

APPLICATION FOR INITIAL, EXCHANGE, OR REPLACEMENT OF CERTIFICATE OF DOCUMENTATION; REDOCUMENTATION

NOTE: FILING THIS APPLICATION DOES NOT ENTITLE A VESSEL TO DOCUMENTATION OR TO ANY CHANGES SOUGHT ON A CERTIFICATE OF DOCUMENTATION. OFFICIAL NUMBERS DESIGNATED ON THE BASIS OF THIS APPLICATION ARE NOT TRANSFERABLE. ONLY A CURRENT CERTIFICATE OF DOCUMENTATION IS VALID FOR VESSEL OPERATION.

COMPLETE FOR ALL APPLICATIONS

A. VESSEL NAME (REQUIRED)		B. OFFICIAL # (IF AWARDED)	
Click Button For Additional Vessels	Undo Add More Vessels		
C. HULL ID # (IF ANY)	D. IMO # (IF ANY)	E. HAILING PORT INCLUDING STATE (TO BE MARKED ON VESSEL)	
F. NAME OF MANAGING OWNER		SOCIAL SECURITY OR TAX ID NUMBER (REQUIRED - 46 USC 12104)	
E-MAIL ADDRESS: TELEPHONE NUMBER:		SSN:	TIN:
G. PHYSICAL ADDRESS OF MANAGING OWNER (REQUIRED - 46 CFR 67.113)		MAILING ADDRESS OF MANAGING OWNER (IF DIFFERENT THAN PHYSICAL ADDRESS - E.G., P.O.BOX)	
H. NAME(S) OF OTHER OWNER(S)		SOCIAL SECURITY OR TAX ID NUMBER(S) OF OTHER OWNER(S)	
Click Button For Additional Owner(s)		Undo Additional Owner(s)	

I. PURPOSE OF APPLICATION

- ☐ 1. EXCHANGE OF CERTIFICATE OF DOCUMENTATION
- ☐ 2. REPLACEMENT OF LOST, WRONGFULLY WITHHELD OR MUTILATED CERTIFICATE OF DOCUMENTATION.
- ☐ 3. RE-INSTATEMENT OF CERTIFICATE OF DOCUMENTATION FOLLOWING FAILURE TO RENEW.
- ☐ 4. RETURN TO DOCUMENTATION FOLLOWING DELETION. VESSEL NAME WHEN LAST DOCUMENTED: _____
- ☐ 5. APPLICATION FOR OFFICIAL NUMBER AND FIRST CERTIFICATE OF DOCUMENTATION. VESSEL
- ☐ WAS BUILT AT _____ IN _____
- CITY, STATE, COUNTRY MONTH/YEAR
- OR
- ☐ IS UNDER CONSTRUCTION AT _____ AND IS SCHEDULED FOR COMPLETION IN _____
- HULL MATERIAL: ☐ WOOD ☐ STEEL ☐ FIBROUS REINFORCED PLASTIC ☐ ALUMINUM ☐ CONCRETE
- ☐ OTHER (DESCRIBE) _____ APPROXIMATE LENGTH OF VESSEL _____
- ENGINE LOCATION: ☐ INBOARD ☐ OUTBOARD
- PREVIOUS NAMES, NUMBERS, OR FOREIGN REGISTRATIONS OF VESSEL _____

J. ENDORSEMENTS FOR WHICH APPLICATION IS MADE

- | | |
|---------------------------------------|--|
| <input type="checkbox"/> RECREATIONAL | <input type="checkbox"/> COASTWISE - BOWATERS ONLY (CERTIFICATE ON FILE) |
| <input type="checkbox"/> FISHERY | <input type="checkbox"/> COASTWISE - OIL SPILL RESPONSE ONLY (LETTER OF QUALIFICATION ON FILE) |
| <input type="checkbox"/> COASTWISE | <input type="checkbox"/> COASTWISE - UNDER CHARTER TO AN ENTITY QUALIFIED TO ENGAGE IN COASTWISE TRADE (COPY OF CHARTER ON FILE) |
| <input type="checkbox"/> REGISTRY | |

K. PRIMARY SERVICE (IF UNKNOWN, PLEASE CONTACT LOCAL OCMI.)

- | | | |
|--|--|---|
| <input type="checkbox"/> COMMERCIAL FISHING BOAT | <input type="checkbox"/> OFFSHORE SUPPLY VESSEL | <input type="checkbox"/> RECREATIONAL |
| <input type="checkbox"/> FISH PROCESSING VESSEL | <input type="checkbox"/> PASSENGER (6 OR FEWER) | <input type="checkbox"/> RESEARCH VESSEL |
| <input type="checkbox"/> FREIGHT SHIP | <input type="checkbox"/> PASSENGER (MORE THAN 6) | <input type="checkbox"/> SCHOOL SHIP |
| <input type="checkbox"/> FREIGHT BARGE | <input type="checkbox"/> PASSENGER BARGE (6 OR FEWER) | <input type="checkbox"/> TANK BARGE |
| <input type="checkbox"/> INDUSTRIAL VESSEL | <input type="checkbox"/> PASSENGER BARGE (MORE THAN 6) | <input type="checkbox"/> TANK SHIP |
| <input type="checkbox"/> MOBILE OFFSHORE DRILLING UNIT | <input type="checkbox"/> PUBLIC FREIGHT | <input type="checkbox"/> TOWING VESSEL |
| <input type="checkbox"/> OIL RECOVERY | <input type="checkbox"/> PUBLIC TANKSHIP/BARGE | <input type="checkbox"/> PUBLIC VESSEL, UNC |

L. CITIZENSHIP OF OWNER (CHECK THE BOX(ES) TO SHOW THE TYPE(S) OF ENTITY(IES) THAT OWNS THE VESSEL)	
<input type="checkbox"/>	ONE OR MORE INDIVIDUALS I (WE) CERTIFY THAT ALL OWNERS OF THIS VESSEL ARE CITIZENS OF THE UNITED STATES
<input type="checkbox"/>	GOVERNMENT ENTITY (FEDERAL, STATE, TERRITORY, POSSESSION OR SUBDIVISION)
<input type="checkbox"/>	CORPORATION (SEE SECTION M, ITEM 5 WHEN APPLYING FOR A FISHERY OR COASTWISE ENDORSEMENT). 1. STATE OF INCORPORATION _____ 2. CITIZENSHIP OF CHIEF EXECUTIVE OFFICER BY WHATEVER TITLE _____ 3. CITIZENSHIP OF CHAIRMAN OF THE BOARD _____ 4. NUMBER OF DIRECTORS NECESSARY TO CONSTITUTE A QUORUM _____ 5. NUMBER OF ALIEN DIRECTORS _____ 6. PERCENTAGE OF STOCK OWNED BY U.S. CITIZENS ELIGIBLE TO DOCUMENT VESSELS IN THEIR OWN RIGHT, WITH THE ENDORSEMENT(S) SOUGHT ON THIS APPLICATION IN ACCORDANCE WITH 46 CFR PART 67 (SUBPART C) <div style="display: flex; justify-content: space-between;"> <div> <input type="checkbox"/> LESS THAN 50% <input type="checkbox"/> 50% OR MORE STATE EXACT PERCENTAGE _____ </div> <div> <input type="checkbox"/> 75% OR MORE (AND, AT EACH TIER, IF APPLICABLE) <input type="checkbox"/> 75% OR MORE (AND, AT EACH TIER AND IN THE AGGREGATE (IF FISHERY), IF APPLICABLE) </div> </div>
<input type="checkbox"/>	LIMITED LIABILITY COMPANY (LLC): (COMPLETE EQUITY SECTION AND CHOOSE TYPE) (SEE SECTION M, ITEM 5 WHEN APPLYING FOR A FISHERY OR COASTWISE ENDORSEMENT). EQUITY INTEREST OWNED BY THE PERSONS ELIGIBLE TO DOCUMENT VESSELS IN THEIR OWN RIGHT WITH THE ENDORSEMENT SOUGHT IN ACCORDANCE WITH 46 CFR PART 67 (SUBPART C) <div style="display: flex; justify-content: space-between;"> <div> <input type="checkbox"/> LESS THAN 50% <input type="checkbox"/> 50% OR MORE STATE EXACT PERCENTAGE _____ </div> <div> <input type="checkbox"/> 75% OR MORE (AND, AT EACH TIER, IF APPLICABLE) <input type="checkbox"/> 75% OR MORE (AND, AT EACH TIER AND IN THE AGGREGATE (IF FISHERY), IF APPLICABLE) </div> </div>
<input type="checkbox"/>	1. MEMBER MANAGED LIMITED LIABILITY COMPANY I (WE) CERTIFY THAT ALL MEMBERS OF THIS LLC ARE CITIZENS OF THE UNITED STATES ELIGIBLE TO DOCUMENT VESSELS WITH THE ENDORSEMENT(S) SOUGHT IN THEIR OWN RIGHT. <div style="display: flex; justify-content: space-around; margin-top: 5px;"> <div style="border: 1px solid black; padding: 2px 10px; background-color: #f0f0f0;">Click Button To Add All Members (Required)</div> <div style="border: 1px solid black; padding: 2px 10px; background-color: #f0f0f0;">Undo Add All Members</div> </div>
OR	
<input type="checkbox"/>	2. LIMITED LIABILITY COMPANY NOT MANAGED BY MEMBERS AND NOT SIMILAR TO GENERAL PARTNERSHIP: NOT REQUIRED FOR COASTWISE OIL SPILL OR COASTWISE UNDER CHARTER ENDORSEMENTS. <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <input type="checkbox"/> A. I (WE) CERTIFY THAT ANY PERSON ELECTED TO MANAGE THE LLC OR WHO IS AUTHORIZED TO BIND THE LLC, AND ANY PERSON WHO HOLDS A POSITION EQUIVALENT TO THE CHIEF EXECUTIVE OFFICER, BY WHATEVER TITLE, AND THE CHAIRMAN OF THE BOARD OF DIRECTORS IN A CORPORATION, AND ANY PERSONS AUTHORIZED TO ACT IN THEIR ABSENCE ARE CITIZENS OF THE UNITED STATES. </div> <div style="width: 45%;"> <input type="checkbox"/> B. NON-CITIZENS DO NOT HAVE AUTHORITY WITHIN A MANAGEMENT GROUP, WHETHER THROUGH VETO POWER, COMBINED VOTING, OR OTHERWISE, TO EXERCISE CONTROL OVER THE LLC. </div> </div> STATE WHERE ORGANIZED _____
<input type="checkbox"/>	PARTNERSHIP (COMPLETE EQUITY SECTION AND CHOOSE TYPE) (SEE SECTION M, ITEM 5 WHEN APPLYING FOR A FISHERY OR COASTWISE ENDORSEMENT). EQUITY INTEREST OWNED BY THE PERSONS ELIGIBLE TO DOCUMENT VESSELS IN THEIR OWN RIGHT WITH THE ENDORSEMENT SOUGHT IN ACCORDANCE WITH 46 CFR PART 67 (SUBPART C) <div style="display: flex; justify-content: space-between;"> <div> <input type="checkbox"/> LESS THAN 50% <input type="checkbox"/> 50% OR MORE STATE EXACT PERCENTAGE _____ </div> <div> <input type="checkbox"/> 75% OR MORE (AND, AT EACH TIER, IF APPLICABLE) <input type="checkbox"/> 75% OR MORE (AND, AT EACH TIER AND IN THE AGGREGATE (IF FISHERY), IF APPLICABLE) </div> </div>
<input type="checkbox"/>	1. GENERAL PARTNERSHIP I (WE) CERTIFY THAT ALL PARTNERS IN THIS PARTNERSHIP ARE CITIZENS OF THE UNITED STATES ELIGIBLE TO DOCUMENT VESSELS WITH THE ENDORSEMENT(S) SOUGHT IN THEIR OWN RIGHT.
<input type="checkbox"/>	2. LIMITED PARTNERSHIP I (WE) CERTIFY THAT ALL PARTNERS IN THIS PARTNERSHIP ARE CITIZENS OF THE UNITED STATES ELIGIBLE TO DOCUMENT VESSELS WITH THE ENDORSEMENT(S) SOUGHT IN THEIR OWN RIGHT. <div style="display: flex; justify-content: space-around; margin-top: 5px;"> <div style="border: 1px solid black; padding: 2px 10px; background-color: #f0f0f0;">Click Button To Add All General Partners (Required)</div> <div style="border: 1px solid black; padding: 2px 10px; background-color: #f0f0f0;">Undo Add All General Partners</div> </div>
<input type="checkbox"/>	CORPORATION QUALIFIED AND APPLYING UNDER 46 CFR 68.01 (BOWATERS) I (WE) CERTIFY THAT THE CORPORATE STRUCTURE HAS NOT CHANGED SINCE ISSUANCE OF THE CERTIFICATE OF COMPLIANCE.
<input type="checkbox"/>	VESSEL OWNED OR OPERATED BY NOT-FOR-PROFIT OIL RECOVERY COOPERATIVE I (WE) CERTIFY THAT THE INFORMATION ON FILE WITH REGARD TO COOPERATIVE AND ISSUANCE OF THE LETTER OF QUALIFICATION REMAINS UNCHANGED.
<input type="checkbox"/>	JOINT VENTURE OR ASSOCIATION I (WE) CERTIFY THAT ALL MEMBERS OF THIS (JOINT VENTURE) (ASSOCIATION) ARE CITIZENS OF THE UNITED STATES, ELIGIBLE TO DOCUMENT VESSELS IN THEIR OWN RIGHT WITH THE ENDORSEMENT(S) SOUGHT. <div style="display: flex; justify-content: space-around; margin-top: 5px;"> <div style="border: 1px solid black; padding: 2px 10px; background-color: #f0f0f0;">Click Button To Add All Joint Venturers/Members (Required)</div> <div style="border: 1px solid black; padding: 2px 10px; background-color: #f0f0f0;">Undo Add All Joint Venturers/Members</div> </div>

TRUST ARRANGEMENT (COMPLETE EQUITY SECTION) (SEE SECTION M, ITEM 5 WHEN APPLYING FOR A FISHERY OR COASTWISE ENDORSEMENT).

- ☐ I (WE) CERTIFY THAT ALL TRUSTEES AND ALL BENEFICIARIES WITH AN ENFORCEABLE INTEREST IN THIS TRUST ARRANGEMENT ARE CITIZENS OF THE UNITED STATES, ELIGIBLE TO DOCUMENT VESSELS WITH THE ENDORSEMENT(S) SOUGHT IN THEIR OWN RIGHT.

EQUITY INTEREST OWNED BY PERSONS ELIGIBLE TO DOCUMENT VESSELS IN THEIR OWN RIGHT WITH THE ENDORSEMENT(S) SOUGHT IN ACCORDANCE WITH 46 CFR PART 67 (SUBPART C)

- ☐ LESS THAN 50% ☐ 75% OR MORE (AND, AT EACH TIER, IF APPLICABLE)
☐ 50% OR MORE STATE EXACT ☐ 75% OR MORE (AND, AT EACH TIER AND IN THE AGGREGATE (IF FISHERY), IF APPLICABLE) PERCENTAGE _____

OR

- ☐ VESSEL OWNED IN A TRUST ARRANGEMENT PURSUANT TO 46 USC 12111(c) (CROSS BORDER FINANCING)

I (WE) CERTIFY THAT THE VESSEL IS OWNED IN A TRUST ARRANGEMENT THAT QUALIFIES FOR A REGISTRY ENDORSEMENT ONLY PURSUANT TO PUBLIC LAW 104-324, SECT. 1136. ATTACHED IS AN AFFIDAVIT OF EACH TRUSTEE AND CITIZENSHIP EVIDENCE FOR THE CHARTERER AS REQUIRED UNDER THE STATUTE.

[Click Button To Add Trustees and All Beneficiaries with an Enforceable Interest \(Required\)](#)

[Undo Add Trustees/Beneficiaries](#)

M. I (WE) CERTIFY THAT: (ANSWER ALL)

- ☐ 1. I AM (WE ARE) A CITIZEN(S) OF THE UNITED STATES AND LEGALLY AUTHORIZED TO EXECUTE THIS APPLICATION IN THE CAPACITY SHOWN;
- ☐ 2. IN ACCORDANCE WITH 46 CFR PART 67 (SUBPART I) THE VESSEL(S) TO WHICH THIS APPLICATION APPLIES;
(a) ☐ HAS (HAVE) BEEN MARKED OR ☐ WILL BE MARKED;
(b) WILL AT ALL TIMES REMAIN UNDER THE COMMAND OF A U.S. CITIZEN, UNLESS DOCUMENTED SOLELY WITH A RECREATIONAL ENDORSEMENT; WILL NOT BE OPERATED IN A TRADE NOT AUTHORIZED BY THE ENDORSEMENT(S) ON THE CERTIFICATE(S) OF DOCUMENTATION. THE NAME(S) OF THE VESSEL(S) WILL NOT BE CHANGED WITHOUT APPROVAL FROM THE NATIONAL VESSEL DOCUMENTATION CENTER; AND I(WE) WILL PROMPTLY NOTIFY THE NATIONAL VESSEL DOCUMENTATION CENTER UPON A CHANGE IN ANY OF THE INFORMATION OR REPRESENTATIONS IN THIS APPLICATION.
- ☐ 3. ☐ HAS (HAVE) NOT OR ☐ HAS (HAVE) BEEN REBUILT OR SUBSTANTIALLY ALTERED SINCE LAST DOCUMENTATION;
- ☐ 4. THE VESSEL IS
☐ NOT TITLED UNDER A STATE OR
☐ TITLED UNDER THE LAWS OF _____

THE FOLLOWING ITEM IS REQUIRED FOR COSTWISE AND/OR FISHERY ENDORSEMENTS; HOWEVER, IT IS NOT REQUIRED FOR COASTWISE BOWATER ONLY, OIL SPILL, OR UNDER CHARTER ENDORSEMENTS.

- ☐ 5. U.S. CONTROL CERTIFICATION: THERE IS NO CONTRACT OR UNDERSTANDING THAT PROVIDES MORE THAN 25% OF THE VOTING POWER IN THE PARTNERSHIP, LIMITED LIABILITY COMPANY, CORPORATION, OR OTHER OWNING ENTITY EITHER DIRECTLY OR INDIRECTLY ON BEHALF OF ANY PERSON NOT A CITIZEN OF THE UNITED STATES. BY NO MEANS WHATSOEVER IS CONTROL IN EXCESS OF 25% CONFERRED UPON OR PERMITTED TO BE EXERCISED BY A PERSON WHO IS NOT A CITIZEN OF THE UNITED STATES.

POTENTIAL PENALTIES FOR FALSE STATEMENTS OR REPRESENTATIONS BY OWNER OR REPRESENTATIVE: CIVIL, MONETARY, VESSEL FORFEITURE (46 USC 12151), FINE AND/OR IMPRISONMENT (18 USC 1001)

PRINTED OR TYPED NAME

CAPACITY (E.G., OWNER, AGENT, TRUSTEE, GENERAL PARTNER, CORPORATE OFFICER, MEMBER)

DATE

SIGNATURE

APPLICATION FEES ARE NOT REFUNDABLE (46 CFR 67.500 (d))

PRIVACY ACT STATEMENT

PURSUANT TO 5 U.S.C. § 552A(E)(3), THIS PRIVACY ACT STATEMENT SERVES TO INFORM YOU OF WHY THE U.S. COAST GUARD (USCG) IS REQUESTING THE INFORMATION ON THIS FORM.

AUTHORITY: 46 U.S.C. CHAPTERS 121, 125, 551 AND §50501.

PURPOSE: TO OBTAIN INFORMATION TO ESTABLISH THE ELIGIBILITY OF A VESSEL TO BE DOCUMENTED AS A "VESSEL OF THE UNITED STATES"; ENGAGE IN A PARTICULAR TRADE; AND/OR BECOME THE OBJECT OF A PREFERRED SHIP'S MORTGAGE.

ROUTINE USES: AUTHORIZED USCG PERSONNEL WILL USE THIS INFORMATION TO DETERMINE CITIZENSHIP OF THE OWNER OF THE VESSEL FOR WHICH APPLICATION FOR DOCUMENTATION IS MADE; AND DETERMINE ELIGIBILITY OF THE VESSEL TO BE DOCUMENTED WITH THE TRADE ENDORSEMENT SOUGHT. ANY EXTERNAL DISCLOSURES OF DATA WITHIN THIS RECORD WILL BE MADE IN ACCORDANCE WITH DHS/USCG-013, MARINE INFORMATION FOR SAFETY AND LAW ENFORCEMENT, 74 FEDERAL REGISTER (FR) 30305, JUNE 25, 2009.

DISCLOSURE: FURNISHING THIS INFORMATION IS VOLUNTARY. HOWEVER, FAILURE TO PROVIDE THE INFORMATION REQUESTED MAY RESULT IN DENIAL OF THE APPLICATION FOR DOCUMENTATION, WHICH MAY PREVENT THE OWNER FROM OPERATING THE VESSEL(S) IN A SPECIFIED TRADE.

AN AGENCY MAY NOT CONDUCT OR SPONSOR AND A PERSON IS NOT REQUIRED TO RESPOND TO A COLLECTION OF INFORMATION UNLESS IT DISPLAYS A VALID OMB CONTROL NUMBER.

THE COAST GUARD ESTIMATES THAT THE AVERAGE BURDEN FOR THIS FORM IS 30 MINUTES. YOU MAY SUBMIT ANY COMMENTS CONCERNING THE ACCURACY OF THIS BURDEN ESTIMATE OR MAKE SUGGESTIONS FOR REDUCING THE BURDEN TO: U.S. COAST GUARD, NATIONAL VESSEL DOCUMENTATION CENTER, 792 TJ JACKSON DRIVE, FALLING WATERS, WEST VIRGINIA 25419, OR OFFICE OF MANAGEMENT AND BUDGET, PAPERWORK REDUCTION PROJECT (1625-0027), WASHINGTON, DC 20503.