## INSTRUCTIONS

This form will provide the National Marine Fisheries Service (NMFS) with ownership information for individuals or businesses applying for or renewing a Quota Share (QS) permit and account, an IFQ vessel account, a whiting mothership (MS) permit, or a mothership catcher vessel (MS/CV) endorsed permit. Ownership interest information will assist NMFS in determining compliance with accumulation limits associated with each of these permits or control of quota pounds under the Trawl Rationalization Program. Any individual or business applying for or renewing any of the above permits or endorsements must document those individual persons that have an ownership interest in the amount of greater than or equal to 2 percent.

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/VESSEL OWNER IDENTIFICATION

- Field 1. Permit Number: If you are submitting an ownership interest form with a renewal for a QS permit, mothership permit or mothership catcher vessel endorsed permit, list the permit number.
- Field 2. Vessel Name/USCG or State Registered Vessel Number: If you are submitting an ownership interest form for a vessel, please provide the name of the vessel and its USCG or state registered vessel number.
- Fields 3-4. Name/TIN/DOB: Enter the name of the business entity or individual that owns the permit or vessel. If a business entity, list tax identification number (TIN). If an
individual, list date of birth (DOB) using the format mm/dd/yyyy.
- Field 5. State Registered Business: If a business entity, list the state where that entity was established and is currently recognized as active.
- Field 6. 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.
- Field 7-9. Business Phone/Fax/Email: List the business telephone and fax numbers, including area codes; fax number and email are optional.


## SECTION B - IDENTIFICATION OF SHAREHOLDERS AND PARTNERS

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 must be filled with the business entities or individuals listed in Section A. List the TIN for business entities and the date of birth (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, the percent ownership interest held should equal 100\%. If one business entity is listed, the percent ownership interest held should equal 100\%. If an individual and a business entity are listed, 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, Part 2 should be completed. Part 2 should list 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 required to be listed on this form. Information should be provided down to the individual level. If necessary, attach an additional sheet of paper (see examples below).

Example A: jointly named owners on permit, two individuals

## Part 1

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

## Part 2



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

Part 1

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

## Part 2

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

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

Part 1

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

## Part 2

| NAME | DOB | BUSINESS <br> MAILING ADDRESS | HELD <br> Husiness name from Part 1 <br> Trawlers, Inc. |
| :---: | :--- | :--- | :---: |
|  |  |  |  |
|  | Ahab, Captain R | $05 / 15 / 1959$ | 1234 Petrale St, <br> Astoria, OR 54321 |

## SECTION C - SMALL BUSINESS CERTIFICATION

Read the criteria to determine if you are a small business according to the criteria listed. Check the appropriate box, yes or no.

## SECTION D - 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.

NMFS may request a copy of the corporate resolution or other authorizing document allowing the authorized agent to sign and certify on behalf of the business entity.

## Trawl <br> IDENTIFICATION OF OWNERSHIP INTEREST

Pacific Coast Groundfish

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
Phone (206) 526-4353 Fax (206) 526-4461 www.nwr.noaa.gov

## SECTION A - PERMIT OWNER OR VESSEL OWNER IDENTIFICATION

| 1. Permit Number | 2. Vessel Name |  | USCG or State Registered Vessel Number |
| :---: | :---: | :---: | :---: |
| 3. Permit or Vessel Owner Name |  |  | 4. TIN (if business) or DOB (if person) |
|  |  |  | 5. State Registered In, if business entity |
| 6. Business Mailing Address Street or PO Box |  |  | 7. Business Phone ( ) |
| Street or PO Box |  |  | 8. Business Fax (optional) $(\quad)$ |
| City | State | Zip Code | 9. Business Email (optional) |

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

| NAME <br> (Last, First, Middle Initial) | TIN or DOB | BUSINESS MAILING ADDRESS <br> (Street or PO Box, City, State, Zip Code) | \% INTEREST <br> HELD |
| :--- | :---: | :---: | :---: |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  | TOTAL OWNERSHIP $=$ |  |

## 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.


## SECTION C - SMALL BUSINESS CERTIFICATION

## Are you a small business according to the standards outlined below? $\square$ YES NO

Small businesses. The Small Business Administration has established size criteria for all major industry sectors in the US, including fish harvesting and fish processing businesses. A business involved in fish harvesting is a small business if it is independently owned and operated and not dominant in its field of operation (including its affiliates) and if it has combined annual receipts not in excess of $\$ 4.0$ million for all its affiliated operations worldwide. A seafood processor is a small business if it is independently owned and operated, not dominant in its field of operation, and employs 500 or fewer persons on a full time, part time, temporary, or other basis, at all its affiliated operations worldwide. A business involved in both the harvesting and processing of seafood products is a small business if it meets the $\$ 4.0$ million criterion for fish harvesting operations. A wholesale business servicing the fishing industry is a small business if it employs 100 or fewer persons on a full time, part time, temporary, or other basis, at all its affiliated operations worldwide. For marinas and charter/party boats, a small business is one with annual receipts not in excess of $\$ 7.0$ million.

Small organizations. The Regulatory Flexibility Act defines "small organizations" as any nonprofit enterprise that is independently owned and operated and is not dominant in its field.

Small governmental jurisdictions. The Regulatory Flexibility Act defines small governmental jurisdictions as governments of cities, counties, towns, townships, villages, school districts, or special districts with populations of less than 50,000.

## SECTION D- CERTIFICATION AND NOTARY

Under penalties of perjury, I hereby declare that I, the undersigned, am authorized to sign this form on behalf of the applicant and I 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 |  |
| :--- | :--- | :--- |
| Printed Name of Authorized Representative (NOTE: attach authorization, if needed) |  |  |
| Notary Public Signature | 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 216100, 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.

