



**United States Department of Commerce**  
National Oceanic and Atmospheric Administration  
National Marine Fisheries Service  
Greater Atlantic Regional Fisheries Office  
55 Great Republic Drive  
Gloucester, MA 01930  
Phone: (978) 282-8438

## Initial Dealer Permit Information

Dear Federal Greater Atlantic Region Seafood Dealer:

### **Why are we writing to you?**

You requested a Federal Greater Atlantic Seafood Dealer initial permit application. You will need to complete the enclosed application and ownership form, include the required documentation, and return it to the Greater Atlantic Permit Office.

### **This package includes a(n):**

- Initial permit application
- Owner form
- Application instructions
- Application checklist
- Port Office contact list

### **Application requirements**

You must submit a complete and accurate application. Failure to meet all of the requirements of the application will delay the issuance of your permit(s).

### **Reporting Requirements**

When your permit is issued, you must submit trip-level reports of all lobster, shellfish, and fish purchased or received. Go to: [http://www.nero.noaa.gov/dealer\\_er/](http://www.nero.noaa.gov/dealer_er/) for information on reporting requirements. For questions on the Federal dealer reporting requirements, contact your area Port Agent (list enclosed).

### **Highly Migratory Species**

If you purchase highly migratory species (HMS), specifically Atlantic bigeye, albacore, yellowfin and skipjack (BAYS) tunas, Atlantic sharks and/or Atlantic swordfish, and hold another federal Greater Atlantic Region seafood dealer permit, you must report HMS electronically as well. Beginning January 1, 2013, dealers with a permit for only Atlantic tunas were required to electronically report their purchases of BAYS tunas and other HMS. Atlantic tuna dealers who purchase or receive domestic Atlantic Bluefin tuna have separate reporting requirements. Call (978) 281-9140 if you have questions about Bluefin tuna reporting, and (301) 427-8590 for questions about reporting for other HMS.

Dealers that trade bluefin tuna, swordfish, southern bluefin tuna, or frozen bigeye tuna internationally are required to obtain a Highly Migratory Species International Trade Permit. Information on this permit can be found at: [www.nmfs.noaa.gov/sfa/hms/ITP/index.htm](http://www.nmfs.noaa.gov/sfa/hms/ITP/index.htm) or by calling (727) 824-5326 and pressing 3.

## Do I need a dealer permit?

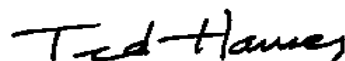
You need to have a Greater Atlantic dealer permit for each managed species that you purchase from a vessel that is required to have a Greater Atlantic Region vessel permit. Additionally, you must have that permit in your possession. Therefore, you need a Greater Atlantic Region dealer permit if:

- You purchase any of the fish or shellfish listed below that are harvested from federal waters (EEZ) or;
- You purchase Atlantic Tunas harvested from Federal or State waters or;
- You purchase these fish or shellfish from a vessel issued a Federal Greater Atlantic Region vessel permit.

List of managed species that require a Greater Atlantic Federal 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>Longfin</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

If you have any questions, please contact the Greater Atlantic Permit Office at 978-282-8438.

Sincerely,



Ted Hawes  
Section Chief  
Permits and Limited Access Programs

Enclosures

OMB# 0648-0202 - Expiration Date: 07/31/2016



**National Marine Fisheries Service  
Greater Atlantic Regional Office**



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**Application Instructions  
Federal Fisheries Dealer Permit**

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Mail completed application packages to: NOAA Fisheries Service (NMFS), Greater Atlantic Region 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 Greater Atlantic Region 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 Greater Atlantic 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 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.

➤ **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.

To **add** a fishery not currently held, mark an "X" next to the permit on the application.

To **cancel** a fishery which you currently hold, write "cancel" next to each permit you wish to cancel.

➤ **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 the important information on the reverse  
before mailing your application

## **Additional Information for Dealers Submitting an Annual Renewal Application**

All dealers, whether operating as a corporation, partnership, or sole proprietorship, must submit the enclosed Owner Form with the annual renewal application. The Owner Form must list the full name of **every** individual who has an ownership interest in a corporation, partnership, or sole proprietorship. **Failure to include a completed Owner Form with your Initial application may delay permit issuance.**

### **A note on Dealer Reporting**

All Federally permitted Greater Atlantic Seafood Dealers must submit weekly trip-level reports required under either CFR § 648.7, § 697.6 and § 635.5 Failure to do so will bar the future issuance of any Greater Atlantic dealer permit. If you have any questions concerning your compliance with the reporting regulations for Greater Atlantic managed species, please contact your local NMFS Port Agent (list enclosed). Questions concerning reporting for bluefin tuna [CFR § 635.5], should be directed to the Highly Migratory Species Office at (978) 281-9140.

The Analysis and Program Support Division may refer dealers to the NOAA Fisheries Service Office of Law Enforcement for:

- Failure to submit all reports
- Submitting incomplete or inaccurate reports
- Failure to report in a timely fashion

Activities that do not comply with the provisions of the Magnuson-Stevens Fishery Conservation and Management Act may subject the violator to fines and/or permit sanctions.

OMB# 0648-0202 Expiration Date: 07/16/2016



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

## Federal Greater Atlantic Seafood Dealer Initial Dealer Permit Application

### SECTION 1 - DEALER INFORMATION

Southeast Dealer # (if available) \_\_\_\_\_

Company name: \_\_\_\_\_

Owner's Name: \_\_\_\_\_

Street 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<br>(Yellowfin, Bigeye, Skipjack,<br>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<br>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 |
|   | <input type="checkbox"/> ** Atlantic herring At Sea Dealer       |   |

### 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**

<b>Street:</b>		
<b>City:</b>	<b>State:</b>	<b>Zip:</b>
<b>Telephone:</b>		

**Company Address**

<b>Street:</b>		
<b>City:</b>	<b>State:</b>	<b>Zip:</b>
<b>Telephone:</b>		

**Company Address**

<b>Street:</b>		
<b>City:</b>	<b>State:</b>	<b>Zip:</b>
<b>Telephone:</b>		

**Company Address**

<b>Street:</b>		
<b>City:</b>	<b>State:</b>	<b>Zip:</b>
<b>Telephone:</b>		

**For further information, call Greater Atlantic Permit Office at (978) 282-8438**

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.



# Owner Form

- List all persons who have an ownership interest in the business that is the subject of this application.
- Owners or persons who have an ownership interest in a business are defined as and include, but are not limited to, corporations, partnerships, LLCs, persons who are shareholders in a corporation, persons who have formed a partnership (general or limited), and any other entities that have ownership interest in the business.

### Section A – Person(s) or Business applying for permit

Name:	Permit Number:
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**Section B** - All persons who have an ownership interest in the business must be listed below. Do not include employees of the business unless they are also an owner or shareholder.

Mr/Mrs/Ms	First Name	Middle Name	Last Name	Suffix Name
Check all that apply - Owner <input type="checkbox"/> Officer <input type="checkbox"/> Shareholder <input type="checkbox"/>				

Mr/Mrs/Ms	First Name	Middle Name	Last Name	Suffix Name
Check all that apply - Owner <input type="checkbox"/> Officer <input type="checkbox"/> Shareholder <input type="checkbox"/>				

Mr/Mrs/Ms	First Name	Middle Name	Last Name	Suffix Name
Check all that apply - Owner <input type="checkbox"/> Officer <input type="checkbox"/> Shareholder <input type="checkbox"/>				

I, the undersigned, am the owner or legally authorized agent of the owner of the business named in *Section A* above. I affirm, subject to the penalties provided in 18 U.S.C. 1001, that all information that I have given in obtaining this permit is true and correct.  
 OMB# 0648-0202 Expires 07/31/2016

Name of Applicant (print clearly) \_\_\_\_\_

Signature of Applicant \_\_\_\_\_ Date \_\_\_\_\_

Please use the back of this form to provide information on all persons with an ownership interest in the business.

**Page 2 - Section B Continued** - All persons who have an ownership interest in the business must be listed below. Do not include employees of the business unless they are also an owner or shareholder.

Mr/Mrs/Ms	First Name	Middle Name	Last Name	Suffix Name
Check all that apply - Owner <input type="checkbox"/> Officer <input type="checkbox"/> Shareholder <input type="checkbox"/>				

Mr/Mrs/Ms	First Name	Middle Name	Last Name	Suffix Name
Check all that apply - Owner <input type="checkbox"/> Officer <input type="checkbox"/> Shareholder <input type="checkbox"/>				

Mr/Mrs/Ms	First Name	Middle Name	Last Name	Suffix Name
Check all that apply - Owner <input type="checkbox"/> Officer <input type="checkbox"/> Shareholder <input type="checkbox"/>				

Mr/Mrs/Ms	First Name	Middle Name	Last Name	Suffix Name
Check all that apply - Owner <input type="checkbox"/> Officer <input type="checkbox"/> Shareholder <input type="checkbox"/>				

Mr/Mrs/Ms	First Name	Middle Name	Last Name	Suffix Name
Check all that apply - Owner <input type="checkbox"/> Officer <input type="checkbox"/> Shareholder <input type="checkbox"/>				

I, the undersigned, am the owner or legally authorized agent of the owner of the business named in *Section A* above. I affirm, subject to the penalties provided in 18 U.S.C. 1001, that all information that I have given in obtaining this permit is true and correct.  
 OMB# 0648-0202 Expires 07/31/2016

Name of Applicant (print clearly) \_\_\_\_\_

Signature of Applicant \_\_\_\_\_ Date \_\_\_\_\_

Please copy this form as needed to provide information on all persons with an ownership interest in the business in Section A.