



**NATIONAL MARINE FISHERIES SERVICE**  
Northeast Regional Office  
Fisheries Statistics Office/Fisheries Permits



**Application Instructions**  
Federal Fisheries Dealer Permit

Mail the completed application package to: National Marine Fisheries Service (NMFS), Permits Operations, 1 Blackburn Drive, Gloucester, MA 01930-2298. **Note:** There is a 30-day processing period for all application packages. This 30-day processing period begins when a **correct and complete** application package is received in the NMFS Permits Operations Office.

- < **Section 1 - Dealer Information** The application form is partially completed for you. Review the dealer information placed in Section 1 to ensure it is correct. Make any corrections on the lines provided. It is important to include your Southeast Dealer Permit Number in Section 1 if you have been issued a dealer permit by the Southeast Region of NMFS.
- < **Section 1A - Additional Dealer Information** You must provide the address of each place of business where you purchase or receive the regulated species for commercial purposes. Space is available on the back of the dealer permit form for the required listing of those additional addresses.
- < **Section 2 - Selected Fisheries** If not already marked, place an X next to each of the fisheries for which you are requesting a Federal Fisheries Dealer Permit.
- < **Corporations and Partnerships** All dealer corporations must submit **once** a copy of the certificate of incorporation, showing officers and shareholders owning 25% or more of the shares of the corporation. In addition, **each year** the corporation must submit current information listing all current officers, along with their addresses, and shareholders owning 25% or more of the shares of the corporation, along with their addresses. If your business is a partnership, you must submit a copy of the partnership agreement **once**. In addition, **each year** the partnership must submit the names and addresses of all current partners. Failure to provide this information will delay processing of your dealer permit.
- < **Dealer Reports** An application is complete when all requested forms, information, and documents have been received, and the applicant has submitted all applicable reports specified in the **Federal regulations at ' 648.7 and ' 635.5**. All dealers must submit reports as specified in ' 648.7 and ' 635.5, with the exception of dealers holding only Northeast Federal dealer permits for the American lobster, surfclam or ocean quahog fisheries.

These dealer reports must contain all species, including, but not limited to, all Northeast managed species, as well as all tunas, sharks and swordfish. Failure to submit the reports required under either ' 684.7 or ' 635.5 may bar issuance of any Northeast dealer permit (except for American lobster, Surfclam and/or Ocean Quahog). In addition, failure to report in an accurate and timely fashion may result in enforcement action being taken. If you have any questions concerning your compliance with the reporting regulations under ' 648.7 (Northeast managed species), please contact your local NMFS Field Office (list enclosed). Questions concerning reporting under ' 635.5 (tunas, sharks and swordfish), should be directed to the Highly Migratory Species Office at (978) 281-9260.

- < **Section 3 – Applicant’s Signature** Before mailing, carefully review the application form for accuracy and completeness. Sign and date the application in Section 3.
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U. S. DEPARTMENT OF COMMERCE  
NATIONAL OCEANIC & ATMOSPHERIC ADMIN  
NATIONAL MARINE FISHERIES SERVICE  
PERMIT OFFICE  
ONE BLACKBURN DRIVE  
GLOUCESTER, MA 01930-2298



INITIAL DEALER APPLICATION

Tel: (978) 281-9370

SECTION 1 - DEALER INFORMATION

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

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

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

Street Address: \_\_\_\_\_

City: \_\_\_\_\_ State : \_\_\_\_\_ Zip Code: \_\_\_\_\_

Telephone: \_\_\_\_\_ Fax Number: \_\_\_\_\_

\*\*Vessel Name: \_\_\_\_\_ \*\*Vessel Hull Number: \_\_\_\_\_

\*\*(must enter vessel name and hull number above if applying for Atlantic Mackerel at Sea Processor or Atlantic Herring Processor, if herring processing will be done aboard a vessel)

Where there are more than one place of business where the regulated species are purchased or received for commercial purposes, each address must be listed. List those additional addresses on the back of this form in Section 1A.

SECTION 2 - FISHERIES

Select the fisheries desired by placing an (X) in the boxes provided. Select all fisheries that apply.

- |  |   |  |
|--|---|--|
| <input type="checkbox"/> Atlantic Bluefin Tuna             | <input type="checkbox"/> Northeast Multispecies               | <input type="checkbox"/> Scup              |
| <input type="checkbox"/> Other Atlantic Tunas *            | <input type="checkbox"/> American Lobster                     | <input type="checkbox"/> Black Sea Bass    |
| *(Yellowfin, Bigeye, Skipjack, Albacore)                   | <input type="checkbox"/> Squid, Mackerel, Butterfish          | <input type="checkbox"/> Monkfish          |
| <input type="checkbox"/> Surfclam/Ocean Quahog - Dealer    | <input type="checkbox"/> Atlantic Mackerel at Sea Processor** | <input type="checkbox"/> Atlantic Bluefish |
| <input type="checkbox"/> Surfclam/Ocean Quahog - Processor | <input type="checkbox"/> Atlantic Herring Processor**         | <input type="checkbox"/> Spiny Dogfish     |
| <input type="checkbox"/> Summer Flounder                   | ** (see note in Section 1)                                    | <input type="checkbox"/> Red crab          |
| <input type="checkbox"/> Sea Scallop                       | <input type="checkbox"/> Atlantic Herring Dealer              | <input type="checkbox"/> Tilefish          |
| <input type="checkbox"/> Skate                             |   |  |

SECTION 3 - OWNER'S SIGNATURE

I affirm, subject to the penalties provided in 18 USC 1001, that all information I have given in obtaining this permit is true and correct.

Signature: \_\_\_\_\_

Print Name: \_\_\_\_\_

Date: \_\_\_\_\_

5.12.03

OMB# 0648-0202 Expiration Date 3-31-2004

Public reporting burden for this collection of information is estimated to average 5 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining data needed, and completing and reviewing the information. Send comments regarding this burden estimate or suggestions for reducing this burden to: National Marine Fisheries Service, Permit Office, One Blackburn Drive, Gloucester, MA 01930-2298.

SECTION 1A - ADDITIONAL DEALER INFORMATION. If there is more than one place of business where the regulated species are purchased or received for commercial purposes, each address must be listed below.

COMPANY ADDRESS:

STREET: \_\_\_\_\_

CITY: \_\_\_\_\_

STATE: \_\_\_\_\_ ZIP CODE: \_\_\_\_\_

COMPANY TELEPHONE: \_\_\_\_\_

COMPANY ADDRESS:

STREET: \_\_\_\_\_

CITY: \_\_\_\_\_

STATE: \_\_\_\_\_ ZIP CODE: \_\_\_\_\_

COMPANY TELEPHONE: \_\_\_\_\_

COMPANY ADDRESS:

STREET: \_\_\_\_\_

CITY: \_\_\_\_\_

STATE: \_\_\_\_\_ ZIP CODE: \_\_\_\_\_

COMPANY TELEPHONE: \_\_\_\_\_

COMPANY ADDRESS:

STREET: \_\_\_\_\_

CITY: \_\_\_\_\_

STATE: \_\_\_\_\_ ZIP CODE: \_\_\_\_\_

COMPANY TELEPHONE: \_\_\_\_\_

The information requested on this form is not confidential and will be available to the general public.

The Paperwork Reduction Act requires potential respondents for a dealer/processor permit be notified of certain information regarding their rights and the burden associated with applying for a Federal dealer/processor permit. One of the regulatory steps taken by the National Marine Fisheries Service (NMFS) to carry out conservation and management objectives is the requirement of a permit for users of the resources. All the fisheries included on this application require a permit to purchase, or otherwise receive for transport, species harvested by the owner or operator of a fishing vessel issued a Federal fisheries permit for these species. Section 303(b)(1) of the Magnuson-Stevens Fishery Conservation and Management Act (MSFCMA) specifically recognizes the need for permit issuance.

The purpose and use of permits is to: (1) register fish dealers and processor, (2) list the characteristics of dealer/processor operations, (3) exercise influence over compliance (e.g. withhold issuance pending collection of unpaid penalties), (4) provide a mailing list for the dissemination of important information to the industry, (5) provide a universe for data collection samples, and (6) obtain first purchase information on landings to evaluate the biological, economic and social implications of management measures.

Notwithstanding any other provision of the law, no person is required to respond to, nor shall any person be subject to a penalty for failure to comply with, a collection of information subject to the requirements of the Paperwork Reduction Act, unless that collection of information displays a currently valid OMB Control Number.



# NOAA Fisheries

## Northeast Region Dealer Electronic Reporting



### Federally Permitted Dealer Reporting Requirements

- **Who?** All seafood dealers issued a federal permit under 50 CFR Part 648 to purchase fish in the following fisheries:

Northeast Multispecies	Black Sea Bass	Atlantic Bluefish	Atlantic Mackerel, Squid & Butterfish
Atlantic Herring	Scup	Summer Flounder	Atlantic Sea Scallop
Spiny Dogfish	Monkfish	Tilefish	Atlantic Deep Sea Red Crab
NE Skate Complex			Atlantic Surf Clam and Ocean Quahog

- **How?** All reports, with the exception of some negative reports as noted below, must be submitted via our on-line electronic reporting system, the Standard Atlantic Fisheries Information System (SAFIS), or other approved electronic reporting systems.
- **What?** The following information is required to be reported for each purchase or receipt of fish or shellfish. This applies to **ALL** species, not just those listed above, regardless of where or how it was harvested, or who harvested it.
  - \* Dealer name and permit number
  - \* Vessel name and permit or hull number
  - \* Date of purchase or receipt
  - \* Pounds & value by species (and market category, if applicable)
  - \* Port and state landed
  - \* Unique trip identifier supplied to the dealer by the vessel operator
    - \* This is only required of those vessels permitted in the fishery management plans (50 CFR Part 648) listed above. State vessels and those federal vessels only permitted under other plans are not required to provide this information.
  - \* Disposition, for example: food, bait, pet food or reduction
  - \* Cage tag numbers for surf clams and ocean quahogs harvested under a NOAA Fisheries ITQ allocation
- **When?**
  - \* **Large Dealers** - Federally permitted dealers who reported \$300,000 or more in annual fish purchases of all species in at least one year from 2000 – 2002 must submit trip level reports daily. Reports are due by midnight the following business day.
  - \* **Small Dealers** - Federally permitted dealers who reported less than \$300,000 in all three years have the option to submit the required trip level reports weekly. Reports must be submitted within 3 days of the end of the reporting week. A reporting week is from Sunday through Saturday.
  - \* Newly permitted dealers are automatically classified as large and must report daily as described above.
  - \* Trip identifier, price and disposition information may be submitted after the initial report. However, these must be submitted within 16 days of the end of the reporting week or by the end of the calendar month, whichever is later.
  - \* Beginning May 1, 2005, all dealers must submit reports and the trip identifier daily as described above.

## Editing Submitted Data

- **What?**
  - \* Dealers have access to landings data they submit electronically.
  - \* Corrections may be made to reports within 3 business days after submission.
  - \* If corrections are needed after this time you must contact NOAA Fisheries.

## Negative reports

- **What?**
  - \* If no fish or shellfish are purchased or received in an entire reporting week, a report stating this must be submitted. A reporting week is from Sunday through Saturday. This is termed a negative report.
  - \* Negative reports may be filed up to 3 months in advance if the dealer knows they will not be purchasing or receiving fish or shellfish during that time.
- **When?**
  - \* Within 3 days of the end of the reporting week.
  - \* If a purchase is made for a day during that time period the negative report for that day is voided.
- **How?**
  - \* If no purchases or receipts have been made since May 1, 2004, paper negative reports may be submitted to a local NOAA Fisheries/Fishery Statistics field office. This is effective until January 1, 2005. After that time all negative reports must be submitted electronically.
  - \* If any purchases or receipts have been made, negative reports must be submitted electronically.

## Dealer Electronic Reporting Information

- **Where can I get help if I need it?** You may contact your local NOAA Fisheries/Fishery Statistics field office or the contacts listed below.
- Information on dealer electronic reporting may be found online at:
  - \* [http://www.nero.noaa.gov/dealer\\_er/](http://www.nero.noaa.gov/dealer_er/)
- Locations and phone numbers of the 10 northeast field offices may be found on line at:
  - \* <http://www.nero.noaa.gov/ro/fso/portoff.pdf>
- Questions may be e-mailed to: [reporting.ne@noaa.gov](mailto:reporting.ne@noaa.gov)
- Additional system information may be found at <http://safis.accsp.org/>

## Other NOAA Fisheries/Fishery Statistics Office Contacts

- SAFIS Help Line –(978) 281-9212
- Permit Operations & Compliance Team – (978) 281-9370
- Vessel Reporting Information – (978) 281-9246