



**NONTANK VESSEL AND RAILROAD FINANCIAL RESPONSIBILITY  
 APPLICATION INSTRUCTIONS**

**If this is a new application, or if the previous COFR has expired, continue to PART I.  
 If the vessel qualifies for the renewal process, go to PART II.**

**PART I.- NEW APPLICATION**

**STEP 1.** Fill out the Nontank Financial Responsibility (FR) Application completely. (sections A-C)

**Section A:** General Information – Applicant page.

**Section B:** Vessel Information page. (Oil capacity **must** be submitted in barrels.)

**Section C:** Financial Responsibility Information. (Boxes 1-3b **must** be completed.)

**STEP 2.** Skip **PART II.** and proceed to **PART III.** of this page.

**PART II. – RENEWAL PROCESS**

**STEP 1.** Is there at least 30 days before current COFR expiration?  (Y/N)

**STEP 2.** Has any of the application information changed from the original?  (Y/N)

(I.E. applicant, vessel name, vessel owner or operator, P&I information or other FR information.)

**STEP 3.** Was the original application on a form published before October 1, 2011?  (Y/N)

If **Yes** to any questions, then the vessel is not eligible for the renewal process. Go Back to **PART I.**

If **No** to all, then continue.

**STEP 4.** Make a copy of pages 1-3 (Sections A, B and C) of the original application.

**STEP 5.** Proceed to **PART III** below.

**PART III. - SIGNATURE**

**STEP 1. Section D.** Sign and notarize. 18\_AAC\_75.205(c))

**Applications not NOTARIZED will not be processed.**

**STEP 2.** If applicable, complete **Section E:** Delegation of Authority by the Applicant.

**STEP 3.** Is this application being submitted less than 15 days prior to the start of operation?  (Y/N)

**IF YES, THEN;** a cover letter must be submitted that demonstrates unanticipated circumstances prevented the applicant from meeting the 15-day deadline(in accordance with 18\_AAC\_75.205(b)(3)

**STEP 4.** Submit Original Application **AND** Financial Responsibility Information to the department no earlier than 90 days prior to operations.



## SECTION B. VESSEL INFORMATION

(If this application applies to multiple vessels, copy this form and list information for each vessel on separate sheets)

### Vessel Particulars

a.	Vessel name:	
b.	Vessel flag (Nationality of Registry):	Date of Arrival in Alaska
c.	Official Number IMO Number	
d.	Type of vessel:    ___ Cable Layer            ___ Cargo-Bulk Carrier    ___ Cargo-Chemical    ___ Cargo-Container (check one)        ___ Cargo-LNG/LPG        ___ Cargo-Reefer        ___ Passenger ___ Fishing-Trawler        ___ Fish Processor        ___ Fishing Fleet (other) ___ Railroad                    ___ Other (specify): _____	
e.	Gross registered tonnage (GRT). As determined by the U.S. Coast Guard under 33 CFR 138.30.	GRT
f.	Vessel length over all (LOA) – The measured overall length of the vessel. 1 meter = 3.28 feet	___ Feet ___ Meters

### Vessel Oil Capacity Information

a.	Total oil storage capacity of the vessel by oil types (Refer to 33 CFR 155.1020 for definition of oil types). "Oil storage capacity" is the full physical volume of all fuel tanks, lube oil tanks, hydraulic oil tanks, day tanks, slop/sludge tanks, waste oil tanks, and bilge tanks on the vessel. 1 barrel = 42 U.S. gallons = 0.1590 m <sup>3</sup>	
	i. Persistent Oil (Typical persistent oils include lube oils, heavy fuel oils, IFO180, bunker fuels and NSFO)	Barrels
	ii. Non-persistent Oil (Typical non-persistent oils include: MGO, MDO, diesel oils, aviation gasoline, and hydraulic fluids)	Barrels
	iii. <b>Total Oil Storage Capacity (Persistent Oil + Non-Persistent Oil)</b> <b>Now follow instruction for 2.b or 2.c, whichever is applicable below</b>	Barrels
b.	If the number of barrels of persistent oil at B.2.a.i (above) is greater than the barrels of non-persistent oil at B.2.a.ii, then multiply the <b>total</b> number of barrels at B.2.a.iii by \$501.60 per barrel. <b>If the result is greater than \$8,360,000, enter the result; otherwise enter \$8,360,000.</b>	Barrels x \$501.60 = \$_____ or \$8,360,000
c.	If the number of barrels of non-persistent oil at B.2.a.ii (above) is greater than the barrels of persistent oil at B.2.a.i, then multiply the <b>total</b> number of barrels at B.2.a.iii by \$167.20 per barrel. <b>If the result is greater than \$1,672,000, enter the result; otherwise enter \$1,672,000.</b>	Barrels x \$167.20 = \$_____ or \$1,672,000
	<b>Enter the largest dollar amount in 2.b or 2.c into the box provided in Section C – Box 1</b>	

### Vessel Owner Information

a.	Owner name:	
b.	Owner mailing address:	Owner country:

### Vessel Operator Information

a.	Operator name:	
b.	Operator mailing address:	Operator country:

## SECTION C. FINANCIAL RESPONSIBILITY INFORMATION – Complete Boxes 1 – 3b

<b>Box 1:</b> Indicate the largest dollar amount calculated under Section B, Item 2.b or Item 2.c for the vessel or all vessels included in this application:	Box 1: \$
<b>Box 2:</b> The total dollar amount of all financial responsibility documents listed below in Section C, Items 1 through 6 (below) is:	Box 2: \$
<b>Box 3a:</b> The total dollar amount of all financial responsibility as listed in Box 2 above is greater than, or equal to the largest dollar amount calculated as listed in Box 1 above. (Check yes or no)	<b>Box 3b:</b> <input type="checkbox"/> Yes <input type="checkbox"/> No (If no, please attach an explanation of how Alaska financial responsibility requirements will be met.)

**Check all appropriate lines below to indicate what evidence of financial responsibility the applicant is providing.**

<b>1. OTHER PROOF OF FINANCIAL RESPONSIBILITY FOR NONTANK VESSELS</b>	<b>Reference – 18 AAC 75.271</b>
<input type="checkbox"/> Contract of indemnity or insurance that meets requirements of AS 46.04.055 is enclosed. This does not require insurer to be subject to direct court action or does not agree to appoint an agent for service of process. <input type="checkbox"/> A certificate of enrollment for each nontank vessel in an acceptable <b>P&amp;I club</b> is enclosed including all addenda pertaining to the amount and applicability of oil pollution coverage and amount of deductibles. <input type="checkbox"/> Certificate of Deposit for deductible, or other financial information is enclosed. Describe here: <input type="checkbox"/> Insurance, surety bond, self-insurance, financial guaranty, or other evidence of financial responsibility that meets federal financial responsibility requirements in 33 C.F.R. Part 138 if the coverage includes the oil pollution risks specified in AS 46.04.040(l).	
<b>2. SELF-INSURANCE</b>	<b>Reference – 18 AAC 75.245</b>
<input type="checkbox"/> Annual audited financial statement certified by an independent certified public accountant is enclosed. <input type="checkbox"/> Quarterly affidavit attesting to net worth and working capital, or liquid assets and cash flow (as defined in 18 AAC 75.245) is enclosed. <input type="checkbox"/> The most recent United States Security and Exchange Commission Form 10 K is enclosed. <input type="checkbox"/> The most recent United States Security and Exchange Commission Form 10 Q is enclosed. <input type="checkbox"/> The most recent Federal Energy Regulatory Commission Form 6 is enclosed.	
<b>3. INSURANCE</b>	<b>Reference – 18 AAC 75.250</b>
<input type="checkbox"/> Insurer is authorized to sell insurance in the State or not disapproved to sell insurance by the State. <input type="checkbox"/> Binder or insurance certificate enclosed, to be followed in 90 days by the underlying insurance policy. <input type="checkbox"/> Deductible clause in the policy will be met by another form of proof. (These other forms must be indicated on this checklist.) <input type="checkbox"/> Policy, binder or certificate includes the endorsement required under 18 AAC 75.271(b)((1)). <input type="checkbox"/> Direct action and an agent for service of process in the State of Alaska are provided	
<b>4. SURETY BOND</b>	<b>Reference – 18 AAC 75.255</b>
<input type="checkbox"/> DEC Surety Bond Form A is enclosed. Find Form A on the Financial Responsibility Internet Web Page at <a href="http://dec.alaska.gov/spar/ipp/fr&amp;pi.htm">http://dec.alaska.gov/spar/ipp/fr&amp;pi.htm</a> . <input type="checkbox"/> Surety Bond is in the full amount required under AS 46.04.040, AS 46.04.055 or 18 AAC 75.235. <input type="checkbox"/> Direct action and an agent for service of process in the State of Alaska are provided. <input type="checkbox"/> Surety issuer is registered in the State and possesses a certificate of authority to do business in the United States. <input type="checkbox"/> Surety issuer possesses sufficient underwriting limitation.	
<b>5. GUARANTY</b>	<b>Reference – 18 AAC 75.260</b>
<input type="checkbox"/> DEC Guaranty Form B is enclosed. Find Form B on the Financial Responsibility Internet Web Page at <a href="http://dec.alaska.gov/spar/ipp/fr&amp;pi.htm">http://dec.alaska.gov/spar/ipp/fr&amp;pi.htm</a> . <input type="checkbox"/> Guaranty is in the full amount required under AS 46.04.040, AS 46.04.055 or 18 AAC 75.235. <input type="checkbox"/> Guaranty is in an amount less than required under AS 46.04.040, AS 46.04.055 or 18 AAC 75.235, but is supplemented with other proof of financial responsibility to equal the full amount required. Indicate which type of proof will be used. <input type="checkbox"/> Direct action and an agent for service of process in the State of Alaska are provided. <input type="checkbox"/> The requirement under 18 AAC 75.245 are met and individually indicated by checking the applicable spaces in the self-insurance checklist at Item 2 on this page (above).	
<b>6. LETTER OF CREDIT</b>	<b>Reference – 18 AAC 75.265</b>
<input type="checkbox"/> A Letter of credit is enclosed. <input type="checkbox"/> The Letter of Credit is in the full amount required under AS 46.04.040, AS 46.04.055 or 18 AAC 75.235. <input type="checkbox"/> The Letter of Credit is in an amount less than required under AS 46.04.040, AS 46.04.055 or 18 AAC 75.235, but is supplemented with another form of proof to equal the full amount. (These other forms must be indicated on this checklist.) <input type="checkbox"/> An agent for service of process in the State of Alaska is provided. <input type="checkbox"/> The Letter of Credit is issued by a financial institution that has authority to do so and is regulated and examined by state and federal banking agencies.	

Vessel  
Name(s) \_\_\_\_\_

## SECTION D. SIGNATURE PAGE

I hereby swear or affirm that I am the applicant; a principal of the applicant; an authorized agent for the applicant (Section E, below, must be completed); or an official of the applicant. As required by 18 AAC 75.205(a) and (c), I have the authority to sign this application on behalf of the applicant. I declare under penalty of perjury that I have examined this application, including all accompanying evidence of financial responsibility, schedules and statements, and to the best of my knowledge, information and belief, find it to be true, correct and complete.

\_\_\_\_\_  
Signature (as required by 18 AAC 75.205(c)) Typed name and title

Country of \_\_\_\_\_ State of \_\_\_\_\_ County of \_\_\_\_\_

Before me, the undersigned authority, a Notary Public in and for said Country, State, and County, on this day personally appeared

\_\_\_\_\_, known to me to be the person and officer whose  
(Name of applicant/principal of the applicant/authorized agent or official of the applicant)

name is subscribed to the foregoing instrument and acknowledged to me that the same was the act of said business

\_\_\_\_\_  
(Name of business/entity of applicant)

and that said person executed the same as the act of such business for the purposes and consideration therein expressed and in the capacity therein stated.

### Notary Signatory Area

GIVEN UNDER MY HAND AND SEAL OF OFFICE, on this \_\_\_\_\_ day of \_\_\_\_\_, 201\_\_\_\_\_.

Notary Public in and for the Country of \_\_\_\_\_  
in the State of \_\_\_\_\_

(Notary Seal here)

in the County of \_\_\_\_\_

My commission expires \_\_\_\_\_

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

If your country's Notary Public system is not signed in the above format, please use the area below, or the back side of the application. Additionally, you may also attach your countries legalization documentation in order to have your application notarized.

**If your application is not notarized it will not be processed.**

## SECTION E. DELEGATION OF AUTHORITY BY THE APPLICANT

(Must be completed by the applicant named in Section A, Item 1 if the above declaration has been executed by an agent acting on behalf of the applicant.)

I, \_\_\_\_\_ hereby declare that \_\_\_\_\_  
(Name of the applicant from Section A, item 1) (Name of authorized agent whose signature appears in section D)

is authorized to submit this application for Approval of Proof of Financial Responsibility under AS 46.04.055 on the applicant's behalf.

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

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Title or Official Capacity