
	<b>APPLICATION FOR                  TRANSFER OF QS/IFQ                  TO OR FROM A                  COMMUNITY QUOTA ENTITY                  (CQE)</b>	U.S. Dept. of Commerce/NOAA National Marine Fisheries Service (NMFS) Restricted Access Management (RAM) P.O. Box 21668 Juneau, AK 99802-1668	
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This transfer form is only used if a Community Quota Entity (CQE) is the proposed transferor (“seller”) or the proposed transferee (“buyer”) of the Quota Share (QS) or Individual Fishing Quota (IFQ); if not, a different form must be used. The party to whom a CQE is seeking to transfer the QS/IFQ must hold a Transfer Eligibility Certificate (TEC). If the CQE is applying to permanently transfer QS, a representative of the community on whose behalf the QS is held must sign the application.

**BLOCK A – TRANSFEROR (“SELLER” OR “LESSOR”) INFORMATION**

1. Name:	2. NMFS Person ID:	
3. Name of Community represented by the CQE:		
4. Permanent Business Mailing Address:	5. Temporary Business Mailing Address ( <i>see instructions</i> ):	
6. Business Telephone No.:	7. Business Fax No.:	8. E-mail address ( <i>if available</i> ):

**BLOCK B – TRANSFEREE (“BUYER” OR “LESSEE”) INFORMATION**

1. Name:	2. NMFS Person ID:	
3. Name of Community represented by the CQE:		
4. Permanent Business Mailing Address:	5. Temporary Business Mailing Address ( <i>see instructions</i> ):	
6. Business Telephone No.:	7. Business Fax No.:	8. E-mail Address ( <i>if available</i> ):

**BLOCK C -- QUESTIONS FOR TRANSFEREE**

1. Do you request that this QS be included in a **sweep up**, if possible? YES [ ] NO [ ]

If **YES**, list the identifier on the QS Certificate into which this new piece should be combined  
(Example H-2C-B-B-123,456,789 through H-2C-B-B-123,458,789)

From: \_\_\_ - \_\_\_ - \_\_\_ - \_\_\_ - \_\_\_\_\_ to \_\_\_ - \_\_\_ - \_\_\_ - \_\_\_ - \_\_\_\_\_

(**Reminder:** For sweep-up, **attach** the original QS Certificates of both the transferor and the transferee)

2. If this is a transfer of Catcher Vessel CDQ Compensation QS and the vessel category has never been declared, check the Catcher Vessel Category (D, C, or B) in which you would request your QS issued.

[ ] **“D”** (0' to 35' Length Over All) [ ] **“C”** (35' to 60' Length Over All) [ ] **“B”** (greater than 60' Length Overall)

**BLOCK D -- IDENTIFICATION OF QS/IFQ TO BE TRANSFERRED**

(Complete this block if QS and IFQ are to be transferred together or if you are applying to transfer QS only)

1. Quota Share to be transferred: Total QS Units: \_\_\_\_\_

Designation of QS, as shown on the QS Certificate:

From: \_\_\_ - \_\_\_ - \_\_\_ - \_\_\_ - \_\_\_\_\_ to \_\_\_ - \_\_\_ - \_\_\_ - \_\_\_ - \_\_\_\_\_

2. Are all remaining pounds for the current fishing year to be transferred? YES [ ] NO [ ]

If **NO**, specify the number of pounds to be transferred: \_\_\_\_\_

**Notes:**

- **Pounds transferred includes a pro-rata share of any overage based on the QS units held or transferred and is non-negotiable.**
- **Pounds transferred includes a pro-rata share of any underage based on the QS held or transferred UNLESS OTHERWISE INSTRUCTED**

**BLOCK E -- TRANSFER OF IFQ ONLY (“LEASE” OF IFQ)**

(Pertains only to proposed transfers from CQEs to qualifying community members)

1. Identification of IFQ to be transferred: Permit Number: \_\_\_\_\_ Year: 20\_\_\_\_.

2. Identification of IFQ to be transferred: Permit Number: \_\_\_\_\_ Year: 20\_\_\_\_.

3. Community to which QS are currently assigned: \_\_\_\_\_

**BLOCK F - REQUIRED TRANSFEROR SUPPLEMENTAL INFORMATION**

*(To be completed by proposed transferor , if a CQE)*

1. Indicate the reason(s) you are proposing this transfer *(check all that apply and provide a brief explanation on a separate sheet).*

- |                                   |                          |                                       |                          |
|-----------------------------------|--------------------------|---------------------------------------|--------------------------|
| CQE Management and Administration | <input type="checkbox"/> | Participation by Community residents  | <input type="checkbox"/> |
| Fund additional QS purchase       | <input type="checkbox"/> | Dissolution of Community Quota Entity | <input type="checkbox"/> |
| Other (specify)                   | <input type="checkbox"/> | _____                                 |                          |

2. Give the price per pound (including leases) \$\_\_\_\_\_ /Pounds of IFQ *(Price divided by IFQ pounds) including fees*

3. Give the price per unit of QS \$\_\_\_\_\_ /Unit of QS *(Price divided by QS Units)*

4. What is the **total amount** being paid for the QS/IFQ in this transaction, including all fees? \$\_\_\_\_\_

5. Is there a broker being used for this transaction?  YES  NO

**If YES**, how much is being paid in brokerage fees? \$ \_\_\_\_\_ or \_\_\_\_\_ % of total price.

6. What are your reasons for transferring the QS/IFQ? *(check all that apply)*

- |                               |                          |                          |                          |                               |                          |
|-------------------------------|--------------------------|--------------------------|--------------------------|-------------------------------|--------------------------|
| Retirement from fisheries     | <input type="checkbox"/> | Shares too small to fish | <input type="checkbox"/> | Consolidation of shares       | <input type="checkbox"/> |
| Pursue non-fishing activities | <input type="checkbox"/> | Trading shares           | <input type="checkbox"/> | Other <i>(please explain)</i> | <input type="checkbox"/> |
| Health problems               | <input type="checkbox"/> | Enter other fisheries    | <input type="checkbox"/> | _____                         |                          |

**BLOCK G -- REQUIRED TRANSFEREE SUPPLEMENTAL INFORMATION**

*(To be completed by proposed transferee)*

1. Will the QS/IFQ being purchased have a lien attached?  YES  NO

2. **If YES**, please identify the person who will hold the lien:

3. What is the primary source of financing for this transfer *(check one)?*

- |                           |                          |                           |                          |                        |                          |
|---------------------------|--------------------------|---------------------------|--------------------------|------------------------|--------------------------|
| Personal resources (cash) | <input type="checkbox"/> | AK Com. Fish & Ag. Bank   | <input type="checkbox"/> | Received as a gift     | <input type="checkbox"/> |
| Private bank/credit union | <input type="checkbox"/> | Transferor/seller         | <input type="checkbox"/> | NMFS loan program      | <input type="checkbox"/> |
| Alaska Dept. Of Commerce  | <input type="checkbox"/> | Processor/fishing company | <input type="checkbox"/> | Other <i>(explain)</i> | <input type="checkbox"/> |
- \_\_\_\_\_

4. How was the QS/IFQ located *(check all that apply)?*

- |                 |                          |                             |                          |        |                          |
|-----------------|--------------------------|-----------------------------|--------------------------|--------|--------------------------|
| Relative        | <input type="checkbox"/> | Advertisement/public notice | <input type="checkbox"/> | Broker | <input type="checkbox"/> |
| Personal friend | <input type="checkbox"/> | Other <i>(explain)</i>      | <input type="checkbox"/> | _____  |                          |

5. What is your relationship to the Transferor ( <i>check all that apply</i> )?			
No relationship	<input type="checkbox"/>	Business partner	<input type="checkbox"/>
		CQE Community Member	<input type="checkbox"/>
Other ( <i>please explain</i> )	<input type="checkbox"/>	_____	

6. Is there an agreement to return the QS or IFQ to the Transferor (seller), or any other person, or a condition placed on resale?	
<input type="checkbox"/> YES	<input type="checkbox"/> NO
If YES, please explain: _____	
_____	

<b>BLOCK H -- CERTIFICATION OF TRANSFEROR</b>	
Under penalty of perjury, I swear, or affirm, that I have examined this application and, to the best of my knowledge and belief, the information presented hereon is true, correct, and complete.	
1. Signature of transferor or authorized agent:	2. Date:
3. Printed name of transferor or authorized agent ( <b>Note:</b> <i>If an agent, authorization must be attached</i> ):	
4. <b>ATTEST</b> (Signature of Notary Public):	6. Affix Notary Stamp or Seal Here:
5. Commission Expires:	

<b>BLOCK I -- CERTIFICATION OF TRANSFEREE</b>	
Under penalty of perjury, I swear, or affirm, that I have examined this application and, to the best of my knowledge and belief, the information presented hereon is true, correct, and complete. Also, if I am only receiving IFQ, I further swear, or affirm, that I am a permanent resident of the community (listed in Block F) on whose behalf the CQE is proposing to transfer the IFQ, that I have been a resident for at least 12 months, and that I intend to remain a resident.	
1. Signature of transferee or authorized agent:	2. Date:
3. Printed name of transferee or authorized agent ( <b>Note:</b> <i>If an agent, authorization must be attached</i> ):	
4. <b>ATTEST</b> (Signature of Notary Public):	6. Affix Notary Stamp or Seal Here:
5. Commission Expires:	

**BLOCK J -- CERTIFICATION OF CQE COMMUNITY REPRESENTATIVE**  
*(Required only when CQE proposes to permanently transfer Quota Share)*

I am a duly authorized representative of the community (listed in Block C or Block D) on whose behalf the CQE is proposing to transfer QS; by my signature below, I attest that the applicant CQE has the approval of our community to complete this permanent QS transfer, for the reasons set out on this application.

1. Signature of Community Representative:	2. Date:
3. Printed name and title Community Representative	
4. <b>ATTEST</b> (Signature of Notary Public):	6. Affix Notary Stamp or Seal Here:
5. Commission Expires:	

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**PUBLIC REPORTING BURDEN STATEMENT**

Public reporting for this collection of information is estimated to average 2 hours per response, including the time for reviewing the instructions, searching the 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 Assistant Regional Administrator, Sustainable Fisheries Division, NOAA National Marine Fisheries Service, P.O. Box 21668, Juneau, AK 99802-1668.

**ADDITIONAL INFORMATION**

Before completing this form please note the following: 1) Notwithstanding any other provision of 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; 2) This information is mandatory and is required to manage commercial fishing efforts under 50 CFR part 679 and under section 402(a) of the Magnuson-Stevens Act (16 U.S.C. 1801, *et seq.*); 3) The information collected is confidential under section 402(b) of the Magnuson-Stevens Act, as amended in 2006. They are also confidential under NOAA Administrative Order 216-100, which sets forth procedures to protect confidentiality of fishery statistics.

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### **Instructions**

## **APPLICATION TO TRANSFER QS/IFQ TO, OR FROM, A COMMUNITY QUOTA ENTITY (CQE)**

This application is to be used **ONLY** to apply for a transfer of quota share (QS) or individual fishing quota (IFQ) to or from a CQE. If a CQE is not a party to the proposed transfer, another application should be used.

Any party to whom the QS/IFQ is proposed to be transferred must hold a Transfer Eligibility Certificate (TEC).

If the application is to permanently transfer QS from a CQE to another party, the application must be signed by a representative of the community for whom the CQE holds the QS.

### **GENERAL INFORMATION**

The halibut and sablefish IFQ Program is administered by the Restricted Access Management (RAM) Program of the Alaska Region, National Marine Fisheries Service (NMFS). Transfers of all Quota Share (QS) and its associated annual individual fishing quota (IFQ) must be approved, in advance, by RAM.

The IFQ Program provides opportunities for small communities located on the coast of the Gulf of Alaska to hold, and to fish, QS and IFQ. Such communities are represented by Community Quota Entities (CQEs), who must use a special application to provide for transfers of QS/IFQ to and from (and between) CQEs. These instructions are designed to help you to use that special transfer application form. Some general rules pertain, as follows:

- Please submit a separate application for each proposed QS or IFQ permit transfer.
- Please complete the entire application, including all attachments; failure to do so could result in delays in the processing of your application.
- Please submit an original application only -- a photocopy of an application, or an application submitted by facsimile will not be processed.
- RAM will not process an application that does not bear original signatures (faxed applications will be returned). All signatures must be witnessed by a Notary Public (or, in some remote areas, the community Postmaster or Postmistress).
- An application submitted and signed by an agent for a party to the transfer will not be processed unless clear and unambiguous certification of the agent's authority to do so is provided

When completed, submit the original application

By mail to: **Alaska Region, National Marine Fisheries Service  
Restricted Access Management (RAM)  
P.O. Box 21668  
Juneau, AK 99802-1668**

or deliver to: **Room 713, Federal Building  
709 West 9th Street**

Please allow at least **ten working days** for your application to be processed. Without exception, RAM processes applications in the order in which they are received.

Items will be sent to you by first class mail, unless you provide alternate instructions and include a prepaid mailer with appropriate postage or corporate account number for express delivery.

If you have any questions, or if you need any assistance in completing the application, please contact RAM as follows:

**Telephone (toll Free): 1-800-304-4846 (press "2")**  
**Telephone (Juneau): 907-586-7202**

**E-Mail Address: [RAM.Alaska@noaa.gov](mailto:RAM.Alaska@noaa.gov)**

**Web Site: [www.alaskafisheries.noaa.gov/ram](http://www.alaskafisheries.noaa.gov/ram)**

### ***COMPLETING THE APPLICATION***

#### **BLOCK A – TRANSFEROR (SELLER OR LESSOR) INFORMATION**

1. Legibly print or type the name of the party proposing to transfer the QS/IFQ; this should be the party's full name as it appears on the QS Certificate or the TEC.
2. Enter the "NMFS Person ID" (as set out on the QS Certificate or the TEC)
3. If the proposed transferor is a CQE, enter the name of the community on whose behalf the CQE is applying.
4. Enter the permanent business mailing address.
5. If appropriate, enter the temporary business mailing address (the address to which the transfer documentation should be sent, if different from the permanent address).
- 6-8. Enter business telephone number, business fax number, and e-mail address (if available).

#### **BLOCK B – TRANSFEREE (BUYER OR LESSEE) INFORMATION**

1. Legibly print or type the name of the party proposing to receive by transfer the QS/IFQ.
2. Enter the "NMFS Person ID" (as set out on the QS Certificate or the TEC)
3. If the proposed transferee is a CQE, enter the name of the community represented by the CQE.
4. Enter the permanent business mailing address.
5. If appropriate, enter the temporary business mailing address (the address to which the transfer documentation should be sent, if different from the permanent address).
- 6-8. Enter business telephone number, business fax number, and e-mail address (if available).

#### **BLOCK C – QUESTIONS FOR TRANSFEREE**

1. Indicate if you wish to combine ("sweep up") the transferred QS with a block that is currently held. Blocked QS may be combined into one block if the resulting total amount of QS is less than or equal to the following amounts of QS units:

Halibut		Sablefish	
Area	Units	Area	Units
2C	19,992	SE	33,270
3A	27,912	WY	43,390
3B	22,947	CG	46,055
4A	22,947	WG	48,410
4B	15,087	AI	99,210
4C	30,930	BS	91,275
4D	26,082		

**NOTE:** if you wish to sweep up the QS into an existing block, you must fully identify the QS block into which you wish to combine the transferred QS; to do so, complete the blanks by entering the letters and numbers as set out on your QS certificate.

2. If this is a transfer of Catcher Vessel “CDQ compensation QS” that has not yet been assigned a catcher vessel length category, you may designate the category. To do so, check the appropriate box (indicating vessel length) to which you wish the QS assigned (note that this will be a permanent assignment of vessel length category).

#### **BLOCK D – IDENTIFICATION OF QS/IFQ TO BE TRANSFERRED**

**Complete this block if QS and IFQ are to be transferred together or to transfer QS only.**

1. Enter the total QS units to be transferred and the designation of those QS units (as set out on the QS Certificate).
2. Indicate whether all remaining IFQ pounds from the current fishing year are to be transferred with the QS; **if NO**, indicate the number of pounds that are to be transferred.

**NOTE:**

**Pounds transferred includes a pro-rata share of any overage based on the QS units held or transferred and is non-negotiable.**

**Pounds transferred includes a pro-rata share of any underage based on the QS held or transferred UNLESS OTHERWISE INSTRUCTED**



## **BLOCK E – TRANSFER OF IFQ ONLY (“LEASE” OF IFQ)**

This block should only be completed if the CQE is applying to transfer IFQ to a permanent resident of the community on whose behalf the CQE holds the QS.

1. Identify the IFQ to be transferred by entering the IFQ Permit Number and Year
2. Enter the name of the community to which QS are currently assigned.

## **BLOCK F – REQUIRED TRANSFEROR SUPPLEMENTAL INFORMATION**

1. If the proposed transferor is a CQE, indicate the reason(s) transfer is being proposed. Check all that apply and provide a brief explanation on a separate sheet.
2. Provide the price per pound of IFQ.
3. Provide the price per unit of QS.
4. Indicate total amount paid for the QS/IFQ in this transactions, including all fees.
5. Indicate YES or NO whether a broker is used for this transaction.  
**If YES**, indicate amount paid in brokerage fees or percentage of total price.
6. Indicate reason(s) for transferring QS/IFQ (check all that apply)

## **BLOCK G – REQUIRED TRANSFEREE SUPPLEMENTAL INFORMATION**

1. Indicate YES or NO whether the QS/IFQ will have a lien attached  
**If YES**, identify the person who will hold the lien
2. Indicate primary source of financing for this transfer (check one)
3. Indicate how the QS/IFQ was located (check all that apply)
4. Indicate relationship to the transferor (check all that apply)
5. Indicate YES or NO whether an agreement exists to return the QS or IFQ to the transferor or any other person or a condition place on resale.  
**If YES**, explain

## **BLOCK H -- CERTIFICATION OF TRANSFEROR**

1. Enter printed name and signature of Transferor and date signed  
If completed by an authorized agent, attach authorization
2. Signature, commission expiration date, and stamp of notary public

**BLOCK I -- CERTIFICATION OF TRANSFEREE**

1. Enter printed name and signature of Transferee and date signed  
If completed by an authorized agent, attach authorization
2. Signature, commission expiration date, and stamp of notary public

**BLOCK J -- CERTIFICATION OF CQE COMMUNITY REPRESENTATIVE**

**Required when CQE proposes to permanently transfer QS**

1. Enter signature of Community Representative and date signed
2. Enter printed name and title of Community Representative
3. Signature, commission expiration date, and stamp of notary public