



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

October 25, 2010

Dear Federal Northeast Seafood Dealer Permit Applicant:

Enclosed is a *Federal Northeast Seafood Dealer Permit Application* for permit year 2011 (January 1, 2011 – December 31, 2011). 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 to NOAA Fisheries Service (NMFS) trip-level electronic reports of all lobster, shellfish, and fish purchased or received, with the exception of dealers holding only a NE dealer permit for Atlantic tunas. Go to: http://www.nero.noaa.gov/dealer_er/ for important information on reporting requirements.

Notice to American lobster dealers: All federally permitted lobster-only dealers are required to provide NMFS with trip-level electronic reports on a weekly basis of all lobster and fish purchased or received for a commercial purpose. For questions on the Federal lobster dealer reporting requirements, contact Scott McNamara at (207) 780-3322 or by email at scott.mcnamara@noaa.gov.

Dealers who purchase Highly Migratory Species (HMS), specifically Atlantic bigeye, albacore, yellowfin, and skipjack (BAYS) tunas, Atlantic sharks, 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 dealer 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. All required reports for all transactions must be received and accepted by NMFS before your permit will be issued. 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 these 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 NMFS before we can issue you a NE dealer permit. NMFS 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 these 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

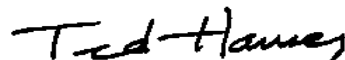
American lobster	Northeast Multispecies continued -	NE Skate continued -
Atlantic bluefish	Atlantic Cod	Clearnose skate
Atlantic deep-sea red crab	Atlantic halibut	Little skate
Atlantic herring	Haddock	Rosette skate
Atlantic mackerel	Offshore hake	Smooth skate
Atlantic sea scallop	Ocean Pout	Thorny skate
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 978-282-8438.

Sincerely,



Ted Hawes, Operations Manager
Northeast Region Permit Office

Enclosures



National Marine Fisheries Service
Northeast Regional Office / Fisheries Statistics Office



Application Instructions
Federal Fisheries Dealer Permit

Mail completed application packages to: NOAA Fisheries Service (NMFS), 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) 282-8438

➤ **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 NMFS.

➤ **Section 1A - Additional Dealer Information**

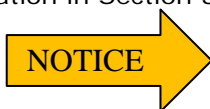
If your company or business purchases or receives regulated species at more than one location, each address must be listed on the application. Space is available on the back of the dealer permit application form for the required listing of additional addresses. You do not need a separate dealer number 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:** If you are issued any of the Northeast dealer permits on this application, with the exception of the Atlantic tunas permits, you must provide NMFS with weekly, trip-level electronic reports of all lobster, shellfish, and fish purchased or received for a commercial purpose.

➤ **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.




PLEASE READ IMPORTANT INFORMATION
ON THE REVERSE
BEFORE SIGNING YOUR APPLICATION

Corporations, Partnerships and Sole Proprietorships


 **Failure to provide the applicable information below WILL DELAY processing of your application.**

Corporations

All dealer corporations and LLCs submitting an **initial application** package **must submit the following documentation with the initial application:**

 A copy of the certificate of incorporation listing the names and addresses of all officers and shareholders of the corporation / LLC.

All dealer corporations and LLCs submitting a **renewal application** package **must submit the following documentation with the renewal application:**


 A list of the names and addresses of all officers and shareholders of the corporation / LLC.

Partnerships

All dealer partnerships submitting an **initial application** package **must submit the following documentation with the initial application:**


 A copy of the Partnership Agreement.

All dealer partnerships submitting a **renewal application** package **must submit the following documentation with the renewal application:**

 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 the following documentation 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, LLC, or 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 either CFR § 648.7, § 622.5 and § 635.5 may bar issuance of any Northeast dealer permit [CFR § 648.6]. 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.

Be aware: The Fisheries Statistics Office may report dealers to the NOAA Fisheries Service Office of Law Enforcement for failure to submit all reports or for failure to report in a timely fashion. Activities that do not comply with the provisions of the Magnuson-Stevens Act may subject the violator to fines and/or permit sanctions.



National Marine Fisheries Service
Northeast Regional Office / Fisheries Statistics Office



Review Checklist

Dealer Permit Application

IMPORTANT: READ BEFORE CONTINUING

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 DELAY processing of your application.

1. Review your address and contact information - make any necessary changes on your application.
2. Check the dealer permits you have selected – do they represent the type of fish and shellfish you buy?
3. If you conduct business under the same company name in more than one location, list the addresses of those locations on back of application.
4. Sign and date your application.
5. Include the names of officers, shareholders, or partners in your corporation, LLC, or partnership (see application instructions for additional information).
6. If you are a Sole Proprietorship, include operating statement once with initial application.

Revised November 16, 2010

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TWO-SIDED PRINTING**



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.)**

All corporations, LLCs, and partnerships must provide a copy of the Certificate of Incorporation listing the names of all partners, officers, and/or shareholders in the company. Failure to provide this information WILL DELAY the processing of your application.

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

Owner name, business officers and members, address, phone number, fax number, and permit information may be released via a NOAA Fisheries website. All other data submitted will be handled as confidential material in accordance with NOAA Administrative Order 216-100, Protection of Confidential Fishery Statistics.

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 for a commercial purpose, other than solely for transport on land, 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 and / or required reports), (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.



Northeast Regional Office / Fisheries Statistics Office



55 Great Republic Drive, Gloucester MA 01930-2276

Phone: (978) 281-9264 Fax: (978) 281-9161

John Witzig, Ph.D., 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

Bethany Brosnan
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Fishery Permits

Ted Hawes
978-281-9296

Fishery Information

Greg Power, Section Chief
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NEW ENGLAND AREA

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2 Portland Fish Pier
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Fax 732-349-4319
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Toms River, NJ 08754

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Fax 609-884-4908

Ingo Fleming
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Cape May, NJ 08204

Alissa Wilson©
(cell 978-875-0595)

Hampton VA 757-723-3369
Fax 757-728-3947
1006N Settlers Landing Rd
P.O. Box 69172
Hampton, VA 23669

David Ulmer*
Steve Ellis
(cell 978-609-4147)
George Mattingly
(cell 978-609-4149)

Other Contact Information

Web: <http://www.nero.noaa.gov/fso>

Email: reporting.ne@noaa.gov or permits.ne@noaa.gov

FSO.Data.Requests@noaa.gov

Help Desks

Dealer Electronic Reporting: 978-281-9212

IVR Reporting: 978-281-9172

Data Requests: 978-281-9133

Vessel Trip Reporting: 978-281-9246

Permits: 978-281-9370

Reporting Forms: 978-281-9157