



# Instructions for the Federal Permit Application for Aquacultured Live Rock (new permit)

Rev 11/27/2017

In addition to the instructions provided herein, applicants with specific questions are encouraged to contact the Permits Office at (727) 824-5326 or toll free at (877) 376-4877 between 8:00 a.m. and 4:30 p.m. ET, or visit the SERO Permits website at [sero.nmfs.noaa.gov/permits](http://sero.nmfs.noaa.gov/permits).

Please consult the U.S. Code of Federal Regulations whose guidance for application requirements, permit eligibilities, and related information will always prevail. NMFS will return incomplete or illegible applications.

Additional guidance regarding Aquacultured Live Rock is available on the web at:

<http://sero.nmfs.noaa.gov/aquaculture/>

## General Instructions:

Aquacultured Live Rock (ALR) permits issued to one or more permit holders allow the deposition to and harvest of materials at a specific geographic location, or *site*. Use *this* application to request an ALR permit for a site that has not previously been issued an ALR permit,

To renew an ALR permit issued to the same permit holder(s) and for the same site, use the application titled Federal Permit Application for Aquacultured Live Rock (renew permit).

If you wish to apply as a new permit holder for an already existing site, see section below on how to conduct an ALR site transfer.

Under the current agreement between NMFS and the U.S. Army Corps of Engineers (USACE), the total acreage of all aquacultured live rock sites maintained by a single permit holder in Federal waters off the coast of Florida may not exceed 1.0 acres. Applicants desiring to maintain sites that exceed this 1.0 acre limit must contact their local USACE office (<http://www.usace.army.mil/Locations/>) and inquire about the individual permitting process for the deposit of aquacultured live rock in Federal waters off the coast of Florida.

### What Sections do I complete?

Complete all applicable sections of this application form. All application fields should be typed or printed in ink. Specifically,

- All applicants* must fill out Section 1.
- All applicants* must fill out Section 2a. If more than one vessel will be involved in the deposition or harvest of materials from the site, fill out Section 2b. Copy Section 2 as necessary to provide information about all vessels that may engage in the deposition or harvesting of materials from this site.
- All applicants* must fill out Section 3. If the ALR permit is to be issued to one or more individuals, fill out section 5a for each individual to whom the permit is to be issued. If the ALR permit is to be issued to one or more businesses, fill out section 3b for each business to whom the permit is to be issued. Copy Section 3 as necessary to provide information about each individual or business requested to be an ALR Permit Holder.
- If the USCG documentation or state registration for any vessel listed in Section 2a or 2b indicates the vessel is owned by one or more individuals, fill out Section 4 for all individual owners of the vessel(s). Copy Section 4 as necessary to provide information about all individuals that owner the vessel(s) listed in Section 2.
- If the USCG documentation or state registration for any vessel listed in Section 2a or 2b indicates the vessel is owned by one or more businesses, fill out Section 5 for all business owners of the vessel(s). Copy Section 5 as necessary to provide information about all individuals that owner the vessel(s) listed in Section 2.
- Complete Section 6 to provide information about all businesses that own a business listed in Section 3b, Section 5a, and/or Section 5b. Copy Section 6 as necessary to provide information about all business owners within the ownership hierarchy of businesses requesting a permit or that own a vessel listed in this application.
- Complete Section 7 for all individual owners and officers of businesses listed in Section 3b, Section 5a and b, and Section 6a and b. Copy Section 7 as necessary to provide information about all individual owners and officers of businesses that are requesting a new permit or that own a vessel listed in this application.
- Complete Section 7c if any owners of the businesses listed in Section 3b, Section 5, or Section 6 hold an ownership percentage less than 1%. This is not common.

- All applicants must complete Section 8 and Section 9.  
See pages 3-6 for information about specific sections of this application.

**What is the fee?**

The application fee is **\$175**. This application fee is collected to cover the administrative cost of processing the application, and is non-refundable. The fee to replace a permit live rock permit is \$18. NMFS will not refund money for denied permits. A check or money order payable to the U.S. TREASURY must accompany each application.

**Where do I send the application?**

Mail the complete application, payment, and all required supporting documentation to: **National Marine Fisheries Service (F/SER14), 263 13th Avenue South, St. Petersburg, FL 33701**. To receive permits via overnight carrier, enclose a completed, pre-paid air bill and envelope. Please note using the prepaid overnight delivery option does not expedite permit processing; it only expedites delivery of your completed permit package.

**How do I transfer ownership of an existing Aquacultured Live Rock**

If you are **not** the current permit holder for a particular site, you **must** include with this application a notarized statement signed by you and the current owner of the site. The notarized statement must provide details on the transfer and include the site number (e.g., AQU-XXX), latitude/longitude of the site, the full names and addresses and phone numbers of both the transferor and transferee. Note that all deposit and harvest reports for the site must be received by the NOAA Fisheries Permits Office and Florida Fish and Wildlife Research Institute, respectively, before the transfer can be finalized.

**What supporting documentation do I need?**

- Documentation or state registration:** Include a copy of the vessel's valid USCG Documentation or, if not required to be USCG Documented include a copy of the vessel's valid State Registration, for each vessel listed in Section 4.
- Payment:** Include a check or money order made out to the US Treasury. See "What is the Fee" on page 1 of these instructions for more information. Include a separate check or money order if requesting Floy tags for Golden Crab or Sea Bass pots.
- Sample Deposit Material:** Provide a sample of the material to be deposited on the site for cultivation of live rock.
- Nautical Chart:** Applicant shall identify the site on a nautical chart, or portion thereof, with sufficient enough detail to allow for site inspection, and shall provide accurate coordinates so that the site can be located by Global Positioning System (GPS) equipment. The chart number, title and edition must be clearly labeled and the chart must be large enough in scale to show sufficient detail to allow for site location and inspection.
- U.S. Army Corps of Engineers Special Permit (if applicable):** If the site(s) sites individually or cumulatively total more than 1.0 acre you must include a U.S. Army Corps of Engineers (USACOE) special permit for depositing material for the site(s).
- Authorization from Florida Keys National Marine Sanctuary (if applicable).** If the new site is located within the Florida Keys National Marine Sanctuary, you must receive consent from the Florida Keys National Marine Sanctuary (FKNMS) Permit Coordinator (joanne.delaney@noaa.gov, or (978) 471-9653). Provide documentation of this consent with your application.

## What about reporting compliance?

### **Deposit**

Federal aquacultured live rock permit holders must report to the Permits Office after each deposition of material on a site. Such reports must be postmarked no later than 7 days after deposition and must contain the following information:

- Permit number of site and date of deposit.
- Geological origin of material deposited.
- Amount of material deposited.
- Source of material deposited, that is, where obtained, if removed from another habitat, or from whom purchased.

The form "Report for the Deposit or Harvest of Aquacultured Live Rock" is available on our public website at [http://sero.nmfs.noaa.gov/operations\\_management\\_information\\_services/constituency\\_services\\_branch/permits/permit\\_a\\_pps/index.html](http://sero.nmfs.noaa.gov/operations_management_information_services/constituency_services_branch/permits/permit_a_pps/index.html)

### **Harvest**

If you are landing your harvested aquacultured live rock **in Florida**, you must report to the Fisheries Dependent Monitoring Section of the Florida Fish and Wildlife Research Institute using standard form #33-610 (Marin Fisheries Trip Ticket). Call the trip ticket office at (727) 896-8626 for more information.

You may use the "Report for the Deposit or Harvest of Aquacultured Live Rock" form only if you are landing harvested aquacultured live rock **outside of Florida**.

**NOTE:** You may only conduct activity (e.g., deposition, harvest) on your site in years when you have an active federal Aquacultured Live Rock permit.



### **APPLICATION SECTION 1 – SITE INFORMATION.**

Complete all fields in this section.

- This section must be prepared by an independent source in a manner pursuant to generally accepted industry standards, and shall demonstrate that the proposed site:
  - a) Is not a hazard to safe navigation or a hindrance to vessel traffic
  - b) Avoids traditional fishing operations, or other public access
  - c) Avoids impacts to naturally occurring hard bottom habitat and submerged aquatic vegetation; and
  - d) Contains natural underlying substrata that is primarily hard packed sand, hard shell hash, or less than 6-12 inches of sand over rock.
- Provide a description of the site, as requested in sections 1a – 1d.
- Provide information about the independent surveyor who performed the site inspection.
- You may provide a supplemental report by the independent surveyor if such a report augments the descriptions in this section.



### **APPLICATION SECTION 2 – VESSEL INFORMATION.**

Complete Section 2 for all vessels to be permitted to deposit or harvest of materials from the site. Copy this page as necessary to provide information about all vessels.

- Enter the Official Number and the length of the vessel as they appear on the U.S. Coast Guard Certificate of Documentation, or the State Registration certificate for a vessel without USCG documentation.
- Provide the Hull Identification Number (HIN) if available. The HIN is a unique number assigned by the boat builder. Most HINs are shown on the state registration or USCG documentation.
- Provide hailing port or home port of the vessel in the fields provided.
- Provide information about the Port of Landing, which is where the vessel will land the harvested aquacultured live rock, in the fields provided.
- For USCG documented vessels, provide the gross and net tonnage in the fields provided.
- Provide information about the vessel's physical characteristics in the fields provided.



### **APPLICATION SECTION 3 – PERMIT HOLDER INFORMATION.**

Provide information about the individual(s) or business(es) to be listed as the permit holder. For individual permit holders, fill out section 3a. For business permit holders, complete Section 3b. If there is more than one permit holder, select a single Primary Mailing Recipient to whom all correspondence about this application and requested permits will be sent. Copy Section 3 as necessary to provide information about all individuals and businesses to be a permit holder. Specifically,

#### **Section 3a**

- For each individual permit holder, include the lessee's full name, tax ID number (SSN), date of birth, phone number, physical address, mailing address, sex, and race/ethnicity information.
- Indicate if the Individual is a United States citizen or permanent resident alien. Note, this information will not affect eligibility to obtain a permit.
- Provide an email address or SMS mobile phone number to receive digital updates about your permit and application status (when available).

#### **Section 3b**

- For each business that leases the vessel, provide the business's full name, tax ID number (FEIN), date the business was formed, phone number, physical address, mailing address, and business type.
- Indicate if the business was established by the laws of the United States or any state of the United States. Note, this information will not affect eligibility to obtain a permit.
- Provide an email address or SMS mobile phone number to receive digital updates about your permit and application status (when available).
- For a brief definition of applicable business types, see our frequently asked questions at [http://sero.nmfs.noaa.gov/operations\\_management\\_information\\_services/constituency\\_services\\_branch/permits/permit\\_faq/index.html](http://sero.nmfs.noaa.gov/operations_management_information_services/constituency_services_branch/permits/permit_faq/index.html)



### **APPLICATION SECTION 4 -- INDIVIDUAL VESSEL OWNERS.**

For each vessel listed in Section 2 that is owned by one or more individuals (as listed on the vessel's U.S. Coast Guard Certificate of Documentation or State Registration), complete Section 4 for all individual owners listed. Complete **Section 4a** for an **individual owner**. Also fill out **Section 4b** if the vessel is **jointly owned** by another individual. Photocopy **Section 4** as necessary to provide information for all individuals that own the vessel.

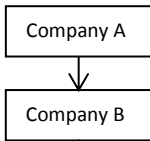
- For each owner, provide the owner's full name, tax ID number (SSN), date of birth, phone number, physical and mailing address, sex, and race/ethnicity information.
- Indicate if the owner is a United States citizen or permanent resident alien. Note, this information will not affect eligibility to obtain a permit.
- Provide an email address or SMS mobile phone number to receive digital updates about your permit and application status (when available).



### **APPLICATION SECTION 5 – BUSINESS VESSEL OWNERS.**

For each vessel listed in Section 2 that is owned by one or more businesses (as listed on the vessel's U.S. Coast Guard Certificate of Documentation or State Registration), complete section 5 for all business owners listed. Complete section 5a for a single business owner. Also fill out Section 5b if the vessel is **jointly owned** by another business.

- NMFS will not issue permits to a business with an INACTIVE status with the applicable Secretary of State.
- Provide the business's full name, tax ID number (FEIN), date the business was formed, phone number, physical and mailing address, and business type.
- Indicate if the business was established by the laws of the United States or any state of the United States. Note, this information will not affect eligibility to obtain a permit.
- Provide an email address or SMS mobile phone number to receive digital updates about your permit and application status (when available).
- For a brief definition of applicable business types, see our frequently asked questions at [http://sero.nmfs.noaa.gov/operations\\_management\\_information\\_services/constituency\\_services\\_branch/permits/permit\\_faq/index.html](http://sero.nmfs.noaa.gov/operations_management_information_services/constituency_services_branch/permits/permit_faq/index.html)



**APPLICATION SECTION 6 –Businesses that Own Businesses**

Complete this section for any business that owns more than 1% of any business listed within the ownership hierarchy of vessel owners or permit holders, as listed in Section 3b, or Section 5. For every business, the sum of ownership, by either individuals or other businesses, must total 100%. Photocopy this section as necessary to provide information about all businesses within the ownership hierarchy of the vessel.



- For each business, provide the business’s full name, tax ID number (FEIN), date the business was formed, phone number, physical and mailing address, and business type.
- Indicate if the business was established by the laws of the United States or any state of the United States. Note, this information will not affect eligibility to obtain a permit.
- Provide an email address or SMS mobile phone number to receive digital updates about your permit and application status (when available).
- For a brief definition of applicable business types, see our frequently asked questions at [http://sero.nmfs.noaa.gov/operations\\_management\\_information\\_services/constituency\\_services\\_branch/permits/permit\\_faq/index.html](http://sero.nmfs.noaa.gov/operations_management_information_services/constituency_services_branch/permits/permit_faq/index.html)

**Example:** If a vessel’s USCG documentation indicates that the vessel is owned by Company A, and Company A is owned by Company B. Provide information about Company A in section 5 and Company B in section 7.



**APPLICATION SECTION 7 –Businesses Officers and Individual Owners**

Complete this section for any individual that owns more than 1% of any business listed in Section 3b, Section 5, or Section 6. For every business, the sum of ownership, by either individuals or other businesses, must total 100%. Photocopy this section as necessary to provide information about all businesses within the ownership hierarchy of the vessel

- For each individual owner or officer, include the entity’s full name, tax ID number (SSN), date of birth, phone number, physical address, mailing address, sex, and race/ethnicity information.
- Indicate if the individual is a United States citizen or permanent resident alien. Note, this information will not affect eligibility to obtain a permit.
- Provide an email address or SMS mobile phone number to receive digital updates about your permit and application status (when available).

**Example:** If a vessel’s USCG documentation indicates that the vessel is owned by Company A, provide information about all owners and officers of Company A. If Company A is also owned in whole or part by Company B, complete section 8 to provide information about all individual owners and officers of Company A and Company B.

Photocopy this section as necessary to provide information about all businesses and their respective owners and officers that comprise the ownership hierarchy of the vessel.

**Minor shareholders**

Section 7C is left blank for most applicants. Complete Section 7C if a business listed in Section 3b, 5, 6, or 7 has owners that individually own less than 1% of the business. Provide the total percentage of ownership which is individually held by owners who own less than 1%.

**APPLICATION SECTION 8 – Small Business or Organization Certification**

This section is required for ALL applicants. Your revenue and employment estimates for the most recent complete calendar year your business or organization was active should include the revenues and employees of ALL affiliated businesses or organizations. In general, businesses or organizations are affiliated with each other when one business or organization controls or has the power to control another business or organization, or a third party controls or has the power to control both. Specifically, businesses or organizations are considered to be affiliated if they have 50% or more ownership in common. For e.g., if the same individual or individuals own or co-own multiple businesses, those businesses would be considered affiliated and thus should be treated as a single operation for the purpose of estimating annual gross revenues and employment.



**APPLICATION SECTION 9 – SIGNATURE FOR APPLICATION**

The signator for a coral permit must be the individual who will be conducting the activity that requires the permit. In the case of a corporation or partnership that will be conducting live rock aquaculture activity, the signator must be the principal shareholder or a general partner.

**KNOWINGLY SUPPLYING FALSE INFORMATION OR WILLFULLY OVERVALUING ANY FISHING INCOME TO OBTAIN A PERMIT IS A VIOLATION OF FEDERAL LAW PUNISHABLE BY A FINE AND/OR IMPRISONMENT.**

Public reporting burden for this collection of information is estimated to average 70 minutes per response, including the time for reviewing 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 suggestions for reducing this burden to: PRA Officer, National Marine Fisheries Service, F/SER26, 263 13<sup>th</sup> Avenue South, St. Petersburg, FL 33701.

The National Marine Fisheries Service requires this information for the conservation and management of marine fishery resources. The data reported will be used to develop, implement, and monitor fishery management activities for a variety of other uses. Responses to this collection are required to obtain or retain a fisheries permit under the Magnuson - Stevens Act. Non-confidential information may be released via a NOAA Fisheries website. Non-confidential information means: Name, Street Address, City, State, Zip Code, Effective Date of Permit, Permit Types, Vessel Name, Vessel Identification Number, Vessel length, Vessel tonnage (gross and net), Vessel horse power, in the case of a "for hire" vessel the Passenger Capacity, or individual, corporate and lease holders of permits. All other data submitted will be handled as confidential material in accordance with NOAA Administrative Order 216-100, Protection of Confidential Fishery Statistics. Notwithstanding any other provisions of the law, no person is required to respond to, nor shall any person be subjected 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.

For Privacy Act information related to SERO Permits and Permit Applications go to [goo.gl/1Zwvbh](http://goo.gl/1Zwvbh).

**U.S. Department of Commerce, NOAA**  
 NMFS PERMITS OFFICE, F/SER14  
 263 13th Avenue South  
 St. Petersburg, FL 33701  
 Toll Free 877-376-4877 (8:00 a.m. - 4:30 p.m. ET)  
 727-824-5326 (8:00 a.m. - 4:30 p.m. ET)  
 sero.nmfs.noaa.gov/permits



## FEDERAL PERMIT APPLICATION FOR AQUACULTURED LIVE ROCK (NEW)

<p><b>FOR OFFICE USE ONLY</b></p> <p>Application ID</p>
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FOR OFFICE USE ONLY	
Reviewer Initials and date	
Check or Money Order Number and Amount	
New Site Number	
Expiration date	
Application Fees: <span style="float: right;">New: \$175 <input type="checkbox"/></span>	
<b>SCAN DATE AND INITIALS</b>	

### SECTION 1 - SITE INFORMATION

Is this a new or established site?    New     Established     NMFS Site number: AQU-     If this is a new site, leave blank—NMFS will assign a number.

**NOTE:** If this is an established site and the applicant is not the current permit holder, the applicant must complete the site transfer requirements outlined in the instructions.

**Site Location:**

Latitude and Longitude must be reported as Degrees-Minutes to the third decimal place (i.e. 24-32.123 N 085-45.456 W)

Latitude Center Point     Longitude Center Point

Method of determining latitude and longitude    GPS     DGPS     Radius ( not to exceed 117.75 feet )  Ft.

This site is located off the state of:     Minimum depth of water over the site at mean low water - reported in feet.  Ft.

### SITE SURVEY REQUIREMENT

**1a. Description of the site location (i.e. 5.5NM SW of Rock key and .75NM east of Sand Shoal)**

**1b. Describe the naturally occurring bottom habitat at the site:**



**SITE SURVEY REQUIREMENT (continued)**

1c. Describe all possible hazards to safe navigation or hindrance to vessel traffic, interference with traditional fishing operations or other public access that may result from aquacultured live rock operations at the site.

1d. Describe the type, size, total amount and geological origin of the material to be deposited on the site and how it will be distinguishable (method of marking/tagging) and description) from the naturally occurring substrate. YOU MUST PROVIDE A SAMPLE OF THE MATERIAL.

**SURVEYOR INFORMATION**

Company Name

Area Code

Phone Number

Mailing Address

Apt #

City

State

County/Parish

Zip Code

Country

I Certify that this survey information is true and correct to the best of my training, education and ability.

Surveyor Signature

Date Signed

Printed Name

Position in Company

Qualifications/experience of Surveyor:



## SECTION 2 - VESSEL INFORMATION

Copy this page as needed to provide information for each vessel that is designated to deposit or harvest of live rock material. A vessel may not be used for depositing or harvesting of material if it is not included on the application.

### SECTION 2a - Primary Vessel Information

Official Number From USCG Certificate Of Documentation

Vessel Name

Hull Identification Number

Hailing Port City

Hailing Port County Or Parish

Hailing Port State

Port of Landing City

Port of Landing State

**USCG DOCUMENTED VESSELS ONLY**

Gross Tons

Net Tons

International Maritime Organization (IMO) Number  
As applicable (see instructions)

State Registration Number (as applicable)

Year Built

Length (ft)

Total Horsepower

Crew Size - Including the Captain

**HOLD or FISH BOX CAPACITY:** How many pounds of product can you bring to the dock when full?

**LIVE WELL CAPACITY:** How many gallons of water does your live well hold?

**Hull Material**

<input type="checkbox"/>	FIBERGLASS
<input type="checkbox"/>	STEEL
<input type="checkbox"/>	WOOD
<input type="checkbox"/>	CEMENT
<input type="checkbox"/>	OTHER

**Fuel Data**

<input type="checkbox"/>	DIESEL	<b>Fuel Capacity -</b>
<input type="checkbox"/>	GASOLINE	
<input type="checkbox"/>	OTHER	

### SECTION 2b - Additional Vessel Information

Official Number From USCG Certificate Of Documentation

Vessel Name

Hull Identification Number

Hailing Port City

Hailing Port County Or Parish

Hailing Port State

Port of Landing City

Port of Landing State

**USCG DOCUMENTED VESSELS ONLY**

Gross Tons

Net Tons

International Maritime Organization (IMO) Number  
As applicable (see instructions)

State Registration Number (as applicable)

Year Built

Length (ft)

Total Horsepower

Crew Size - Including the Captain

**HOLD or FISH BOX CAPACITY:** How many pounds of product can you bring to the dock when full?

**LIVE WELL CAPACITY:** How many gallons of water does your live well hold?

**Hull Material**

<input type="checkbox"/>	FIBERGLASS
<input type="checkbox"/>	STEEL
<input type="checkbox"/>	WOOD
<input type="checkbox"/>	CEMENT
<input type="checkbox"/>	OTHER

**Fuel Data**

<input type="checkbox"/>	DIESEL	<b>Fuel Capacity -</b>
<input type="checkbox"/>	GASOLINE	
<input type="checkbox"/>	OTHER	

### SECTION 3 - PERMIT HOLDER INFORMATION

Complete Section 3a on this page for an individual that is a Aquacultured Live Rock Permit Holder. Complete section 3b for a business that is a Aquacultured Live Rock Permit Holder. ***Photocopy this page as needed to provide information on all permit holders. Select only ONE mailing recipient.***

**Section 3a:** Complete this section if an individual is the Aquacultured Live Rock Permit Holder.

**MAILING RECIPIENT - All mail about this permit will go to the individual listed in Section 3a** **Is this individual a United States Citizen or permanent resident alien?**  YES  NO

What this individual's Sex?  Male  Female **Is this Individual of Hispanic, Latino, or Spanish origin?**  Yes  No

What is this individual's race?  White  Black or African American  American Indian or Alaska Native  Asian American  Native Hawaiian or Other Pacific Islander  Other \_\_\_\_\_

**Last Name**  **First Name**  **Middle Name**  **Suffix - Jr, Sr, etc.**

If you are operating under a different name, what is your Doing Business As (DBA) name?

**Tax ID Number (SSN)**  **Date of Birth (MM/DD/YYYY)**  **Area Code**  **Phone Number**

**Mailing Address**  **Apt #**  **City**  **State**  **County/Parish**  **Zip Code**  **Country**

Check box if the Physical Address is the same as the mailing address.

**Physical Address (PO Box not acceptable)**  **Apt #**  **City**  **State**  **County/Parish**  **Zip Code**  **Country**

**OPTIONAL:** Check here if you would you like to receive digital updates (texts & emails). Provide your digital contact information below.

**Email**  **Cell Phone number and provider:**

**Section 3b:** Complete this section if a business is the Aquacultured Live Rock Permit Holder.

**Type of business:**  S Corporation  Cooperative  Other \_\_\_\_\_  
 C Corporation  Limited Liability Co.  Partnership

**MAILING RECIPIENT - All mail about this permit will go to the individual listed in Section 3b** **Was this Business properly established by the laws of the United States or any state of the United States?**  YES  NO

**Registered Name of Business**

**Tax ID Number (FEIN)**  **Date Business Formed (MM/DD/YYYY)**  **Area Code**  **Phone Number**

**Mailing Address**  **Apt #**  **City**  **State**  **County/Parish**  **Zip Code**  **Country**

Check box if the Physical Address is the same as the mailing address.

**Physical Address (PO Box not acceptable)**  **Apt #**  **City**  **State**  **County/Parish**  **Zip Code**  **Country**

**OPTIONAL:** Check here if you would you like to receive digital updates (texts & emails). Provide your digital contact information below.

**Email**  **Cell Phone number and provider:**

## SECTION 4 - INDIVIDUAL VESSEL OWNER(S) INFORMATION

Vessel Number (USCG or State number)

Photocopy this page as needed to provide ownership information for all vessels listed in section 2. Use a separate page for each vessel.

**Section 4a: Primary or Sole Owner:** Complete this section if there is one or more individual shown on the USCG documentation, State Registration or title as the registered joint owner of the vessel.

Is this individual a United States Citizen or permanent resident alien?  YES  NO

What this individual's Sex? <input type="checkbox"/> Male <input type="checkbox"/> Female	Is this Individual of Hispanic, Latino, or Spanish origin? <input type="checkbox"/> Yes <input type="checkbox"/> No
What is this individual's race? <input type="checkbox"/> White <input type="checkbox"/> Black or African American	<input type="checkbox"/> American Indian or Alaska Native <input type="checkbox"/> Asian American <input type="checkbox"/> Native Hawaiian or Other Pacific Islander <input type="checkbox"/> Other _____

Last Name	First Name	Middle Name	Suffix - Jr, Sr, etc.
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Tax ID Number (SSN)	Date of Birth (MM/DD/YYYY)	Area Code	Phone Number
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Mailing Address	Apt #	City	State	County/Parish	Zip Code	Country
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Check box if the Physical Address is the same as the mailing address.

Physical Address (PO Box not acceptable)	Apt #	City	State	County/Parish	Zip Code	Country
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**OPTIONAL:** Check here if you would you like to receive digital updates (texts & emails). Provide your digital contact information below.

Email	Cell Phone number and provider:
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**Section 4b: Joint Owner.** Complete this section if there is more than one individual shown on the USCG documentation, State Registration or title as the registered owner of the vessel. Copy this page as needed to include ALL owners of the vessel.

Is this individual a United States Citizen or permanent resident alien?  YES  NO

What this individual's Sex? <input type="checkbox"/> Male <input type="checkbox"/> Female	Is this Individual of Hispanic, Latino, or Spanish origin? <input type="checkbox"/> Yes <input type="checkbox"/> No
What is this individual's race? <input type="checkbox"/> White <input type="checkbox"/> Black or African American	<input type="checkbox"/> American Indian or Alaska Native <input type="checkbox"/> Asian American <input type="checkbox"/> Native Hawaiian or Other Pacific Islander <input type="checkbox"/> Other _____

Last Name	First Name	Middle Name	Suffix - Jr, Sr, etc.
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Tax ID Number (SSN)	Date of Birth (MM/DD/YYYY)	Area Code	Phone Number
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Mailing Address	Apt #	City	State	County/Parish	Zip Code	Country
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Check box if the Physical Address is the same as the mailing address.

Physical Address (PO Box not acceptable)	Apt #	City	State	County/Parish	Zip Code	Country
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**OPTIONAL:** Check here if you would you like to receive digital updates (texts & emails). Provide your digital contact information below.

Email	Cell Phone number and provider:
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**SECTION 5 –BUSINESS VESSEL OWNER(S) INFORMATION**

Vessel Number (USCG or State number)

Photocopy this page as needed to provide ownership information for all vessels listed in section 2.

**Section 5a: Primary or Sole Owner:** Complete this section if there is one or more businesses shown on the USCG Documentation, State Registration or Title as the registered owner of the vessel. Select only ONE mailing recipient. Photocopy this section as necessary to provide information about all businesses that own the vessel, or are owners of other businesses that own the vessel.

Type of business:  S Corporation     Cooperative     Other \_\_\_\_\_  
 C Corporation     Limited Liability Co.     Partnership

Was this Business properly established by the laws of the United States or any state of the United States?     YES  
 NO

Registered Name of Business

<b>Tax ID Number (FEIN)</b>	<b>Date Business Formed (MM/DD/YYYY)</b>	<b>Area Code</b>	<b>Phone Number</b>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

<b>Mailing Address</b>	<b>Apt #</b>	<b>City</b>	<b>State</b>	<b>County/Parish</b>	<b>Zip Code</b>	<b>Country</b>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Check box if the Physical Address is the same as the mailing address.

<b>Physical Address (PO Box not acceptable)</b>	<b>Apt #</b>	<b>City</b>	<b>State</b>	<b>County/Parish</b>	<b>Zip Code</b>	<b>Country</b>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

**OPTIONAL:** Check here if you would you like to receive digital updates (texts & emails). Provide your digital contact information below.

Email       Cell Phone number and provider:

**Section 5b: Joint Owner:** Complete this section if there is another business shown on the USCG Documentation, State Registration or Title as the registered joint owner of the vessel. Photocopy this section as necessary to provide information about all businesses that own the vessel, or are owners of other businesses that own the vessel.

Type of business:  S Corporation     Cooperative     Other \_\_\_\_\_  
 C Corporation     Limited Liability Co.     Partnership

Was this Business properly established by the laws of the United States or any state of the United States?     YES  
 NO

Registered Name of Business

<b>Tax ID Number (FEIN)</b>	<b>Date Business Formed (MM/DD/YYYY)</b>	<b>Area Code</b>	<b>Phone Number</b>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

<b>Mailing Address</b>	<b>Apt #</b>	<b>City</b>	<b>State</b>	<b>County/Parish</b>	<b>Zip Code</b>	<b>Country</b>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Check box if the Physical Address is the same as the mailing address.

<b>Physical Address (PO Box not acceptable)</b>	<b>Apt #</b>	<b>City</b>	<b>State</b>	<b>County/Parish</b>	<b>Zip Code</b>	<b>Country</b>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

**OPTIONAL:** Check here if you would you like to receive digital updates (texts & emails). Provide your digital contact information below.

Email       Cell Phone number and provider:

## SECTION 6 - BUSINESSES THAT OWN BUSINESSES

Complete this section for each business that owns 1% or more of a business listed in sections 3b and 4b. Copy this section as needed.

### Section 6a: Business owner:

Business for which this business is an owner of:

Percent of Business Owned:

Type of business:

S Corporation

Cooperative

Other \_\_\_\_\_

Was this Business properly established by the laws of the United States or any state of the United States?

YES

NO

C Corporation

Limited Liability Co.

Partnership

Registered Name of Business

Tax ID Number (FEIN)

Date Business Formed (MM/DD/YYYY)

Area Code

Phone Number





Mailing Address

Apt #

City

State

County/Parish

Zip Code

Country









Check box if the Physical Address is the same as the mailing address.

Physical Address (PO Box not acceptable)

Apt #

City

State

County/Parish

Zip Code

Country









OPTIONAL: Check here if you would you like to receive digital updates (texts & emails). Provide your digital contact information below.

Email

Cell Phone number and provider:

### Section 6b: Additional Business owner:

Business for which this business is an owner of:

Percent of Business Owned:

Type of business:

S Corporation

Cooperative

Other \_\_\_\_\_

Was this Business properly established by the laws of the United States or any state of the United States?

YES

NO

C Corporation

Limited Liability Co.

Partnership

Registered Name of Business

Tax ID Number (FEIN)

Date Business Formed (MM/DD/YYYY)

Area Code

Phone Number





Mailing Address

Apt #

City

State

County/Parish

Zip Code

Country









Check box if the Physical Address is the same as the mailing address.

Physical Address (PO Box not acceptable)

Apt #

City

State

County/Parish

Zip Code

Country









OPTIONAL: Check here if you would you like to receive digital updates (texts & emails). Provide your digital contact information below.

Email

Cell Phone number and provider:

**SECTION 7 - BUSINESS OFFICERS AND INDIVIDUAL OWNERS**

Complete this section by providing information on all individual officers and owners that own 1% or more of any business listed in sections 5b, 5, and 6. Copy this section as needed.

**Section 7a: Individual Officer/Owner:**

**Business for which this individual is an officer/owner of:**

**Position Held - Check ALL That Apply**

President/CEO  Vice President  Secretary  Treasurer  Director/ Manager  Shareholder  Other

**Percent of Business Owned:**

**Is this individual a United States citizen or permanent resident**  YES  NO

**What this individual's Sex?**  Male  Female

**Is this Individual of Hispanic, Latino, or Spanish origin?**  Yes  No

**What is this individual's race?**  White  American Indian or Alaska Native  Native Hawaiian or Other Pacific Islander  
 Black or African American  Asian American  Other \_\_\_\_\_

**Last Name**  **First Name**  **Middle Name**  **Suffix - Jr, Sr, etc.**

**Tax ID Number (SSN)**  **Date of Birth (MM/DD/YYYY)**  **Area Code**  **Phone Number**

**Mailing Address**  **Apt #**  **City**  **State**  **County/Parish**  **Zip Code**  **Country**

**Check box if the Physical Address is the same as the mailing address.**

**Physical Address (PO Box not acceptable)**  **Apt #**  **City**  **State**  **County/Parish**  **Zip Code**  **Country**

**OPTIONAL: Check here if you would you like to receive digital updates (texts & emails). Provide your digital contact information below.**

**Email**  **Cell Phone number and provider:**

**Section 7b: Additional Officer/Owner:**

**Business for which this individual is an officer/owner of:**

**Position Held - Check ALL That Apply**

President/CEO  Vice President  Secretary  Treasurer  Director/ Manager  Shareholder  Other

**Percent of Business Owned:**

**Is this individual a United States citizen or permanent resident**  YES  NO

**What this individual's Sex?**  Male  Female

**Is this Individual of Hispanic, Latino, or Spanish origin?**  Yes  No

**What is this individual's race?**  White  American Indian or Alaska Native  Native Hawaiian or Other Pacific Islander  
 Black or African American  Asian American  Other \_\_\_\_\_

**Last Name**  **First Name**  **Middle Name**  **Suffix - Jr, Sr, etc.**

**Tax ID Number (SSN)**  **Date of Birth (MM/DD/YYYY)**  **Area Code**  **Phone Number**

**Mailing Address**  **Apt #**  **City**  **State**  **County/Parish**  **Zip Code**  **Country**

**Check box if the Physical Address is the same as the mailing address.**

**Physical Address (PO Box not acceptable)**  **Apt #**  **City**  **State**  **County/Parish**  **Zip Code**  **Country**

**OPTIONAL: Check here if you would you like to receive digital updates (texts & emails). Provide your digital contact information below.**

**Email**  **Cell Phone number and provider:**

**SECTION 7 - OFFICER/OWNER INFORMATION FOR BUSINESS(ES) THAT OWN OR LEASE THE VESSEL (cont.)**

**7c. Minor Owner Information**

MINOR OWNERS - Check here if one or more owners individually holds shares that is less than 1% of the total business shares.

TOTAL PERCENTAGE of the business shares held by minor owners.

**SECTION 8 - SMALL BUSINESS OR ORGANIZATION CERTIFICATION**

ALL applicants must complete this section

- For vessels that are leased, complete this section for business(es), including sole proprietorship(s), or organization(s) that lease the vessel.
- For vessels that are not leased, complete this section for business(es), including sole proprietorship(s), or organization(s) that own the vessel (i.e., the business(es), including sole proprietorship(s), or organization(s) that appear on the vessel's USCG documentation or state registration).

**Information needed to complete this section:** Please estimate your annual gross revenues (sales) for the most recent calendar year your business or organization was active prior to this year. Your primary activity is the activity that generated the greatest percentage of annual gross revenues in the most recent complete calendar year the business or organization was active. Review the business/organization descriptions in Boxes 1 through 7 and identify the one that describes the applicant's primary activity. If the business is primarily a seafood dealer or processor, estimate the number of employees for the most recent calendar year your business or organization was active prior to this year. Include all full-time, part-time, and temporary employees in your estimate, but do not include crew that work on any vessels owned by the business or organization or its affiliates. Your estimates should account for the revenues and employees of ALL businesses and organizations with which your business or organization is affiliated. See the instructions at the beginning of the application package for more information about affiliation. **If you have questions about affiliation and how it applies in your case, please call 727-824-5305 and ask for one of our Office's economists.**

**How to fill out the form:** Start with Box 1. If the answer to the question in Box 1 is "Yes," check "Yes," and answer the questions in the box to the right and follow the instructions in that box. If the answer to Question 1 is "No," check "No" and go to Box 2. Continue this process until you have either: (1) answered "Yes" to ONE of the questions in Boxes 1 through 6 AND the applicable questions in the boxes to the right, OR (2) answered all questions in Box 7.

<p>Box 1. Is the business primarily involved in harvesting seafood (commercial fishing)?</p> <p>Yes          No</p> <p>If the answer is yes, go to question 1A to the right. Otherwise, go to Question 2 below.</p>	<p>1A) Was the business active prior to this year?</p> <p>Yes          No</p> <p>If yes, go to question 1B. If no, <b>you are done. Go to Section 9 of the application.</b></p>	<p>1B) What was the most recent year the business was active prior to this year?</p> <p>_____</p> <p>Did the business have more than \$11 million in gross receipts in that year? Yes          No <b>You are done. Go to Section 9 of the application.</b></p>
<p>Box 2. Is the business primarily involved in for-hire fishing services (charter, party/headboat)?</p> <p>Yes          No</p> <p>If the answer is yes, go to question 2A to the right. Otherwise, go to Question 3 below.</p>	<p>2A) Was the business active prior to this year?</p> <p>Yes          No</p> <p>If yes, go to question 2B. If no, <b>you are done. Go to Section 9 of the application.</b></p>	<p>2B) What was the most recent year the business was active prior to this year?</p> <p>_____</p> <p>Did the business have more than \$7.5 million in gross receipts in that year? Yes          No <b>You are done. Go to Section 9 of the application.</b></p>
<p>Box 3. Is the business primarily involved in buying and selling seafood (seafood dealer/wholesaler)?</p> <p>Yes          No</p> <p>If the answer is yes, go to question 3A to the right. Otherwise, go to Question 4 below.</p>	<p>3A) Was the business active prior to this year?</p> <p>Yes          No</p> <p>If yes, go to question 3B. If no, <b>you are done. Go to Section 9 of the application.</b></p>	<p>3B) What was the most recent year the business was active prior to this year?</p> <p>_____</p> <p>Did the business have more than 100 employees? Yes          No <b>You are done. Go to Section 9 of the application.</b></p>
<p>Box 4. Is the business primarily involved in processing seafood (seafood processor)?</p> <p>Yes          No</p> <p>If the answer is yes, go to question 1A to the right. Otherwise, go to Question 5 on the next page.</p>	<p>4A) Was the business active prior to this year?</p> <p>Yes          No</p> <p>If yes, go to question 4B. If no, <b>you are done. Go to Section 9 of the application.</b></p>	<p>4B) What was the most recent year the business was active prior to this year?</p> <p>_____</p> <p>Did the business have more than 750 employees? Yes          No <b>You are done. Go to Section 9 of the application.</b></p>

Next page



**SECTION 8 - SMALL BUSINESS OR ORGANIZATION CERTIFICATION**  
(Continued from previous page)

Box 5. Is the organization an Environmental, Conservation and Wildlife, or Professional Non-Profit Organization?

Yes            No

If the answer is yes, go to question 5A to the right. Otherwise, go to Question 6 below.

5A) Was the organization active prior to this year?

Yes            No

If yes, go to question 5B. If no, **you are done. Go to Section 9 of the application.**

5B) What was the most recent year the organization was active prior to this year?

\_\_\_\_\_

Did the organization have more than \$15 Million in gross receipts?    Yes            No  
**You are done. Go to Section 9 of the application.**



Box 5. Is the organization some other Non-Profit Organization (e.g., business association)?

Yes            No

If the answer is yes, go to question 6A to the right. Otherwise, go to Question 7 below.

6A) Was the organization active prior to this year?

Yes            No

If yes, go to question 6B. If no, **you are done. Go to Section 9 of the application.**

6B) What was the most recent year the business was active prior to this year?

\_\_\_\_\_

Did the organization have more than \$7.5 Million in gross receipts?    Yes            No  
**You are done. Go to Section 9 of the application.**



7) The business or organization must be primarily involved in another industry not related to fishing or seafood.

Refer to SBA's list of NAICS codes (see <https://go.usa.gov/xRGvQ>) and enter the NAICS code for your primary activity here:

Based on the applicable SBA size standard, check the appropriate box to indicate if the business or organization is Large or Small and report the year on which that conclusion was based.

Large            Small            Year:                            **You are done. Go to Section 9 of the application.**

**SECTION 9 — APPLICANT SIGNATURE — I certify that the information provided is complete and correct.**

The undersigned certifies under penalty of perjury that the foregoing information is true and correct (28 USC 1746; 18 USC 1621; 18 USC 1001, 16 USC 1857).

The applicant must be an individual named as permit holder in Section 3a, or an officer or shareholder of the business listed in Section 3b as the permit holder.

Applicant Signature

Date Signed

Printed Name

Position in Company