



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

If this is a new application, or if the previous proof of financial responsibility certificate 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 application completely.

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

PART II. - RENEWAL PROCESS

STEP 1. Is there at least 15 days before the current certificate expires? (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. 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.

October 1, 2014 – September 30, 2017 Dollar Amounts

Nontank Vessel: Predominantly Persistent Product	\$549.00 per incident, per barrel \$9,150,000 minimum
Nontank Vessel: Predominantly Nonpersistent Product	\$183.00 per incident, per barrel \$1,830,000 minimum



NONTANK VESSEL AND RAILROAD FINANCIAL RESPONSIBILITY APPLICATION AND CHECKLIST

Application is hereby made for demonstration of financial responsibility in accordance with:
 AS 46.04.040, AS 46.05.055 and 18 AAC Article 2.

SECTION A. GENERAL INFORMATION – APPLICANT, OWNER AND OPERATOR

Date due in Alaska Waters: _____		
APPLICANT INFORMATION		
1 Application is made in the name of: (Include English equivalent of legal name if customarily written in a language other than English):		
Mailing address - street number/post office box:		City:
State:	Country:	Postal code:
Contact Name:		Email address:
Telephone number (include country code):		Facsimile number (include country code):
If a corporation, provide the state or foreign country incorporated in:		
VESSEL OWNER INFORMATION		
2 Vessel Owner Name:		
Mailing address - street number/post office box:		City:
State:	Country:	Postal code:
VESSEL OPERATOR INFORMATION		
3 Vessel Operator Name:		
Mailing address - street number/post office box:		City:
State:	Country:	Postal code:
AGENCY or COMPANY INFORMATION (if applicable)		
4 Name of marine agency or US company office completing application (if different than #1):		
Mailing address - street number/post office box:		City:
State:	Country:	Postal code:
Contact Name:		Email address:
Telephone number (include country code):		Facsimile number (include country code):
CERTIFICATE(s) SENT TO (if applicable)		
5 Email to send certificate(s) to if different than item 1 above:		

SECTION B. VESSEL INFORMATION

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

Vessel Particulars

1a.	Vessel name:	
1b.	Vessel flag (Nationality of Registry):	
1c.	IMO Number:	Official Number :
1c.	Type of vessel: (check one) Cargo Fishing Fish Processor Passenger Pleasure Craft Railroad Other: _____	
1e.	Gross registered tonnage (GRT). As determined by the U.S. Coast Guard under 33 CFR 138.30.	GRT
1f.	Vessel length over all (LOA) – The measured overall length of the vessel. 1 meter = 3.28 feet	Feet Meters

Vessel Oil Capacity Information

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. Note: <u>use barrel</u> units only. 1 barrel = 42 U.S. gallons = 0.1590 m ³		
2a.	i. Persistent Oil in barrels (Typical persistent oils include lube oils, heavy fuel oils, IFO180, bunker fuels and NSFO)	Barrels
	ii. Non-persistent Oil in barrels (Typical non-persistent oils include: MGO, MDO, diesel oils, aviation gasoline, and hydraulic fluids)	Barrels
	iii. Total of both Persistent Oil + Non-persistent Oil in barrels Now follow instruction for 2.b or 2.c below, whichever is applicable	Barrels
2b.	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 total number of barrels at <u>B.2.a.iii</u> by the current dollar amount in the table on the instruction page.	\$ _____
2c.	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 total number of barrels at <u>B.2.a.iii</u> by the current dollar amount in the table on the instruction page.	\$ _____
Enter the largest dollar amount in 2.b or 2.c into the box provided in Section C – Box 1		

SECTION C. FINANCIAL RESPONSIBILITY INFORMATION

Box 1: 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: (This is the required amount of FR needed for the vessel)	Box 1: \$
Box 2: The total dollar amount of all financial responsibility documents listed below in Section C, Items 1 through 7 (below) is: (This is the amount of coverage carried for the vessel)	Box 2: \$
Box 3a: 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)	Box 3b: <input type="checkbox"/> Yes <input type="checkbox"/> No (If no, please attach an explanation of how Alaska financial responsibility requirements will be met.)

SECTION C. FINANCIAL RESPONSIBILITY CHECKLIST

Check all appropriate lines below to indicate what evidence of financial responsibility is being provided.

1. P&I CLUB

Reference – 18 AAC 75.271

- P&I club Certificate of Entry** for each nontank vessel is enclosed including all addenda pertaining to the amount and applicability of oil pollution coverage and amount of deductibles.
 - Certificate is in the full amount required under 18 AAC 75.235.
 - Deductible exists but supplemented per 18 AAC 75.271. Documents are enclosed (describe) _____

2. INSURANCE:

Reference – 18 AAC 75.250

- Binder or insurance certificate enclosed**, to be followed in 90 days by the underlying insurance policy.
 - Alaska Endorsement is enclosed per 18AAC 75.271(b)(1)(A).
 - Insurance is in the full amount required under 18 AAC 75.235.
 - Deductible exists but supplemented per 18 AAC 75.271. Documents are enclosed (describe) _____

OR

Full Insurance Policy enclosed

- Alaska Endorsement is enclosed per 18AAC 75.271(b)(1)(A).
- Insurance is in the full amount required under 18 AAC 75.235.
- Deductible exists but supplemented per 18 AAC 75.271. Documents are enclosed (describe) _____

3. SELF-INSURANCE

Reference – 18 AAC 75.245

- Annual audited financial statement** certified by an independent certified public accountant is enclosed.
- Quarterly affidavit** attesting to net worth and working capital, or liquid assets and cash flow is enclosed per 18 AAC 75.245.

OR

- Most **recent Form 10 K** form of United States Security and Exchange Commission.
- Most **recent Form 10 Q** form of United States Security and Exchange Commission.

OR

- Most **recent Form 6** of Federal Energy Regulatory Commission is enclosed.

4. SURETY BOND

Reference – 18 AAC 75.255

- DEC Surety Bond Form A** is enclosed. Find Form A on-line at: <http://dec.alaska.gov/spar/ipp/fr/apply-to-fr.htm>
 - Surety Bond is in the full amount required under 18 AAC 75.235.
 - Deductible exists but supplemented per 18 AAC 75.271. Documents are supplied (describe) _____
 - Surety issuer is registered in Alaska and possesses a certificate of authority to do business in the United States
 - Surety issuer possesses sufficient underwriting limitation.

5. GUARANTY

Reference – 18 AAC 75.260

- DEC Guaranty Form B** is enclosed. Find Form B on-line at: <http://dec.alaska.gov/spar/ipp/fr/apply-to-fr.htm>
 - Guaranty is in the full amount required under 18 AAC 75.235.
 - Deductible exists but supplemented per 18 AAC 75.271. Documents are enclosed (describe) _____

6. LETTER OF CREDIT

Reference – 18 AAC 75.265

- A **Letter of credit** is enclosed.
 - Letter of Credit is in the full amount required under 18 AAC 75.235.
 - Deductible exists but supplemented per 18 AAC 75.271. Documents are enclosed (describe) _____

7. OTHER

Reference – 18 AAC 75.271

- Certificate of Deposit** for deductible or other financial information is enclosed. Describe: _____

OR

Other coverage evidence meeting 33 C.F.R. Part 138 (coverage must include oil pollution risks per AS 46.04.040(l)) Describe: _____

OR

- Contract of indemnity** that meets the requirements of AS 46.04.055 is enclosed.

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