



**Developing a Spiny Lobster  
(*Panulirus argus*) Fishing Permit for  
St. Thomas, U.S. Virgin Islands,  
Exclusive Economic Zone Waters**

**White Paper**

May 2016



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## Chapter 1. Introduction

### 1.1. What Issue is Being Addressed?

This white paper provides the Caribbean Fishery Management Council (Council) with an overview of the many aspects involved in the development of a commercial harvest permit for spiny lobster (*Panulirus argus*) in the St. Thomas/St. John (STT/STJ) district of the U.S. Virgin Islands (USVI) exclusive economic zone (EEZ). A primary goal of establishing this permit is to gain a better understanding of the population of fishers and their harvest patterns in the STT/STJ EEZ. Increased knowledge of fishing effort<sup>1</sup> and harvest data<sup>2</sup> could improve fisheries management in STT/STJ by reducing scientific and management uncertainty and better identifying spatial patterns of capture and harvest. A federal permit system could also enhance the ability to obtain landings data<sup>3</sup> from fishers through increased reporting compliance, while targeting active fishers for educational and/or research activities. Improved data collection may also enable the application of in-season accountability measures, thus preventing annual catch limit overages and possibly overfishing.

#### *Caribbean Fishery Management Council*

- Responsible for conservation and management of U.S. Caribbean fish stocks (except highly migratory species, which are managed directly by the National Marine Fisheries Service).
- Consists of seven voting members:
  - Four voting members appointed by the Secretary of Commerce
  - One voting member appointed by each of the Governors of Puerto Rico and the U.S. Virgin Islands
  - The Regional Administrator of NMFS for the Southeast Region
- Manages the area from 3 to 200 nautical miles (nm) off the coasts of the U.S. Virgin Islands, and 9 to 200 nm off the coast of Puerto Rico.
- Develops fishery management plans and recommends regulations to NMFS for implementation on behalf of the Secretary of Commerce.

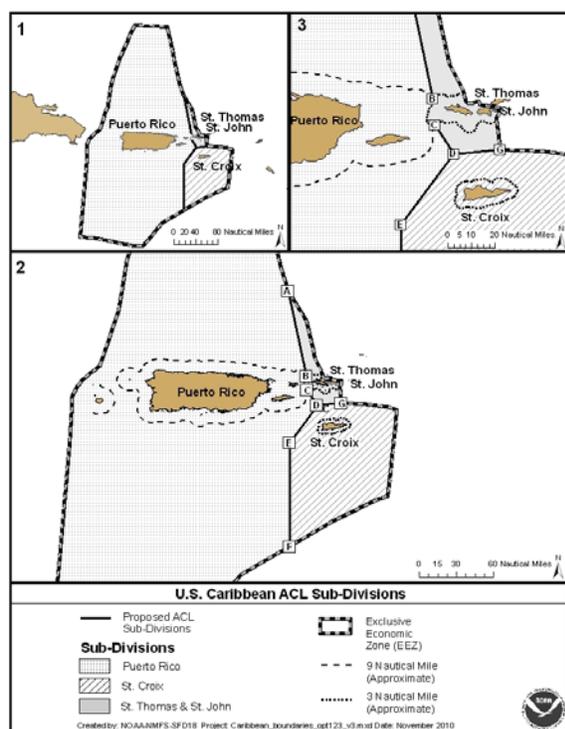
<sup>1</sup> The amount of fishing gear of a specific type used on the fishing grounds over a given unit of time (e.g. hours trawled per day, number of hooks set per day, or number of hauls of a beach seine per day). When two or more kinds of gear are used, the respective efforts must be adjusted to some standard type before being added.

<sup>2</sup> Data on the total number or weight of fish caught and kept from an area over a period of time.

<sup>3</sup> Data on the number or poundage of fish unloaded by commercial fishers or brought to shore by recreational fishers for personal use.

## 1.2. Where is the project located?

The St. Thomas/St. John district of the USVI includes the main islands of St. Thomas and St. John, along with Water Island near Charlotte Amalie and a variety of smaller islands and cays. The STT/STJ EEZ consists of those waters extending from the three nm seaward boundary of STT/STJ out to 200 nautical miles offshore (Figure 1.2.1) as modified by the boundaries of other states, territories, or countries.



**Figure 1.2.1.** Jurisdictional boundaries of the Caribbean Fishery Management Council, including boundaries for the STT/STJ EEZ.

## 1.3. Why is the Council considering action?

The harvest activities of all fishing sectors must be understood to the greatest degree

possible to assure that societal goals encompassed in the Magnuson-Stevens Fishery Conservation and Management Act (Magnuson-Stevens Act) are met. Thus, the need for timely, effective, and efficient means to monitor harvest from all sectors is fundamental. A permitting system provides a comprehensive method to achieve this goal. Permits also allow for direct communication with fishing entities, enabling focused outreach and education opportunities.

Permits allow fishery managers to gather more accurate data, decreasing both scientific and management uncertainty. Scientific uncertainty can be mitigated to some degree by increasing knowledge of the fishery. A permit system that identifies the universe of harvesters and allows tracking of the disposition of harvested resources would substantially enhance knowledge of the fishery. Data derived from a comprehensive permit system would also contribute to reducing management uncertainty by providing better estimates of harvesting effort and thereby improving model design and outputs. More accurate and reliable catch data allow for more informed management decisions and provides managers with a better understanding of the health of the fish stocks.

An absence of a federal permit system, or mandatory federal reporting requirements, has been identified as a major contributor to the lack of fishing effort information in the EEZ. All U.S. Caribbean EEZ commercial fisheries would benefit from enhanced data reporting, better understanding and

management of effort, and improved communication among all involved.

The STT/STJ commercial spiny lobster historically involves a small number of dedicated fishers, most of who have been involved in the fishery for many years. Establishing a federal spiny lobster harvest permit would enhance federal management of this professional fishing sector by identifying commercial fishermen participating in the spiny lobster fishery and guiding their participation. Additionally, a federal permit with defined reporting requirements would facilitate reporting compliance, timeliness, and accuracy, enable better understanding of temporal and spatial harvest patterns, facilitate enforcement, and potentially enable establishment of in-season data acquisition and verification to support in-season management. These outcomes would reduce scientific and management uncertainty, thus establishing a pathway to potentially increase allowable catch and reduce the likelihood of overfishing the resource while mitigating negative impacts of management to fishing communities.

A permit system for the commercial STT/STJ spiny lobster fishery also would establish a conduit for communications between managers and commercial spiny lobster fishers. This conduit would enable a better understanding of the fishery by all involved, for example by facilitating discussions of the effectiveness of regulations implemented to manage fishing activities, by deescalating negative interactions among fishing sectors, by

identifying trends in the health of the resource, and by increasing awareness among constituents of outreach and education opportunities and needs.

#### **1.4. Background**

A white paper discussing various aspects of fishing permits, as they might apply in the U.S. Caribbean, was presented to the Caribbean Council at their August 2014 meeting. That paper summarized general considerations regarding the establishment of fishing permits in U.S. Caribbean EEZ waters. Following a broad overview of permits and their potential applicability in U.S. Caribbean EEZ waters, the paper discussed two specific permit opportunities, including for the commercial fish trap fishery of STT/STJ and for the commercial Snapper Unit 2 fishery of Puerto Rico.

Based on the information contained in the white paper, the Council directed staff to develop a scoping document to evaluate general concepts regarding harvest permits in the U.S. Caribbean, and to conduct scoping hearings throughout the islands of the U.S. Caribbean. Scoping hearings were held at various locations throughout Puerto Rico, and on St. Thomas and St. Croix, USVI, during March 2015. Public comments obtained during those scoping hearings were presented to the Council at their April 2015 meeting. With regard to STT/STJ, those comments revealed an interest from constituents to consider a spiny lobster harvest permit for STT/STJ EEZ waters. However, the constituents requested the Council first develop a follow-up white

paper providing a specific overview of a STT/STJ spiny lobster permit program. Some possible options, distributed among various organizing Actions, are listed in the chapters below. These Actions and the options proposed within each Action, serve as a start point for public discussion of the design and implementation of this permit program. However, all aspects of the program remain open to public input and discussion. That input will strongly

influence the final form of the permit program. Note also that permit programs are being considered for other fisheries on other U.S. Caribbean islands, including a queen and cardinal snapper harvest permit for Puerto Rico EEZ waters. The structure of these various permit programs will be very similar, because the guiding principles of a permit program remain the same from sector to sector and because the various permit programs share common goals.

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## Chapter 2. Establish and Define the Permit

### 2.1 Action 1: Establish a permit to commercially harvest and sell spiny lobster from STT/STJ EEZ waters.

Option 1: Do not require a permit for commercial harvest and sale of spiny lobster from STT/STJ EEZ waters.

Option 2: Require a permit for commercial harvest and sale of spiny lobster from STT/STJ EEZ waters.

### 2.2 Action 2: Establish whether the permit is open access or limited access.

Option 1: Establish an open access permit for commercial harvest and sale of spiny lobster from STT/STJ EEZ waters with no limit on the number of permits that may be issued, although eligibility requirements may limit participation.

Option 2: Establish a limited access permit for commercial harvest and sale of spiny lobster from STT/STJ EEZ waters in which, following some period of eligibility, no new permits are issued. If this option is chosen, guidelines for transferring permits will need to be established.

### 2.3 Action 3: Designate the permit required to participate in the commercial fishery for spiny lobster from STT/STJ EEZ waters.

Option 1: Do not designate a permit for the commercial harvest of spiny lobster from STT/STJ EEZ waters.

Option 2: Designate a USVI DPNR commercial spiny lobster harvest permit as the required permit for commercial harvest of spiny lobster from STT/STJ EEZ waters.

Option 3: Designate a federal commercial spiny lobster harvest permit as the required permit for commercial harvest of spiny lobster from STT/STJ EEZ waters.

Sub-option A: The required federal permit will be assigned to the individual fisher or to their business, and therefore valid regardless of the vessel from which the fisher is operating.

Sub-option B: The required federal permit will be assigned to a vessel and therefore valid for all licensed fishers operating from that vessel.

Option 4: Designate that either the USVI DPNR commercial spiny lobster harvest permit, or a separate federal commercial spiny lobster harvest permit, will serve as the required permit for commercial harvest of spiny lobster from STT/STJ EEZ waters.

**2.4 Action 4: Designate the length of time a permit required to participate in the commercial fishery for spiny lobster from STT/STJ EEZ waters is valid.**

Option 1: Do not designate a length of time a permit for the commercial harvest of spiny lobster from STT/STJ EEZ waters is valid.

Option 2: Designate one year from the next expiration date as the length of time a permit for the commercial harvest of spiny lobster from STT/STJ EEZ waters is valid.

Option 3: Designate two years between expiration dates as the length of time a permit for the commercial harvest of spiny lobster from STT/STJ EEZ waters is valid.

## Chapter 3. Application Eligibility, Requirements and Costs

### 3.1 Action 5: Permit eligibility

Option 1: Do not establish specific eligibility requirements for obtaining a permit to commercially harvest spiny lobster from STT/STJ EEZ waters.

Option 2: Require the applicant for a permit to commercially harvest spiny lobster from STT/STJ EEZ waters to hold a valid license to commercially fish in U.S. EEZ waters.

Option 3: Require the applicant for a permit to commercially harvest spiny lobster from STT/STJ EEZ waters to provide proof of previous spiny lobster harvest activity during a specific period of time.

Sub-option A: Use the most recent three years of reported commercial landings of spiny lobster to determine eligibility.

Sub-option B: Require the fisher to provide evidence of commercial spiny lobster landings for at least three of the most recent five years for which landings data are available.

Sub-option C: OTHER

Option 4: Require the applicant for a permit to commercially harvest spiny lobster from STT/STJ EEZ waters to provide proof of minimum average annual landings of spiny lobster during the specific period of time identified in Option 3.

Sub-option A: Minimum reported average annual landings of 1,000 pounds whole weight.

Sub-option B: Minimum reported average annual landings of 5,000 pounds whole weight.

Sub-option C: Minimum reported average annual landings of 10,000 pounds whole weight.

Sub-option D: Minimum reported average annual landings of x pounds whole weight.

Option 5: OTHER/ALTERNATE ELIGIBILITY REQUIREMENTS?

### **3.2 Action 6: Application submission obligation**

Option 1: Do not require the individual or business applicant to submit a federal permit application in order to obtain a permit for the commercial harvest of spiny lobster from STT/STJ EEZ waters.

Option 2: Require the individual or business applicant to submit a federal permit application in order to obtain a permit for the commercial harvest of spiny lobster from STT/STJ EEZ waters.

Sub-option A: Do not establish an expiration date for the federal permit to commercially harvest spiny lobster from STT/STJ EEZ waters—a permit is valid until surrendered by the holder.

Sub-option B: Establish an expiration date for the federal permit to commercially harvest spiny lobster from STT/STJ EEZ waters.

Sub-sub-option i: Establish the applicants birth date (incorporation date) as the expiration date of the individuals (business') permit to commercially harvest spiny lobster from STT/STJ EEZ waters.

Sub-sub-option ii: Establish the last day of the applicants birth (incorporation) month as the expiration date of the individuals (business') permit to commercially harvest spiny lobster from STT/STJ EEZ waters.

Sub-sub-options iii: Establish December 31 as the expiration date of the individual's (business') permit to commercially harvest spiny lobster from STT/STJ EEZ waters.

### **3.3 Action 7: Permit application contents.**

Option 1: Do not define the information to be included on an application for a federal permit to commercially harvest spiny lobster from STT/STJ EEZ waters.

Option 2: Require specific information to be provided on an application for a federal permit to commercially harvest spiny lobster from STT/STJ EEZ waters.

Sub-option A: Require the applicant (business) to include their name (business name), social security number (tax identification number), and date of birth (date of incorporation).

Sub-option B: Require the applicant to designate whether the application is for an individual or for a business, and assign the permit accordingly.

Sub-option C: Require the applicant to submit a complete federal application for fishing in the U.S. EEZ, the first page of which is included in Appendix A.

### **3.4 Action 8: Permit application cost.**

Option 1: Do not charge an administrative fee for processing an application for a federal permit to commercially harvest spiny lobster from STT/STJ EEZ waters.

Option 2: Charge an administrative fee to recover the costs associated with processing an application for a federal permit to commercially harvest spiny lobster from STT/STJ EEZ waters.

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## Chapter 4. Gear and Harvest Restrictions

### 4.1 Action 9: Gear restrictions.

Option 1: Do not define additional gear restrictions, beyond those already in place for conducting commercial fishing operations in STT/STJ EEZ waters.

Option 2: Define the allowable gear for harvest of spiny lobster from STT/STJ EEZ waters. Those allowable gear include and are limited to:

Sub-option A: Hand harvest.

Sub-option B: Lobster trap.

Sub-option C: OTHER.

### 4.2 Action 10: Trap limits.

Option 1: Do not specify a maximum number of lobster traps a permitted lobster fisher may deploy for harvest of spiny lobster from STT/STJ EEZ waters.

Option 2: Specify a maximum number of lobster traps a permitted lobster fisher may deploy for harvest of spiny lobster from STT/STJ EEZ waters.

Sub-option A: 25 traps.

Sub-option B: 50 traps.

Sub-option C: 100 traps.

Sub-option D: OTHER.

### 4.3 Action 11: Bag limits.

Option 1: Do not specify a maximum allowable harvest (in pounds) of spiny lobster on each fishing trip conducted in STT/STJ EEZ waters.

Option 2: Specify a maximum allowable harvest (in pounds) of spiny lobster on each fishing trip conducted in STT/STJ EEZ waters.

Sub-option A: 150 pounds whole weight.

Sub-option B: 300 pounds whole weight.

Sub-option C: 500 pounds whole weight.

Sub-option D: OTHER.

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## Chapter 5. Method and Frequency of Reporting

### 5.1 Action 12: Reporting method.

Option 1: Continue to use the USVI DPNR commercial catch reporting forms as the reporting method for commercial fishers harvesting spiny lobster from the STT/STJ EEZ.

Option 2: Require fishers to report landings of spiny lobster from STT/STJ EEZ waters using a form specifically designed for this purpose.

Option 3: Require fishers to report landings of spiny lobster from STT/STJ EEZ waters using an electronic reporting method.

Option 4: Allow fishers to choose between the USVI DPNR commercial catch reporting form or the electronic reporting method.

### 5.2 Action 13: Method of submitting landings reports.

Option 1: Require reporting forms to be submitted in-person, by fax, or electronically (via computer or internet).

Option 2: Require reporting forms to be submitted electronically

Option 3: Require reporting forms to be submitted in-person or by fax until electronic reporting is in place, at which time electronic reporting is required.

### 5.3 Action 14: Frequency of reporting.

Option 1: Do not alter the presently established bi-weekly frequency with which landings reports must be submitted by commercial fishers harvesting spiny lobster from STT/STJ EEZ waters.

Option 2: Require fishers permitted to harvest spiny lobster from STT/STJ EEZ waters to submit landings reports daily, regardless of fishing activity or lack thereof.

Option 3: Require fishers permitted to harvest spiny lobster from STT/STJ EEZ waters to submit landings reports within 24 hours following completion of a fishing trip for which spiny lobster were harvested from STT/STJ EEZ waters.

Option 4: Require fishers permitted to harvest spiny lobster from STT/STJ EEZ waters to submit landings reports weekly, regardless of fishing activity or lack thereof.

Option 5: Require fishers permitted to harvest spiny lobster from STT/STJ EEZ waters to submit landings reports every two weeks, regardless of fishing activity or lack thereof.

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## Chapter 6. Failure to Comply

### **6.1 Action 15: Penalties for Failure to Comply with Gear and Harvest Requirements.**

Option 1: Establish no penalties for failing to comply with gear and harvest requirements.

Option 2: Provide penalties for failing to comply with gear and harvest requirements.

Sub-option A:

### **6.2 Action 16: Penalties for Failure to Comply with Reporting Requirements.**

Option 1: Establish no penalties for failing to comply with landings reporting requirements.

Option 2: Provide penalties for failing to comply with landings reporting requirements.

Sub-option A:

## Chapter 7. Program Administration and Revision

### 7.1 Action 17: Administration.

Option 1: Delegate the USVI DPNR as the administrator of the STT/STJ EEZ commercial spiny lobster permit.

Option 2: Administer the STT/STJ EEZ commercial spiny lobster permit through the NOAA/NMFS/SERO permit office.

### 7.2 Action 18: Framework Measures.

Option 1: Do not establish framework measures applicable to the commercial spiny lobster harvest permit program for STT/STJ EEZ waters.

Option 2: Establish framework measures, including some or all of the following:

Sub-option A: Adjust the permit fee to reflect changes in the cost of administering the program.

Sub-option B: Adjust the open period for submitting a permit application.

Sub-option C: WHAT ELSE?

Sub-option D:

# Appendix A: SERO Permit Application

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)  
 permits.sero.nmfs.noaa.gov



OMB Control No. 0648-0205; Expiration date:: 10/31/2014

## FEDERAL PERMIT APPLICATION FOR VESSELS FISHING IN THE EXCLUSIVE ECONOMIC ZONE (EEZ)

FOR OFFICE USE ONLY

Application ID

FOR OFFICE USE ONLY

Reviewer's Initials and Date	
Permit Check or Money Order Number and Amount	
Floy Tag Check or Money Order Number and Amount	
Sanctioned Case Number if Sanctioned	
Non Compliance Hold Date	
Non Compliance Cleared Date	
Expiration Date(s)	

**REMEMBER TO SEND A COPY** of the current (not expired) United States Coast Guard (USCG) Certificate of Documentation or a copy of the State Vessel Registration. Do not send the original. If the vessel's state registration does not list all owners, also provide a copy of the vessel's title, or other documentation from the appropriate state agency, that identifies all vessel owners.

### SECTION 1 - VESSEL INFORMATION

Official Number From USCG Certificate Of Documentation (If the vessel is documented)

State Registration Number (as applicable)

Vessel Name

Hull Identification or IMO Number

Hailing Port City

Hailing Port County Or Parish      Hailing Port State

USCG DOCUMENTED VESSELS ONLY

Gross Tons      Net Tons

Passenger Capacity Data For Charter Vessels/Headboats Only

UNINSPECTED VESSEL - "6-PACK"

USCG INSPECTED VESSEL: Specify Passenger Capacity as listed on the USCG Certificate of Inspection, not including Capt. and Crew.

Year Built      Length (ft)      Total Horsepower

Crew Size—Including the Captain, but not including passengers.

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

**Hull Material**

FIBERGLASS

STEEL

WOOD

CEMENT

OTHER (DESCRIBE) \_\_\_\_\_

**Fuel Data**

DIESEL

GASOLINE

OTHER (DESCRIBE) \_\_\_\_\_

Fuel Capacity - Total Gallons

**Product Storage (check all that apply)**

ON ICE IN HOLD, FISH BOX, ICE CHEST, COOLER, ETC

FREEZER

LIVE WELL

This vessel is used **MOSTLY** for (select only one)

Commercial Fishing

Charter

Headboat

For Shark and Swordfish Directed and Incidental Permit Applicants Only: Does your vessel fish with, or carry onboard, either

Yes       No

Reminder: If yes, include a copy of your "Protected Species Release, Disentanglement, and Identification Workshop Certificate".

1 Form Revision 04/30/2014

**SECTION 2 - OPEN ACCESS PERMITS AND ENDORSEMENTS**

Payment Reminder: All applications must include payment of a non-refundable application fee in the form of a check or money order made payable to the U.S. Treasury. The fee is \$25.00 for the first permit and \$10.00 for each additional permit or endorsement requested on this application.

FEE SCHEDULE FOR PERMITS AND ENDORSEMENTS:

1 Permit: \$25    2: \$35    3: \$45    4: \$55    5: \$65    6: \$75    7: \$85    8: \$95    9: \$105    10: \$115    11: \$125    12: \$135

INSTRUCTIONS: Find the permits in the left column and mark the check box beside that fishery to indicate what transaction(s) you want.

**OPEN ACCESS COMMERCIAL PERMITS**

**NEW          RENEW**

	NEW		RENEW	
ATLANTIC DOLPHIN/WAHOO (ADW)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
SPINY LOBSTER (LC) (Not required for the EEZ off Florida)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
SPINY LOBSTER TAILING (LT) You must have an LC permit OR provide your FL SPL information below.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
SPANISH MACKEREL (SM)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ROCK SHRIMP - CAROLINAS ZONE (RSCZ)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
SOUTH ATLANTIC PENAEID SHRIMP (SPA)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
GULF ROYAL RED SHRIMP ENDORSEMENT (GRRS) You must have a valid Gulf of Mexico Shrimp permit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
HMS COMMERCIAL CARIBBEAN SMALL BOAT PERMIT (CCSB)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**FOR LOBSTER TAILING PERMIT APPLICANTS ONLY**

LOBSTER TAILING APPLICANTS: To obtain a lobster tailing permit you must possess a Florida Saltwater Products License (SPL) with Restricted Species and Crawfish endorsements. If you do not have a Florida SPL with Restricted Species and Crawfish Endorsements, you must possess or simultaneously obtain a valid Federal Spiny Lobster (LC) permit.

*You must provide a copy of your Florida SPL if you do not have a Federal Spiny Lobster (LC) permit*

Saltwater Products License Number           Crawfish Endorsement Number

Saltwater Products License Expiration Date

**OPEN ACCESS CHARTER/HEADBOAT PERMITS**

**NEW          RENEW**

	NEW		RENEW	
ATLANTIC CHARTER/HEADBOAT FOR DOLPHIN/WAHOO (CDW)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ATLANTIC CHARTER/HEADBOAT FOR COASTAL MIGRATORY PELAGICS (CHS)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
SOUTH ATLANTIC CHARTER/HEADBOAT FOR SNAPPER-GROUPER (SC)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**SECTION 3 - LIMITED ACCESS/MORATORIUM PERMITS AND ENDORSEMENTS**

Payment Reminder: All applications must include payment of a non-refundable application fee in the form of a check or money order made payable to the *U.S. Treasury*. Please refer to the fee schedule in section 2 of the application.

INSTRUCTIONS: Find the permits in the left column and mark the check box beside that fishery to indicate what transaction(s) you want.

LIMITED ACCESS COMMERCIAL PERMITS	PERMIT NUMBER	TRANSFER	RENEW
KING MACKEREL (KM)			
GILLNET FOR KING MACKEREL (GN)			
GULF OF MEXICO SHRIMP (SPGM)			
GULF OF MEXICO COMMERCIAL REEF FISH (RR)			
EASTERN GULF OF MEXICO REEF FISH BOTTOM LONG LINE ENDORSEMENT (RRLE)			
ROCK SHRIMP (SOUTH ATLANTIC EEZ) (RSLA)			
SOUTH ATLANTIC GOLDEN CRAB (GC)			
SOUTH ATLANTIC UNLIMITED SNAPPER-GROUPER (EXCLUDING WRECKFISH) (SG1)			
SOUTH ATLANTIC 225 LB TRIP LIMIT SNAPPER-GROUPER (EXCLUDING WRECKFISH) (SG2)			
SOUTH ATLANTIC SEA BASS POT ENDORSEMENT (SBPE)			
SOUTH ATLANTIC GOLDEN TILEFISH ENDORSEMENT (GTFE)			
SWORDFISH DIRECTED (SFD)			
SWORDFISH HANDGEAR (SFH)			
SWORDFISH INCIDENTAL (SFI)			
SHARK DIRECTED (SKD)			
SHARK INCIDENTAL (SKI)			
ATLANTIC TUNA LONGLINE (ATL) Must have either SFI or SKI and either SFD or SKD			

LIMITED ACCESS CHARTER/HEADBOAT PERMITS	PERMIT NUMBER	TRANSFER	RENEW
GULF CHARTER/HEADBOAT FOR COASTAL MIGRATORY PELAGIC FISH (CHG)			
GULF CHARTER/HEADBOAT FOR REEF FISH (RCG)			
HISTORICAL CAPTAIN GULF CHARTER/HEADBOAT FOR COASTAL MIGRATORY PELAGIC FISH (HCGG)			
HISTORICAL CAPTAIN GULF CHARTER/HEADBOAT FOR REEF FISH (HRCG)			

**SECTION 4 - INDIVIDUAL VESSEL OWNER(S) AND LESSEE INFORMATION**

Answer all of the following questions to see how to fill out this section. Copy this page as needed to provide the required information on all persons that own or lease the vessel.

Does your USCG Documentation or State Registration show the vessel owner as a person or persons?	YES - Use this page for the vessel owners	NO - Fill out vessel owner info in Section 5
Does your USCG Documentation or State Registration show more than one person as the vessel owner?	YES - Use Section 4b for the vessel owners	NO - Fill out Section 4b if vessel is leased
Is a person or persons leasing this vessel from the vessel owner?	YES - Use Section 4b for the lessee	NO - The lessee is a business Put lessee info in Section 5b
		NO - Skip Section 4b

**SECTION 4a - Vessel Owner on the USCG Certificate of Documentation or State Registration for Undocumented Vessels**

- 1) If the USCG Documentation or State Registration shows one person as sole vessel owner - list their information here.
- 2) If the USCG Documentation or State Registration shows more than one person as vessel owner - list their information in Section 4b.
- 3) If there are more than two persons, photocopy this blank page as necessary to provide information for all the owners.

MAILING RECIPIENT - All mail about this permit will go to the person listed in Section 4a

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

Mr./Mrs./Ms	Last Name	First Name	Middle Name	Suffix - Jr, Sr, etc.

Tax Identification 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 street address is the same as the mailing address.

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

**SECTION 4b - Vessel Lessee OR Vessel Owner on the USCG Certificate of Documentation or State Registration**

- 1) If the USCG Documentation or State Registration shows more than one person as sole vessel owner - list their information here.
- 2) If this vessel is leased by a person(s), list the lessee's information here.
- 3) If there are more than two people, photocopy this blank page as necessary to provide information for all the owners and lessee's.

Lease start date:  Lease end date:

MAILING RECIPIENT - All mail about this permit will go to the person listed in Section 4b

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

Mr./Mrs./Ms	Last Name	First Name	Middle Name	Suffix - Jr, Sr, etc.

Tax Identification 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 street address is the same as the mailing address.

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

**SECTION 5 - BUSINESS VESSEL OWNER(S) AND LESSEE INFORMATION**

Answer all of the following questions to see how to fill out this section. Copy this page as needed to provide the required information on all persons that own or lease the vessel.

Does your USCG Documentation or State Registration show the vessel owner as a business?	YES - Use this page for the vessel owners	NO - Fill out previous page for vessel owners
Does your USCG Documentation or State Registration show more than one business as the vessel owner?	YES - Use Section 5b for the vessel owners	NO - Fill out Section 5b if vessel is leased
Is a business or businesses leasing this vessel from the vessel owner?	YES - Use Section 5b for the lessee	NO - The lessee is a person Put lessee info in Section 4b
		NO - Skip Section 5b

**SECTION 5a - Vessel Owner on the USCG Certificate of Documentation or State Registration for Undocumented Vessels**

- 1) If the USCG Documentation or State Registration shows one business as sole vessel owner - list their information in Section 5a.
- 2) If the USCG Documentation or State Registration shows multiple businesses as vessel owner - list their information in Section 5b.
- 3) If there are more than two businesses, photocopy this blank page as necessary to provide information for all the owners.

MAILING RECIPIENT - All mail about this permit will go to the person listed in Section 5a

Is this business entity established under the laws of the United States or any State of the United States?  YES  NO

Registered Name of Business

\_\_\_\_\_

Tax Identification 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 street address is the same as the mailing address.

Street Address (PO Box not acceptable) \_\_\_\_\_ Apt # \_\_\_\_\_ City \_\_\_\_\_ State \_\_\_\_\_ County/Parish \_\_\_\_\_ Zip Code \_\_\_\_\_ Country \_\_\_\_\_

**SECTION 5b - Vessel Lessee OR Vessel Owner on the USCG Certificate of Documentation or State Registration**

- 1) If the USCG Documentation or State Registration shows more than one business as sole vessel owner - list their information here.
- 2) If this vessel is leased by a business(es), list the lessee's information here.
- 3) If there are more than two businesses, photocopy this blank page as necessary to provide information for all owners and lessee's.

Lease start date: \_\_\_\_\_ Lease end date: \_\_\_\_\_

MAILING RECIPIENT - All mail about this permit will go to the person listed in Section 5b

Is this business entity established under the laws of the United States or any State of the United States?  YES  NO

Registered Name of Business

\_\_\_\_\_

Tax Identification 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 street address is the same as the mailing address.

Street Address (PO Box not acceptable) \_\_\_\_\_ Apt # \_\_\_\_\_ City \_\_\_\_\_ State \_\_\_\_\_ County/Parish \_\_\_\_\_ Zip Code \_\_\_\_\_ Country \_\_\_\_\_

**SECTION 6 - OFFICER/SHAREHOLDER INFORMATION FOR BUSINESS(ES) THAT OWN OR LEASE THE VESSEL**

This page must be filled out if the owner or the lessee of the vessel is a business. Copy this page as necessary to provide information on all persons that are officers/shareholders of the business(es) shown in Section 5.

Owner or lessee of the vessel:  Owner  Lessee

Business name  Federal Tax ID Number

**Position Held - Check ALL That Apply**

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

Percent of Corporation Held  Is this business entity a United States citizen or permanent resident alien?  YES  NO

Mr/Mrs/Ms Last Name First Name Middle Name Suffix - Jr, Sr, etc.

Tax Identification 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 street address is the same as the mailing address.

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

**Position Held - Check ALL That Apply**

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

Percent of Corporation Held  Is this business entity a United States citizen or permanent resident alien?  YES  NO

Mr/Mrs/Ms Last Name First Name Middle Name Suffix - Jr, Sr, etc.

Tax Identification 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 street address is the same as the mailing address.

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

**Minor Shareholder Information**

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

TOTAL PERCENTAGE of the business shares held by minor shareholder(s)

**SECTION 7 - HISTORICAL CAPTAIN OR DESIGNATED OPERATOR (INCOME QUALIFIER)**

This person is a (check all that apply):

- Historical Captain for Gulf of Mexico Charter/Headboat for Reef fish
- Historical Captain for Gulf of Mexico Charter/Headboat for Coastal Migratory Pelagic Fish
- Designated Operator (Income Qualifier other than the Permit Holder) for:

Check all that apply:  Commercial King Mackerel  Commercial Spiny Lobster  Spanish Mackerel

*A Historical Captain MUST sign Section 9 as the applicant.*

*A Designated Operator MUST sign Section 9 as the operator along with the applicant.*

Mr/Mrs/Ms Last Name First Name Middle Name Suffix - Jr, Sr, etc.

Tax Identification 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 street address is the same as the mailing address.

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

**SECTION 8 - SEA BASS POTS OR GOLDEN CRAB TRAPS**

*COMPLETE THIS SECTION ONLY IF YOU HAVE SEA BASS POTS OR IF YOU HAVE GOLDEN CRAB TRAPS. TAGS ARE REQUIRED FOR ALL POTS/TRAPS*

Tag cost is \$1.80 per tag made payable by check or money order to Floy Tag, Inc.

I need tags for:  Sea Bass Pots  Golden Crab Traps

What color are your Buoys for Sea Bass Pots or Golden Crab Traps?

List an existing buoy color code for ANY other trap or pot fishery?

South Atlantic Sea Bass Pot/Golden Crab Trap Information - You are allowed a MAXIMUM of 35 Sea Bass Pots

Number of Pots/Traps	Pot or Trap Height (inches)	Pot or Trap Length (inches)	Pot or Trap Width (inches)	Mesh Size Height (inches)	Mesh Size Width (inches)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

**SECTION 9 - SIGNATURE FOR APPLICATION - REQUIRED**

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). Further, the undersigned certifies that if a spiny lobster tailing permit is requested, the applicant routinely fishes commercially in Federal waters on trips of up to 48 hours or more and that such fishing activity requires the separation of the tail and carapace to maintain quality product.

Please note: If the vessel listed in Section 1 is leased, the applicant who signs below must be an individual named as a lessee in Section 4, or an officer or shareholder of the lessee as listed in Section 5 with information listed in section 6. If the vessel listed in Section 1 is not leased, the applicant must be an individual named as an owner in Section 4, or an officer or shareholder of the owner as listed in Section 6.

Applicant Signature	<input type="text"/>	Position in Business	<input type="text"/>	Date	<input type="text"/>
Print Name	<input type="text"/>	Designated Operator Signature	<input type="text"/>	Date	<input type="text"/>

**SECTION 10 - INCOME QUALIFICATION AFFIDAVIT FOR INCOME QUALIFIED PERMITS**

An Income Qualification Affidavit is accepted as proof of meeting permit income qualification requirements. This signed Income Qualification Affidavit is required with every application to renew or transfer an income qualified permit (as listed below).

Knowingly supplying false information or willfully overvaluing any fishing income for the purpose of obtaining a permit is a violation of Federal law punishable by a fine and/or imprisonment.

<p><i>Spiny Lobster</i></p> <p>50CFR622.400 An applicant must provide the following information: (vi) A sworn statement by the applicant for a vessel permit certifying that at least 10 percent of his or her earned income was derived from commercial fishing, that is, sale of the catch, during the calendar year preceding the application.</p>	<p><i>King Mackerel</i></p> <p>50CFR622.370 To obtain or renew a commercial vessel permit for king mackerel, at least 25 percent of the applicant's earned income, or at least \$10,000, must have been derived from commercial fishing (i.e., harvest and first sale of fish) or from charter fishing during one of the 3 calendar years preceding the application.</p>	<p><i>Spanish Mackerel</i></p> <p>50CFR622.370 To obtain or renew a commercial vessel permit for Spanish mackerel, at least 25 percent of the applicant's earned income, or at least \$10,000, must have been derived from commercial fishing (i.e., harvest and first sale of fish) or from charter fishing during one of the 3 calendar years preceding the application.</p>
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The following information applies to my income qualification for the following fisheries:

Check all that apply:  Spiny Lobster  King Mackerel  Spanish Mackerel

I, \_\_\_\_\_, hereby declare under penalty of perjury that the foregoing information is true and correct (28 USC 1746; 18 USC 1621; 18 USC 1001; 16 USC 1857). I agree to provide the necessary documentation to prove that I met the earned income requirement when so requested by the National Marine Fisheries Service.

Executed on \_\_\_\_\_ (date signed).

Printed Name \_\_\_\_\_ Signature \_\_\_\_\_

Business Name (if Applicable) \_\_\_\_\_

Type of business (if Applicable) \_\_\_\_\_

Position In Business (if Applicable) \_\_\_\_\_

Public reporting burden for this collection of information is estimated to average 20 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 13th 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. Name and address information will be released via a NOAA website. 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.



## Instructions for the Federal Permit Application for Vessels Fishing in the Exclusive Economic Zone (EEZ)

Rev 04/30/2014

### General Instructions:

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. Applicants are encouraged to visit the SERO Permits website at [permits.sero.nmfs.noaa.gov](http://permits.sero.nmfs.noaa.gov).

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

1. Complete all applicable sections of this application form. All application fields should be typed or printed in ink.
2. The application fee is \$25 for one fishery and \$10 for each additional fishery and is non-refundable. *NMFS will not refund money for denied permits.* A check or money order payable to the U.S. TREASURY must accompany each application.
3. Mail the complete application, payment, and all required supporting documentation to: National Marine Fisheries Service (F/SER14), 263 13<sup>th</sup> Avenue South, St. Petersburg, FL 33701. If you want your permit and associated documents returned overnight, enclose a completed, pre-paid air bill and envelope. Include your physical street delivery address (non US Post Office services do not deliver to PO Boxes), telephone number, and account number or major credit card number with the expiration date. Please note using the prepaid overnight delivery option does not expedite permit processing; it only expedites delivery of your completed permit package.
4. NMFS will not process requests to renew or transfer permits until applicants meet all reporting requirements (e.g., logbooks, the MRIP For-Hire telephone survey, etc.) Noncompliance with any reporting requirement will halt processing of all permit transaction requests. Ensure you comply with all reporting requirements in advance of any permit application requests to avoid delays. Send your logbook report(s) to National Marine Fisheries Service, Research Management Division, Logbook Program, P.O. Box 491500, Key Biscayne, FL 33149-9915. Please direct questions concerning reporting requirements to the Southeast Research Management Division at (305) 361-4581.

*Federal regulations require a permit holder to report any permit information change to NMFS, in writing, within 30 days.*

#### APPLICATION SECTION 1 concerns the the vessel permits will be issued to.

Complete all portions of Section 1. Enter the Official Number and the length of the vessel as they appear on the U.S. Coast Guard Certificate of Documentation. Use the State Registration certificate for an vessel without U.S. Coast Guard documentation. If applying for a Highly Migratory Species commercial swordfish or shark permit issued without a vessel, write "NO VESSEL" in the field for USCG Official Number.

#### APPLICATION SECTIONS 2 AND 3 are the permits being requested.

Indicate the fishery and transaction type for each permit requested in this application

#### APPLICATION SECTION 4 applies to people who directly own or lease the vessel.

Fill out Section 4a only if the owner(s) listed on the vessel's U.S. Coast Guard Certificate of documentation or State Registration is a person or persons, not a business. Provide information for all owners listed on the vessel's U.S. Coast Guard Certificate of Documentation or State Registration. Photocopy the blank page as necessary to provide information about all people who own the vessel.

Fill out Section 4b only if the vessel is leased to a person or persons, not a business. Photocopy the blank page as necessary to provide information about all people who lease the vessel.

#### APPLICATION SECTION 5 applies to businesses that directly own or lease the vessel.

Fill out Section 5a only if the owner listed on the U.S. Coast Guard Certificate of documentation or the State Registration is a business, not a person. Provide information for all owners listed on the vessel's USCG Documentation or State Registration. Photocopy the blank page as necessary to provide information about all vessel owners.

Fill out Section 5b only if the vessel is leased to a business, not a person. Photocopy the blank page as necessary to provide information about all people who lease the vessel.

NMFS will not issue the permits if the business is in an INACTIVE status with the applicable Secretary of State.

**APPLICATION SECTION 6 applies to the officers or shareholders of businesses that own or lease the vessel.**

NMFS requires information on all owner's officers/ shareholders if the application is for a vessel owned or leased by a business entity. Please photocopy the blank form as necessary to provide information on all officers/shareholders associated with vessel owners and lessees.

If the business holds IFQ shares, indicate what percentage of the business each person listed owns. The total percentages reported must equal 100%.

**APPLICATION SECTION 7 Designated Operators for income qualified permits and Gulf Charter Historical Captain endorsements.**

This section will remain blank for most applications. Complete this section *only* for applications that include:

- > Gulf of Mexico Charter/Headboat permits with a *Historical Captain endorsement*, or
- > King Mackerel, Spanish Mackerel, and/or Commercial Spiny Lobster permit that has been income qualified using the fishing income of a Designated Operator. A Designated Operator is a vessel operator who is neither a vessel owner nor lessee listed in Section 4 or 5 or an officer of a business that owns or leases the vessel, listed in Section 6.

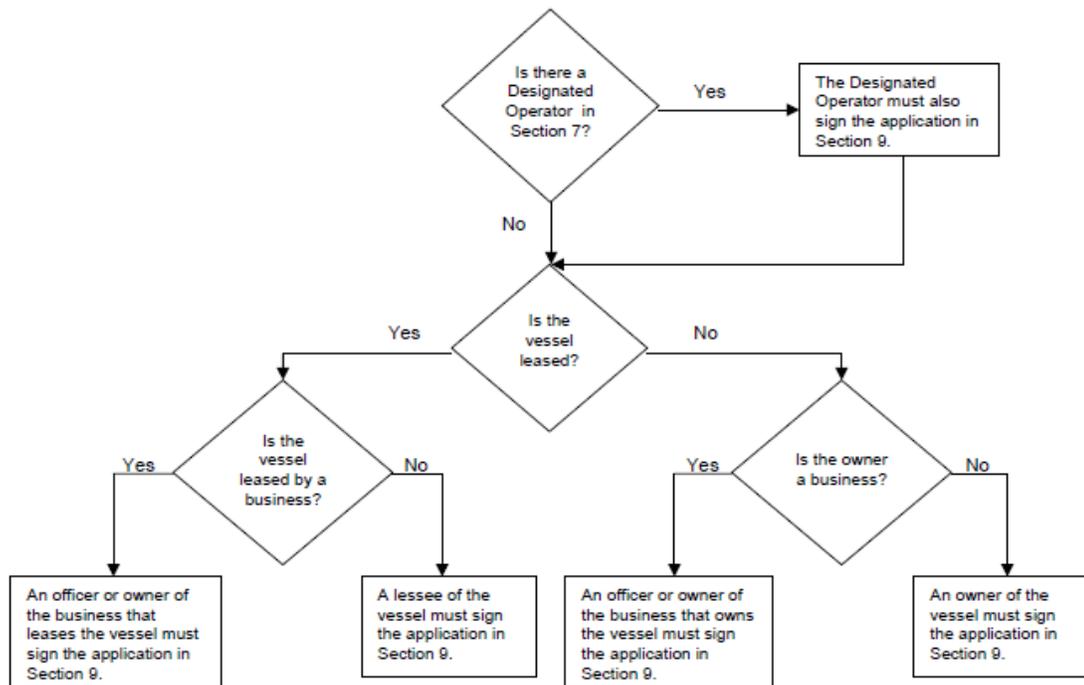
**APPLICATION SECTION 8 applies to Sea Bass pots and tags and Golden Crab traps and tags.**

Complete this section only if you fish with pots in the snapper-grouper fishery or traps in the golden crab fishery off the southern Atlantic states. The applicant must provide a separate check or money order for pot or trap tags (\$1.80 per tag) payable to FLOY TAG INC. The Sea Bass pot fishery requires tags be ordered through NMFS. Trap Tags for the golden crab fishery do not need to be ordered through NMFS. Floy Tag Inc. will ship all Floy Tag orders to you directly; NMFS will not send tags with the permit package.

**APPLICATION SECTION 9 is the application signature**

The signatory in Section 9 should be:

1. An owner of the vessel if the vessel is not owned by a business and is not leased *OR*
2. An officer or representative of the business that owns the vessel, if the vessel is not leased *OR*
3. An individual lessee of the vessel, if the vessel is leased by one or more individuals *OR*
4. An officer or representative of the business leasing the vessel, if the vessel is leased by a business *AND*
5. The Designated Operator in Section 7, if applicable. (This is not common.)



**APPLICATION SECTION 10 is the Income Qualification Affidavit**

NMFS accepts an Income Qualification Affidavit as proof of meeting permit income qualification requirements. Every application to renew or transfer a Spiny Lobster, King Mackerel, or Spanish Mackerel permit requires a signed Income Qualification Affidavit.

The affidavit is a signed promise, under penalty of perjury, that the applicant meets federal income qualification requirements for income-qualified permit(s). The applicant also promises to provide such income documentation if NMFS requests; and is not required to provide tax or income documents unless specifically requested.

**RENEWAL AND INITIAL (NEW) ISSUANCE OF PERMITS**

- All permit renewal and first issuance requests must include, as a minimum: 1) an application, 2) the appropriate fees, and 3) a copy of the unexpired U.S. Coast Guard Certificate of Documentation or State Registration Certificate. Please note - we cannot accept a bill of sale as documentation or registration.
- Include a copy of the current lease agreement if the vessel is leased, rented, or leased-to-own. The lease must identify both the entities leasing the vessel and the vessel owners as listed on the vessel's USCG Certificate of Documentation or, if not documented, the State Registration. The lease agreement must include a lease start date, and lease expiration date. The lease must run for a minimum of 7 months, and may extend for many years if the lessee and lessor anticipate a long-term arrangement. Both the vessel owner(s) and the lessee(s) must sign and date the lease agreement.
- To ensure your renewal goes quickly and smoothly, send your logbook report(s) to **National Marine Fisheries Service, Research Management Division, Logbook Program, P.O. Box 491500, Key Biscayne, FL 33149-9916**. Direct your questions concerning reporting requirements to the Southeast Research Management Division at (305) 361-4581. *We cannot renew your permit(s) until you meet all reporting requirements.*
- For Shark and Swordfish Directed and Incidental permit renewals, please include a copy of a valid Protected Species Safe Handling, Release, and Identification Workshop Owner's Certificate issued to the vessel owner.

**TRANSFERS**

- Various restrictions apply to transfer of limited entry and moratorium permits and endorsements. Consult the applicable United States Code of Federal Regulations, which is available online at [sero.nmfs.noaa.gov/sustainable\\_fisheries/policy\\_branch/](http://sero.nmfs.noaa.gov/sustainable_fisheries/policy_branch/)
- Only the Limited Access/Moratorium permits and endorsements listed in Section 3 are transferable.
- All permit transfer requests must include, as a minimum: 1) an application, 2) the original permits with appropriate signatures on the back, 3) the appropriate fees, and 4) a copy of the receiving vessel's unexpired U.S. Coast Guard Certificate of Documentation or State Registration unless the permit office already has a copy of the vessel's valid documentation or registration on file. Please note - we cannot accept a bill of sale as documentation or registration.
- **SIGNATURES ON PERMITS:** provide the valid (not expired) **ORIGINAL** (not a copy) transferable permit(s) with notarized signatures on the reverse of the permit.
  - Persons listed as permit holders on the face of the permit must sign as sellers the back of the permit. If the permit holder is a business, an officer or shareholder of the business must sign as seller on the back of the permit. The correct format must include the signature, the person's position in the business and the company name. For example: John Doe, President, XYZ Fishing Inc.
  - A notary public must notarize the sellers' signature(s).
  - Print the name of the new permit holder, individual(s) or business, as the receiving vessel permit owner.
  - No signatures are required if transferring permits to a different vessel owned by the same entity (person or business), unless the permit is a Gulf of Mexico Charter/Headboat Permit (please read the back of this type of permit).
- A vessel owner with a moratorium Gulf of Mexico Coastal Migratory Pelagic Charter/Headboat and/or a Reef Fish Charter/Headboat permit(s) that transfers the permit(s) to another vessel owner or to another vessel, must remove the Federal Charter/Headboat decal from their vessel.
- Income qualification requirements apply to federal Spiny Lobster, King Mackerel, and Spanish Mackerel permits. See the applicable US Code of Federal Regulations online at [http://sero.nmfs.noaa.gov/sustainable\\_fisheries/policy\\_branch/](http://sero.nmfs.noaa.gov/sustainable_fisheries/policy_branch/)
- Include a copy of the current lease agreement if the vessel is leased, rented, or leased-to-own. The lease must identify both the entities leasing the vessel and the vessel owners as listed on the vessel's USCG Certificate of Documentation or, if not documented, the State Registration. The lease agreement must include a lease start date, and lease expiration date. The lease must run for a minimum of 7 months, and may extend for many years if the lessee and lessor anticipate a long-term arrangement. Both the vessel owner(s) and the lessee(s) must sign and date the lease agreement.

- For Shark and Swordfish Directed and Incidental permits, please include a copy of a valid Protected Species Safe Handling, Release, and Identification Workshop Operator's Certificate issued to the vessel owner for initial issuance. For all subsequent renewals, please include a copy of a valid Protected Species Safe Handling, Release, and Identification Workshop Owner's Certificate.
- With the exception of Sea Bass Pot endorsements and Golden Tilefish endorsements, NMFS cannot transfer expired permits. An applicant may transfer a permit only when the seller(s) signature is notarized BEFORE the expiration date. Once signed, the buyer must submit an application to transfer the permit before the permit terminates, one year following the expiration date of the permit (or 6 months following the expiration date of a Golden Crab permit). An applicant may transfer a Sea Bass Pot endorsements and Golden Tilefish endorsements only when the seller(s) signature is notarized and submits an application BEFORE the termination date of the endorsements, which is one year after the expiration date of the endorsements.

**FEES**

Fees for permit or endorsement renewal, initial issuance, and transfers are \$25 for the first permit or endorsement and \$10 for each additional permit or endorsement. The flat rate fee for replacement of one or more permits issued to a single vessel is \$18.

1 = \$25 2 = \$35 3 = \$45 4 = \$55 5 = \$65 6 = \$75 7 = \$85 8 = \$95 9 = \$105 10 = \$115 11 = \$125 12 = \$125

**EARNED INCOME OR GROSS SALES REQUIREMENTS FOR COMMERCIAL PERMITS**

New owners of Limited Access/Moratorium permits must meet the earned income requirement not later than the first full calendar year after the issuance of the permit.

	KING & SPANISH MACKEREL	SPINY LOBSTER
Percentage of earned income	At least 25%	At least 10%
Gross sales alternative	More than \$10,000 in sales of fish	N/A
Source of earned income	Commercial, Charter, or Headboat	Sale of catch
Time frame for qualification	One of three years prior to application	Year prior to application

**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 20 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, FISER26, 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, and 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.