lobster). In addition, failure to report in an accurate and timely fashion may result in enforcement action being taken. 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.

Failure to provide the applicable information above will delay processing of your dealer permit.



National Marine Fisheries Service
Northeast Regional Office / Fisheries Statistics Office



REVIEW CHECKLIST FOR YOUR DEALER PERMIT APPLICATION



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 result in processing delays and or a possible return of your application.

Include with your signed and dated application:

Corporations

All dealer corporations submitting an **initial application** package must insure that it includes a copy of the certificate of incorporation showing officers and shareholders owning 25% or more of the shares of the corporation.

All dealer corporations submitting a **renewal application** package must insure that it includes information listing all current officers, along with their addresses, and shareholders owning 25% or more of the shares of the corporation, along with their addresses. This information can be found in an annual report. If an annual report is unavailable, this information can be submitted in the form of a signed and dated letter.

Partnerships

All dealer partnerships submitting an **initial application** package must insure that it includes a copy of the partnership agreement.

All dealer partnerships submitting a **renewal application** package must insure that it includes a list of the names and addresses of all current partners. This information can be submitted in the form of a signed and dated letter.

Sole Proprietorships

All dealer applicants who will be operating under a sole proprietorship must submit, **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 or by a partnership.

FAILURE TO PROVIDE THIS INFORMATION WILL DELAY THE PROCESSING OF YOUR DEALER PERMIT APPLICATION.

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TWO-SIDED PRINTING**



National Marine Fisheries Service

Northeast Region Dealer Electronic Reporting



Federally Permitted Dealer Reporting Requirements

- ◆ **Does this affect me?** All seafood dealers must report electronically if they are issued a federal permit under 50 CFR part 648 to purchase fish in the following fisheries:

Atlantic Mackerel	Northeast Multispecies	Black Sea Bass	Ocean Quahog
Atlantic Sea Scallop	Atlantic Herring	Scup	<i>Illex</i> Squid
Atlantic Deep Sea Red Crab	Spiny Dogfish	Monkfish	<i>Loligo</i> Squid
Atlantic Surfclam	Northeast Skate	Tilefish	Butterfish
Atlantic Bluefish	Summer Flounder	Atlantic Hagfish	

- ◆ **How do I report electronically?** All reports must be submitted via an approved electronic reporting system.
- ◆ **What do I report?** If you hold one of the permits listed above, the following information is required to be reported for each purchase or receipt of fish or shellfish regardless of where or how it was harvested, or who harvested it. This applies to all species, with the exception of bay scallop, blood arc clam, soft clam, razor clam, blood worm, sand worm, blue crab, green crab, hermit crab, Japanese shore crab, spider crab, blue mussel, oyster, and quahogs.

- Dealer name and permit number
- Vessel name and permit number or state registration or USCG documentation number
- Date of purchase or receipt
- Units of measure and amount by species (by market category, if applicable)
- Price per unit by species (by market category, if applicable) or total value by species (by market category, if applicable)
- Port and state landed
- Unique trip identifier supplied to the dealer by the vessel operator.
 - This is required of those vessels permitted under 50 CFR part 648. Vessels are not required to provide the unique identifier if they hold state permits only or if they are Federally permitted vessels fishing under other parts and have reporting requirements under those parts.
- Disposition. For example: food, bait, pet food or reduction
- Cage tag numbers for surf clams and ocean quahogs harvested under a National Marine Fisheries Service ITQ allocation.

Out-of-Region Purchases: dealers purchasing or receiving fish from a vessel landing outside the NE Region (Maine to North Carolina) are required to report only those species managed by the NE Region (listed above) and American lobster, to the NE Region.

Purchases of Atlantic bluefin tuna are not required to be reported under 50 CFR part 648. (See 50 CFR part 635.5(b)(2) instead.) However, purchases of other Highly Migratory Species (HMS), specifically Bigeye, Albacore, Yellowfin and Skipjack tunas, Atlantic shark, and/or Atlantic swordfish, must be reported electronically if permits for Northeast (NE) species requiring electronic reporting are also held. If dealers do not have NE permits, reports for these other HMS should be submitted to the local port agent.

◆ When do I submit reports?

- ☑ All NE federally-permitted seafood dealers must submit electronic purchase reports weekly, by midnight of the first Tuesday following the end of the reporting week. A reporting week is from Sunday through Saturday. This includes negative reports.
- ☑ Price and disposition information may be submitted after the initial data. However, these must be submitted within 16 days of the end of the reporting week.

◆ Editing submitted data?

- ☑ Dealers have access to all landings data they submit electronically.
- ☑ Corrections may be made to reports within 3 business days after submission of data.
- ☑ If corrections are needed after this time you must contact your local NMFS field staff office.

◆ Negative Reports

- ☑ If no fish or shellfish are purchased or received in an entire reporting week, an electronic negative report so stating this must be submitted.
- ☑ Negative reports may be filed electronically up to 3 months in advance if the dealer knows they will not be purchasing or receiving fish or shellfish during that time.
- ☑ If a purchase is made for a day during that time period the negative report for that week is voided.

◆ Dealer Electronic Reporting Information

Where can I get help if I need it? You may contact your local NMFS field staff office. This is the best place to start. You may also contact the Regional Office with any technical questions.

Information on dealer electronic reporting may be found online at:

- http://www.nero.noaa.gov/dealer_er/

Locations and phone numbers of the 10 NE field offices may be found online at:

- <http://www.nero.noaa.gov/ro/fso/portoff.pdf>
- Questions may be e-mailed to: reporting.ne@noaa.gov
- Additional system information may be found at <http://safis.accsp.org/>

Other Contacts

- SAFIS Help Line – (978) 281-9212
- Vessel Reporting Information – (978) 281-9246
- Northeast Permit Office – (978) 281-9370
- Domestic Atlantic Bluefin tuna and International Trade permit reporting (978) 281-9140
- HMS reporting without electronic reporting – (508) 984-0063





Northeast Regional Office / Fisheries Statistics Office



55 Great Republic Drive, Gloucester MA 01930-2276 Phone: (978) 281-9264 Fax: (978) 281-9161

Greg Power, Acting 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

Barry Clifford
978 281-9246

Fishery Permits

Ted Hawes
978 281-9370

Fishery Information

David Ulmer, Acting Section Chief
757-723-0303

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

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

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 547
Narragansett, RI 02882-0547

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(cell 978 609-7944)
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John Mahoney
(cell 978 609-8205)
John Pereira©
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Katie Almeida©
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Lorraine Spenle
(cell 978 609-4142)

Walter Anoushian *
(cell 978 609-4145)
Chris Zanni©
(cell 978 609-7921)
Elizabeth Kordowski ©
(cell 978 609-7821)

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

Riverhead NY 631 727-7850
Fax 631 727-7130
423 Griffing Av Suite 100
Riverhead, NY 11901-3071

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
P.O. Box 624
Cape May, NJ 08204-0624

Hampton VA 757 723-3369
Fax 757 728-3947
1006N Settlers Landing Rd
P.O. Box 69043
Hampton, VA 23669

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(cell 978 609-8084)
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David Ulmer*
(cell 978 609-7643)
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

Help Desks

Dealer Electronic Reporting: 978 281-9212
Vessel Trip Reporting: 978 281-9246

IVR Reporting: 978 281-9209
Permits: 978 281-9370

Data Requests: 978 281-9133
Reporting Forms: 978 281-9157