

<b>LLP</b> License Limitation Program	<b>APPLICATION FOR TRANSFER          LICENSE LIMITATION PROGRAM          GROUNDFISH / CRAB LICENSE</b>	U.S. Dept. of Commerce/NOAA National Marine Fisheries Service Alaska Region Restricted Access Management P.O. Box 21668 Juneau, Alaska 99802-1668 (800) 304-4846 toll free / 586-7202 in Juneau (907) 586-7354 fax	 NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION U.S. DEPARTMENT OF COMMERCE
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**NOTE:** The transfer of a License Limitation Program (LLP) license that was issued based on the documented harvests from a vessel that did not have a Federal Fisheries Permit during the period beginning January 1, 1988, through October 8, 1998, is restricted by regulation at 50 CFR 679.4(k)(7)(ix). Under this transfer restriction, this type of groundfish LLP license cannot be transferred separately and used on a vessel other than the original qualifying vessel.

#### BLOCK A -- REQUIRED DOCUMENTATION

**Use this block to determine which forms and other information must be attached to this transfer. Please check all that apply to ensure that your application is complete and can be processed in a timely manner.**

<p><input type="checkbox"/> Copy of Sale/Transfer Agreement          A legible copy of a contract or sales agreement that specifies the license to be transferred, the license holder, the designated transferee, the monetary value or the terms of the license transfer, and the signature of the license holder and the designated transferee must be attached to this application.</p>	<p><input type="checkbox"/> Completed Application  <input type="checkbox"/> Power of Attorney (<i>if applicable</i>)  <input type="checkbox"/> LLP Ownership Information provided by the Transferee /Receiver</p>
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#### BLOCK B - IDENTIFICATION OF LICENSE TO BE TRANSFERRED *(Use one application for each license)*

Endorsement: <input type="checkbox"/> Crab <input type="checkbox"/> Groundfish <input type="checkbox"/> Aleutian Islands < 60 ft Trawl Endorsement	LLP Number:
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#### BLOCK C -- IDENTIFICATION OF ROCKFISH QS TO BE TRANSFERRED

This section applies **only** to Rockfish Quota Share (QS) assigned to an LLP license that exceeds a use cap specified in § 679.82 (a)(2). All other Rockfish QS is not severable from the LLP license on which it was initially allocated.

1. Enter LLP license number on which Rockfish QS over the use cap is currently assigned:	2. Enter LLP license number to which the Rockfish QS is being transferred. This LLP license must already be assigned Rockfish QS:
3. Identification of Rockfish QS to be transferred ( <i>list number of QS units and Rockfish Species</i> ):	

**BLOCK D – IDENTIFICATION OF TRANSFEROR (SELLER)**

**BLOCK E – IDENTIFICATION OF TRANSFEREE (RECEIVER)**

1. Is the person applying to receive the license a U.S. Citizen or U.S. corporation, partnership, association, or other non-individual entity?

[ ] YES [ ] NO

**If NO, STOP HERE.** This person is **not eligible** to receive a license.

2. Name of Transferee(s) (as it will appear on the license):

<b>BLOCK E – IDENTIFICATION OF TRANSFEREE (RECEIVER)</b>	
1. Is the person applying to receive the license a U.S. Citizen or U.S. corporation, partnership, association, or other non-individual entity?	
<input type="checkbox"/> YES	<input type="checkbox"/> NO
<b>If NO, STOP HERE.</b> This person is <b>not eligible</b> to receive a license.	
2. Name of Transferee(s)(as it will appear on the license):	
3. Permanent Business Mailing Address:	
4. Temporary Mailing Address (if applicable):	
5. Business Telephone Number:	6. Business Fax Number:
7. E-mail Address:	

<b>BLOCK F - VESSEL CURRENTLY NAMED ON LICENSE</b>	<b>BLOCK G - VESSEL TO BE NAMED ON NEW LICENSE</b>		
Name of Vessel:	Name of Vessel:		
Length Overall (LOA): _____	ADF&G Vessel Number: _____	LOA: _____	ADF&G Vessel Number: _____
U.S. Coast Guard (USCG) Number: _____	USCG Number: _____		

**REQUIRED SUPPLEMENTAL INFORMATION:**

**Applications Will Not Be Processed Unless All Information Requested In Blocks H & I is Provided.**

**BLOCK H – LLP OWNERSHIP DOCUMENTATION***To be completed by the Transferee/Receiver*

Provide the names of all persons, to the individual level, holding an ownership interest in the LLP License being transferred and the percentage ownership each person and individual will hold in the LLP License.

Name	Percentage Ownership

**BLOCK I -- TO BE COMPLETED BY THE TRANSFEROR**

1. What is the total amount being paid for the license in this transaction, including all fees? \$ \_\_\_\_\_

Does this price include the price of the vessel?  YES  NO

If YES, what is the sales price of the license? \_\_\_\_\_

2. What is your reason(s) for transferring the license? (check all that apply)

Retirement from the fishery(ies)  Health problems

Enter other fishery(ies)  Pursue non-fishing activities

Other (explain): \_\_\_\_\_

3. Are you employing a broker to assist with this transaction?  YES  NO

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

**BLOCK J - TO BE COMPLETED BY THE TRANSFeree**

1. Is the license being used as collateral for a loan?  YES  NO

If YES, name of party holding security interest or lien: \_\_\_\_\_

2. What is the primary source of financing for this transfer?:

Personal Resources (cash)  Private Bank/Credit Union

Alaska Dept. Of Commerce  Transferor/Seller

Processor/Fishing Company  AK Com. Fish & Ag. Bank (CFAB)

NMFS Loan Program  Received as a Gift

Other (name): \_\_\_\_\_

3. How was the license located? (check all that apply):

<input type="checkbox"/> Relative	<input type="checkbox"/> Personal Friend
<input type="checkbox"/> Advertisement/Public Notice	<input type="checkbox"/> Casual Acquaintance
<input type="checkbox"/> Permit Broker	<input type="checkbox"/> Other ( <i>explain</i> ): _____

4. What is the transferee's relationship to the transferor? (*check all that apply*)

<input type="checkbox"/> No Relationship	<input type="checkbox"/> Family Member
<input type="checkbox"/> Business Partner/Associate	<input type="checkbox"/> Friend
<input type="checkbox"/> Other ( <i>explain</i> ): _____	

5. Does the transfer of this LLP license include the sale of the fishing history of a vessel?

YES       NO

If YES, enter Name of Vessel: \_\_\_\_\_

LOA: _____	ADF&G Number: _____	USCG Number: _____
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6. Is the transfer of this LLP license part of an agreement that also transfers ownership of a vessel?

YES       NO

If YES, enter Name of Vessel: \_\_\_\_\_

LOA: _____	ADF&G Number: _____	USCG Number: _____
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7. Is there an agreement to return the license to the transferor or to transfer it to any other person, or is there any condition requiring the resale or conveyance of the license?

YES       NO

If YES, please explain (*use attachment if necessary*):  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**BLOCK K – CERTIFICATION OF TRANSFEROR**

Under penalty of perjury, I hereby declare that I have examined this application, and the information presented herein is true, accurate, and complete to the best of my knowledge and belief.

1. Signature of Transferor or Authorized Representative:	2. Date:
3. Printed Name of Transferor or Authorized Representative <b>Note: If Representative, attach authorization:</b>	
4. Notary Public Signature	5. Affix Notary Stamp or Seal Here: <b>ATTEST</b>
6. Commission Expires:	

**BLOCK L – CERTIFICATION OF TRANSFeree**

Under penalty of perjury, I hereby declare that I have examined this application, and the information presented herein is true, accurate, and complete to the best of my knowledge and belief.

1. Signature of Transferee or Authorized Representative:	2. Date:
3. Printed Name of Transferee or Authorized Representative <b>Note: if Representative, attach authorization:</b>	
4. Notary Public Signature	5. Affix Notary Stamp or Seal Here: <b>ATTEST</b>
6. Commission Expires:	

**PUBLIC REPORTING BURDEN STATEMENT**

Public reporting burden for this collection of information is estimated to average 1.0 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: Assistant Regional Administrator for Sustainable Fisheries Division, NMFS Alaska Region, 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.*); The information requested on this application is for the express purpose of ensuring that transfers of License Limitation Program groundfish and crab licenses are properly executed as requested by the parties to the transfer and to ensure that all provisions of the Federal regulations governing the transfer of such licenses [50 CFR 679.4(k)(7)] have been met. 3) Responses to this information request are confidential under section 402(b) of the Magnuson-Stevens Act. They are also confidential under NOAA Administrative Order 216-100, which sets forth procedures to protect confidentiality of fishery statistics.

**Instructions**  
**APPLICATION FOR**  
**LICENSE LIMITATION PROGRAM (LLP) TRANSFER**  
**GROUNDFISH/CRAB LICENSE**

**Vessel-specific LLP**

The transfer of a license that was issued based on the documented harvests from a vessel that did not have a Federal Fisheries Permit (FFP) during the period beginning January 1, 1988, through October 8, 1998, is restricted by regulation. Under this transfer restriction, this type of groundfish LLP license cannot be transferred separately and used on a vessel other than the original qualifying vessel, with two exceptions.

- ◆ First, if the fishing history of a vessel that did not have an FFP was transferred before February 7, 1998, the qualifying vessel did not have to accompany the license.
- ◆ Second, a vessel that is subject to this provision but that is lost or destroyed can be replaced under the general vessel replacement provisions of the LLP.

However, subsequent transfers will require the license to be “coupled” with the existing vessel (i.e., the license cannot be transferred separately from the vessel named on the license).

**Aleutian Island Area (AI) Endorsement**

An AI area endorsement is issued based on the landings of vessels less than 60 feet length overall and is severable and transferable from the overall license. No other regulatory area endorsement in the existing LLP is allowed to be transferred separately from the LLP license to which it is attached. However, the AI area endorsement must be reassigned, or reattached, only to a trawl catcher vessel LLP license with a maximum length overall of less than 60 feet in order to be used.

**GENERAL INFORMATION**

- ◆ Both the proposed transferor (seller) and the proposed transferee (receiver) must complete and sign this application.
- ◆ This application is available:  
On the NMFS, Alaska Region web site at <http://alaskafisheries.noaa.gov>  
Call RAM at 1-800-304-4846 (option 2) or (907) 586-7202 (option 2)  
Walk in to the RAM office (709 W 9<sup>th</sup> Street, 7<sup>th</sup> Floor, Suite 713, Juneau, Alaska)
- ◆ When completed, submit the application:

By mail to:                   **NMFS Alaska Region**  
                                 **Restricted Access Management (RAM)**  
                                 **P.O. Box 21668**  
                                 **Juneau, Alaska 99802-1668**

By delivery to:                   **709 West 9<sup>th</sup> Street Suite 713**  
                                 **Juneau, Alaska 99801**

- ◆ Send the original application. An application sent by fax will **not** be processed.

- ◆ **Please allow at least ten working days for your application to be processed.** Items will be sent by first class mail, unless you provide alternate instructions **and** include a prepaid mailer with appropriate postage or corporate account number for express delivery.
- ◆ It is important that all blocks are completed and attachments provided. Failure to answer any of the questions, provide any of the required documents, or to have signatures notarized could result in delays in the processing of your request for a transfer under the provisions of 50 CFR 679.4(k)(7).

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

#### **BLOCK A – REQUIRED DOCUMENTATION**

To ensure timely processing of your transfer application, use this list as a guide to include all the necessary items in the mailing of your application.

**Attachments.** A legible copy of a contract or sales agreement that specifies the license to be transferred, the license holder, the designated transferee, the monetary value or the terms of the license transfer, and the signature of the license holder and the designated transferee must be attached to this application.

#### **BLOCK B - IDENTIFICATION OF LLP LICENSE TO BE TRANSFERRED**

Use one application for each LLP license.

Indicate the endorsement type: groundfish, crab, or Aleutian Islands < 60 ft Trawl.

Indicate the LLP license number being transferred.

**Note:** If both crab and groundfish licenses resulted from the activities of the same qualifying vessel, the two licenses may not be transferred independently of each other.

#### **BLOCK C -- IDENTIFICATION OF ROCKFISH QS TO BE TRANSFERRED**

*This section applies only to Rockfish QS assigned to an LLP license that exceeds a use cap specified at § 679.82 (a)(2). All other Rockfish QS is not severable from the LLP license on which it was initially allocated and will transfer with the LLP license.*

1. Enter the LLP license number on which the Rockfish QS over the use cap is currently assigned
2. Enter the LLP license number to which the Rockfish QS is being transferred. This LLP license must already be assigned Rockfish QS.
3. Identify the Rockfish QS to be transferred; list the number of QS units and Rockfish species

#### **BLOCK D – IDENTIFICATION OF TRANSFEROR (SELLER)**

1. Enter the full name of transferor as it appears on the LLP license.
2. Enter the permanent business mailing address, include city, state, and zip code.
3. Enter the temporary mailing address (*include city, state, and zip code*), if you would like the transfer documentation sent somewhere other than to your permanent address.
- 4-5. Enter the business telephone and fax numbers, including area code.
6. Enter the e-mail address (*if available*).

#### **BLOCK E – IDENTIFICATION OF TRANSFeree (RECEIVER)**

1. Indicate if the person applying to receive the license by transfer is a U.S. Citizen or U.S. corporation, partnership, association or other non-individual entity, as defined at chapter 121, title 46, U.S.C.).

**If NO, STOP**, this person is not eligible to receive a license.

2. Enter the full name of the transferee as it will appear on the license.
3. Enter the permanent business mailing address, including city, state, and zip code.
4. Enter the temporary mailing address (*including city, state, and zip code*), if you would like the transfer documentation sent somewhere other than to your permanent address.
- 5-6. Enter the business telephone and fax numbers, including area code.
7. Enter the e-mail address (*if available*).

#### **BLOCK F –VESSEL CURRENTLY NAMED ON LICENSE**

Enter the vessel's name, Alaska Department of Fish and Game (ADF&G) vessel registration number, U.S. Coast Guard (USCG) documentation number, and length overall (LOA) of the vessel currently named on the license.

#### **BLOCK G – VESSEL TO BE NAMED ON NEW LICENSE**

**NOTE: If the LOA of this vessel exceeds the maximum LOA of the original qualifying vessel, this vessel may not receive this license by transfer.**

Enter the vessel's name, ADF&G vessel registration number, USCG documentation number, and LOA of the vessel to be named on the new license. **If no vessel is named in this block, no license will be issued until a vessel is named.**

#### **REQUIRED SUPPLEMENTAL INFORMATION**

**APPLICATION WILL NOT BE PROCESSED  
UNLESS ALL INFORMATION REQUESTED IN BLOCKS G, H AND I IS PROVIDED**

#### **BLOCK H – LLP OWNERSHIP DOCUMENTATION (*to be provided by the Transferee*)**

Enter the names of all persons, to the individual level, holding an ownership interest in the LLP License being transferred and the percentage ownership each person and individual holds in the LLP License.

If the LLP License Holder is a non-individual (*i.e., a corporation, partnership or other non-individual entity*), provide the names of, and the percentage of ownership held by, all of its owners. Provide information to the individual level. See example below:

Name of Owner	% Interest
Joe Groundfish	25%
Alice Groundfish	25%
LLP Family Holdings, Inc.	50%
A. LLP Holder	25% (of 50%)
B. LLP Holder	25% (of 50%)
C. LLP Holder	25% (of 50%)
D. LLP Holder	25% (of 50%)

#### **BLOCK I - TO BE COMPLETED BY THE TRANSFEROR**

1. Enter the total amount being paid for the license in this transaction, including all fees. The total amount entered should include **any and all** monies collected on behalf of the seller for the subject license.

Indicate whether this price includes the price of the vessel.

**If YES**, the sale of the license is combined with, or part of, the sale of some other asset (*i.e., a vessel*), the sales price of the license must be specified, including any fees that will later be paid out to other parties for the expenses of brokering or assisting in the sale of this license.

2. Indicate reason(s) for transferring the license. Please check all boxes that apply to this transaction.
3. Indicate whether a permit broker or other third party was paid to assist with this transaction.

**If YES**, enter the total price paid to the broker or calculate how much was paid to the third party as a percentage of the total sales price (*including fee*).

#### **BLOCK J - TO BE COMPLETED BY THE TRANSFeree**

1. Indicate if the license will be used as collateral for a loan.

**If YES**, enter the name of entity or person(s) who will hold the security interest or lien.

2. Indicate the primary source of financing for this transfer (*check all that apply*).
3. Indicate how the license was located (*check all that apply*).
4. Indicate the transferee's relationship to the transferor (*check all that apply*).
5. Indicate whether the transfer of this LLP license includes the sale of the fishing history of a vessel.

**If YES**, enter the name, LOA, ADF&G vessel registration number, and USCG documentation number of the vessel.

6. Indicate whether the transfer of this LLP license is part of an agreement that also transfers ownership of a vessel.

**If YES**, enter the name, LOA, ADF&G vessel registration number, and USCG documentation number of the vessel.

7. Indicate whether an agreement exists to return the license to the transferor, or any other person, or whether a condition is placed on resale or conveyance of the license.

**If YES**, provide details.

#### **BLOCKS K & L - CERTIFICATION OF TRANSFEROR AND TRANSFeree**

Enter signature, date signed, and print name of transferor and transferee in the presence of a Notary Public. If an authorized representative, attach authorization. A Notary Public must attest and affix a Notary Stamp or Seal.

**NOTE:** Application forms submitted to RAM must bear the **original signatures** of the parties. **RAM will not process faxed applications.**