



**United States Department of Commerce**  
National Oceanic and Atmospheric Administration  
National Marine Fisheries Service  
Northeast Region  
One Blackburn Drive  
Gloucester, MA 01930

November 20, 2007

Dear Federal Northeast Seafood Dealer Permit Applicant:

Enclosed is a *Federal Northeast Seafood Dealer Permit Application* for permit year 2008 (January 1, 2008 – December 31, 2008). A list of the species that require a Federal Northeast seafood dealer permit (NE dealer permit) are listed on the reverse side of this letter. All dealers of species covered under a Federal Fisheries Management Plan (FMP) or dealers purchasing from vessels permitted in the NE region, must have been issued and have in their possession, a valid NE dealer permit for that species. All dealers must submit detailed reports electronically for all receipts and purchases, with the exception of dealers holding only a NE dealer permit for American lobster and/or Atlantic tunas.

Dealers who purchase Highly Migratory Species (HMS), specifically Atlantic bigeye, albacore, yellowfin, and skipjack (BAYS) tunas, Atlantic shark, and/or Atlantic swordfish, must report these species electronically if permits for NE species requiring electronic reporting are also held. If dealers do not have NE permits, reports for HMS should be submitted to the local port agent or call John Mahoney at (508) 984-0063 if you have any questions. Atlantic tuna dealers who purchase or receive domestic bluefin tuna have separate reporting requirements. Call (978) 281-9140 if you have questions regarding bluefin tuna reporting.

- Existing dealers** (Part 1, below) - If you already have a NE dealer permit, enclosed is a pre-printed application.
- New dealers** (Part 2, reverse side) – If you are a new seafood dealer and have not been issued a NE dealer permit previously, an initial NE dealer permit application is enclosed.
- Federally regulated species** (Part 3, reverse side) – A list of species that require a NE dealer permit.

## Part 1

### Information for existing dealers on renewing permits

To renew your NE dealer permit or to make a change to your existing NE dealer permits you must submit a complete application, including all required reports, to Northeast Permits Operations. Enclosed is a pre-printed application which is based on the most recent NE dealer permits issued to you.

- ❖ To **add** a fishery not currently held, mark an "X" next to the desired fishery permit on the application.
- ❖ To **cancel** a fishery which you currently hold, write "cancel" next to each fishery permit that you wish to cancel.

Instructions for completing the NE dealer permit renewal application are enclosed. In most cases, the answers to commonly asked application questions can be found in the instructions.

### Application requirements

You must submit a complete and accurate application. All required receipt, purchase and Processed Products reports must be received and accepted by NOAA Fisheries before we can issue you a NE dealer permit. NOAA Fisheries will notify you by mail if your application is not complete and/or required reports have not been received.

## Part 2

### Information for new dealers (initial applications)

To apply for NE dealer permits you must submit an initial application to Northeast Permits Operations. Enclosed is an initial NE dealer permit application along with detailed instructions for completing the application. In most cases, the answers to commonly asked application questions can be found in the instructions. For information on Federal dealer permits for the South Atlantic and Gulf (including sharks and swordfish), call (727) 824-5326.

#### Application requirements

You must submit a complete and accurate application before we can issue you a NE dealer permit. We will notify you by mail if your application is not complete.

## Part 3

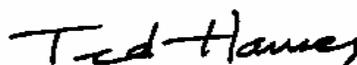
### List of regulated species requiring a NE dealer permit

American lobster	Northeast Multispecies continued -	NE Skate continued -
Atlantic bluefish	Atlantic Cod	Clearnose skate
Atlantic deep-sea red crab	Atlantic halibut	Little skate
Atlantic herring	Haddock	Rosette skate
Atlantic mackerel	Offshore hake	Smooth skate
Atlantic sea scallop	Ocean Pout	Thorny skate
Atlantic tunas -	Pollock	Winter skate
Atlantic bluefin tuna	Redfish (ocean perch)	Squids -
Albacore tuna	Red hake (ling)	<i>Illex</i> squid
Bigeye tuna	Silver hake (whiting)	<i>Loligo</i> squid
Skipjack tuna	White hake	Ocean quahog
Yellowfin tuna	Windowpane flounder (sand dab)	Scup
Black sea bass	Winter flounder (blackback)	Spiny dogfish
Butterfish	Witch flounder (grey sole)	Summer flounder
Monkfish	Yellowtail flounder	Surfclam
Northeast Multispecies -	Northeast Skate complex	Tilefish
American plaice (dab)	Barndoor skate	Atlantic Hagfish

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

**Follow the instructions carefully. Failure to meet all of the requirements of the application will delay the issuance of your permit.** If you have further questions regarding your dealer application, contact Northeast Permit Operations at 978-281-9370.

Sincerely,



Ted Hawes, Team Lead  
Northeast Permit Operations

Enclosures



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



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**Application Instructions**  
**Federal Fisheries Dealer Permit**

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Mail completed application packages to: National Marine Fisheries Service (NOAA Fisheries Service), Northeast Permit Operations, One 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, including all required reports, is received in the NMFS Northeast (NE) Permit Operations Office. Failure to provide the required information will delay processing of your dealer permit.

**For further information, call Northeast Permits Operations at (978) 281-9370**

➤ **Section 1 - Dealer Information**

If you already have a NE dealer permit, enclosed is a pre-printed application, which is partially completed for you.

If you are a new seafood dealer and have not been issued a NE dealer permit previously, an initial NE dealer permit application is enclosed.

If you are applying for an Atlantic Mackerel or Atlantic Herring at Sea Processor permit, you must enter a vessel name and hull number where indicated and include a copy of the vessel's current Coast Guard Documentation or State Registration.

Before submitting your application, review the dealer information placed in Section 1 to ensure it is correct. Make any corrections on the lines provided. 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 NOAA Fisheries Service.

➤ **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.

If regulated species are purchased or received for commercial purposes at more than one place of business, each address must be listed on the application. Space is available on the back of the dealer permit application form for the required listing of additional addresses.

➤ **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.

➤ **Section 3 – Applicant's Signature**

Before mailing, carefully review the application form for accuracy and completeness. Sign and date the application in Section 3 and return it to the address listed above.

## Corporation, Partnership and Sole Proprietorship Information

### Corporations

All dealer corporations submitting an **initial application** package must insure that it includes a copy of the certificate of incorporation showing officers and shareholders owning 25% or more of the shares of the corporation.

All dealer corporations submitting a **renewal application** package must insure that it includes 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.

### Partnerships

All dealer partnerships submitting an **initial application** package must insure that it includes a copy of the partnership agreement.

All dealer partnerships submitting a **renewal application** package must insure that it includes a list of the names and addresses of all current partners.

### Sole Proprietorships

All dealer applicants who will be operating under a sole proprietorship must submit, **with your initial application only**, a statement in writing that you are operating under a sole proprietorship and that the business is not owned by a corporation or by a partnership.

### Dealer Reports

An application is complete when all requested forms, information, and documentation have been received, and the applicant has submitted all applicable reports specified in the Federal regulations including dealer electronic weighout reports and processed products reports [CFR § 648.7, § 622.5 and § 635.5].

Failure to submit the reports required under either CFR § 648.7, § 622.5 and § 635.5 may bar issuance of any Northeast dealer permit (except for American lobster). 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 for Northeast managed species, please contact your local NMFS Field Office (list enclosed). Questions concerning reporting for bluefin tuna [CFR § 635.5], should be directed to the Highly Migratory Species Office at (978) 281-9140.

**Failure to provide the applicable information above will delay processing of your dealer permit.**



National Marine Fisheries Service  
Northeast Regional Office / Fisheries Statistics Office



## REVIEW CHECKLIST FOR YOUR DEALER PERMIT APPLICATION



Please review the information below to ensure that your application contains all of the proper documentation needed to process your dealer permit application.

**Failure to include this information with your application will result in processing delays and or a possible return of your application.**

**Include with your signed and dated application:**

### Corporations

All dealer corporations submitting an **initial application** package must insure that it includes a copy of the certificate of incorporation showing officers and shareholders owning 25% or more of the shares of the corporation.

All dealer corporations submitting a **renewal application** package must insure that it includes 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. This information can be found in an annual report. If an annual report is unavailable, this information can be submitted in the form of a signed and dated letter.

### Partnerships

All dealer partnerships submitting an **initial application** package must insure that it includes a copy of the partnership agreement.

All dealer partnerships submitting a **renewal application** package must insure that it includes a list of the names and addresses of all current partners. This information can be submitted in the form of a signed and dated letter.

### Sole Proprietorships

All dealer applicants who will be operating under a sole proprietorship must submit, **with your initial application only**, a statement in writing that you are operating under a sole proprietorship and that the business is not owned by a corporation or by a partnership.

**FAILURE TO PROVIDE THIS INFORMATION WILL DELAY THE PROCESSING OF YOUR DEALER PERMIT APPLICATION.**





United States Department of Commerce  
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 One Blackburn Drive  
 Gloucester, MA 01930

## Federal Northeast Seafood Dealer Initial Dealer Permit Application

### SECTION 1 - DEALER INFORMATION

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

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

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

Mailing Address: \_\_\_\_\_

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

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

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

**\*\* (if you are applying for an Atlantic Mackerel at Sea Processor permit or an Atlantic Herring at Sea Processor permit, you must enter a vessel name and hull number above and include a copy of the vessel's current Coast Guard Documentation or State Registration.)**

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

### SECTION 2 - FISHERIES

Select the fisheries desired by placing an [X] in the boxes provided. Select all fisheries that apply.

- |  |   |                                       |
|--|---|---------------------------------------|
| <b>Atlantic bluefin tuna</b>   | <b>Northeast multispecies</b>                   | <b>Scup</b>                           |
| <b>Other Atlantic Tunas<br/>(Yellowfin, Bigeye, Skipjack<br/>Albacore)</b> | <b>American lobster</b>                         | <b>Black sea bass</b>                 |
| <b>Surfclam/ Ocean quahog<br/>Dealer</b>                                   | <b>Skate</b>                                    | <b>Monkfish</b>                       |
| <b>Surfclam/Ocean quahog<br/>Processor</b>                                 | <b>**Atlantic mackerel at sea<br/>processor</b> | <b>Atlantic bluefish</b>              |
| <b>Summer flounder</b>   | <b>Squid, Atlantic mackerel<br/>butterfish</b>  | <b>Spiny Dogfish</b>                  |
| <b>Atlantic sea scallop</b>  | <b>Atlantic herring – Dealer</b>                | <b>Tilefish</b>                       |
| <b>Atlantic Hagfish</b>  | <b>**Atlantic herring at sea<br/>processor</b>  | <b>Atlantic Deep-sea<br/>Red crab</b> |
|  | <b>** (see note in Section 1)</b>               |                                       |

### SECTION 3 - OWNER'S NAME AND SIGNATURE

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

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

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

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

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

Company Address

Street: _____
City: _____ State: _____ Zip Code: _____
Telephone: _____

Company Address

Street: _____
City: _____ State: _____ Zip Code: _____
Telephone: _____

Company Address

Street: _____
City: _____ State: _____ Zip Code: _____
Telephone: _____

Company Address

Street: _____
City: _____ State: _____ Zip Code: _____
Telephone: _____

**For further information, call Northeast Permits Operations at (978) 281-9370**

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

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. Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining data needed, and completing and reviewing the information. Send comments regarding this burden estimate or suggestions for reducing this burden to: National Marine Fisheries Service, Permit Office, One Blackburn Drive, Gloucester, MA 01930-2298.



## Northeast Regional Office / Fisheries Statistics Office



One Blackburn Dr., Gloucester MA 01930 Phone: (978) 281-9264 Fax: (978) 281-9161

### Hannah Goodale, Acting Office Director

#### Systems Management & Development

Jim St. Cyr, Section Chief  
978 281-9369

#### Fishery Analysis & Monitoring

Stanley Wang, Ph.D., Section Chief  
978 281-9225

#### VESSEL REPORTING

Barry Clifford  
978 281-9246

#### FISHERY PERMITS

Ted Hawes  
978 281-9370

#### Fishery Information

Greg Power, Section Chief  
978 281-9304 cell 978 609-4154

### NEW ENGLAND AREA

**Portland ME** 207 780-3322  
Fax 207 780-3340  
Marine Trade Ctr Suite 212  
2 Portland Fish Pier  
Portland, ME 04101-4633

**Scott McNamara\***  
(cell 207 318-2111)  
**Merrie Cartwright, Ph. D.**  
(cell 978 875-0378)  
**Casey Macisso©**  
(cell 978 609-4146)

**Gloucester MA** 978 281-9363  
  
978 281-9338  
Fax 978 281-9372  
11-15 Parker St.  
Gloucester MA 01930-2298

**Don Mason**  
(cell 978 609-7944)  
**Caleb Gilbert**  
(cell 401 862-2057)

**New Bedford MA** 508 984-0063  
  
508 999-2452  
  
Fax 508 990-2506  
37 N. Second St  
New Bedford, MA 02740-6329

**John Mahoney**  
(cell 978 609-8205)  
**John Pereira©**  
(cell 978 609-4144)  
**Katie Almeida©**  
(cell 207 653-9108)

**Chatham MA** 508 945-5961  
Fax 508 945-3793  
1619 Main Street  
P.O. Box 1197  
West Chatham, MA 02669

**Lorraine Spenle**  
(cell 978 609-4142)

**Point Judith RI** 401 783-7797  
Fax 401 782-2113  
83 State St 2nd Flr  
P.O. Box 547  
Narragansett, RI 02882-0547

**Walter Anoushian \***  
(cell 978 609-4145)  
**Chris Zanni©**  
(cell 978 609-7921)  
**Elizabeth Kordowski ©**  
(cell 978 609-7821)

\* team leader & state partner coordinator / © Contract Staff

### MID-ATLANTIC AREA

**East Hampton, NY** (631) 324-3569  
Fax (631) 324-3314  
62 Newtown Ln, # 203  
East Hampton, NY 11937

**Victor Vecchio\***

**Patchogue NY** 631 475-6988  
Fax 631 289-8361  
50 Maple Av  
P.O. Box 606  
Patchogue, NY 11772-98

**David McKernan**  
(cell 978 609-4151)

**Riverhead NY** 631 727-7850  
Fax 631 727-7130  
423 Griffing Av Suite 100  
Riverhead, NY 11901-3071

**Kristin Knobloch©**  
(cell 631 965-0509)

**Toms River NJ** 732 349-3533  
Fax 732 349-4319  
26 Main St, Suite O  
P.O. Box 143  
Toms River, NJ 08754

**Joanne Pellegrino**  
(cell 978 609-7980)  
**Anna Macan©**  
(cell 978-609-8085)

**Cape May NJ** 609 884-2113  
Fax 609 884-4908  
1382 Lafayette St  
P.O. Box 624  
Cape May, NJ 08204-0624

**Walt Makowski \***  
(cell 978 609-4148)  
**Ingo Fleming**  
(cell 978 609-8084)  
**Alissa Wilson©**  
(cell 978-609-8085)

**Hampton VA** 757 723-3369  
Fax 757 728-3947  
1006N Settlers Landing Rd  
P.O. Box 69043  
Hampton, VA 23669

**David Ulmer\***  
(cell 978 609-7643)  
**Steve Ellis**  
(cell 978 609-4147)  
**George Mattingly**  
(cell 978-860-4149)

### Other Contact Information

Web: <http://www.nero.noaa.gov/fso.htm> Email: [reporting.ne@noaa.gov](mailto:reporting.ne@noaa.gov) or [permits.ne@noaa.gov](mailto:permits.ne@noaa.gov)

#### Help Desks

Dealer Electronic Reporting: 978 281-9212      IVR Reporting: 978 281-9209  
Vessel Trip Reporting: 978 281-9246      Permits: 978 281-9370      Reporting Forms: 978 281-9157