

LLPLicense Limitation
Program**Application for Transfer
License Limitation Program
Groundfish / Crab License**

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



This form is used to request transfer of license or quota share (QS) to an eligible receiver.

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. See instructions for exceptions.

BLOCK A – REQUIRED DOCUMENTATION

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

☐ 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.

☐ Completed Application

☐ Power of Attorney (*if applicable*)

☐ LLP Ownership Information provided by the Transferee/Receiver

BLOCK B – IDENTIFY TRANSFER TYPE
(Use one application for each license)

☐ LLP Crab License Number:

☐ LLP Groundfish License Number:

Note(s): All sections of the application must be completed. The Transferor and Transferee must sign the application in Blocks L and M, respectively. 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.

☐ Aleutian Islands < 60 ft Trawl (Endorsement Only):

Enter the LLP license number to which endorsement is currently assigned:

Enter the LLP license number to which endorsement is transferring:

☐ Rockfish QS: (**only** Rockfish QS assigned to an LLP license in excess of a use cap).

- Blocks C, D, and G must be completed. The Transferor and Transferee must sign the application in Blocks L and M, respectively.

☐ Pacific Cod Trawl Cooperative (PCTC) Program QS (**only** PCTC Program QS assigned to an LLP license in excess of a use cap)

- Blocks C, D, and H must be completed. The Transferor and Transferee must sign the application in Blocks L and M, respectively.

BLOCK C – IDENTIFICATION OF TRANSFEROR (SELLER)

1. Name of Transferor (*as it appears on the LLP license*):

2. Business Mailing Address. Indicate whether ☐ Permanent or ☐ Temporary:

3. Business Telephone Number:

4. Business Fax Number:

5. E-mail Address:

BLOCK D - 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*):

3. Business Mailing Address. Indicate whether ☐ Permanent or ☐ Temporary:

4. Business Telephone Number:

5. Business Fax Number:

6. E-mail Address:

**BLOCK E – VESSEL CURRENTLY NAMED
ON LICENSE**

Name of Vessel:

Length Overall (LOA):

ADF&G Vessel Number:

U.S. Coast Guard (USCG) Number:

**BLOCK F – VESSEL TO BE NAMED
ON NEW LICENSE**

Name of Vessel:

LOA:

ADF&G Vessel Number:

USCG Number:

BLOCK G – 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 (*list number of QS units and Rockfish species*):

BLOCK H – IDENTIFICATION OF PCTC PROGRAM QS TO BE TRANSFERRED

This section applies **only** to PCTC Program QS assigned to an LLP license. QS that exceeds a use cap specified in § 679.133(a)(2) may be severed from the LLP license. All other PCTC Program QS is not severable from the LLP license on which it was initially allocated. QS may not be transferred to another LLP license if that would cause the transferee to exceed use caps.

1. Enter LLP license number on which PCTC Program QS over the use cap is currently assigned.

2. Enter LLP license number(s) to which the PCTC Program QS is being transferred:

3. Identification of PCTC Program QS to be transferred (*list number of QS units*):

4. Price of PCTC Program QS to be transferred (*list sale price for QS units in dollars*):

REQUIRED SUPPLEMENTAL INFORMATION:

Applications will not be processed unless **all** information requested in blocks I, J, and K is provided

BLOCK I – 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 J – 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 K- 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 (<i>name</i>): | |

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

- | | |
|--|--|
| ☐ Relative | ☐ Personal Friend |
| ☐ Advertisement/Public Notice | ☐ Casual Acquaintance |
| ☐ Permit Broker | ☐ Other (<i>explain</i>): |

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

- | | |
|---|--|
| ☐ No Relationship | ☐ Family Member |
| ☐ Business Partner/Associate | ☐ Friend |
| ☐ 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:

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:

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 (<i>use attachment if necessary</i>):
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NOTE: If an authorized representative is signing on behalf of a party, authorization (*in the form of a Power of Attorney or other legally sufficient documentation*) must be submitted with this application, or be on file with the NMFS Restricted Access Management Division.

BLOCK L– SIGNATURE OF TRANSFEROR	
Pursuant to 28 U.S.C. § 1746, I declare under penalty of perjury that the foregoing is true and correct.	
1. Signature of Transferor or Authorized Representative:	2. Date:
3. Printed Name of Transferor or Authorized Representative (Note: If Representative, attach authorization.)	
BLOCK M– SIGNATURE OF TRANSFeree	
Pursuant to 28 U.S.C. § 1746, I declare under penalty of perjury that the foregoing is true and correct.	
1. Signature of Transferee or Authorized Representative:	2. Date:
3. Printed Name of Transferee or Authorized Representative (Note: If Representative, attach authorization.)	

PUBLIC REPORTING BURDEN STATEMENT

A Federal agency may not conduct or sponsor, and a person is not required to respond to, nor shall a person be subject to a penalty for failure to comply with an information collection subject to the requirements of the Paperwork Reduction Act of 1995 unless the information collection has a currently valid OMB Control Number. The approved OMB Control Number for this information collection is 0648-0334. Without this approval, we could not conduct this information collection. Public reporting for this information collection is estimated to be approximately 1 hour per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the information collection. All responses to this information collection are required to obtain benefits pursuant to 50 CFR part 679. This form is used to request transfer of license or quota share (QS) to an eligible receiver. Send comments regarding this burden estimate or any other aspect of this information collection, including suggestions for reducing this burden to: Assistant Regional Administrator for Sustainable Fisheries Division, NMFS Alaska Region, P.O. Box 21668, Juneau, AK 99802-1668.

PRIVACY ACT STATEMENT

Authority: The collection of this information is authorized under the Magnuson-Stevens Fishery Conservation and Management Act, 16 U.S.C 1801 *et seq.*

Purpose: In order to manage U.S. fisheries, the NOAA National Marine Fisheries Service (NMFS) requires the use of permits or registrations by participants in the United States. A License Limitation Program (LLP) license is required for vessels participating in directed fishing for LLP groundfish species in the Bering Sea and Aleutian Islands (BSAI) or Gulf of Alaska, or fishing in any BSAI LLP crab fisheries. As the selection process for the LLP has ended, no new licenses will be issued; an LLP license may only be obtained through transfer. The information requested on this form is used to manage the LLP. The information requested is for the express purpose of ensuring that transfers of groundfish and crab LLP 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.

Routine Uses: The Department will use this information to identify fishery participants and to determine transfer eligibility. Disclosure of this information is permitted under the Privacy Act of 1974 (5 U.S.C. Section 552a), to be shared within NMFS offices, in order to coordinate monitoring and management of sustainability of fisheries and protected resources, as well as with the applicable State or Regional Marine Fisheries Commissions and International Organizations. Disclosure of this information is also subject to all of the published routine uses as identified in the [Privacy Act System of Records Notice COMMERCE/NOAA-19](#), Permits and Registrations for the United States Federally Regulated Fisheries.

Disclosure: Furnishing this information is required to transfer a groundfish or crab license under the LLP; failure to provide complete and accurate information will prevent the determination of eligibility to transfer or receive an LLP license.

Instructions
APPLICATION FOR
LICENSE LIMITATION PROGRAM (LLP) TRANSFER
GROUND FISH/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 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, with two exceptions.

1. If the fishing history of a vessel that did not have a Federal Fisheries Permit was transferred before February 7, 1998, the qualifying vessel did not have to accompany the license.
2. 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 Islands Area Endorsement

An Aleutian Islands 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 Aleutian Islands 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 <https://www.fisheries.noaa.gov/permit/alaska-license-limitation-program-applications-groundfish-and-crab>.

Call RAM at 1-800-304-4846 (option 2) or (907) 586-7202 (option 2)

Walk in to the RAM office (709 W 9th Street, 7th 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, AK 99802-1668

By delivery to: **Room 713, Federal Building**
709 West 9th Street
Juneau, AK 99801

Or, by fax to: **907-586-7354**

- ◆ **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 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 – IDENTIFY TRANSFER TYPE

Use one application for each LLP license. Indicate the type of transfer you are requesting:

- **LLP Crab License** enter the number of the LLP crab license you are transferring.
LLP Groundfish License: Enter the number of the LLP groundfish license you are transferring.

When Transferring an LLP license, you must complete all sections of the application relating to the license transfer. The Transferee and Transferor must sign the application in Blocks L and M, respectively.

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.

- **Aleutian Islands < 60 ft Trawl (Endorsement Only):** Enter the number of the LLP groundfish license to which this endorsement is currently assigned AND the number of the LLP groundfish license to which it is transferring. If you are transferring the whole license, check the LLP Groundfish license box. Complete all required sections of the application. The Transferor and Transferee must sign the application in Blocks L and M, respectively.
- **Rockfish QS.** Check this box if you are transferring Rockfish QS in excess of a use cap. Complete Blocks A, B, C, D, and G. The Transferor and Transferee must sign the application in Blocks L and M, respectively. See Block G for additional instructions.

PCTC Program QS. Check this box if you are transferring PCTC Program QS in excess of a use cap. Complete Blocks A, B, C, D, and H. The Transferor and Transferee must sign the application in Blocks L and M, respectively. See Block H for additional instructions.

BLOCK C – IDENTIFICATION OF TRANSFEROR (SELLER)

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

BLOCK D – 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 business mailing address (*include city, state, and zip code*) and indicate whether permanent or temporary. Check temporary mailing address if you would like the transfer documentation sent somewhere other than your permanent address.
- 4–5. Enter the business telephone and fax numbers, including area code.
6. Enter the e-mail address.

BLOCK E –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 F – 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.**

BLOCK G – 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 H – IDENTIFICATION OF PCTC PROGRAM QS TO BE TRANSFERRED

This section applies only to PCTC Program QS assigned to an LLP license that exceeds a use cap specified at § 679.133(a)(2). All other PCTC Program 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 PCTC Program QS over the use cap is currently assigned.
2. Enter the LLP license number to which the PCTC Program QS is being transferred. This LLP license must already be assigned PCTC Program QS.
3. Identify the PCTC Program QS to be transferred; list the number of QS units.
4. Enter the price of the PCTC Program QS to be transferred (list sale price for QS units in dollars).

REQUIRED SUPPLEMENTAL INFORMATION

**APPLICATION WILL NOT BE PROCESSED
UNLESS ALL INFORMATION REQUESTED IN BLOCKS I, J, AND K IS PROVIDED.**

BLOCK I – 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 J – 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 K – 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 to transfer it to any other person, or whether a condition is placed on resale or conveyance of the license.

If YES, provide details.

BLOCKS L and M – SIGNATURE OF TRANSFEROR AND TRANSFEREE

Applicant must print and sign his or her name and enter the date the application was signed. If the application is completed by the Applicant's authorized representative, **attach** proof of authorization. **The application will be considered incomplete without your signature and will not be processed.**