

DRAFT FINANCIAL DISCLOSURE REPORT
For Regional Fishery Management Council Voting Members, Nominees and
Members of a Scientific and Statistical Committee

Who needs to file a financial disclosure?

You, because you were nominated by the Governor of a state or appointed by the Secretary of Commerce to serve as a voting member of a Regional Fishery Management Council (Council); or you are a nominee to or a member of a Science and Statistical Committee (SSC).

What is the purpose of a financial disclosure?

The duties and responsibilities of your position require you to file the Financial Disclosure Report to fulfill the requirements of the Magnuson-Stevens Act. The purpose of this report is to assist you and NMFS in avoiding conflicts between official duties and private financial interests or affiliations. You may not vote on any Council decision that would have a significant and predictable effect on a financial interest disclosed in your report. Under penalty of law, please ensure that the information you provide is complete and accurate.

What must I disclose on this form?

The Magnuson-Stevens Act requires the disclosure of any financial interest in harvesting, processing, lobbying, advocacy, or marketing activity that is being, or will be, undertaken within any fishery over which a Council has jurisdiction. This also includes employment with an entity that provides consulting, legal, or representational services relating to harvesting, processing, lobbying, advocacy, or marketing activities. You must disclose such financial interest held by yourself; your spouse, minor child, partner; or any organization (other than the Council) in which you are serving as an officer, director, trustee, partner, or employee. This does not include financial interest in State regulated fisheries or interests in entities engaging in scientific fisheries research.

When do I need to file my financial disclosure?

Nominees: This form must be filed by each nominee for Secretarial appointment with the Assistant Administrator by April 15 or, if nominated after March 15, 1 month after nomination by the Governor.

Members: A seated voting member appointed by the Secretary must file this form with the Executive Director of the appropriate Council within 45 days of taking office; and must file an update with the Executive Director of the appropriate Council within 30 days of the time any such financial interest is acquired or substantially changed. All Council members must file this form annually by February 1st regardless of any change in information.

SSC Nominees and Members: Nominees to an SSC must file within 45 days prior to scheduled appointment to the SSC. A member of a SSC must file this form with the Executive Director of the appropriate Council within 45 days of taking office; and must file an update with the Executive Director within 30 days of the time any such financial interest is acquired or substantially changed. All SSC members must file this form annually by February 1st regardless of any change in information.

Questions?

If you have any questions about how to complete this form, please contact your Council Executive Director, NMFS Regional Office or the NOAA General Counsel for your Council.

PENALTIES

Knowing and willful falsification of information required to be reported may subject you to criminal prosecution or subject you to civil penalties. It is unlawful for an affected individual to knowingly and willfully fail to disclose, or to falsely disclose, any financial interest as required by the Magnuson Stevens Act, or to knowingly vote on a Council decision in violation of this Act. In addition to the criminal penalties applicable, a violation of this provision may result in removal from Council or SSC membership.

FINANCIAL DISCLOSURE REPORT

Nominee or Member's Name (*Print last, first, middle initial*) _____

Name of Council or Committee _____

Type of Appointment (list Nominee, Annual, or Supplemental) _____

Instructions

1. Carefully read the questions for Parts 1-3 on the following pages.
2. In Part 1, you must answer "yes" or "no" for each question provided. If you select "Yes," check any applicable financial interest from the list below the question and provide the appropriate detail explaining your selection. If you need more room to provide detail, please attach those pages to this form.
3. In Part 2, you must answer "yes" or "no" for each question provided. If you select "Yes," check any applicable financial interest from the list below the question and provide the appropriate detail explaining your selection. If you need more space to provide detail, please attach those pages to this form.
4. In Part 2, if you select "I have no spouse, partner, or minor children to report on," you may skip the rest of Part 2 and move to Part 3. Answer Part 3, if necessary.
5. Sign and date the form.
6. Submit the completed form to NMFS if a nominee; or to your Council Executive Director if a seated Council member or member of a SSC.

I certify that the statements I have made on this form and all attached statements are true, complete, and correct to the best of my knowledge.

Signature _____

Date (*mm/dd/yyyy*) _____

Paperwork Reduction Act

Notwithstanding any other provision of law, no person is required to respond to nor shall a 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. The public reporting burden for this information, on this NOAA Form 88-195, is estimated to average XX minutes per response, including 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 aspect of this collection of information, including suggestions for reducing this burden to the National Marine Fisheries Service, Office of the Chief Information Officer (F/CIO), 1315 East-West Highway, SSMC #3, 3rd Floor, Silver Spring, Maryland 20910.

Public Access to Information

This form, as completed by seated members of the Regional Fishery Management Councils, will be retained by the Council, made available on the Council's websites, and made available for public review at reasonable hours at the Council's Office and at each public hearing or public meeting.

Part 1: Personal Financial Interest

Section 1.1: Assets and Ownership

Question 1.1.1

Do you have any **stock, equity or ownership interest** (whole or partial ownership) in a **company or business** engaged in any of the following activities in any fishery under the jurisdiction of the Council concerned?

- No
- Yes

Check all that apply:

- Harvesting
- Processing
- Marketing
- Provides equipment essential to any of the above activities
- Provides other services essential to any of the above activities

Please list and describe each applicable interest, as indicated above. Please include company or business name and fishery or fisheries of interest.

Question 1.1.2

Do you have **stock, equity or ownership interest** (whole or partial ownership) in any **fishing vessel** engaged in the following activities in any fishery under the jurisdiction of the Council concerned?

- No
- Yes

Check all that apply:

- Harvesting
- Processing
- Marketing
- Provides equipment essential to any of the above activities
- Provides other services essential to any of the above activities

Please list and describe each applicable interest, as indicated above. Please include vessel name, fishery or fisheries of interest and gear type.

Question 1.1.3

Do you have **stock, equity or ownership interest** (whole or partial ownership) in any **other entity** engaged in the following activities in any fishery under the jurisdiction of the Council concerned?

- No
- Yes

Check all that apply:

- Harvesting
- Processing
- Marketing
- Provides equipment essential to any of the above activities
- Provides other services essential to any of the above activities

Please list and describe each applicable interest, as indicated above. Please include entity name and fishery or fisheries of interest.

Question 1.1.4

Do you have **any percentage ownership** in or by a **company or business; or other entity** that provides any of the following services related to any fishery under the jurisdiction of the Council concerned?

- No
- Yes

Check all that apply:

- Lobbying
- Advocacy
- Marketing

Please list and describe each applicable interest, as indicated above. Please include company or business name and fishery or fisheries of interest.

Section 1.2: Employment

Question 1.2.1

Do you have employment with any **company or business** engaged in the following activities in any fishery under the jurisdiction of the Council concerned?

- No
- Yes

Check all that apply:

- Harvesting
- Processing
- Marketing
- Provides equipment essential to any of the above activities
- Provides other services essential to any of the above activities

Please list and describe each applicable interest, as indicated above. Please include beginning date of employment, company or business name and fishery or fisheries of interest.

Question 1.2.2

Do you have employment with a **fishing vessel** engaged in the following activities in any fishery under the jurisdiction of the Council concerned?

- No
- Yes

Check all that apply:

- Harvesting
- Processing
- Marketing
- Provides equipment essential to any of the above activities
- Provides other services essential to any of the above activities

Please list and describe each applicable interest, as indicated above. Please include beginning date of employment, vessel name and fishery or fisheries of interest.

Question 1.2.3

Do you have employment with **any other entity** engaged in the following activities in any fishery under the jurisdiction of the Council concerned?

- No
- Yes

Check all that apply:

- Harvesting
- Processing
- Marketing
- Provides equipment essential to any of the above activities
- Provides other services essential to any of the above activities

Please list and describe each applicable interest, as indicated above. Please include beginning date of employment, entity name and fishery or fisheries of interest.

Question 1.2.4

Do you have employment with **any company or business; or other entity** that provides any of the following services related to any fishery under the jurisdiction of the Council concerned?

- No
- Yes

Check all that apply:

- Lobbying
- Advocacy
- Marketing

Please list and describe each applicable interest, as indicated above. Please include beginning date of employment, entity name and fishery or fisheries of interest.

Question 1.2.5

Do you have employment with **any entity that has a percentage ownership in or by another entity** providing any of the following services, or providing equipment or services essential to harvesting, processing, lobbying, advocacy, or marketing activities, in any fishery under the jurisdiction of the Council concerned?

- No
- Yes

Check all that apply:

- Consulting
- Legal
- Representational Services

Please list and describe each applicable interest, as indicated above. Please include beginning date of employment, entity name and fishery or fisheries of interest.

Question 1.2.6

Do you have employment with **an association or organization** whose members include companies, vessels, or other entities engaged in any of the following activities in any fishery under the jurisdiction of the Council concerned?

- No
- Yes

Check all that apply:

- Harvesting
- Processing
- Lobbying
- Advocacy
- Marketing
- Provides equipment essential to any of the above activities
- Provides other services essential to any of the above activities

Please list and describe each applicable interest, as indicated above. Please include beginning date of employment, association name and fishery or fisheries of interest.

Section 1.3: Other Service with an association or organization

Question 1.3.1

Are you **servicing as an officer, director, or trustee** of any organization or association whose members include companies or vessels engaged in any of the following activities in any fishery under the jurisdiction of the Council concerned?

No

Yes

Check all that apply:

- Harvesting
- processing
- Lobbying
- Advocacy
- Marketing
- Provides equipment essential to any of the above activities
- Provides other services essential to any of the above activities

Please list and describe each applicable interest, as indicated above. Please include beginning date of service, association name and fishery or fisheries of interest.

Part 2: Financial Interest of Spouses, Partners, and Minor Children

If you have no spouse, partner, or minor children report, check the box below and proceed to Part 3.

- I have no spouse, partner, or minor children to report

Section 2.1: Assets and Ownership

Question 2.1.1

Does your spouse, partner, or minor child have any **stock, equity or ownership interest** (whole or partial ownership) in a **company or business** engaged in any of the following activities in any fishery under the jurisdiction of the Council concerned?

- No
 Yes

Check all that apply:

- Harvesting
 Processing
 Marketing
 Provides equipment essential to any of the above activities
 Provides other services essential to any of the above activities

Please list person and relationship and describe each applicable interest, as indicated above. Please include company or business name and fishery or fisheries of interest.

Question 2.1.2

Does your spouse, partner, or minor child have any **stock, equity or ownership interest** in any **fishing vessel** engaged in the following activities in any fishery under the jurisdiction of the Council concerned?

- No
 Yes

Check all that apply:

- Harvesting
 Processing
 Marketing
 Provides equipment essential to any of the above activities
 Provides other services essential to any of the above activities

Please list person and relationship and describe each applicable interest, as indicated above. Please include vessel name, fishery or fisheries of interest and gear type.

Question 2.1.3

Does your spouse, partner, or minor child have any **stock, equity or ownership interest** in any **other entity** engaged in the following activities in any fishery under the jurisdiction of the Council concerned?

- No
- Yes

Check all that apply:

- Harvesting
- Processing
- Marketing
- Provides equipment essential to any of the above activities
- Provides other services essential to any of the above activities

Please list person and relationship and describe each applicable interest, as indicated above. Please include entity name and fishery or fisheries of interest.

Question 2.1.4

Does your spouse, partner, or minor child have **any percentage ownership** in or by a **company or entity** that provides any of the following services for any fishery under the jurisdiction of the Council concerned?

- No
- Yes

Check all that apply:

- Consulting
- Legal
- Representational Services
- Lobbying
- Advocacy
- Marketing

Please list person and relationship and describe each applicable interest, as indicated above. Please include entity name and fishery or fisheries of interest.

Section 2.2 Employment of Spouse, Partner, or Minor Child

Question 2.2.1

Does your spouse, partner, or minor child have employment with any **company or business** engaged in the following activities in any fishery under the jurisdiction of the Council concerned?

- No
- Yes

Check all that apply:

- Harvesting
- Processing
- Marketing
- Provides equipment essential to any of the above activities
- Provides other services essential to any of the above activities

Please list person and relationship and describe each applicable interest, as indicated above. Please include beginning date of employment, company or business name and fishery or fisheries of interest.

Question 2.2.2

Does your spouse, partner, or minor child have employment with a **fishing vessel** engaged in the following activities in any fishery under the jurisdiction of the Council concerned?

- No
- Yes

Check all that apply:

- Harvesting
- Processing
- Marketing
- Provides equipment essential to any of the above activities
- Provides other services essential to any of the above activities

Please list person and relationship and describe each applicable interest, as indicated above. Please include beginning date of employment, vessel name and fishery or fisheries of interest.

Question 2.2.3

Does your spouse, partner, or minor child have employment with **any other entity** engaged in the following activities in any fishery under the jurisdiction of the Council concerned?

- No
- Yes

Check all that apply:

- Harvesting
- Processing
- Provides equipment essential to any of the above activities
- Provides other services essential to any of the above activities

Please list person and relationship and describe each applicable interest, as indicated above. Please include beginning date of employment, entity name and fishery or fisheries of interest.

Question 2.2.4

Does your spouse, partner, or minor child have employment with **any company or business; or other entity** that provides any of the following services related to any fishery under the jurisdiction of the Council concerned?

- No
- Yes

Check all that apply:

- Lobbying
- Advocacy
- Marketing

Please list person and relationship and describe each applicable interest, as indicated above. Please include beginning date of employment, entity name and fishery or fisheries of interest.

Question 2.2.5

Does your spouse, partner, or minor child have employment with **any entity that has a percentage ownership in or by another entity** providing any of the following services, or providing equipment or services essential to harvesting, processing, lobbying, advocacy, or marketing activities, in any fishery under the jurisdiction of the Council concerned?

- No
- Yes

Check all that apply:

- Consulting
- Legal
- Representational Services

Please list person and relationship and describe each applicable interest, as indicated above. Please include beginning date of employment, entity name and fishery or fisheries of interest.

Question 2.2.6

Does your spouse, partner, or minor child have employment with **an association or organization** whose members include companies, vessels, or other entities engaged in any of the following activities in any fishery under the jurisdiction of the Council concerned?

- No
- Yes

Check all that apply:

- Harvesting
- Processing
- Lobbying
- Advocacy
- Marketing
- Provides equipment essential to any of the above activities
- Provides other services essential to any of the above activities

Please list person and relationship and describe each applicable interest, as indicated above. Please include beginning date of employment, association name and fishery or fisheries of interest.

Section 2.3: Service with an association or organization by Spouse, Partner, or Minor Child

Question 2.3.1

Does your spouse, partner, or minor child **serve as an officer, director, or trustee** of any organization or association whose members include companies, vessels, or other entities engaged in any of the following activities in any fishery under the jurisdiction of the Council concerned?

- No
 Yes

Check all that apply:

- Harvesting
- Processing
- Lobbying
- Advocacy
- Marketing
- Provides equipment essential to any of the above activities
- Provides other services essential to any of the above activities

Please list person and relationship and describe each applicable interest, as indicated above. Please include beginning date of service, entity name and fishery or fisheries of interest.

Part 3: Information Requested of Other Persons

In the event any of the required information, including holdings placed in trust, is not known to you but is known to another person, you should request that other person to submit the information on your behalf and should report such request in the space below.

Please list person and relationship and describe each applicable interest, as described above. Please include entity name and fishery or fisheries of interest.