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| <h1 style="margin:0;">LLP</h1> <p style="margin:0;">License Limitation Program</p> | <h2 style="margin:0;">APPLICATION FOR TRANSFER LICENSE LIMITATION PROGRAM GROUNDFISH/CRAB LICENSE</h2> | U.S. Dept. of Commerce/NOAA National Marine Fisheries Service Alaska Region Restricted Access Management P.O. Box 21668 Juneau, Alaska 99802-1668 (800) 304-4846 toll free / 586-7202 in Juneau (907) 586-7354 fax |  |
|--|--|---|---|

BLOCK A - REQUIRED DOCUMENTATION

Use this block to determine which forms and other information must be included with your transfer. Please check each applicable box below to ensure that your application is complete and can be processed in a timely manner.

| | |
|--|--|
| <input type="checkbox"/> Completed Application | <input type="checkbox"/> Power of Attorney (if applicable) |
| <input type="checkbox"/> Original License | <input type="checkbox"/> LLP Ownership Information provided by the Transferee/Receiver |
| <input type="checkbox"/> Copy of Sale/Transfer Agreement | |

NOTE: The transfer of a license that was issued based on the documented harvests from a vessel that did not have a Federal Fisheries Permit during the period beginning January 1, 1988, through October 8, 1998, is restricted by regulation at 50 CFR 679.4(k)(7)(ix). Under this transfer restriction, this type of groundfish LLP license cannot be transferred separately and used on a vessel other than the original qualifying vessel.

BLOCK B - IDENTIFICATION OF LICENSE TO BE TRANSFERRED

Crab Groundfish License Number: _____

BLOCK C - PERSON(S) TRANSFERRING LICENSE (TRANSFEROR/SELLER)

| | | |
|--|---|-----------------------------|
| 1. Name of Transferor (as it appears on the license) | 2. NMFS ID | 3. SSN (optional) or Tax ID |
| 4. Permanent Business Mailing Address | 5. Temporary Mailing Address for Transfer Documents | |
| 6. Business Phone | 7. Business Fax | 8. E-mail Address |

BLOCK D - PERSON(S) TO WHOM LICENSE WILL BE TRANSFERRED (TRANSFEEE/RECEIVER)

1. Is the person applying to receive the license a U.S. Citizen (individual, corporation, partnership, or other association)?

Yes No, **STOP HERE.** This person is **not eligible** to receive a license.

| | | |
|---|---|-----------------------------|
| 2. Name of Receiver(s) (as it will appear on the license) | 3. NMFS ID | 4. SSN (optional) or Tax ID |
| 5. Permanent Business Mailing Address | 6. Temporary Mailing Address for Transfer Documents | |
| 7. Business Phone | 8. Business Fax | 9. E-mail Address |

| | |
|---|--|
| <p>BLOCK E - VESSEL CURRENTLY NAMED ON LICENSE</p> | <p>BLOCK F - VESSEL TO BE NAMED ON NEW LICENSE If the LOA of this vessel exceeds the MLOA of the original qualifying vessel, this vessel may <u>not</u> receive this license by transfer. A license may be transferred without naming a vessel.</p> |
|---|--|

| | |
|-------------------------------|-------------------------------|
| Name of Vessel _____ | Name of Vessel _____ |
| LOA _____ ADF&G Number _____ | LOA _____ ADF&G Number _____ |
| U.S. Coast Guard Number _____ | U.S. Coast Guard Number _____ |

REQUIRED SUPPLEMENTAL INFORMATION

APPLICATIONS WILL NOT BE PROCESSED UNLESS ALL INFORMATION REQUESTED IN BLOCKS G & H IS PROVIDED

BLOCK G – LLP OWNERSHIP DOCUMENTATION
To be completed by the Transferee/Receiver

Provide the names of all persons, to the individual level, holding an ownership interest in the LLP License being Transferred and the percentage ownership each person and individual will hold in the LLP License.

| Name | Percentage Ownership |
|------|----------------------|
| | |
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| | |

BLOCK H - TO BE COMPLETED BY THE TRANSFEROR (SELLER)

1. What is the total amount being paid for the license in this transaction, including all fees? \$ _____
Does this price include the price of the vessel Yes No

2. What is your reason(s) for transferring the license? (check all that apply)

Retirement from the fishery(ies) Enter other fishery(ies)
 Pursue non-fishing activities Other (explain)
 Health problems

3. Are you employing a broker to assist with this transaction? Yes No

If yes, how much is being paid in brokerage fees? \$ _____ (or) _____ % of total price)

BLOCK I - TO BE COMPLETED BY THE TRANSFEREE (RECEIVER)

1. Is the license being used as collateral for a loan? Yes No

If yes, name of party holding security interest or lien: _____

2. What is the primary source of financing for this transfer?

Personal Resources (cash) AK Com. Fish & Ag. Bank (CFAB) NMFS Loan Program
 Private Bank/Credit Union Transferor/Seller Received as a Gift
 Alaska Dept. Of Commerce Processor/Fishing Company Other (name)

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

Relative Advertisement/Public Notice Permit Broker
 Personal Friend Casual Acquaintance Other (explain)

4. What is the receiver's relationship to the license holder? (check all that apply)

No Relationship Business Partner/Associate Other (explain)

Family Member Friend

5. Does the transfer of this LLP license include the sale of the fishing history of a vessel?" If so, identify

Name of Vessel _____ LOA _____ ADF&G Number _____

U.S. Coast Guard Number _____

Is the transfer of this LLP license part of an agreement that also transfers ownership of a vessel? If so, ID the vessel

Name of Vessel _____ LOA _____ ADF&G Number _____

U.S. Coast Guard Number _____

6. Is there an agreement to return the license to the transferor (seller) or to transfer it to any other person, or is there any condition requiring the resale or conveyance of the license? Yes No

If yes, please explain (use attachment if necessary):

BLOCK J - TRANSFEROR (SELLER)

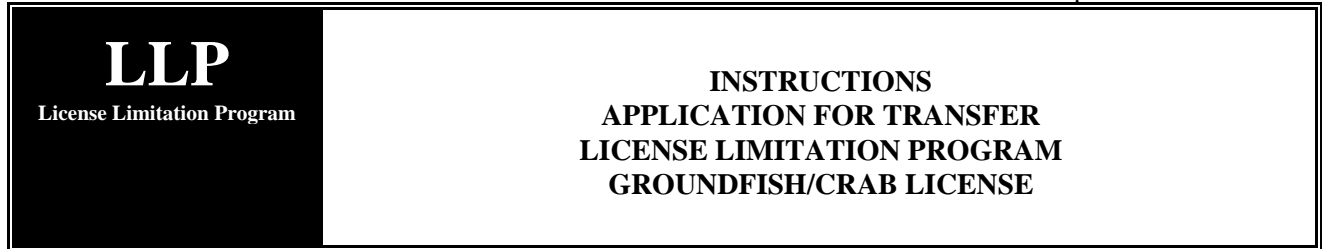
Under penalty of perjury, I hereby declare that I have examined this application, and the information presented herein is true, accurate, and complete to the best of my knowledge and belief.

| | |
|--|------------------------------------|
| 1. Signature of Transferor (Seller) or Authorized Agent | 2. Date |
| 3. Printed Name of Transferor (Seller) or Authorized Agent | |
| 4. Notary Public Signature ATTEST | 5. Affix Notary Stamp or Seal Here |
| 6. Commission Expires | |

BLOCK K - TRANSFEREE (RECEIVER)

Under penalty of perjury, I hereby declare that I have examined this application, and the information presented herein is true, accurate, and complete to the best of my knowledge and belief.

| | |
|--|------------------------------------|
| 1. Signature of Transferee (Receiver) or Authorized Agent | 2. Date |
| 3. Printed Name of Transferee (Receiver) or Authorized Agent | |
| 4. Notary Public Signature ATTEST | 5. Affix Notary Stamp or Seal Here |
| 6. Commission Expires | |



Completing the Application - General Information

An LLP license may be voluntarily transferred only once in a calendar year. A request to change the vessel designated on an LLP license will count towards the annual limit on voluntary transfers specified in 50 CFR 679.4(k)(7).

NOTE: The transfer of a license that was issued based on the documented harvests from a vessel that did not have a Federal Fisheries Permit during the period beginning January 1, 1988, through October 8, 1998, is restricted by regulation at 50 CFR 679.4(k)(7)(ix).. Under this transfer restriction, the groundfish LLP license and the vessel from which the license was earned must be transferred together. In other words, this type of groundfish LLP license cannot be transferred separately and used on a vessel other than the original qualifying vessel.

- ✓ Both the proposed transferor (seller) and the proposed transferee (receiver) must complete and sign this application.
- ✓ When completed, the application should be mailed or delivered to:

**NMFS Alaska Region
Restricted Access Management (RAM)
P.O. Box 21668
Juneau, Alaska 99802-1668
or delivered to
709 West 9th Street Suite 713
Juneau, Alaska 99801**

- ✓ An original application must be submitted; an application sent by facsimile will **not** be processed.
- ✓ **Please allow at least ten working days for your application to be processed.** Items will be sent by first class mail, unless you provide alternate instructions **and** include a prepaid mailer with appropriate postage or corporate account number for express delivery.
- ✓ It is important that all blocks are completed and attachments provided. Failure to answer any of the questions, provide any of the required documents, or to have signatures notarized could result in delays in the processing of your request for a transfer under the provisions of 50 CFR 679.4(k)(7).
- ✓ Direct any questions you may have to NMFS, RAM at 1-800-304-4846 (option 2) or (907) 586-7202 (option 2).

Completing the Application Form - Specific Instructions

BLOCK A - REQUIRED DOCUMENTATION

Use this list as a guide to make sure you have included all the necessary items in the mailing of your application. This will ensure timely processing of your transfer application. If you have lost your original license, you will need to complete a replacement application form. This application is available on the NMFS, Alaska Region web site at <https://alaskafisheries.noaa.gov/>. You may also call RAM at one of the numbers listed above and request the application be mailed or faxed to you; or you may visit the RAM office (709 W 9th Street, 7th Floor, Suite 713, Juneau, Alaska) and pick up the application.

BLOCK B - IDENTIFICATION OF LICENSE TO BE TRANSFERRED

Enter the identity of the crab or groundfish license to be transferred. Use one application for each license. **Note:** If both crab and groundfish licenses resulted from the activities of the same qualifying vessel, the two licenses may not be transferred independently of each other.

BLOCK C - PERSON(S) TRANSFERRING LICENSE (TRANSFEROR/SELLER)

1. Enter the full name as it appears on the license.
2. Enter NMFS ID Number.
3. Enter the Social Security or Tax ID Number.

Privacy Act Statement: Your social security number (SSN) is confidential and is protected under the Privacy Act. Disclosure of your SSN is voluntary. The primary purpose for soliciting the SSN is to provide a unique identifier to verify the identity of the applicant(s) for issuance of a federal fishery permit and to avoid inappropriate release of confidential records related to federal commercial fishery permits. In the event it is not provided, NMFS will assign a unique code that will identify your records.

4. Enter the permanent business mailing address, include city, state, and zip code.
5. Enter the temporary mailing address (include city, state, and zip code), if you would like the transfer documentation sent somewhere other than to your permanent address.
- 6-7. Enter the business telephone and fax numbers, including area code.
8. Enter the e-mail address (if available).

BLOCK D - PERSON(S) TO WHOM LICENSE WILL BE TRANSFERRED (TRANSFeree/ RECEIVER)

1. Indicate if the person applying to receive the license by transfer is a U.S. Citizen (i.e., an individual, corporation, partnership or other U.S. association, as defined at chapter 121, title 46, U.S.C.). If **NO, STOP**, this person is not eligible to receive a license.
2. Enter the full name as it will appear on the license.
3. Enter NMFS ID Number.
4. Enter the Social Security or Tax ID Number.

Privacy Act Statement: Your social security number (SSN) is confidential and is protected under the Privacy Act. Disclosure of your SSN is voluntary. The primary purpose for soliciting the SSN is to provide a unique identifier to verify the identity of the applicant(s) for issuance of a federal fishery permit and to avoid inappropriate release of confidential records related to federal commercial fishery permits. In the event it is not provided, NMFS will assign a unique code that will identify your records.

5. Enter the permanent business mailing address, include city, state, and zip code.
6. Enter the temporary mailing address (include city, state, and zip code), if you would like the transfer documentation sent somewhere other than to your permanent address.
- 7-8. Enter the business telephone and fax numbers, including area code.
9. Enter the e-mail address (if available).

BLOCK E - VESSEL CURRENTLY NAMED ON LICENSE

Enter the name of the vessel, the vessel’s Alaska Department of Fish and Game (ADF&G) number, U.S. Coast Guard (USCG) number, and the vessel’s length overall (LOA).

BLOCK F - VESSEL TO BE NAMED ON NEW LICENSE

Enter the name of the receiving vessel, the vessel’s ADF&G number, USCG number, and the vessel’s LOA. **If no vessel is named in this block, no license will be issued until such time as a vessel is named.** A license may be transferred without naming a vessel. In such cases, applicants will be notified tat the transfer has been approved; however, no physical license will be issued until the transferee/receiver has names a vessel. The naming of a vessel on a license is considered a transfer under 50 CFR 679.4(k)(7)(vii) and counts as the one transfer calendar year allowed by regulation.

If the LOA of this vessel exceeds the maximum length overall (MLOA) of the original qualifying vessel, this vessel may **not** receive this license by transfer.

The transfer of a license that was issued based on the documented harvests from a vessel that did not have a Federal Fisheries Permit during the period beginning January 1, 1988, through October 8, 1998, are restricted by regulation. Under this transfer restriction, this type of groundfish LLP license cannot be transferred separately and used on a vessel other than the original qualifying vessel. This transfer restriction has two exceptions. First, if the fishing history of a vessel that did not have an FFP was transferred before February 7, 1998, the qualifying vessel did not have to accompany the license. Second, a vessel that is subject to this provision but that is lost or destroyed can be replaced under the general vessel replacement provisions of the LLP. However, subsequent transfers will require the license to be “coupled” with the existing vessel (i.e., the license cannot be transferred separately from the vessel named on the license).

REQUIRED SUPPLEMENTAL INFORMATION
APPLICATION WILL NOT BE PROCESSED
UNLESS ALL INFORMATION REQUESTED IN BLOCKS G, H AND I IS PROVIDED

BLOCK G – LLP OWNERSHIP DOCUMENTATION (to be provided by the transferee/receiver of the LLP license)

Enter the names of all persons, to the individual level, holding an ownership interest in the LLP License being transferred and the percentage ownership each person and individual holds in LLP License.

If the LLP License Holder is a non-individual (i.e., a corporation, partnership or other entity), provide the names of, and the percentage of ownership held by, all of its owners. Information should be provided to the individual level. See example below:

| Name of Owner | % Interest |
|---------------------------|--------------|
| Joe Groundfish | 25% |
| Alice Groundfish | 25% |
| LLP Family Holdings, Inc. | 50% |
| A. LLP Holder | 25% (of 50%) |
| B. LLP Holder | 25% (of 50%) |
| C. LLP Holder | 25% (of 50%) |
| D. LLP Holder | 25% (of 50%) |

BLOCK H - TO BE COMPLETED BY THE TRANSFEROR (SELLER)

1. The total amount entered should include **any and all** monies collected on behalf of the seller for the subject license, If the sale of the license is combined with, or part of, the sale of some other asset (i.e., a vessel), the sales price of the license must be specified, including any fees that will later be paid out to other parties for the expenses of brokering or assisting in the sale of this license.

2. Please check all boxes that apply to this transaction.
3. Are you paying a permit broker or other third party to assist with this transaction? If **No**, go to question #2. If **Yes**, put the total price paid to the broker or calculate how much was paid to the third party as a percentage of the total sale price (including fee).

BLOCK I - TO BE COMPLETED BY THE TRANSFEREE (RECEIVER)

1. Indicate if the license will be used as collateral. If so, enter the name of entity or person(s) who will hold the lien.
- 2-4. Please check any and all boxes that apply to this transaction.
5. Indicate if the transfer of this LLP license include the sale of the fishing history of a vessel?" If so, identify the vessel. Indicate if the transfer of this LLP license includes the sale of a vessel? If so, ID the vessel
6. Indicate whether or not there is an agreement to return the license to the transferor (seller), or any other person, or a condition placed on resale. If there is such an agreement, provide details.

BLOCKS J & K - CERTIFICATION OF TRANSFEROR, TRANSFEREE, AND NOTARY

- 1-3. Sign, print your name, and date the application in the presence of a Notary Public. Application forms submitted to RAM must bear the **original signatures** of the parties — **RAM will not process faxed applications.**

NOTE: Representatives signing for a transferor or transferee must submit proof of authorization (e.g., a Power of Attorney) to submit this application on their behalf.

- 4-6. A Notary Public must attest and affix a Notary Stamp or Seal.

The information requested on this application is for the express purpose of ensuring that transfers of License Limitation Program groundfish and crab licenses are properly executed as requested by the parties to the transfer and to ensure that all provisions of the federal regulations governing the transfer of such licenses [50 CFR 679.4(k)(7)] have been met.

PUBLIC REPORTING BURDEN STATEMENT

Public reporting burden for this collection of information is estimated to average 1.0 hours per response, including the time for reviewing the 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 aspect of this collection of information, including suggestions for reducing the burden, to: Assistant Regional Administrator for Sustainable Fisheries Division, National Marine Fisheries Service, P.O. Box 21668, Juneau, AK 99802-1668.

ADDITIONAL INFORMATION

Before completing this form please note the following: 1) Notwithstanding any other provision of 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; 2) This information is mandatory and is required to manage commercial fishing efforts under 50 CFR part 679 and under section 402(a) of the Magnuson-Stevens Act (16 U.S.C. 1801, et seq.); 3) Responses to this information request may be confidential under section 402(b) of the Magnuson-Stevens Act (16 U.S.C. 1801, et seq.). They may also be confidential under NOAA Administrative Order 216-100, which sets forth procedures to protect confidentiality of fishery statistics.
