

**FEDERAL ATLANTIC HMS EXEMPTED FISHING AND SHARK RESEARCH PERMIT  
REQUIREMENTS AND APPLICATION**

**Applicant's Name:** \_\_\_\_\_

**Address:** \_\_\_\_\_ **Phone Number:** \_\_\_\_\_

\_\_\_\_\_ **Fax Number:** \_\_\_\_\_

**City** \_\_\_\_\_ **State** \_\_\_\_\_ **Zip** \_\_\_\_\_ **Email Address:** \_\_\_\_\_

**Atlantic Shark Research Fishery**

**Do not fill out this section if you are applying for an EFP, SRP, Display Permit, or LOA. If submitting info for more than one vessel please provide separate information for each vessel. Include additional sheets for more than three vessels.**

Things to consider before submitting your shark research fishery application:

- a) You must submit a copy of your vessel documentation and Federal fishing permit with this application in order for your application to be deemed complete.
- b) Your vessel must have a current, valid USCG safety inspection decal (50 CFR 700.746 (d)) in order to be considered for the shark research fishery.
- c) If you have been charged criminally or civilly (*i.e.*, issued a Notice of Violation and Assessment (NOVA) or Notice of Permit Sanction) for any HMS related violation with such charges resulting in a final, adverse administrative or judicial order, guilty plea, or settlement agreement, your vessel will not be considered for the shark research fishery.
- d) Providing an e-mail address will allow NMFS to contact you to inform you if your application is complete, to ask for additional information, or to send your permit, if applicable.
- e) Please be sure to sign the application

1)

<b>What type of commercial permit do you possess?</b>	<b>Vessel 1 ID _____</b>	<b>Vessel 2 ID _____</b>	<b>Vessel 3 ID _____</b>
Directed			
Incidental			
Other permits held			

- 2) **Does your vessel meet all the requirements specified in 50 CFR 635.7 to carry an observer during all shark fishing trips pursuant to these permits?**  
 \_\_\_ Yes \_\_\_ No

<b>Does your vessel(s) have the following?</b>	<b>Vessel 1 ID _____</b>	<b>Vessel 2 ID _____</b>	<b>Vessel 3 ID _____</b>
Survival craft to accommodate observer (50 CFR 600.746 (f) (6))	Yes _____ No _____	Yes _____ No _____	Yes _____ No _____
Appropriate bunk space/ sleeping accommodations (50 CFR 635.7 (e) (1))	Yes _____ No _____	Yes _____ No _____	Yes _____ No _____

**FEDERAL ATLANTIC HMS EXEMPTED FISHING AND SHARK RESEARCH PERMIT  
REQUIREMENTS AND APPLICATION**

**3a) Have you been selected to carry an observer in the past 2 years? \_\_\_ Yes \_\_\_ No**

**3b) If yes, have you carried an observer in the past 2 years? \_\_\_ Yes \_\_\_ No**

**4) Have you fished for sharks commercially in the past 2 years? \_\_\_ Yes \_\_\_ No**  
**If yes, approximately how many trips have you taken per year? \_\_\_\_\_**

<b>5) Fishing gear typically deployed from vessel(s)</b>	<b>Vessel 1 ID _____</b>	<b>Vessel 2 ID _____</b>	<b>Vessel 3 ID _____</b>
Gillnet			
Bottom Longline			
Pelagic Longline			
Handgear			
Other (please specify)			

<b>6) Regions fished for sharks in the past</b>	<b>Vessel 1 ID _____</b>	<b>Vessel 2 ID _____</b>	<b>Vessel 3 ID _____</b>
Gulf of Mexico			
South Atlantic			
North Atlantic			
Other (please specify)			

<b>7) Availability</b>	<b>Vessel 1 ID _____</b>	<b>Vessel 2 ID _____</b>	<b>Vessel 3 ID _____</b>
In what month(s) is your vessel(s) available?			
In what area/region(s) is your vessel available?			

**8) Will you attend meetings required by NMFS to describe the objectives and/or research protocols regarding the shark research fishery?**  
 \_\_\_ Yes \_\_\_ No

**9) Will you carry out the research objectives set forth by the Agency?**  
 \_\_\_ Yes \_\_\_ No

**10) Will you carry out research in the Mid-Atlantic shark time/area closure area off the coast of North Carolina?**  
 \_\_\_ Yes \_\_\_ No





FEDERAL ATLANTIC HMS EXEMPTED FISHING AND SHARK RESEARCH PERMIT  
REQUIREMENTS AND APPLICATION

**Atlantic Shark Research Fishery and Exempted Fishing Program**

*Applications will be deemed incomplete if a signature or vessel documentation is not included  
If the applicant's name is different from the owner's name, please fill in the appropriate information*

**Participating Vessel(s)<sup>3</sup>:**

1. Vessel Name \_\_\_\_\_ Owner's Name: \_\_\_\_\_

Phone Number: \_\_\_\_\_ Owner's Address: \_\_\_\_\_

Operator's Name: \_\_\_\_\_

Vessel Documentation Included? Yes \_\_\_ No<sup>4</sup> \_\_\_ Vessel ID #: \_\_\_\_\_

2. Vessel Name \_\_\_\_\_ Owner's Name: \_\_\_\_\_

Phone Number: \_\_\_\_\_ Owner's Address: \_\_\_\_\_

Operator's Name: \_\_\_\_\_

Vessel Documentation Included? Yes \_\_\_ No \_\_\_ Vessel ID#: \_\_\_\_\_

3. Vessel Name \_\_\_\_\_ Owner's Name: \_\_\_\_\_

Phone Number: \_\_\_\_\_ Owner's Address: \_\_\_\_\_

Operator's Name: \_\_\_\_\_

Vessel Documentation Included? Yes \_\_\_ No \_\_\_ Vessel ID#: \_\_\_\_\_

***Applicant's***

***Signature:*** \_\_\_\_\_ ***Date:*** \_\_\_\_\_

PAPERWORK REDUCTION ACT NOTICE: Collection of information through an exempted fishing permit program provides essential information for the conservation and management of Atlantic tunas, swordfish, sharks, and billfish. Information on distribution and migratory patterns will be used for stock assessment and in developing international catch sharing agreements. Public reporting burden for this collection of information is estimated to average 40 minutes per response. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to: NMFS, Highly Migratory Species Management Division (F/SF1), 1315 East-West Highway, Silver Spring, MD 20910. Reporting of exempted fishing permit activity is required under the authority of the Atlantic Tunas Convention Act. It is NOAA policy to preserve the confidentiality of information submitted under this reporting requirement, except that NMFS may release such information in aggregate or summary form, such that individual identifiers are not disclosed (NAO 216-100). 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. OMB Control #0648-0471 Expires 06/30/2011.

<sup>3</sup> Include additional sheets if more than three vessels are needed for the exempted fishing activity or shark research fishery.  
<sup>4</sup> Application will not be deemed complete until all information is provided to NMFS. Please attach documentation (U.S. Coast Guard documentation, state license, or registration, and HMS permit) for each vessel to this application.

## **FEDERAL ATLANTIC HMS EXEMPTED FISHING AND SHARK RESEARCH PERMIT REQUIREMENTS AND APPLICATION**

### **Exempted Fishing Program**

Regulations governing the issuance of Federal Exempted Fishing Permits (EFPs) for highly migratory species (HMS) are contained in 50 CFR Part 635.32 and 50 CFR Part 600.745. In general, HMS EFPs are issued by the National Marine Fisheries Service (NMFS) to authorize activities otherwise prohibited by the Atlantic HMS regulations; to facilitate the conduct of scientific research; for the purpose of limited testing of fishing gear and methods; for the acquisition of data for species that would otherwise be prohibited for harvesting, for the enhancement of safety at sea; for the purpose of collecting animals for public education or display; or for investigating means of reducing bycatch, economic discards or regulatory discards. HMS has the authority to issue four different types of EFPs; these are described below:

**Exempted Fishing Permits (EFPs):** Under both the Magnuson-Stevens Fishery Conservation and Management Act (Magnuson-Stevens Act) and the Atlantic Tunas Convention Act (ATCA), non-scientific activities may be authorized under EFPs. EFPs are necessary to allow research conducted from a commercial or recreational fishing vessel that would otherwise be prohibited by existing regulations.

**Display Permit:** Display permits are issued for the collection of HMS for the purpose of public display. Generally, display permits are issued to commercial or recreational fishing vessels, capable of keeping fish alive from the time of capture to the point of transfer to an approved aquarium or other facility.

**Letter of Acknowledgements (LOAs):** Technically, scientific research is exempted from regulation under the Magnuson-Stevens Act, so NMFS does not issue EFPs for bona fide research activities (*i.e.*, research conducted from a research vessel as opposed to a commercial or recreational fishing vessel) involving species regulated or prohibited under Magnuson-Stevens Act Fishery Management Plans (FMPs). In such cases, NMFS issues an LOA to researchers to indicate concurrence by NMFS that the proposed activity meets the definition of research and is therefore exempt from regulation.

**Scientific Research Permits (SRPs):** ATCA confers regulatory authority over scientific research so that all sources of mortality of species regulated by the International Commission for the Conservation of Atlantic Tunas (ICCAT) can be reported by the Secretary. In cases where tunas, swordfish, and billfishes are being collected, NMFS will issue an EFP if the research/collection occurs in conjunction with regulated commercial or recreational fishing activity, or an SRP if the collection of regulated species occurs as part of a research cruise (*e.g.*, NMFS or university research vessel).

**Chartering Permit:** A 2002 ICCAT recommendation (02-21) states that at the time of a chartering arrangement, the chartering and flag Contracting Parties shall provide specific information concerning the charter to the ICCAT Executive Secretary, including vessel details, target species, duration, and consent of the flag Contracting Party or Cooperating non-Contracting Party, Entity or Fishing Entity. In order to comply with this recommendation, NMFS requires that vessel owners apply for and obtain a NMFS chartering permit before fishing under a chartering arrangement with a foreign entity. A chartering permit would exempt the vessel from domestic regulations as needed. U.S. vessels fishing under a chartering permit cannot concurrently land fish counted against U.S. quotas, however, prohibited species takes are counted against the Incidental Take Statement from the relevant Biological Opinion. The separate application for a chartering permit is covered under OMB 0678-0495. Please contact HMS Management Division to request a chartering permit application.

### **Shark Research Fishery**

Regulations governing the issuance of a Federal shark research fishery permit are contained in 50 CFR Part 635. NMFS will publish annually in the Federal Register a notice describing, for the following year, the expected research objectives. In general, shark research fishery permits are issued each year to qualified applicants who have submitted a complete application to NMFS and are selected to participate. The shark research fishery would allow NMFS and commercial shark fishermen to conduct cooperative research to collect fishery-dependent data for management of the Atlantic shark fishery.

## **FEDERAL ATLANTIC HMS EXEMPTED FISHING AND SHARK RESEARCH PERMIT REQUIREMENTS AND APPLICATION**

**Shark Research Fishery Permit:** A valid shark research fishery permit is required to fish for, take, retain, or possess Atlantic sharks, including sandbar sharks, in excess of retention limits described in 635.24 (a). A shark research fishery permit is only valid for the vessel, owner, and operator(s) specified and cannot be transferred to another vessel, owner, or operator(s). A shark research fishery permit is only valid for the retention limits, time, area, and gear specified on the permit, and only when a NMFS-approved observer is on board. Issuance of a shark research fishery permit does not guarantee that the holder will be issued a NMFS-approved observer on any particular trip. Rather, issuance indicates that a vessel may be issued a NMFS-approved observer for a particular trip and on such trips may be allowed to harvest Atlantic sharks, including sandbar sharks, in excess of retention limits specified in 635.24 (a).

### **Requirements**

Per the HMS regulations, a valid shark research fishery permit, EFP, SRP, Display Permit or LOA must be on board the harvesting vessel, must be available when animals are landed, and, in the case of capturing animals for display, must be available when the animal is transported from the vessel to the display facility, and must be presented for inspection upon request of an authorized officer.

An application will not be deemed complete until all of the information on the application is submitted to the HMS Management Division in writing. NMFS has 60 days from the date the application is deemed complete to make a determination on issuing the EFP, although the agency may take additional time to analyze the environmental, economic, and social impacts of proposed research if the activity has not been previously analyzed. An incomplete application will not be considered until corrected in writing.

A shark research fishery permit, EFP, SRP, Display Permit or LOA is valid only for the specific authorized vessel(s), samplers, time, area, gear, and species indicated on the permit. Except for the regulatory exemptions specifically referenced on the permit, all HMS regulations at 50 CFR Part 635 shall apply during the conduct of the fishing activity. All private vessels listed on a research permit, EFP, SRP, Display Permit or LOA should have a valid HMS recreational or commercial HMS permit.

Once the public display and scientific quota has been reached based on reported landings from interim reports, no additional EFPs, SRPs, or Display Permits will be issued. Once 80 percent of the commercial sandbar shark quota has been reached based on scientific observer reports, the shark research fishery will be closed.

The issuance of a shark research fishery permit, EFP, SRP, Display Permit or LOA in no way confers any right to collect/harvest species in waters under state jurisdiction. The appropriate state fish and wildlife agency must be contacted regarding any collection in state waters, as separate state permits may be required for collection/harvest in state waters.

Within 5 days of the completion of a fishing trip for any HMS under an EFP, SRP, LOA or Display Permit, an interim report, supplied by NMFS, must be submitted to the address below. These forms include authorized sampler, date of collection, species, fork length, total length, weight, sex, disposition, tag number, gear used, area caught, depth, water temperature, vessel name, name of vessel master, signature, and date of signature. An annual report of all fishing activities and disposition of all fish collected under the permit must also be submitted to NMFS at the address below upon completion of the authorized activities. Both forms are supplied to permit holders at the time the permit is issued and additional (or electronic) copies can be obtained upon request.

Fishermen holding a shark research fishery permit do not need to submit an interim or annual report. Fishermen with a shark research fishery permit should report their commercial catch in the appropriate logbook.

### **Collection of Shark for Display Purposes**

Consistent with the 1999 HMS FMP and if deemed appropriate, NMFS will issue a Display Permit with tags, as well as the interim and annual report forms. Each permit will be valid only for the number of animals and tags specified, and each animal must be tagged immediately to be considered an authorized collection. The animal must be tagged aboard the collection vessel and maintained in the animal during the acclimation holding period.

**FEDERAL ATLANTIC HMS EXEMPTED FISHING AND SHARK RESEARCH PERMIT  
REQUIREMENTS AND APPLICATION**

However, the tag may be removed once the animal is transported to the facility where it will be displayed. Should an animal be deemed unsuitable for public display during the acclimation period, the animal must be released with the tag intact in a manner that ensures the maximum probability of survival, and the annual report should be returned indicating that the animal has been released. NMFS may issue replacement tags for such released animals.

NMFS will consider accreditation in the American Zoo and Aquarium Association, or equivalent standards, as meeting the requirement of providing adequate facilities for an animal.

**HMS EFP Contact Information**

Please submit any EFP applications with all of the required information, interim reports, and annual reports to:

Craig Cockrell  
Highly Migratory Species Management Division (F/SF1)  
National Marine Fisheries Service  
1315 East-West Highway  
Silver Spring, MD 20910  
[Craig.Cockrell@noaa.gov](mailto:Craig.Cockrell@noaa.gov)

For additional HMS EFP information, contact Craig Cockrell at 301-713-2347 or Jackie Wilson at 240-338-3936. Applications may be faxed to 301-713-1917.

**Atlantic Shark Research Fishery Contact Information**

Please submit any Shark Research Fishery applications with all required information to:

Guý Dubeck  
Highly Migratory Species Management Division (F/SF1)  
National Marine Fisheries Service  
1315 East-West Highway  
Silver Spring, MD 20910  
[Guy.Dubeck@noaa.gov](mailto:Guy.Dubeck@noaa.gov)

For additional Shark Research Fishery Information please contact Guý Dubeck or Karyl Brewster-Geisz at 301-713-2347. Applications may be faxed to 301-713-1917.

PAPERWORK REDUCTION ACT NOTICE: Collection of information through an exempted fishing permit program provides essential information for the conservation and management of Atlantic tunas, swordfish, sharks, and billfish. Information on distribution and migratory patterns will be used for stock assessment and in developing international catch sharing agreements. Public reporting burden for this collection of information is estimated to average 40 minutes per response. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to: NMFS, Highly Migratory Species Management Division (F/SF1), 1315 East-West Highway, Silver Spring, MD 20910. Reporting of exempted fishing permit activity is required under the authority of the Atlantic Tunas Convention Act. It is NOAA policy to preserve the confidentiality of information submitted under this reporting requirement, except that NMFS may release such information in aggregate or summary form, such that individual identifiers are not disclosed (NAO 216-100). 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. OMB Control #0648-0471 Expires 06/30/2011.