

Form **990**  
(Rev. January 2020)  
Department of the Treasury  
Internal Revenue Service

**Return of Organization Exempt From Income Tax**  
Under section 501(c), 527, or 4947(a)(1) of the Internal Revenue Code (except private foundations)  
▶ Do not enter social security numbers on this form as it may be made public.  
▶ Go to [www.irs.gov/Form990](http://www.irs.gov/Form990) for instructions and the latest information.

OMB No. 1545-0047

**2019**  
Open to Public Inspection

**A** For the **2019** calendar year, or tax year beginning and ending

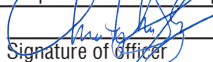

<b>B</b> Check if applicable:  <input type="checkbox"/> Address change <input type="checkbox"/> Name change <input type="checkbox"/> Initial return <input type="checkbox"/> Final return/terminated <input type="checkbox"/> Amended return <input type="checkbox"/> Application pending	<b>C</b> Name of organization <b>OCEANA, INC.</b>		<b>D</b> Employer identification number <b>51-0401308</b>
	Doing business as		<b>E</b> Telephone number <b>(202) 833-3900</b>
	Number and street (or P.O. box if mail is not delivered to street address)	Room/suite	
	<b>1025 CONNECTICUT AVENUE, NW</b>		<b>G</b> Gross receipts \$ <b>39,350,592.</b>
	City or town, state or province, country, and ZIP or foreign postal code <b>WASHINGTON, DC 20036</b>		<b>H(a)</b> Is this a group return for subordinates? ..... <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <b>H(b)</b> Are all subordinates included? <input type="checkbox"/> Yes <input type="checkbox"/> No If "No," attach a list. (see instructions) <b>H(c)</b> Group exemption number ▶
<b>I</b> Tax-exempt status: <input checked="" type="checkbox"/> 501(c)(3) <input type="checkbox"/> 501(c) ( ) ◀ (insert no.) <input type="checkbox"/> 4947(a)(1) or <input type="checkbox"/> 527			
<b>J</b> Website: ▶ <b>WWW.OCEANA.ORG</b>			
<b>K</b> Form of organization: <input checked="" type="checkbox"/> Corporation <input type="checkbox"/> Trust <input type="checkbox"/> Association <input type="checkbox"/> Other ▶			<b>L</b> Year of formation: <b>2001</b> <b>M</b> State of legal domicile: <b>DC</b>

**Part I Summary**

<b>Activities &amp; Governance</b>	<b>1</b> Briefly describe the organization's mission or most significant activities: <b>TO ADVOCATE FOR POLICY CHANGES BY GOVERNMENTS AND CORPORATIONS IN ORDER TO PRESERVE OCEAN LIFE AND</b>		
	<b>2</b> Check this box <input type="checkbox"/> if the organization discontinued its operations or disposed of more than 25% of its net assets.		
	<b>3</b> Number of voting members of the governing body (Part VI, line 1a)	<b>3</b>	<b>24</b>
	<b>4</b> Number of independent voting members of the governing body (Part VI, line 1b)	<b>4</b>	<b>23</b>
	<b>5</b> Total number of individuals employed in calendar year 2019 (Part V, line 2a)	<b>5</b>	<b>186</b>
	<b>6</b> Total number of volunteers (estimate if necessary)	<b>6</b>	<b>1482</b>
	<b>7a</b> Total unrelated business revenue from Part VIII, column (C), line 12	<b>7a</b>	<b>6,216.</b>
<b>b</b> Net unrelated business taxable income from Form 990-T, line 39	<b>7b</b>	<b>1,365.</b>	
<b>Revenue</b>	<b>8</b> Contributions and grants (Part VIII, line 1h)	<b>Prior Year</b>	<b>Current Year</b>
	<b>9</b> Program service revenue (Part VIII, line 2g)	<b>51,826,346.</b>	<b>38,559,747.</b>
	<b>10</b> Investment income (Part VIII, column (A), lines 3, 4, and 7d)	<b>10,984.</b>	<b>17,312.</b>
	<b>11</b> Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e)	<b>23,200.</b>	<b>39,833.</b>
	<b>12</b> Total revenue - add lines 8 through 11 (must equal Part VIII, column (A), line 12)	<b>35,947.</b>	<b>15,583.</b>
<b>Expenses</b>	<b>13</b> Grants and similar amounts paid (Part IX, column (A), lines 1-3)	<b>51,896,477.</b>	<b>38,632,475.</b>
	<b>14</b> Benefits paid to or for members (Part IX, column (A), line 4)	<b>1,209,271.</b>	<b>1,061,781.</b>
	<b>15</b> Salaries, other compensation, employee benefits (Part IX, column (A), lines 5-10)	<b>0.</b>	<b>0.</b>
	<b>16a</b> Professional fundraising fees (Part IX, column (A), line 11e)	<b>21,702,291.</b>	<b>22,280,365.</b>
	<b>b</b> Total fundraising expenses (Part IX, column (D), line 25) ▶ <b>3,115,208.</b>	<b>139,937.</b>	<b>248,931.</b>
	<b>17</b> Other expenses (Part IX, column (A), lines 11a-11d, 11f-24e)	<b>15,071,196.</b>	<b>12,414,122.</b>
	<b>18</b> Total expenses. Add lines 13-17 (must equal Part IX, column (A), line 25)	<b>38,122,695.</b>	<b>36,005,199.</b>
<b>19</b> Revenue less expenses. Subtract line 18 from line 12	<b>13,773,782.</b>	<b>2,627,276.</b>	
<b>Net Assets or Fund Balances</b>	<b>20</b> Total assets (Part X, line 16)	<b>Beginning of Current Year</b>	<b>End of Year</b>
	<b>21</b> Total liabilities (Part X, line 26)	<b>56,507,862.</b>	<b>60,289,592.</b>
	<b>22</b> Net assets or fund balances. Subtract line 21 from line 20	<b>5,146,300.</b>	<b>6,196,068.</b>
		<b>51,361,562.</b>	<b>54,093,524.</b>

**Part II Signature Block**

Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete. Declaration of preparer (other than officer) is based on all information of which preparer has any knowledge.

<b>Sign Here</b>		<b>4 June 2020</b>
	Signature of officer	Date
	<b>CHRISTOPHER M. SHARKEY, CHIEF FINANCIAL OFFICER</b>	
	Type or print name and title	
<b>Paid Preparer Use Only</b>	Print/Type preparer's name <b>AARON M. FOX</b>	Preparer's signature 
	Date <b>06/04/20</b>	Check if self-employed <input type="checkbox"/> PTIN <b>P01365820</b>
	Firm's name ▶ <b>MARCUM, LLP</b>	Firm's EIN ▶ <b>11-1986323</b>
	Firm's address ▶ <b>1899 L STREET, NW, SUITE 850 WASHINGTON, DC 20036</b>	Phone no. (202) 227-4000

May the IRS discuss this return with the preparer shown above? (see instructions) ☒ Yes ☐ No

**Part III Statement of Program Service Accomplishments**Check if Schedule O contains a response or note to any line in this Part III ☒ **X**

- 1**
- Briefly describe the organization's mission:

**SEE SCHEDULE O.**

- 2**
- Did the organization undertake any significant program services during the year which were not listed on the prior Form 990 or 990-EZ?
- ☐
- Yes
- ☒
- No

If "Yes," describe these new services on Schedule O.

- 3**
- Did the organization cease conducting, or make significant changes in how it conducts, any program services?
- ☐
- Yes
- ☒
- No

If "Yes," describe these changes on Schedule O.

- 4**
- Describe the organization's program service accomplishments for each of its three largest program services, as measured by expenses. Section 501(c)(3) and 501(c)(4) organizations are required to report the amount of grants and allocations to others, the total expenses, and revenue, if any, for each program service reported.

**4a** (Code: ) (Expenses \$ 13,163,420. including grants of \$ 755,181. ) (Revenue \$ 17,312. )  
**INTERNATIONAL****BELIZE****BAN GILLNETS**

OCEANA IN BELIZE HAS BEEN WORKING FOR SEVERAL YEARS TO OBTAIN A GOVERNMENT BAN ON THE USE OF DESTRUCTIVE GILLNETS, AND AT THE CLOSE OF 2019, WE WERE VERY CLOSE TO ACHIEVING THIS GOAL. DISCUSSIONS WITH THE GOVERNMENT HAVE PROGRESSED IN RECENT WEEKS AND A DRAFT AGREEMENT IS BEING DISCUSSED BY THE PRIME MINISTER AND THE MINISTER OF FISHERIES. WE HOPE TO BE ABLE TO REPORT ON THIS VICTORY IN 2020.

**4b** (Code: ) (Expenses \$ 9,785,524. including grants of \$ 306,600. ) (Revenue \$ )  
**UNITED STATES**

IN THE UNITED STATES, OCEANA IS WORKING ON SCIENCE-BASED POLICY CAMPAIGNS THAT SEEK TO ADVANCE RESPONSIBLE FISHING, STOP NEW OFFSHORE OIL AND GAS DEVELOPMENT, REDUCE ILLEGAL FISHING, STOP THE SHARK FIN TRADE, PROTECT THE NORTH ATLANTIC RIGHT WHALE AND DEFEND THE NATION'S BEDROCK CONSERVATION LAWS.

**STOP EXPANDED OFFSHORE DRILLING**

IN LATE APRIL OF THIS YEAR, THE TRUMP ADMINISTRATION ANNOUNCED THAT IT HAD "INDEFINITELY DELAYED" ITS PLAN TO RADICALLY EXPAND OFFSHORE DRILLING TO NEARLY ALL U.S. WATERS. WE BELIEVE THAT THIS DELAY OF THE

**4c** (Code: ) (Expenses \$ 1,774,510. including grants of \$ ) (Revenue \$ )  
**MARKETING AND COMMUNICATIONS**

KEY ACHIEVEMENTS OF OCEANA'S MARKETING AND COMMUNICATIONS DEPARTMENT IN 2019 ARE HIGHLIGHTED BELOW.

**ONLINE COMMUNICATIONS**

AS OF NOVEMBER 2019, OCEANA HAS 4.2 MILLION ORGANIZATIONAL SUPPORTERS, BEATING THE 2019 GOAL OF 3.4 MILLION SUPPORTERS. OCEANA'S TOTAL SUPPORTER BASE, INCLUDING COUNTRY AND REGIONAL SOCIAL MEDIA ACCOUNTS, NUMBER MORE THAN 6 MILLION SUPPORTERS WORLDWIDE.

- 4d**
- Other program services (Describe on Schedule O.)

(Expenses \$ 2,461,237. including grants of \$ ) (Revenue \$ )**4e** Total program service expenses **27,184,691.**Form **990** (2019)

**Part IV Checklist of Required Schedules**

	Yes	No
<b>1</b> Is the organization described in section 501(c)(3) or 4947(a)(1) (other than a private foundation)? <i>If "Yes," complete Schedule A</i>	<b>1</b> X	
<b>2</b> Is the organization required to complete <i>Schedule B, Schedule of Contributors</i> ?	<b>2</b> X	
<b>3</b> Did the organization engage in direct or indirect political campaign activities on behalf of or in opposition to candidates for public office? <i>If "Yes," complete Schedule C, Part I</i>	<b>3</b>	X
<b>4</b> <b>Section 501(c)(3) organizations.</b> Did the organization engage in lobbying activities, or have a section 501(h) election in effect during the tax year? <i>If "Yes," complete Schedule C, Part II</i>	<b>4</b> X	
<b>5</b> Is the organization a section 501(c)(4), 501(c)(5), or 501(c)(6) organization that receives membership dues, assessments, or similar amounts as defined in Revenue Procedure 98-19? <i>If "Yes," complete Schedule C, Part III</i>	<b>5</b>	X
<b>6</b> Did the organization maintain any donor advised funds or any similar funds or accounts for which donors have the right to provide advice on the distribution or investment of amounts in such funds or accounts? <i>If "Yes," complete Schedule D, Part I</i>	<b>6</b>	X
<b>7</b> Did the organization receive or hold a conservation easement, including easements to preserve open space, the environment, historic land areas, or historic structures? <i>If "Yes," complete Schedule D, Part II</i>	<b>7</b>	X
<b>8</b> Did the organization maintain collections of works of art, historical treasures, or other similar assets? <i>If "Yes," complete Schedule D, Part III</i>	<b>8</b>	X
<b>9</b> Did the organization report an amount in Part X, line 21, for escrow or custodial account liability, serve as a custodian for amounts not listed in Part X; or provide credit counseling, debt management, credit repair, or debt negotiation services? <i>If "Yes," complete Schedule D, Part IV</i>	<b>9</b>	X
<b>10</b> Did the organization, directly or through a related organization, hold assets in donor-restricted endowments or in quasi endowments? <i>If "Yes," complete Schedule D, Part V</i>	<b>10</b>	X
<b>11</b> If the organization's answer to any of the following questions is "Yes," then complete Schedule D, Parts VI, VII, VIII, IX, or X as applicable.		
<b>a</b> Did the organization report an amount for land, buildings, and equipment in Part X, line 10? <i>If "Yes," complete Schedule D, Part VI</i>	<b>11a</b> X	
<b>b</b> Did the organization report an amount for investments - other securities in Part X, line 12, that is 5% or more of its total assets reported in Part X, line 16? <i>If "Yes," complete Schedule D, Part VII</i>	<b>11b</b>	X
<b>c</b> Did the organization report an amount for investments - program related in Part X, line 13, that is 5% or more of its total assets reported in Part X, line 16? <i>If "Yes," complete Schedule D, Part VIII</i>	<b>11c</b>	X
<b>d</b> Did the organization report an amount for other assets in Part X, line 15, that is 5% or more of its total assets reported in Part X, line 16? <i>If "Yes," complete Schedule D, Part IX</i>	<b>11d</b>	X
<b>e</b> Did the organization report an amount for other liabilities in Part X, line 25? <i>If "Yes," complete Schedule D, Part X</i>	<b>11e</b> X	
<b>f</b> Did the organization's separate or consolidated financial statements for the tax year include a footnote that addresses the organization's liability for uncertain tax positions under FIN 48 (ASC 740)? <i>If "Yes," complete Schedule D, Part X</i>	<b>11f</b> X	
<b>12a</b> Did the organization obtain separate, independent audited financial statements for the tax year? <i>If "Yes," complete Schedule D, Parts XI and XII</i>	<b>12a</b>	X
<b>b</b> Was the organization included in consolidated, independent audited financial statements for the tax year? <i>If "Yes," and if the organization answered "No" to line 12a, then completing Schedule D, Parts XI and XII is optional</i>	<b>12b</b> X	
<b>13</b> Is the organization a school described in section 170(b)(1)(A)(ii)? <i>If "Yes," complete Schedule E</i>	<b>13</b>	X
<b>14a</b> Did the organization maintain an office, employees, or agents outside of the United States?	<b>14a</b> X	
<b>b</b> Did the organization have aggregate revenues or expenses of more than \$10,000 from grantmaking, fundraising, business, investment, and program service activities outside the United States, or aggregate foreign investments valued at \$100,000 or more? <i>If "Yes," complete Schedule F, Parts I and IV</i>	<b>14b</b> X	
<b>15</b> Did the organization report on Part IX, column (A), line 3, more than \$5,000 of grants or other assistance to or for any foreign organization? <i>If "Yes," complete Schedule F, Parts II and IV</i>	<b>15</b> X	
<b>16</b> Did the organization report on Part IX, column (A), line 3, more than \$5,000 of aggregate grants or other assistance to or for foreign individuals? <i>If "Yes," complete Schedule F, Parts III and IV</i>	<b>16</b> X	
<b>17</b> Did the organization report a total of more than \$15,000 of expenses for professional fundraising services on Part IX, column (A), lines 6 and 11e? <i>If "Yes," complete Schedule G, Part I</i>	<b>17</b> X	
<b>18</b> Did the organization report more than \$15,000 total of fundraising event gross income and contributions on Part VIII, lines 1c and 8a? <i>If "Yes," complete Schedule G, Part II</i>	<b>18</b> X	
<b>19</b> Did the organization report more than \$15,000 of gross income from gaming activities on Part VIII, line 9a? <i>If "Yes," complete Schedule G, Part III</i>	<b>19</b>	X
<b>20a</b> Did the organization operate one or more hospital facilities? <i>If "Yes," complete Schedule H</i>	<b>20a</b>	X
<b>b</b> If "Yes" to line 20a, did the organization attach a copy of its audited financial statements to this return?	<b>20b</b>	
<b>21</b> Did the organization report more than \$5,000 of grants or other assistance to any domestic organization or domestic government on Part IX, column (A), line 1? <i>If "Yes," complete Schedule I, Parts I and II</i>	<b>21</b> X	

**Part IV Checklist of Required Schedules** (continued)

	Yes	No
<b>22</b> Did the organization report more than \$5,000 of grants or other assistance to or for domestic individuals on Part IX, column (A), line 2? <i>If "Yes," complete Schedule I, Parts I and III</i> .....	<b>22</b>	X
<b>23</b> Did the organization answer "Yes" to Part VII, Section A, line 3, 4, or 5 about compensation of the organization's current and former officers, directors, trustees, key employees, and highest compensated employees? <i>If "Yes," complete Schedule J</i> .....	<b>23</b>	X
<b>24a</b> Did the organization have a tax-exempt bond issue with an outstanding principal amount of more than \$100,000 as of the last day of the year, that was issued after December 31, 2002? <i>If "Yes," answer lines 24b through 24d and complete Schedule K. If "No," go to line 25a</i> .....	<b>24a</b>	X
<b>b</b> Did the organization invest any proceeds of tax-exempt bonds beyond a temporary period exception? .....	<b>24b</b>	
<b>c</b> Did the organization maintain an escrow account other than a refunding escrow at any time during the year to defease any tax-exempt bonds? .....	<b>24c</b>	
<b>d</b> Did the organization act as an "on behalf of" issuer for bonds outstanding at any time during the year? .....	<b>24d</b>	
<b>25a</b> <b>Section 501(c)(3), 501(c)(4), and 501(c)(29) organizations.</b> Did the organization engage in an excess benefit transaction with a disqualified person during the year? <i>If "Yes," complete Schedule L, Part I</i> .....	<b>25a</b>	X
<b>b</b> Is the organization aware that it engaged in an excess benefit transaction with a disqualified person in a prior year, and that the transaction has not been reported on any of the organization's prior Forms 990 or 990-EZ? <i>If "Yes," complete Schedule L, Part I</i> .....	<b>25b</b>	X
<b>26</b> Did the organization report any amount on Part X, line 5 or 22, for receivables from or payables to any current or former officer, director, trustee, key employee, creator or founder, substantial contributor, or 35% controlled entity or family member of any of these persons? <i>If "Yes," complete Schedule L, Part II</i> .....	<b>26</b>	X
<b>27</b> Did the organization provide a grant or other assistance to any current or former officer, director, trustee, key employee, creator or founder, substantial contributor or employee thereof, a grant selection committee member, or to a 35% controlled entity (including an employee thereof) or family member of any of these persons? <i>If "Yes," complete Schedule L, Part III</i> .....	<b>27</b>	X
<b>28</b> Was the organization a party to a business transaction with one of the following parties (see Schedule L, Part IV instructions, for applicable filing thresholds, conditions, and exceptions):		
<b>a</b> A current or former officer, director, trustee, key employee, creator or founder, or substantial contributor? <i>If "Yes," complete Schedule L, Part IV</i> .....	<b>28a</b>	X
<b>b</b> A family member of any individual described in line 28a? <i>If "Yes," complete Schedule L, Part IV</i> .....	<b>28b</b>	X
<b>c</b> A 35% controlled entity of one or more individuals and/or organizations described in lines 28a or 28b? <i>If "Yes," complete Schedule L, Part IV</i> .....	<b>28c</b>	X
<b>29</b> Did the organization receive more than \$25,000 in non-cash contributions? <i>If "Yes," complete Schedule M</i> .....	<b>29</b>	X
<b>30</b> Did the organization receive contributions of art, historical treasures, or other similar assets, or qualified conservation contributions? <i>If "Yes," complete Schedule M</i> .....	<b>30</b>	X
<b>31</b> Did the organization liquidate, terminate, or dissolve and cease operations? <i>If "Yes," complete Schedule N, Part I</i> .....	<b>31</b>	X
<b>32</b> Did the organization sell, exchange, dispose of, or transfer more than 25% of its net assets? <i>If "Yes," complete Schedule N, Part II</i> .....	<b>32</b>	X
<b>33</b> Did the organization own 100% of an entity disregarded as separate from the organization under Regulations sections 301.7701-2 and 301.7701-3? <i>If "Yes," complete Schedule R, Part I</i> .....	<b>33</b>	X
<b>34</b> Was the organization related to any tax-exempt or taxable entity? <i>If "Yes," complete Schedule R, Part II, III, or IV, and Part V, line 1</i> .....	<b>34</b>	X
<b>35a</b> Did the organization have a controlled entity within the meaning of section 512(b)(13)? .....	<b>35a</b>	X
<b>b</b> If "Yes" to line 35a, did the organization receive any payment from or engage in any transaction with a controlled entity within the meaning of section 512(b)(13)? <i>If "Yes," complete Schedule R, Part V, line 2</i> .....	<b>35b</b>	X
<b>36</b> <b>Section 501(c)(3) organizations.</b> Did the organization make any transfers to an exempt non-charitable related organization? <i>If "Yes," complete Schedule R, Part V, line 2</i> .....	<b>36</b>	X
<b>37</b> Did the organization conduct more than 5% of its activities through an entity that is not a related organization and that is treated as a partnership for federal income tax purposes? <i>If "Yes," complete Schedule R, Part VI</i> .....	<b>37</b>	X
<b>38</b> Did the organization complete Schedule O and provide explanations in Schedule O for Part VI, lines 11b and 19? <b>Note:</b> All Form 990 filers are required to complete Schedule O .....	<b>38</b>	X

**Part V Statements Regarding Other IRS Filings and Tax Compliance**

Check if Schedule O contains a response or note to any line in this Part V

X

	Yes	No
<b>1a</b> Enter the number reported in Box 3 of Form 1096. Enter -0- if not applicable .....	<b>1a</b>	126
<b>b</b> Enter the number of Forms W-2G included in line 1a. Enter -0- if not applicable .....	<b>1b</b>	0
<b>c</b> Did the organization comply with backup withholding rules for reportable payments to vendors and reportable gaming (gambling) winnings to prize winners? .....	<b>1c</b>	X

**Part V** Statements Regarding Other IRS Filings and Tax Compliance (continued)

	Yes	No
<b>2a</b> Enter the number of employees reported on Form W-3, Transmittal of Wage and Tax Statements, filed for the calendar year ending with or within the year covered by this return		
<b>2a</b> 186		
<b>b</b> If at least one is reported on line 2a, did the organization file all required federal employment tax returns?	<b>2b</b> X	
<b>Note:</b> If the sum of lines 1a and 2a is greater than 250, you may be required to e-file (see instructions)		
<b>3a</b> Did the organization have unrelated business gross income of \$1,000 or more during the year?	<b>3a</b> X	
<b>b</b> If "Yes," has it filed a Form 990-T for this year? If "No" to line 3b, provide an explanation on Schedule O	<b>3b</b> X	
<b>4a</b> At any time during the calendar year, did the organization have an interest in, or a signature or other authority over, a financial account in a foreign country (such as a bank account, securities account, or other financial account)?	<b>4a</b> X	
<b>b</b> If "Yes," enter the name of the foreign country <b>SEE SCHEDULE O</b> See instructions for filing requirements for FinCEN Form 114, Report of Foreign Bank and Financial Accounts (FBAR).		
<b>5a</b> Was the organization a party to a prohibited tax shelter transaction at any time during the tax year?	<b>5a</b>	X
<b>b</b> Did any taxable party notify the organization that it was or is a party to a prohibited tax shelter transaction?	<b>5b</b>	X
<b>c</b> If "Yes" to line 5a or 5b, did the organization file Form 8886-T?	<b>5c</b>	
<b>6a</b> Does the organization have annual gross receipts that are normally greater than \$100,000, and did the organization solicit any contributions that were not tax deductible as charitable contributions?	<b>6a</b>	X
<b>b</b> If "Yes," did the organization include with every solicitation an express statement that such contributions or gifts were not tax deductible?	<b>6b</b>	
<b>7 Organizations that may receive deductible contributions under section 170(c).</b>		
<b>a</b> Did the organization receive a payment in excess of \$75 made partly as a contribution and partly for goods and services provided to the payor?	<b>7a</b> X	
<b>b</b> If "Yes," did the organization notify the donor of the value of the goods or services provided?	<b>7b</b> X	
<b>c</b> Did the organization sell, exchange, or otherwise dispose of tangible personal property for which it was required to file Form 8282?	<b>7c</b>	X
<b>d</b> If "Yes," indicate the number of Forms 8282 filed during the year	<b>7d</b>	
<b>e</b> Did the organization receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?	<b>7e</b>	X
<b>f</b> Did the organization, during the year, pay premiums, directly or indirectly, on a personal benefit contract?	<b>7f</b>	X
<b>g</b> If the organization received a contribution of qualified intellectual property, did the organization file Form 8899 as required?	<b>7g</b>	
<b>h</b> If the organization received a contribution of cars, boats, airplanes, or other vehicles, did the organization file a Form 1098-C?	<b>7h</b>	
<b>8 Sponsoring organizations maintaining donor advised funds.</b> Did a donor advised fund maintained by the sponsoring organization have excess business holdings at any time during the year?	<b>8</b>	
<b>9 Sponsoring organizations maintaining donor advised funds.</b>		
<b>a</b> Did the sponsoring organization make any taxable distributions under section 4966?	<b>9a</b>	
<b>b</b> Did the sponsoring organization make a distribution to a donor, donor advisor, or related person?	<b>9b</b>	
<b>10 Section 501(c)(7) organizations.</b> Enter:		
<b>a</b> Initiation fees and capital contributions included on Part VIII, line 12	<b>10a</b>	
<b>b</b> Gross receipts, included on Form 990, Part VIII, line 12, for public use of club facilities	<b>10b</b>	
<b>11 Section 501(c)(12) organizations.</b> Enter:		
<b>a</b> Gross income from members or shareholders	<b>11a</b>	
<b>b</b> Gross income from other sources (Do not net amounts due or paid to other sources against amounts due or received from them.)	<b>11b</b>	
<b>12a Section 4947(a)(1) non-exempt charitable trusts.</b> Is the organization filing Form 990 in lieu of Form 1041?	<b>12a</b>	
<b>b</b> If "Yes," enter the amount of tax-exempt interest received or accrued during the year	<b>12b</b>	
<b>13 Section 501(c)(29) qualified nonprofit health insurance issuers.</b>		
<b>a</b> Is the organization licensed to issue qualified health plans in more than one state?	<b>13a</b>	
<b>Note:</b> See the instructions for additional information the organization must report on Schedule O.		
<b>b</b> Enter the amount of reserves the organization is required to maintain by the states in which the organization is licensed to issue qualified health plans	<b>13b</b>	
<b>c</b> Enter the amount of reserves on hand	<b>13c</b>	
<b>14a</b> Did the organization receive any payments for indoor tanning services during the tax year?	<b>14a</b>	X
<b>b</b> If "Yes," has it filed a Form 720 to report these payments? If "No," provide an explanation on Schedule O	<b>14b</b>	
<b>15</b> Is the organization subject to the section 4960 tax on payment(s) of more than \$1,000,000 in remuneration or excess parachute payment(s) during the year?	<b>15</b>	X
If "Yes," see instructions and file Form 4720, Schedule N.		
<b>16</b> Is the organization an educational institution subject to the section 4968 excise tax on net investment income?	<b>16</b>	X
If "Yes," complete Form 4720, Schedule O.		

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**Part VI Governance, Management, and Disclosure** For each "Yes" response to lines 2 through 7b below, and for a "No" response to line 8a, 8b, or 10b below, describe the circumstances, processes, or changes on Schedule O. See instructions.

Check if Schedule O contains a response or note to any line in this Part VI

☒**Section A. Governing Body and Management**

	1a	24	1b	23	Yes	No
<b>1a</b> Enter the number of voting members of the governing body at the end of the tax year		24		23		
If there are material differences in voting rights among members of the governing body, or if the governing body delegated broad authority to an executive committee or similar committee, explain on Schedule O.						
<b>b</b> Enter the number of voting members included on line 1a, above, who are independent						
<b>2</b> Did any officer, director, trustee, or key employee have a family relationship or a business relationship with any other officer, director, trustee, or key employee?					X	
<b>3</b> Did the organization delegate control over management duties customarily performed by or under the direct supervision of officers, directors, trustees, or key employees to a management company or other person?						X
<b>4</b> Did the organization make any significant changes to its governing documents since the prior Form 990 was filed?						X
<b>5</b> Did the organization become aware during the year of a significant diversion of the organization's assets?						X
<b>6</b> Did the organization have members or stockholders?						X
<b>7a</b> Did the organization have members, stockholders, or other persons who had the power to elect or appoint one or more members of the governing body?						X
<b>b</b> Are any governance decisions of the organization reserved to (or subject to approval by) members, stockholders, or persons other than the governing body?						X
<b>8</b> Did the organization contemporaneously document the meetings held or written actions undertaken during the year by the following:						
<b>a</b> The governing body?					X	
<b>b</b> Each committee with authority to act on behalf of the governing body?					X	
<b>9</b> Is there any officer, director, trustee, or key employee listed in Part VII, Section A, who cannot be reached at the organization's mailing address? If "Yes," provide the names and addresses on Schedule O						X

**Section B. Policies** (This Section B requests information about policies not required by the Internal Revenue Code.)

	Yes	No
<b>10a</b> Did the organization have local chapters, branches, or affiliates?	X	
<b>b</b> If "Yes," did the organization have written policies and procedures governing the activities of such chapters, affiliates, and branches to ensure their operations are consistent with the organization's exempt purposes?	X	
<b>11a</b> Has the organization provided a complete copy of this Form 990 to all members of its governing body before filing the form?	X	
<b>b</b> Describe in Schedule O the process, if any, used by the organization to review this Form 990.		
<b>12a</b> Did the organization have a written conflict of interest policy? If "No," go to line 13	X	
<b>b</b> Were officers, directors, or trustees, and key employees required to disclose annually interests that could give rise to conflicts?	X	
<b>c</b> Did the organization regularly and consistently monitor and enforce compliance with the policy? If "Yes," describe in Schedule O how this was done	X	
<b>13</b> Did the organization have a written whistleblower policy?	X	
<b>14</b> Did the organization have a written document retention and destruction policy?	X	
<b>15</b> Did the process for determining compensation of the following persons include a review and approval by independent persons, comparability data, and contemporaneous substantiation of the deliberation and decision?		
<b>a</b> The organization's CEO, Executive Director, or top management official	X	
<b>b</b> Other officers or key employees of the organization	X	
If "Yes" to line 15a or 15b, describe the process in Schedule O (see instructions).		
<b>16a</b> Did the organization invest in, contribute assets to, or participate in a joint venture or similar arrangement with a taxable entity during the year?		X
<b>b</b> If "Yes," did the organization follow a written policy or procedure requiring the organization to evaluate its participation in joint venture arrangements under applicable federal tax law, and take steps to safeguard the organization's exempt status with respect to such arrangements?		

**Section C. Disclosure**

**17** List the states with which a copy of this Form 990 is required to be filed **AK, AL, AR, AZ, CA, CO, CT, DE, FL, GA, HI, IA**

**18** Section 6104 requires an organization to make its Forms 1023 (1024 or 1024-A, if applicable), 990, and 990-T (Section 501(c)(3)s only) available for public inspection. Indicate how you made these available. Check all that apply.  
☒ Own website ☐ Another's website ☒ Upon request ☒ Other (explain on Schedule O)

**19** Describe on Schedule O whether (and if so, how) the organization made its governing documents, conflict of interest policy, and financial statements available to the public during the tax year.

**20** State the name, address, and telephone number of the person who possesses the organization's books and records **JAMES F. SIMON - (202) 833-3900**  
**1025 CONNECTICUT AVENUE, NW, NO. 200, WASHINGTON, DC 20036**

**Part VII Compensation of Officers, Directors, Trustees, Key Employees, Highest Compensated Employees, and Independent Contractors**Check if Schedule O contains a response or note to any line in this Part VII ☐**Section A. Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees****1a** Complete this table for all persons required to be listed. Report compensation for the calendar year ending with or within the organization's tax year.

- List all of the organization's **current** officers, directors, trustees (whether individuals or organizations), regardless of amount of compensation. Enter -0- in columns (D), (E), and (F) if no compensation was paid.
  - List all of the organization's **current** key employees, if any. See instructions for definition of "key employee."
  - List the organization's five **current** highest compensated employees (other than an officer, director, trustee, or key employee) who received reportable compensation (Box 5 of Form W-2 and/or Box 7 of Form 1099-MISC) of more than \$100,000 from the organization and any related organizations.
  - List all of the organization's **former** officers, key employees, and highest compensated employees who received more than \$100,000 of reportable compensation from the organization and any related organizations.
  - List all of the organization's **former directors or trustees** that received, in the capacity as a former director or trustee of the organization, more than \$10,000 of reportable compensation from the organization and any related organizations.
- See instructions for the order in which to list the persons above.

☐ Check this box if neither the organization nor any related organization compensated any current officer, director, or trustee.

(A) Name and title	(B) Average hours per week (list any hours for related organizations below line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)						(D) Reportable compensation from the organization (W-2/1099-MISC)	(E) Reportable compensation from related organizations (W-2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Institutional trustee	Officer	Key employee	Highest compensated employee	Former			
(1) VALARIE VAN CLEAVE CHAIR	9.00 1.00	X		X				0.	0.	0.
(2) TED DANSON VICE-CHAIR	7.00 1.00	X		X				0.	0.	0.
(3) KEITH ADDIS PRESIDENT	6.00 1.00	X		X				0.	0.	0.
(4) JAMES SANDLER SECRETARY	3.00 1.00	X		X				0.	0.	0.
(5) DIANA THOMSON TREASURER	3.00 1.00	X		X				0.	0.	0.
(6) GAZ ALAZRAKI DIRECTOR	2.00	X						0.	0.	0.
(7) MONIQUE BAR DIRECTOR	2.00	X						0.	0.	0.
(8) HERBERT M. BEDOLFE, III DIRECTOR	3.00	X						0.	0.	0.
(9) NICHOLAS DAVIS DIRECTOR	2.00	X						0.	0.	0.
(10) SYDNEY DAVIS DIRECTOR	2.00	X						0.	0.	0.
(11) CESAR GAVIRIA DIRECTOR	2.00	X						0.	0.	0.
(12) MARA EUGENIA GIRON DIRECTOR	2.00	X						0.	0.	0.
(13) LOIC GOUZER DIRECTOR	2.00	X						0.	0.	0.
(14) JENA KING DIRECTOR	2.00	X						0.	0.	0.
(15) SARA LOWELL DIRECTOR	2.00	X						0.	0.	0.
(16) STEPHEN P. MCALLISTER DIRECTOR	2.00	X						0.	0.	0.
(17) DR. KRISTIAN PARKER DIRECTOR	3.00	X						0.	0.	0.

**Part VII** Section A. Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees (continued)

(A) Name and title	(B) Average hours per week (list any hours for related organizations below line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)						(D) Reportable compensation from the organization (W-2/1099-MISC)	(E) Reportable compensation from related organizations (W-2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Institutional trustee	Officer	Key employee	Highest compensated employee	Former			
(18) DR. DANIEL PAULY DIRECTOR	2.00	X						0.	0.	0.
(19) SUSAN ROCKEFELLER DIRECTOR	6.00	X						0.	0.	0.
(20) DAVID ROCKEFELLER, JR. DIRECTOR	2.00	X						0.	0.	0.
(21) SIMON SIDAMON-ERISTOFF DIRECTOR	2.00	X						0.	0.	0.
(22) HEATHER STEVENS DIRECTOR	2.00	X						0.	0.	0.
(23) DR. RASHID SUMAILA DIRECTOR	2.00	X						0.	0.	0.
(24) SAM WATERSTON DIRECTOR	2.00	X						0.	0.	0.
(25) JEAN WEISS DIRECTOR	2.00	X						0.	0.	0.
(26) ANDREW F. SHARPLESS CHIEF EXECUTIVE OFFICER	40.00 1.00			X				429,918.	0.	43,309.
<b>1b Subtotal</b>								429,918.	0.	43,309.
<b>c Total from continuation sheets to Part VII, Section A</b>								2,303,393.	0.	294,482.
<b>d Total (add lines 1b and 1c)</b>								2,733,311.	0.	337,791.

**2** Total number of individuals (including but not limited to those listed above) who received more than \$100,000 of reportable compensation from the organization

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- 3** Did the organization list any **former** officer, director, trustee, key employee, or highest compensated employee on line 1a? If "Yes," complete Schedule J for such individual
- 4** For any individual listed on line 1a, is the sum of reportable compensation and other compensation from the organization and related organizations greater than \$150,000? If "Yes," complete Schedule J for such individual
- 5** Did any person listed on line 1a receive or accrue compensation from any unrelated organization or individual for services rendered to the organization? If "Yes," complete Schedule J for such person

	Yes	No
3		X
4	X	
5		X

**Section B. Independent Contractors**

**1** Complete this table for your five highest compensated independent contractors that received more than \$100,000 of compensation from the organization. Report compensation for the calendar year ending with or within the organization's tax year.

(A) Name and business address	(B) Description of services	(C) Compensation
OGLETREE, DEAKINS P.C. P.O. BOX 89, COLUMBIA, SC 29202	LEGAL COUNSEL	240,144.
M&R STRATEGIC SERVICES, INC., 1901 L ST., NW, SUITE 800, WASHINGTON, DC 20036	FUNDRAISING AND ADVERTISING	229,843.
EVENT ELEVEN, 5542 W. WASHINGTON BLVD., LOS ANGELES, CA 90016	EVENT PRODUCTION AND DESIGN	220,850.
ORACLE AMERICA INC., 15612 COLLECTIONS CENTER DRIVE, CHICAGO, IL 60693	SOFTWARE CONSULTANTS	158,597.
KOS MEDIA LLC, 436 14TH STREET, SUITE 1500, OAKLAND, CA 94612	LEAD ACQUISITION CONSULTING	151,624.

**2** Total number of independent contractors (including but not limited to those listed above) who received more than \$100,000 of compensation from the organization

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SEE PART VII, SECTION A CONTINUATION SHEETS

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**Part VII** Section A. Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees (continued)

(A) Name and title	(B) Average hours per week (list any hours for related organizations below line)	(C) Position (check all that apply)						(D) Reportable compensation from the organization (W-2/1099-MISC)	(E) Reportable compensation from related organizations (W-2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Institutional trustee	Officer	Key employee	Highest compensated employee	Former			
(27) JAMES F. SIMON PRESIDENT & GENERAL COUNSEL	40.00 1.00			X				345,809.	0.	45,767.
(28) CHRISTOPHER M. SHARKEY CHIEF FINANCIAL OFFICER	40.00 1.00			X				259,827.	0.	35,437.
(29) JACQUELINE SAVITZ SVP, UNITED STATES	40.00				X			247,165.	0.	32,972.
(30) NANCY GOLDEN VICE PRESIDENT OF DEVELOPMENT	40.00				X			230,492.	0.	30,604.
(31) PASCALE MOEHRLE EXECUTIVE DIRECTOR, EUROPE	40.00				X			205,797.	0.	0.
(32) MATTHEW M. LITTLEJOHN SVP, STRATEGIC MKTG & COMMUNICATIONS	40.00					X		231,972.	0.	35,912.
(33) MICHAEL F. HIRSHFIELD CHIEF SCIENTIST & STRATEGY OFFICER	20.00					X		224,546.	0.	27,137.
(34) KATHY WHELPLEY SR DIRECTOR, INSTITUTIONAL GIVING	40.00					X		206,392.	0.	32,985.
(35) SUSAN MURRAY DEPUTY VP, PACIFIC	40.00					X		180,215.	0.	27,982.
(36) ERIC BILSKY SR. ATTORNEY/ASST. GENERAL COUNSEL	40.00					X		171,178.	0.	25,686.
Total to Part VII, Section A, line 1c								2,303,393.		294,482.

**Part VIII Statement of Revenue**Check if Schedule O contains a response or note to any line in this Part VIII ☐

				(A) Total revenue	(B) Related or exempt function revenue	(C) Unrelated business revenue	(D) Revenue excluded from tax under sections 512 - 514
<b>Contributions, Gifts, Grants and Other Similar Amounts</b>	<b>1 a</b> Federated campaigns .....	<b>1a</b>	73,072.				
	<b>b</b> Membership dues .....	<b>1b</b>					
	<b>c</b> Fundraising events .....	<b>1c</b>	3,895,663.				
	<b>d</b> Related organizations .....	<b>1d</b>					
	<b>e</b> Government grants (contributions) .....	<b>1e</b>	12.				
	<b>f</b> All other contributions, gifts, grants, and similar amounts not included above ...	<b>1f</b>	34591000.				
	<b>g</b> Noncash contributions included in lines 1a-1f	<b>1g</b>	\$2,029,296.				
	<b>h Total.</b> Add lines 1a-1f .....						
<b>Program Service Revenue</b>	<b>2 a</b> CONSULTING	<b>Business Code</b>	900099	17,312.	17,312.		
	<b>b</b> .....						
	<b>c</b> .....						
	<b>d</b> .....						
	<b>e</b> .....						
	<b>f</b> All other program service revenue .....						
	<b>g Total.</b> Add lines 2a-2f .....				17,312.		
	<b>Other Revenue</b>	<b>3</b> Investment income (including dividends, interest, and other similar amounts) .....			59,605.		
<b>4</b> Income from investment of tax-exempt bond proceeds .....							
<b>5</b> Royalties .....				1,054.			1,054.
<b>6 a</b> Gross rents .....		<b>6a</b>	(i) Real (ii) Personal				
<b>b</b> Less: rental expenses ...		<b>6b</b>					
<b>c</b> Rental income or (loss) .....		<b>6c</b>					
<b>d</b> Net rental income or (loss) .....							
<b>7 a</b> Gross amount from sales of assets other than inventory .....		<b>7a</b>	(i) Securities (ii) Other	345,837.			
<b>b</b> Less: cost or other basis and sales expenses .....		<b>7b</b>		365,609.			
<b>c</b> Gain or (loss) .....		<b>7c</b>		-19,772.			
<b>d</b> Net gain or (loss) .....				-19,772.			-19,772.
<b>8 a</b> Gross income from fundraising events (not including \$ 3,895,663. of contributions reported on line 1c). See Part IV, line 18 .....		<b>8a</b>		373,962.			
<b>b</b> Less: direct expenses .....		<b>8b</b>		352,508.			
<b>c</b> Net income or (loss) from fundraising events .....				21,454.			21,454.
<b>9 a</b> Gross income from gaming activities. See Part IV, line 19 .....		<b>9a</b>					
<b>b</b> Less: direct expenses .....		<b>9b</b>					
<b>c</b> Net income or (loss) from gaming activities .....							
<b>10 a</b> Gross sales of inventory, less returns and allowances .....		<b>10a</b>					
<b>b</b> Less: cost of goods sold .....	<b>10b</b>						
<b>c</b> Net income or (loss) from sales of inventory .....							
<b>Miscellaneous Revenue</b>	<b>11 a</b> WEB ADVERTISING	<b>Business Code</b>	900004	6,216.		6,216.	
	<b>b</b> FOREIGN CURRENCY LOSS		900099	-13,141.			-13,141.
	<b>c</b> .....						
	<b>d</b> All other revenue .....						
	<b>e Total.</b> Add lines 11a-11d .....				-6,925.		
	<b>12 Total revenue.</b> See instructions .....				38632475.	17,312.	6,216.

**Part IX Statement of Functional Expenses**

Section 501(c)(3) and 501(c)(4) organizations must complete all columns. All other organizations must complete column (A).

Check if Schedule O contains a response or note to any line in this Part IX ☐

Do not include amounts reported on lines 6b, 7b, 8b, 9b, and 10b of Part VIII.	(A) Total expenses	(B) Program service expenses	(C) Management and general expenses	(D) Fundraising expenses
<b>1</b> Grants and other assistance to domestic organizations and domestic governments. See Part IV, line 21 ...	636,669.	636,669.		
<b>2</b> Grants and other assistance to domestic individuals. See Part IV, line 22 .....				
<b>3</b> Grants and other assistance to foreign organizations, foreign governments, and foreign individuals. See Part IV, lines 15 and 16 .....	425,112.	425,112.		
<b>4</b> Benefits paid to or for members .....				
<b>5</b> Compensation of current officers, directors, trustees, and key employees .....	1,907,097.	949,463.	676,838.	280,796.
<b>6</b> Compensation not included above to disqualified persons (as defined under section 4958(f)(1)) and persons described in section 4958(c)(3)(B) .....				
<b>7</b> Other salaries and wages .....	16,212,165.	13,348,661.	2,238,587.	624,917.
<b>8</b> Pension plan accruals and contributions (include section 401(k) and 403(b) employer contributions) .....	1,067,958.	769,290.	219,762.	78,906.
<b>9</b> Other employee benefits .....	1,374,960.	966,983.	310,920.	97,057.
<b>10</b> Payroll taxes .....	1,718,185.	1,443,526.	209,288.	65,371.
<b>11</b> Fees for services (nonemployees):				
<b>a</b> Management .....				
<b>b</b> Legal .....	411,658.	337,819.	46,506.	27,333.
<b>c</b> Accounting .....	330,481.	271,203.	37,335.	21,943.
<b>d</b> Lobbying .....				
<b>e</b> Professional fundraising services. See Part IV, line 17 .....	248,931.			248,931.
<b>f</b> Investment management fees .....				
<b>g</b> Other. (If line 11g amount exceeds 10% of line 25, column (A) amount, list line 11g expenses on Sch. O.) .....	2,011,654.	1,606,174.	255,383.	150,097.
<b>12</b> Advertising and promotion .....	1,036,402.	533,831.	17,068.	485,503.
<b>13</b> Office expenses .....	1,738,609.	1,118,416.	147,105.	473,088.
<b>14</b> Information technology .....				
<b>15</b> Royalties .....				
<b>16</b> Occupancy .....	2,260,917.	1,745,200.	416,395.	99,322.
<b>17</b> Travel .....	1,807,852.	1,557,850.	176,174.	73,828.
<b>18</b> Payments of travel or entertainment expenses for any federal, state, or local public officials ...				
<b>19</b> Conferences, conventions, and meetings .....	852,494.	440,455.	142,100.	269,939.
<b>20</b> Interest .....	1,806.		1,806.	
<b>21</b> Payments to affiliates .....				
<b>22</b> Depreciation, depletion, and amortization .....	802,923.	342,843.	460,080.	
<b>23</b> Insurance .....	411,456.	329,412.	55,598.	26,446.
<b>24</b> Other expenses. Itemize expenses not covered above (List miscellaneous expenses on line 24e. If line 24e amount exceeds 10% of line 25, column (A) amount, list line 24e expenses on Schedule O.)				
<b>a DUES AND SUBSCRIPTIONS</b> .....	582,030.	286,030.	272,421.	23,579.
<b>b TAXES AND FEES</b> .....	63,696.	17,313.		46,383.
<b>c EQUIPMENT RENTAL/MAINT.</b> .....	61,528.	27,626.	13,761.	20,141.
<b>d MISCELLANEOUS</b> .....	36,935.	27,134.	8,173.	1,628.
<b>e</b> All other expenses .....	3,681.	3,681.		
<b>25 Total functional expenses.</b> Add lines 1 through 24e	36,005,199.	27,184,691.	5,705,300.	3,115,208.
<b>26 Joint costs.</b> Complete this line only if the organization reported in column (B) joint costs from a combined educational campaign and fundraising solicitation.				

Check here ☐ if following SOP 98-2 (ASC 958-720)

**Part X Balance Sheet**Check if Schedule O contains a response or note to any line in this Part X ☐

		(A) Beginning of year		(B) End of year
<b>Assets</b>	<b>1</b> Cash - non-interest-bearing .....	19,861,706.	<b>1</b>	20,194,379.
	<b>2</b> Savings and temporary cash investments .....	5,158,679.	<b>2</b>	5,471,443.
	<b>3</b> Pledges and grants receivable, net .....	25,704,582.	<b>3</b>	28,378,744.
	<b>4</b> Accounts receivable, net .....	69,229.	<b>4</b>	67,041.
	<b>5</b> Loans and other receivables from any current or former officer, director, trustee, key employee, creator or founder, substantial contributor, or 35% controlled entity or family member of any of these persons .....		<b>5</b>	
	<b>6</b> Loans and other receivables from other disqualified persons (as defined under section 4958(f)(1)), and persons described in section 4958(c)(3)(B) .....		<b>6</b>	
	<b>7</b> Notes and loans receivable, net .....		<b>7</b>	
	<b>8</b> Inventories for sale or use .....	8,844.	<b>8</b>	2,114.
	<b>9</b> Prepaid expenses and deferred charges .....	42,256.	<b>9</b>	484,056.
	<b>10a</b> Land, buildings, and equipment: cost or other basis. Complete Part VI of Schedule D .....	<b>10a</b> 7,326,655.		
	<b>b</b> Less: accumulated depreciation .....	<b>10b</b> 3,794,212.		
		4,075,703.	<b>10c</b>	3,532,443.
	<b>11</b> Investments - publicly traded securities .....	45,021.	<b>11</b>	131,503.
	<b>12</b> Investments - other securities. See Part IV, line 11 .....	1,298,598.	<b>12</b>	1,777,080.
	<b>13</b> Investments - program-related. See Part IV, line 11 .....		<b>13</b>	
	<b>14</b> Intangible assets .....		<b>14</b>	
<b>15</b> Other assets. See Part IV, line 11 .....	243,244.	<b>15</b>	250,789.	
<b>16</b> <b>Total assets.</b> Add lines 1 through 15 (must equal line 33) .....	56,507,862.	<b>16</b>	60,289,592.	
<b>Liabilities</b>	<b>17</b> Accounts payable and accrued expenses .....	2,240,494.	<b>17</b>	2,255,043.
	<b>18</b> Grants payable .....	5,000.	<b>18</b>	5,000.
	<b>19</b> Deferred revenue .....		<b>19</b>	
	<b>20</b> Tax-exempt bond liabilities .....		<b>20</b>	
	<b>21</b> Escrow or custodial account liability. Complete Part IV of Schedule D .....		<b>21</b>	
	<b>22</b> Loans and other payables to any current or former officer, director, trustee, key employee, creator or founder, substantial contributor, or 35% controlled entity or family member of any of these persons .....		<b>22</b>	
	<b>23</b> Secured mortgages and notes payable to unrelated third parties .....		<b>23</b>	
	<b>24</b> Unsecured notes and loans payable to unrelated third parties .....		<b>24</b>	
	<b>25</b> Other liabilities (including federal income tax, payables to related third parties, and other liabilities not included on lines 17-24). Complete Part X of Schedule D .....	2,900,806.	<b>25</b>	3,936,025.
	<b>26</b> <b>Total liabilities.</b> Add lines 17 through 25 .....	5,146,300.	<b>26</b>	6,196,068.
<b>Net Assets or Fund Balances</b>	<b>Organizations that follow FASB ASC 958, check here</b> <input checked="" type="checkbox"/> <b>and complete lines 27, 28, 32, and 33.</b>			
	<b>27</b> Net assets without donor restrictions .....	11,200,257.	<b>27</b>	15,135,825.
	<b>28</b> Net assets with donor restrictions .....	40,161,305.	<b>28</b>	38,957,699.
	<b>Organizations that do not follow FASB ASC 958, check here</b> <input type="checkbox"/> <b>and complete lines 29 through 33.</b>			
	<b>29</b> Capital stock or trust principal, or current funds .....		<b>29</b>	
	<b>30</b> Paid-in or capital surplus, or land, building, or equipment fund .....		<b>30</b>	
	<b>31</b> Retained earnings, endowment, accumulated income, or other funds .....		<b>31</b>	
	<b>32</b> Total net assets or fund balances .....	51,361,562.	<b>32</b>	54,093,524.
	<b>33</b> Total liabilities and net assets/fund balances .....	56,507,862.	<b>33</b>	60,289,592.

Form 990 (2019)

**Part XI Reconciliation of Net Assets**Check if Schedule O contains a response or note to any line in this Part XI ☒

<b>1</b>	Total revenue (must equal Part VIII, column (A), line 12)	<b>1</b>	38,632,475.
<b>2</b>	Total expenses (must equal Part IX, column (A), line 25)	<b>2</b>	36,005,199.
<b>3</b>	Revenue less expenses. Subtract line 2 from line 1	<b>3</b>	2,627,276.
<b>4</b>	Net assets or fund balances at beginning of year (must equal Part X, line 32, column (A))	<b>4</b>	51,361,562.
<b>5</b>	Net unrealized gains (losses) on investments	<b>5</b>	-12,782.
<b>6</b>	Donated services and use of facilities	<b>6</b>	
<b>7</b>	Investment expenses	<b>7</b>	
<b>8</b>	Prior period adjustments	<b>8</b>	
<b>9</b>	Other changes in net assets or fund balances (explain on Schedule O)	<b>9</b>	117,468.
<b>10</b>	Net assets or fund balances at end of year. Combine lines 3 through 9 (must equal Part X, line 32, column (B))	<b>10</b>	54,093,524.

**Part XII Financial Statements and Reporting**Check if Schedule O contains a response or note to any line in this Part XII ☐

	Yes	No
<b>1</b> Accounting method used to prepare the Form 990: <input type="checkbox"/> Cash <input checked="" type="checkbox"/> Accrual <input type="checkbox"/> Other _____ If the organization changed its method of accounting from a prior year or checked "Other," explain in Schedule O.		
<b>2a</b> Were the organization's financial statements compiled or reviewed by an independent accountant? _____ If "Yes," check a box below to indicate whether the financial statements for the year were compiled or reviewed on a separate basis, consolidated basis, or both: <input type="checkbox"/> Separate basis <input type="checkbox"/> Consolidated basis <input type="checkbox"/> Both consolidated and separate basis		<b>X</b>
<b>b</b> Were the organization's financial statements audited by an independent accountant? _____ If "Yes," check a box below to indicate whether the financial statements for the year were audited on a separate basis, consolidated basis, or both: <input type="checkbox"/> Separate basis <input checked="" type="checkbox"/> Consolidated basis <input type="checkbox"/> Both consolidated and separate basis	<b>X</b>	
<b>c</b> If "Yes" to line 2a or 2b, does the organization have a committee that assumes responsibility for oversight of the audit, review, or compilation of its financial statements and selection of an independent accountant? _____ If the organization changed either its oversight process or selection process during the tax year, explain on Schedule O.	<b>X</b>	
<b>3a</b> As a result of a federal award, was the organization required to undergo an audit or audits as set forth in the Single Audit Act and OMB Circular A-133? _____		<b>X</b>
<b>b</b> If "Yes," did the organization undergo the required audit or audits? If the organization did not undergo the required audit or audits, explain why on Schedule O and describe any steps taken to undergo such audits _____		

Form 990 (2019)



**Part II Support Schedule for Organizations Described in Sections 170(b)(1)(A)(iv) and 170(b)(1)(A)(vi)**

(Complete only if you checked the box on line 5, 7, or 8 of Part I or if the organization failed to qualify under Part III. If the organization fails to qualify under the tests listed below, please complete Part III.)

**Section A. Public Support**

Calendar year (or fiscal year beginning in) ►	(a) 2015	(b) 2016	(c) 2017	(d) 2018	(e) 2019	(f) Total
1 Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grants.") .....	18802188.	24887791.	48322208.	51826346.	38559747.	182398280
2 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf .....						
3 The value of services or facilities furnished by a governmental unit to the organization without charge .....						
4 <b>Total.</b> Add lines 1 through 3 .....	18802188.	24887791.	48322208.	51826346.	38559747.	182398280
5 The portion of total contributions by each person (other than a governmental unit or publicly supported organization) included on line 1 that exceeds 2% of the amount shown on line 11, column (f) .....						61611220.
6 <b>Public support.</b> Subtract line 5 from line 4.						120787060

**Section B. Total Support**

Calendar year (or fiscal year beginning in) ►	(a) 2015	(b) 2016	(c) 2017	(d) 2018	(e) 2019	(f) Total
7 Amounts from line 4 .....	18802188.	24887791.	48322208.	51826346.	38559747.	182398280
8 Gross income from interest, dividends, payments received on securities loans, rents, royalties, and income from similar sources .....	45,208.	19,769.	16,973.	34,082.	60,659.	176,691.
9 Net income from unrelated business activities, whether or not the business is regularly carried on .....					2,365.	2,365.
10 Other income. Do not include gain or loss from the sale of capital assets (Explain in Part VI.) .....	17,452.	566.		5,154.		23,172.
11 <b>Total support.</b> Add lines 7 through 10						182600508
12 Gross receipts from related activities, etc. (see instructions) .....					12	1,148,324.
13 <b>First five years.</b> If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and <b>stop here</b> .....						► <input type="checkbox"/>

**Section C. Computation of Public Support Percentage**

14 Public support percentage for 2019 (line 6, column (f) divided by line 11, column (f)) .....	14	66.15 %
15 Public support percentage from 2018 Schedule A, Part II, line 14 .....	15	66.87 %
16a <b>33 1/3% support test - 2019.</b> If the organization did not check the box on line 13, and line 14 is 33 1/3% or more, check this box and <b>stop here.</b> The organization qualifies as a publicly supported organization .....		► <input checked="" type="checkbox"/>
b <b>33 1/3% support test - 2018.</b> If the organization did not check a box on line 13 or 16a, and line 15 is 33 1/3% or more, check this box and <b>stop here.</b> The organization qualifies as a publicly supported organization .....		► <input type="checkbox"/>
17a <b>10% -facts-and-circumstances test - 2019.</b> If the organization did not check a box on line 13, 16a, or 16b, and line 14 is 10% or more, and if the organization meets the "facts-and-circumstances" test, check this box and <b>stop here.</b> Explain in Part VI how the organization meets the "facts-and-circumstances" test. The organization qualifies as a publicly supported organization .....		► <input type="checkbox"/>
b <b>10% -facts-and-circumstances test - 2018.</b> If the organization did not check a box on line 13, 16a, 16b, or 17a, and line 15 is 10% or more, and if the organization meets the "facts-and-circumstances" test, check this box and <b>stop here.</b> Explain in Part VI how the organization meets the "facts-and-circumstances" test. The organization qualifies as a publicly supported organization .....		► <input type="checkbox"/>
18 <b>Private foundation.</b> If the organization did not check a box on line 13, 16a, 16b, 17a, or 17b, check this box and see instructions .....		► <input type="checkbox"/>

Schedule A (Form 990 or 990-EZ) 2019

**Part III Support Schedule for Organizations Described in Section 509(a)(2)**

(Complete only if you checked the box on line 10 of Part I or if the organization failed to qualify under Part II. If the organization fails to qualify under the tests listed below, please complete Part II.)

**Section A. Public Support**

Calendar year (or fiscal year beginning in) ►	(a) 2015	(b) 2016	(c) 2017	(d) 2018	(e) 2019	(f) Total
<b>1</b> Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grants.") .....						
<b>2</b> Gross receipts from admissions, merchandise sold or services performed, or facilities furnished in any activity that is related to the organization's tax-exempt purpose .....						
<b>3</b> Gross receipts from activities that are not an unrelated trade or business under section 513 .....						
<b>4</b> Tax revenues levied for the organization's benefit and either paid to or expended on its behalf .....						
<b>5</b> The value of services or facilities furnished by a governmental unit to the organization without charge .....						
<b>6 Total.</b> Add lines 1 through 5 .....						
<b>7a</b> Amounts included on lines 1, 2, and 3 received from disqualified persons .....						
<b>b</b> Amounts included on lines 2 and 3 received from other than disqualified persons that exceed the greater of \$5,000 or 1% of the amount on line 13 for the year .....						
<b>c</b> Add lines 7a and 7b .....						
<b>8 Public support.</b> (Subtract line 7c from line 6.)						

**Section B. Total Support**

Calendar year (or fiscal year beginning in) ►	(a) 2015	(b) 2016	(c) 2017	(d) 2018	(e) 2019	(f) Total
<b>9</b> Amounts from line 6 .....						
<b>10a</b> Gross income from interest, dividends, payments received on securities loans, rents, royalties, and income from similar sources .....						
<b>b</b> Unrelated business taxable income (less section 511 taxes) from businesses acquired after June 30, 1975 .....						
<b>c</b> Add lines 10a and 10b .....						
<b>11</b> Net income from unrelated business activities not included in line 10b, whether or not the business is regularly carried on .....						
<b>12</b> Other income. Do not include gain or loss from the sale of capital assets (Explain in Part VI.) .....						
<b>13 Total support.</b> (Add lines 9, 10c, 11, and 12.)						

**14 First five years.** If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and **stop here** ..... ☐

**Section C. Computation of Public Support Percentage**

<b>15</b> Public support percentage for 2019 (line 8, column (f), divided by line 13, column (f)) .....	<b>15</b>	%
<b>16</b> Public support percentage from 2018 Schedule A, Part III, line 15 .....	<b>16</b>	%

**Section D. Computation of Investment Income Percentage**

<b>17</b> Investment income percentage for 2019 (line 10c, column (f), divided by line 13, column (f)) .....	<b>17</b>	%
<b>18</b> Investment income percentage from 2018 Schedule A, Part III, line 17 .....	<b>18</b>	%

**19a 33 1/3% support tests - 2019.** If the organization did not check the box on line 14, and line 15 is more than 33 1/3%, and line 17 is not more than 33 1/3%, check this box and **stop here**. The organization qualifies as a publicly supported organization ..... ☐

**b 33 1/3% support tests - 2018.** If the organization did not check a box on line 14 or line 19a, and line 16 is more than 33 1/3%, and line 18 is not more than 33 1/3%, check this box and **stop here**. The organization qualifies as a publicly supported organization ..... ☐

**20 Private foundation.** If the organization did not check a box on line 14, 19a, or 19b, check this box and see instructions ..... ☐



**Part IV Supporting Organizations**

(Complete only if you checked a box in line 12 on Part I. If you checked 12a of Part I, complete Sections A and B. If you checked 12b of Part I, complete Sections A and C. If you checked 12c of Part I, complete Sections A, D, and E. If you checked 12d of Part I, complete Sections A and D, and complete Part V.)

**Section A. All Supporting Organizations**

	Yes	No
<b>1</b> Are all of the organization's supported organizations listed by name in the organization's governing documents? <i>If "No," describe in Part VI how the supported organizations are designated. If designated by class or purpose, describe the designation. If historic and continuing relationship, explain.</i>		
<b>2</b> Did the organization have any supported organization that does not have an IRS determination of status under section 509(a)(1) or (2)? <i>If "Yes," explain in Part VI how the organization determined that the supported organization was described in section 509(a)(1) or (2).</i>		
<b>3a</b> Did the organization have a supported organization described in section 501(c)(4), (5), or (6)? <i>If "Yes," answer (b) and (c) below.</i>		
<b>b</b> Did the organization confirm that each supported organization qualified under section 501(c)(4), (5), or (6) and satisfied the public support tests under section 509(a)(2)? <i>If "Yes," describe in Part VI when and how the organization made the determination.</i>		
<b>c</b> Did the organization ensure that all support to such organizations was used exclusively for section 170(c)(2)(B) purposes? <i>If "Yes," explain in Part VI what controls the organization put in place to ensure such use.</i>		
<b>4a</b> Was any supported organization not organized in the United States ("foreign supported organization")? <i>If "Yes," and if you checked 12a or 12b in Part I, answer (b) and (c) below.</i>		
<b>b</b> Did the organization have ultimate control and discretion in deciding whether to make grants to the foreign supported organization? <i>If "Yes," describe in Part VI how the organization had such control and discretion despite being controlled or supervised by or in connection with its supported organizations.</i>		
<b>c</b> Did the organization support any foreign supported organization that does not have an IRS determination under sections 501(c)(3) and 509(a)(1) or (2)? <i>If "Yes," explain in Part VI what controls the organization used to ensure that all support to the foreign supported organization was used exclusively for section 170(c)(2)(B) purposes.</i>		
<b>5a</b> Did the organization add, substitute, or remove any supported organizations during the tax year? <i>If "Yes," answer (b) and (c) below (if applicable). Also, provide detail in Part VI, including (i) the names and EIN numbers of the supported organizations added, substituted, or removed; (ii) the reasons for each such action; (iii) the authority under the organization's organizing document authorizing such action; and (iv) how the action was accomplished (such as by amendment to the organizing document).</i>		
<b>b</b> <b>Type I or Type II only.</b> Was any added or substituted supported organization part of a class already designated in the organization's organizing document?		
<b>c</b> <b>Substitutions only.</b> Was the substitution the result of an event beyond the organization's control?		
<b>6</b> Did the organization provide support (whether in the form of grants or the provision of services or facilities) to anyone other than (i) its supported organizations, (ii) individuals that are part of the charitable class benefited by one or more of its supported organizations, or (iii) other supporting organizations that also support or benefit one or more of the filing organization's supported organizations? <i>If "Yes," provide detail in Part VI.</i>		
<b>7</b> Did the organization provide a grant, loan, compensation, or other similar payment to a substantial contributor (as defined in section 4958(c)(3)(C)), a family member of a substantial contributor, or a 35% controlled entity with regard to a substantial contributor? <i>If "Yes," complete Part I of Schedule L (Form 990 or 990-EZ).</i>		
<b>8</b> Did the organization make a loan to a disqualified person (as defined in section 4958) not described in line 7? <i>If "Yes," complete Part I of Schedule L (Form 990 or 990-EZ).</i>		
<b>9a</b> Was the organization controlled directly or indirectly at any time during the tax year by one or more disqualified persons as defined in section 4946 (other than foundation managers and organizations described in section 509(a)(1) or (2))? <i>If "Yes," provide detail in Part VI.</i>		
<b>b</b> Did one or more disqualified persons (as defined in line 9a) hold a controlling interest in any entity in which the supporting organization had an interest? <i>If "Yes," provide detail in Part VI.</i>		
<b>c</b> Did a disqualified person (as defined in line 9a) have an ownership interest in, or derive any personal benefit from, assets in which the supporting organization also had an interest? <i>If "Yes," provide detail in Part VI.</i>		
<b>10a</b> Was the organization subject to the excess business holdings rules of section 4943 because of section 4943(f) (regarding certain Type II supporting organizations, and all Type III non-functionally integrated supporting organizations)? <i>If "Yes," answer 10b below.</i>		
<b>b</b> Did the organization have any excess business holdings in the tax year? <i>(Use Schedule C, Form 4720, to determine whether the organization had excess business holdings.)</i>		

**Part IV** Supporting Organizations (continued)

	Yes	No
<b>11</b> Has the organization accepted a gift or contribution from any of the following persons?		
<b>a</b> A person who directly or indirectly controls, either alone or together with persons described in (b) and (c) below, the governing body of a supported organization?		
<b>11a</b>		
<b>b</b> A family member of a person described in (a) above?		
<b>11b</b>		
<b>c</b> A 35% controlled entity of a person described in (a) or (b) above? If "Yes" to a, b, or c, provide detail in <b>Part VI</b> .		
<b>11c</b>		

**Section B. Type I Supporting Organizations**

	Yes	No
<b>1</b> Did the directors, trustees, or membership of one or more supported organizations have the power to regularly appoint or elect at least a majority of the organization's directors or trustees at all times during the tax year? If "No," describe in <b>Part VI</b> how the supported organization(s) effectively operated, supervised, or controlled the organization's activities. If the organization had more than one supported organization, describe how the powers to appoint and/or remove directors or trustees were allocated among the supported organizations and what conditions or restrictions, if any, applied to such powers during the tax year.		
<b>1</b>		
<b>2</b> Did the organization operate for the benefit of any supported organization other than the supported organization(s) that operated, supervised, or controlled the supporting organization? If "Yes," explain in <b>Part VI</b> how providing such benefit carried out the purposes of the supported organization(s) that operated, supervised, or controlled the supporting organization.		
<b>2</b>		

**Section C. Type II Supporting Organizations**

	Yes	No
<b>1</b> Were a majority of the organization's directors or trustees during the tax year also a majority of the directors or trustees of each of the organization's supported organization(s)? If "No," describe in <b>Part VI</b> how control or management of the supporting organization was vested in the same persons that controlled or managed the supported organization(s).		
<b>1</b>		

**Section D. All Type III Supporting Organizations**

	Yes	No
<b>1</b> Did the organization provide to each of its supported organizations, by the last day of the fifth month of the organization's tax year, (i) a written notice describing the type and amount of support provided during the prior tax year, (ii) a copy of the Form 990 that was most recently filed as of the date of notification, and (iii) copies of the organization's governing documents in effect on the date of notification, to the extent not previously provided?		
<b>1</b>		
<b>2</b> Were any of the organization's officers, directors, or trustees either (i) appointed or elected by the supported organization(s) or (ii) serving on the governing body of a supported organization? If "No," explain in <b>Part VI</b> how the organization maintained a close and continuous working relationship with the supported organization(s).		
<b>2</b>		
<b>3</b> By reason of the relationship described in (2), did the organization's supported organizations have a significant voice in the organization's investment policies and in directing the use of the organization's income or assets at all times during the tax year? If "Yes," describe in <b>Part VI</b> the role the organization's supported organizations played in this regard.		
<b>3</b>		

**Section E. Type III Functionally Integrated Supporting Organizations**

<b>1</b> Check the box next to the method that the organization used to satisfy the Integral Part Test during the year (see instructions).			
<b>a</b> <input type="checkbox"/> The organization satisfied the Activities Test. Complete <b>line 2</b> below.			
<b>b</b> <input type="checkbox"/> The organization is the parent of each of its supported organizations. Complete <b>line 3</b> below.			
<b>c</b> <input type="checkbox"/> The organization supported a governmental entity. Describe in <b>Part VI</b> how you supported a government entity (see instructions).			
<b>2</b> Activities Test. Answer (a) and (b) below.			
<b>a</b> Did substantially all of the organization's activities during the tax year directly further the exempt purposes of the supported organization(s) to which the organization was responsive? If "Yes," then in <b>Part VI</b> identify those supported organizations and explain how these activities directly furthered their exempt purposes, how the organization was responsive to those supported organizations, and how the organization determined that these activities constituted substantially all of its activities.			
<b>2a</b>			
<b>b</b> Did the activities described in (a) constitute activities that, but for the organization's involvement, one or more of the organization's supported organization(s) would have been engaged in? If "Yes," explain in <b>Part VI</b> the reasons for the organization's position that its supported organization(s) would have engaged in these activities but for the organization's involvement.			
<b>2b</b>			
<b>3</b> Parent of Supported Organizations. Answer (a) and (b) below.			
<b>a</b> Did the organization have the power to regularly appoint or elect a majority of the officers, directors, or trustees of each of the supported organizations? Provide details in <b>Part VI</b> .			
<b>3a</b>			
<b>b</b> Did the organization exercise a substantial degree of direction over the policies, programs, and activities of each of its supported organizations? If "Yes," describe in <b>Part VI</b> the role played by the organization in this regard.			
<b>3b</b>			

**Part V Type III Non-Functionally Integrated 509(a)(3) Supporting Organizations**

- 1 ☐ Check here if the organization satisfied the Integral Part Test as a qualifying trust on Nov. 20, 1970 (explain in Part VI). **See instructions.** All other Type III non-functionally integrated supporting organizations must complete Sections A through E.

Section A - Adjusted Net Income		(A) Prior Year	(B) Current Year (optional)
1	Net short-term capital gain	1	
2	Recoveries of prior-year distributions	2	
3	Other gross income (see instructions)	3	
4	Add lines 1 through 3.	4	
5	Depreciation and depletion	5	
6	Portion of operating expenses paid or incurred for production or collection of gross income or for management, conservation, or maintenance of property held for production of income (see instructions)	6	
7	Other expenses (see instructions)	7	
8	<b>Adjusted Net Income</b> (subtract lines 5, 6, and 7 from line 4)	8	

Section B - Minimum Asset Amount		(A) Prior Year	(B) Current Year (optional)
1	Aggregate fair market value of all non-exempt-use assets (see instructions for short tax year or assets held for part of year):		
a	Average monthly value of securities	1a	
b	Average monthly cash balances	1b	
c	Fair market value of other non-exempt-use assets	1c	
d	<b>Total</b> (add lines 1a, 1b, and 1c)	1d	
e	<b>Discount</b> claimed for blockage or other factors (explain in detail in <b>Part VI</b> ):		
2	Acquisition indebtedness applicable to non-exempt-use assets	2	
3	Subtract line 2 from line 1d.	3	
4	Cash deemed held for exempt use. Enter 1-1/2% of line 3 (for greater amount, see instructions).	4	
5	Net value of non-exempt-use assets (subtract line 4 from line 3)	5	
6	Multiply line 5 by .035.	6	
7	Recoveries of prior-year distributions	7	
8	<b>Minimum Asset Amount</b> (add line 7 to line 6)	8	

Section C - Distributable Amount			Current Year
1	Adjusted net income for prior year (from Section A, line 8, Column A)	1	
2	Enter 85% of line 1.	2	
3	Minimum asset amount for prior year (from Section B, line 8, Column A)	3	
4	Enter greater of line 2 or line 3.	4	
5	Income tax imposed in prior year	5	
6	<b>Distributable Amount.</b> Subtract line 5 from line 4, unless subject to emergency temporary reduction (see instructions).	6	
7	<input type="checkbox"/> Check here if the current year is the organization's first as a non-functionally integrated Type III supporting organization (see instructions).		

Schedule A (Form 990 or 990-EZ) 2019

**Part V Type III Non-Functionally Integrated 509(a)(3) Supporting Organizations** (continued)

Section D - Distributions	Current Year
<b>1</b> Amounts paid to supported organizations to accomplish exempt purposes	
<b>2</b> Amounts paid to perform activity that directly furthers exempt purposes of supported organizations, in excess of income from activity	
<b>3</b> Administrative expenses paid to accomplish exempt purposes of supported organizations	
<b>4</b> Amounts paid to acquire exempt-use assets	
<b>5</b> Qualified set-aside amounts (prior IRS approval required)	
<b>6</b> Other distributions (describe in <b>Part VI</b> ). See instructions.	
<b>7 Total annual distributions.</b> Add lines 1 through 6.	
<b>8</b> Distributions to attentive supported organizations to which the organization is responsive (provide details in <b>Part VI</b> ). See instructions.	
<b>9</b> Distributable amount for 2019 from Section C, line 6	
<b>10</b> Line 8 amount divided by line 9 amount	

Section E - Distribution Allocations (see instructions)	(i) Excess Distributions	(ii) Underdistributions Pre-2019	(iii) Distributable Amount for 2019
<b>1</b> Distributable amount for 2019 from Section C, line 6			
<b>2</b> Underdistributions, if any, for years prior to 2019 (reasonable cause required- explain in <b>Part VI</b> ). See instructions.			
<b>3</b> Excess distributions carryover, if any, to 2019			
<b>a</b> From 2014			
<b>b</b> From 2015			
<b>c</b> From 2016			
<b>d</b> From 2017			
<b>e</b> From 2018			
<b>f Total</b> of lines 3a through e			
<b>g</b> Applied to underdistributions of prior years			
<b>h</b> Applied to 2019 distributable amount			
<b>i</b> Carryover from 2014 not applied (see instructions)			
<b>j</b> Remainder. Subtract lines 3g, 3h, and 3i from 3f.			
<b>4</b> Distributions for 2019 from Section D, line 7: \$			
<b>a</b> Applied to underdistributions of prior years			
<b>b</b> Applied to 2019 distributable amount			
<b>c</b> Remainder. Subtract lines 4a and 4b from 4.			
<b>5</b> Remaining underdistributions for years prior to 2019, if any. Subtract lines 3g and 4a from line 2. For result greater than zero, explain in <b>Part VI</b> . See instructions.			
<b>6</b> Remaining underdistributions for 2019. Subtract lines 3h and 4b from line 1. For result greater than zero, explain in <b>Part VI</b> . See instructions.			
<b>7 Excess distributions carryover to 2020.</b> Add lines 3j and 4c.			
<b>8</b> Breakdown of line 7:			
<b>a</b> Excess from 2015			
<b>b</b> Excess from 2016			
<b>c</b> Excess from 2017			
<b>d</b> Excess from 2018			
<b>e</b> Excess from 2019			

Schedule A (Form 990 or 990-EZ) 2019

**Part VI** **Supplemental Information.** Provide the explanations required by Part II, line 10; Part II, line 17a or 17b; Part III, line 12; Part IV, Section A, lines 1, 2, 3b, 3c, 4b, 4c, 5a, 6, 9a, 9b, 9c, 11a, 11b, and 11c; Part IV, Section B, lines 1 and 2; Part IV, Section C, line 1; Part IV, Section D, lines 2 and 3; Part IV, Section E, lines 1c, 2a, 2b, 3a, and 3b; Part V, line 1; Part V, Section B, line 1e; Part V, Section D, lines 5, 6, and 8; and Part V, Section E, lines 2, 5, and 6. Also complete this part for any additional information.  
(See instructions.)

**SCHEDULE A, PART II, LINE 10, EXPLANATION FOR OTHER INCOME:****MISCELLANEOUS**

2015 AMOUNT: \$ 17,452.

2016 AMOUNT: \$ 566.

2017 AMOUNT: \$ 0.

2018 AMOUNT: \$ 5,154.

2019 AMOUNT: \$ 0.

## Schedule B

(Form 990, 990-EZ,  
or 990-PF)

Department of the Treasury  
Internal Revenue Service

## Schedule of Contributors

- ▶ Attach to Form 990, Form 990-EZ, or Form 990-PF.  
▶ Go to [www.irs.gov/Form990](http://www.irs.gov/Form990) for the latest information.

OMB No. 1545-0047

# 2019

Name of the organization

OCEANA, INC.

Employer identification number

51-0401308

Organization type (check one):

Filers of:

Section:

Form 990 or 990-EZ

☒ 501(c)( 3 ) (enter number) organization

☐ 4947(a)(1) nonexempt charitable trust **not** treated as a private foundation

☐ 527 political organization

Form 990-PF

☐ 501(c)(3) exempt private foundation

☐ 4947(a)(1) nonexempt charitable trust treated as a private foundation

☐ 501(c)(3) taxable private foundation

Check if your organization is covered by the **General Rule** or a **Special Rule**.

**Note:** Only a section 501(c)(7), (8), or (10) organization can check boxes for both the General Rule and a Special Rule. See instructions.

### General Rule

- ☐ For an organization filing Form 990, 990-EZ, or 990-PF that received, during the year, contributions totaling \$5,000 or more (in money or property) from any one contributor. Complete Parts I and II. See instructions for determining a contributor's total contributions.

### Special Rules

- ☒ For an organization described in section 501(c)(3) filing Form 990 or 990-EZ that met the 33 1/3% support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi), that checked Schedule A (Form 990 or 990-EZ), Part II, line 13, 16a, or 16b, and that received from any one contributor, during the year, total contributions of the greater of **(1)** \$5,000; or **(2)** 2% of the amount on (i) Form 990, Part VIII, line 1h; or (ii) Form 990-EZ, line 1. Complete Parts I and II.

- ☐ For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, total contributions of more than \$1,000 *exclusively* for religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals. Complete Parts I, II, and III.

- ☐ For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions *exclusively* for religious, charitable, etc., purposes, but no such contributions totaled more than \$1,000. If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc., purpose. Don't complete any of the parts unless the **General Rule** applies to this organization because it received *nonexclusively* religious, charitable, etc., contributions totaling \$5,000 or more during the year ..... ▶ \$ \_\_\_\_\_

**Caution:** An organization that isn't covered by the General Rule and/or the Special Rules doesn't file Schedule B (Form 990, 990-EZ, or 990-PF), but it **must** answer "No" on Part IV, line 2, of its Form 990; or check the box on line H of its Form 990-EZ or on its Form 990-PF, Part I, line 2, to certify that it doesn't meet the filing requirements of Schedule B (Form 990, 990-EZ, or 990-PF).

Name of organization

Employer identification number

OCEANA, INC.

51-0401308

**Part I Contributors** (see instructions). Use duplicate copies of Part I if additional space is needed.

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
<u>1</u>		\$ <u>10,000,000.</u>	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
<u>2</u>		\$ <u>4,525,000.</u>	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
<u>3</u>		\$ <u>2,650,000.</u>	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
<u>4</u>		\$ <u>2,250,000.</u>	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
<u>5</u>		\$ <u>788,000.</u>	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
		\$ _____	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)

Name of organization

Employer identification number

OCEANA, INC.

51-0401308

**Part II** **Noncash Property** (see instructions). Use duplicate copies of Part II if additional space is needed.

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions.)	(d) Date received
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	



Name of organization

Employer identification number

**OCEANA, INC.****51-0401308****Part III**

Exclusively religious, charitable, etc., contributions to organizations described in section 501(c)(7), (8), or (10) that total more than \$1,000 for the year from any one contributor. Complete columns (a) through (e) and the following line entry. For organizations completing Part III, enter the total of exclusively religious, charitable, etc., contributions of **\$1,000 or less** for the year. (Enter this info. once.) ► \$ \_\_\_\_\_

Use duplicate copies of Part III if additional space is needed.

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
(e) Transfer of gift			
Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee	
(e) Transfer of gift			
Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee	
(e) Transfer of gift			
Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee	
(e) Transfer of gift			
Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee	

**SCHEDULE C**  
**(Form 990 or 990-EZ)**

Department of the Treasury  
Internal Revenue Service

**Political Campaign and Lobbying Activities**

For Organizations Exempt From Income Tax Under section 501(c) and section 527  
▶ **Complete if the organization is described below.** ▶ **Attach to Form 990 or Form 990-EZ.**  
▶ **Go to [www.irs.gov/Form990](http://www.irs.gov/Form990) for instructions and the latest information.**

OMB No. 1545-0047

**2019**

**Open to Public  
Inspection**

**If the organization answered "Yes," on Form 990, Part IV, line 3, or Form 990-EZ, Part V, line 46 (Political Campaign Activities), then**

- Section 501(c)(3) organizations: Complete Parts I-A and B. Do not complete Part I-C.
- Section 501(c) (other than section 501(c)(3)) organizations: Complete Parts I-A and C below. Do not complete Part I-B.
- Section 527 organizations: Complete Part I-A only.

**If the organization answered "Yes," on Form 990, Part IV, line 4, or Form 990-EZ, Part VI, line 47 (Lobbying Activities), then**

- Section 501(c)(3) organizations that have filed Form 5768 (election under section 501(h)): Complete Part II-A. Do not complete Part II-B.
- Section 501(c)(3) organizations that have NOT filed Form 5768 (election under section 501(h)): Complete Part II-B. Do not complete Part II-A.

**If the organization answered "Yes," on Form 990, Part IV, line 5 (Proxy Tax) (see separate instructions) or Form 990-EZ, Part V, line 35c (Proxy Tax) (see separate instructions), then**

- Section 501(c)(4), (5), or (6) organizations: Complete Part III.

Name of organization

OCEANA, INC.

Employer identification number

51-0401308

**Part I-A Complete if the organization is exempt under section 501(c) or is a section 527 organization.**

- 1 Provide a description of the organization's direct and indirect political campaign activities in Part IV.
- 2 Political campaign activity expenditures ▶ \$
- 3 Volunteer hours for political campaign activities

**Part I-B Complete if the organization is exempt under section 501(c)(3).**

- 1 Enter the amount of any excise tax incurred by the organization under section 4955 ▶ \$
- 2 Enter the amount of any excise tax incurred by organization managers under section 4955 ▶ \$
- 3 If the organization incurred a section 4955 tax, did it file Form 4720 for this year? ☐ Yes ☐ No
- 4a Was a correction made? ☐ Yes ☐ No
- b If "Yes," describe in Part IV.

**Part I-C Complete if the organization is exempt under section 501(c), except section 501(c)(3).**

- 1 Enter the amount directly expended by the filing organization for section 527 exempt function activities ▶ \$
- 2 Enter the amount of the filing organization's funds contributed to other organizations for section 527 exempt function activities ▶ \$
- 3 Total exempt function expenditures. Add lines 1 and 2. Enter here and on Form 1120-POL, line 17b ▶ \$
- 4 Did the filing organization file **Form 1120-POL** for this year? ☐ Yes ☐ No
- 5 Enter the names, addresses and employer identification number (EIN) of all section 527 political organizations to which the filing organization made payments. For each organization listed, enter the amount paid from the filing organization's funds. Also enter the amount of political contributions received that were promptly and directly delivered to a separate political organization, such as a separate segregated fund or a political action committee (PAC). If additional space is needed, provide information in Part IV.

(a) Name	(b) Address	(c) EIN	(d) Amount paid from filing organization's funds. If none, enter -0-.	(e) Amount of political contributions received and promptly and directly delivered to a separate political organization. If none, enter -0-.

For Paperwork Reduction Act Notice, see the Instructions for Form 990 or 990-EZ.

Schedule C (Form 990 or 990-EZ) 2019

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2019.03050 OCEANA, INC.

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**Part II-A** Complete if the organization is exempt under section 501(c)(3) and filed Form 5768 (election under section 501(h)).

**A** Check ☐ if the filing organization belongs to an affiliated group (and list in Part IV each affiliated group member's name, address, EIN, expenses, and share of excess lobbying expenditures).

**B** Check ☐ if the filing organization checked box A and "limited control" provisions apply.

Limits on Lobbying Expenditures (The term "expenditures" means amounts paid or incurred.)		(a) Filing organization's totals	(b) Affiliated group totals
<b>1a</b> Total lobbying expenditures to influence public opinion (grassroots lobbying)		189,454.	
<b>b</b> Total lobbying expenditures to influence a legislative body (direct lobbying)		448,195.	
<b>c</b> Total lobbying expenditures (add lines 1a and 1b)		637,649.	
<b>d</b> Other exempt purpose expenditures		35,117,670.	
<b>e</b> Total exempt purpose expenditures (add lines 1c and 1d)		35,755,319.	
<b>f</b> Lobbying nontaxable amount. Enter the amount from the following table in both columns.		1,000,000.	
<b>If the amount on line 1e, column (a) or (b) is:</b>	<b>The lobbying nontaxable amount is:</b>		
Not over \$500,000	20% of the amount on line 1e.		
Over \$500,000 but not over \$1,000,000	\$100,000 plus 15% of the excess over \$500,000.		
Over \$1,000,000 but not over \$1,500,000	\$175,000 plus 10% of the excess over \$1,000,000.		
Over \$1,500,000 but not over \$17,000,000	\$225,000 plus 5% of the excess over \$1,500,000.		
Over \$17,000,000	\$1,000,000.		
<b>g</b> Grassroots nontaxable amount (enter 25% of line 1f)		250,000.	
<b>h</b> Subtract line 1g from line 1a. If zero or less, enter -0-		0.	
<b>i</b> Subtract line 1f from line 1c. If zero or less, enter -0-		0.	
<b>j</b> If there is an amount other than zero on either line 1h or line 1i, did the organization file Form 4720 reporting section 4911 tax for this year?			<input type="checkbox"/> Yes <input type="checkbox"/> No

**4-Year Averaging Period Under Section 501(h)**

(Some organizations that made a section 501(h) election do not have to complete all of the five columns below.

See the separate instructions for lines 2a through 2f.)

Lobbying Expenditures During 4-Year Averaging Period					
Calendar year (or fiscal year beginning in)	(a) 2016	(b) 2017	(c) 2018	(d) 2019	(e) Total
<b>2a</b> Lobbying nontaxable amount	1,000,000.	1,000,000.	1,000,000.	1,000,000.	4,000,000.
<b>b</b> Lobbying ceiling amount (150% of line 2a, column(e))					6,000,000.
<b>c</b> Total lobbying expenditures	190,211.	271,436.	393,066.	637,649.	1,492,362.
<b>d</b> Grassroots nontaxable amount	250,000.	250,000.	250,000.	250,000.	1,000,000.
<b>e</b> Grassroots ceiling amount (150% of line 2d, column (e))					1,500,000.
<b>f</b> Grassroots lobbying expenditures	74,264.	130,278.	181,155.	189,454.	575,151.

Schedule C (Form 990 or 990-EZ) 2019

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**SCHEDULE D**  
**(Form 990)**Department of the Treasury  
Internal Revenue Service**Supplemental Financial Statements**▶ **Complete if the organization answered "Yes" on Form 990,  
Part IV, line 6, 7, 8, 9, 10, 11a, 11b, 11c, 11d, 11e, 11f, 12a, or 12b.**▶ **Attach to Form 990.**▶ **Go to [www.irs.gov/Form990](http://www.irs.gov/Form990) for instructions and the latest information.**

OMB No. 1545-0047

**2019****Open to Public  
Inspection****Name of the organization**

OCEANA, INC.

**Employer identification number**

51-0401308

**Part I Organizations Maintaining Donor Advised Funds or Other Similar Funds or Accounts.** Complete if the organization answered "Yes" on Form 990, Part IV, line 6.

	(a) Donor advised funds	(b) Funds and other accounts
1 Total number at end of year .....		
2 Aggregate value of contributions to (during year) .....		
3 Aggregate value of grants from (during year) .....		
4 Aggregate value at end of year .....		
5 Did the organization inform all donors and donor advisors in writing that the assets held in donor advised funds are the organization's property, subject to the organization's exclusive legal control? .....	<input type="checkbox"/> Yes	<input type="checkbox"/> No
6 Did the organization inform all grantees, donors, and donor advisors in writing that grant funds can be used only for charitable purposes and not for the benefit of the donor or donor advisor, or for any other purpose conferring impermissible private benefit? .....	<input type="checkbox"/> Yes	<input type="checkbox"/> No

**Part II Conservation Easements.** Complete if the organization answered "Yes" on Form 990, Part IV, line 7.

1 Purpose(s) of conservation easements held by the organization (check all that apply).  
☐ Preservation of land for public use (for example, recreation or education) ☐ Preservation of a historically important land area  
☐ Protection of natural habitat ☐ Preservation of a certified historic structure  
☐ Preservation of open space

2 Complete lines 2a through 2d if the organization held a qualified conservation contribution in the form of a conservation easement on the last day of the tax year.

	Held at the End of the Tax Year
a Total number of conservation easements .....	2a
b Total acreage restricted by conservation easements .....	2b
c Number of conservation easements on a certified historic structure included in (a) .....	2c
d Number of conservation easements included in (c) acquired after 7/25/06, and not on a historic structure listed in the National Register .....	2d

3 Number of conservation easements modified, transferred, released, extinguished, or terminated by the organization during the tax year ▶ .....

4 Number of states where property subject to conservation easement is located ▶ .....

5 Does the organization have a written policy regarding the periodic monitoring, inspection, handling of violations, and enforcement of the conservation easements it holds? .....

☐ Yes ☐ No

6 Staff and volunteer hours devoted to monitoring, inspecting, handling of violations, and enforcing conservation easements during the year ▶ .....

7 Amount of expenses incurred in monitoring, inspecting, handling of violations, and enforcing conservation easements during the year ▶ \$ .....

8 Does each conservation easement reported on line 2(d) above satisfy the requirements of section 170(h)(4)(B)(i) and section 170(h)(4)(B)(ii)? .....

☐ Yes ☐ No

9 In Part XIII, describe how the organization reports conservation easements in its revenue and expense statement and balance sheet, and include, if applicable, the text of the footnote to the organization's financial statements that describes the organization's accounting for conservation easements.

**Part III Organizations Maintaining Collections of Art, Historical Treasures, or Other Similar Assets.**

Complete if the organization answered "Yes" on Form 990, Part IV, line 8.

1a If the organization elected, as permitted under FASB ASC 958, not to report in its revenue statement and balance sheet works of art, historical treasures, or other similar assets held for public exhibition, education, or research in furtherance of public service, provide in Part XIII the text of the footnote to its financial statements that describes these items.

b If the organization elected, as permitted under FASB ASC 958, to report in its revenue statement and balance sheet works of art, historical treasures, or other similar assets held for public exhibition, education, or research in furtherance of public service, provide the following amounts relating to these items:

(i) Revenue included on Form 990, Part VIII, line 1 .....

▶ \$ .....

(ii) Assets included in Form 990, Part X .....

▶ \$ .....

2 If the organization received or held works of art, historical treasures, or other similar assets for financial gain, provide the following amounts required to be reported under FASB ASC 958 relating to these items:

a Revenue included on Form 990, Part VIII, line 1 .....

▶ \$ .....

b Assets included in Form 990, Part X .....

▶ \$ .....

LHA For Paperwork Reduction Act Notice, see the Instructions for Form 990.

Schedule D (Form 990) 2019

932051 10-02-19

**Part III Organizations Maintaining Collections of Art, Historical Treasures, or Other Similar Assets** (continued)

3 Using the organization's acquisition, accession, and other records, check any of the following that make significant use of its collection items (check all that apply):

a ☐ Public exhibition

d ☐ Loan or exchange program

b ☐ Scholarly research

e ☐ Other \_\_\_\_\_

c ☐ Preservation for future generations

4 Provide a description of the organization's collections and explain how they further the organization's exempt purpose in Part XIII.

5 During the year, did the organization solicit or receive donations of art, historical treasures, or other similar assets

to be sold to raise funds rather than to be maintained as part of the organization's collection? ☐ Yes ☐ No

**Part IV Escrow and Custodial Arrangements.** Complete if the organization answered "Yes" on Form 990, Part IV, line 9, or reported an amount on Form 990, Part X, line 21.

1a Is the organization an agent, trustee, custodian or other intermediary for contributions or other assets not included on Form 990, Part X? ☐ Yes ☐ No

b If "Yes," explain the arrangement in Part XIII and complete the following table:

c Beginning balance

d Additions during the year

e Distributions during the year

f Ending balance

	Amount
1c	
1d	
1e	
1f	

2a Did the organization include an amount on Form 990, Part X, line 21, for escrow or custodial account liability? ☐ Yes ☐ No

b If "Yes," explain the arrangement in Part XIII. Check here if the explanation has been provided on Part XIII ☐

**Part V Endowment Funds.** Complete if the organization answered "Yes" on Form 990, Part IV, line 10.

	(a) Current year	(b) Prior year	(c) Two years back	(d) Three years back	(e) Four years back
1a Beginning of year balance					
b Contributions					
c Net investment earnings, gains, and losses					
d Grants or scholarships					
e Other expenditures for facilities and programs					
f Administrative expenses					
g End of year balance					

2 Provide the estimated percentage of the current year end balance (line 1g, column (a)) held as:

a Board designated or quasi-endowment ☐ %

b Permanent endowment ☐ %

c Term endowment ☐ %

The percentages on lines 2a, 2b, and 2c should equal 100%.

3a Are there endowment funds not in the possession of the organization that are held and administered for the organization by:

(i) Unrelated organizations

(ii) Related organizations

	Yes	No
3a(i)		
3a(ii)		
3b		

b If "Yes" on line 3a(ii), are the related organizations listed as required on Schedule R? ☐

4 Describe in Part XIII the intended uses of the organization's endowment funds.

**Part VI Land, Buildings, and Equipment.**

Complete if the organization answered "Yes" on Form 990, Part IV, line 11a. See Form 990, Part X, line 10.

Description of property	(a) Cost or other basis (investment)	(b) Cost or other basis (other)	(c) Accumulated depreciation	(d) Book value
1a Land				
b Buildings				
c Leasehold improvements		2,835,854.	599,195.	2,236,659.
d Equipment		2,792,169.	1,547,381.	1,244,788.
e Other		1,698,632.	1,647,636.	50,996.
<b>Total.</b> Add lines 1a through 1e. (Column (d) must equal Form 990, Part X, column (B), line 10c.)				3,532,443.

Schedule D (Form 990) 2019

**Part VII Investments - Other Securities.**

Complete if the organization answered "Yes" on Form 990, Part IV, line 11b. See Form 990, Part X, line 12.

(a) Description of security or category (including name of security)	(b) Book value	(c) Method of valuation: Cost or end-of-year market value
(1) Financial derivatives .....		
(2) Closely held equity interests .....		
(3) Other .....		
(A) .....		
(B) .....		
(C) .....		
(D) .....		
(E) .....		
(F) .....		
(G) .....		
(H) .....		
<b>Total.</b> (Col. (b) must equal Form 990, Part X, col. (B) line 12.) ▶		

**Part VIII Investments - Program Related.**

Complete if the organization answered "Yes" on Form 990, Part IV, line 11c. See Form 990, Part X, line 13.

(a) Description of investment	(b) Book value	(c) Method of valuation: Cost or end-of-year market value
(1) .....		
(2) .....		
(3) .....		
(4) .....		
(5) .....		
(6) .....		
(7) .....		
(8) .....		
(9) .....		
<b>Total.</b> (Col. (b) must equal Form 990, Part X, col. (B) line 13.) ▶		

**Part IX Other Assets.**

Complete if the organization answered "Yes" on Form 990, Part IV, line 11d. See Form 990, Part X, line 15.

(a) Description	(b) Book value
(1) .....	
(2) .....	
(3) .....	
(4) .....	
(5) .....	
(6) .....	
(7) .....	
(8) .....	
(9) .....	
<b>Total.</b> (Column (b) must equal Form 990, Part X, col. (B) line 15.) ▶	

**Part X Other Liabilities.**

Complete if the organization answered "Yes" on Form 990, Part IV, line 11e or 11f. See Form 990, Part X, line 25.

1. (a) Description of liability	(b) Book value
(1) Federal income taxes	
(2) DEFERRED RENT AND LEASE INCENTIVE	3,936,025.
(3) .....	
(4) .....	
(5) .....	
(6) .....	
(7) .....	
(8) .....	
(9) .....	
<b>Total.</b> (Column (b) must equal Form 990, Part X, col. (B) line 25.) ▶	3,936,025.

2. Liability for uncertain tax positions. In Part XIII, provide the text of the footnote to the organization's financial statements that reports the organization's liability for uncertain tax positions under FASB ASC 740. Check here if the text of the footnote has been provided in Part XIII ... ☒

Schedule D (Form 990) 2019

**Part XI Reconciliation of Revenue per Audited Financial Statements With Revenue per Return.**

Complete if the organization answered "Yes" on Form 990, Part IV, line 12a.

<b>1</b>	Total revenue, gains, and other support per audited financial statements	<b>1</b>	40,688,003.
<b>2</b>	Amounts included on line 1 but not on Form 990, Part VIII, line 12:		
<b>a</b>	Net unrealized gains (losses) on investments	<b>2a</b>	-12,782.
<b>b</b>	Donated services and use of facilities	<b>2b</b>	1,598,334.
<b>c</b>	Recoveries of prior year grants	<b>2c</b>	
<b>d</b>	Other (Describe in Part XIII.)	<b>2d</b>	469,976.
<b>e</b>	Add lines <b>2a</b> through <b>2d</b>	<b>2e</b>	2,055,528.
<b>3</b>	Subtract line <b>2e</b> from line <b>1</b>	<b>3</b>	38,632,475.
<b>4</b>	Amounts included on Form 990, Part VIII, line 12, but not on line 1:		
<b>a</b>	Investment expenses not included on Form 990, Part VIII, line 7b	<b>4a</b>	
<b>b</b>	Other (Describe in Part XIII.)	<b>4b</b>	
<b>c</b>	Add lines <b>4a</b> and <b>4b</b>	<b>4c</b>	0.
<b>5</b>	Total revenue. Add lines <b>3</b> and <b>4c</b> . (This must equal Form 990, Part I, line 12.)	<b>5</b>	38,632,475.

**Part XII Reconciliation of Expenses per Audited Financial Statements With Expenses per Return.**

Complete if the organization answered "Yes" on Form 990, Part IV, line 12a.

<b>1</b>	Total expenses and losses per audited financial statements	<b>1</b>	37,956,041.
<b>2</b>	Amounts included on line 1 but not on Form 990, Part IX, line 25:		
<b>a</b>	Donated services and use of facilities	<b>2a</b>	1,598,334.
<b>b</b>	Prior year adjustments	<b>2b</b>	
<b>c</b>	Other losses	<b>2c</b>	
<b>d</b>	Other (Describe in Part XIII.)	<b>2d</b>	352,508.
<b>e</b>	Add lines <b>2a</b> through <b>2d</b>	<b>2e</b>	1,950,842.
<b>3</b>	Subtract line <b>2e</b> from line <b>1</b>	<b>3</b>	36,005,199.
<b>4</b>	Amounts included on Form 990, Part IX, line 25, but not on line 1:		
<b>a</b>	Investment expenses not included on Form 990, Part VIII, line 7b	<b>4a</b>	
<b>b</b>	Other (Describe in Part XIII.)	<b>4b</b>	
<b>c</b>	Add lines <b>4a</b> and <b>4b</b>	<b>4c</b>	0.
<b>5</b>	Total expenses. Add lines <b>3</b> and <b>4c</b> . (This must equal Form 990, Part I, line 18.)	<b>5</b>	36,005,199.

**Part XIII Supplemental Information.**

Provide the descriptions required for Part II, lines 3, 5, and 9; Part III, lines 1a and 4; Part IV, lines 1b and 2b; Part V, line 4; Part X, line 2; Part XI, lines 2d and 4b; and Part XII, lines 2d and 4b. Also complete this part to provide any additional information.

**PART X, LINE 2:**

THE ORGANIZATION PERFORMED AN EVALUATION OF UNCERTAINTY IN INCOME TAXES FOR THE YEAR ENDED DECEMBER 31, 2019, AND DETERMINED THAT THERE WERE NO MATTERS THAT WOULD REQUIRE RECOGNITION IN THE CONSOLIDATED FINANCIAL STATEMENTS OR THAT MAY HAVE ANY EFFECT ON ITS TAX-EXEMPT STATUS.

**PART XI, LINE 2D - OTHER ADJUSTMENTS:**

SPECIAL EVENTS EXPENSE	352,508.
ACQUISITION OF ASSETS FROM DISSOLVED AFFILIATE	117,468.
TOTAL TO SCHEDULE D, PART XI, LINE 2D	469,976.

**PART XII, LINE 2D - OTHER ADJUSTMENTS:**



352,508.

**SCHEDULE F  
(Form 990)**Department of the Treasury  
Internal Revenue Service**Statement of Activities Outside the United States**

▶ Complete if the organization answered "Yes" on Form 990, Part IV, line 14b, 15, or 16.

▶ Attach to Form 990.

▶ Go to [www.irs.gov/Form990](http://www.irs.gov/Form990) for instructions and the latest information.

OMB No. 1545-0047

**2019**Open to Public  
Inspection

Name of the organization

OCEANA, INC.

Employer identification number

51-0401308

**Part I General Information on Activities Outside the United States.** Complete if the organization answered "Yes" on Form 990, Part IV, line 14b.

**1 For grantmakers.** Does the organization maintain records to substantiate the amount of its grants and other assistance, the grantees' eligibility for the grants or assistance, and the selection criteria used to award the grants or assistance? ..... ☒ **Yes** ☐ **No**

**2 For grantmakers.** Describe in Part V the organization's procedures for monitoring the use of its grants and other assistance outside the United States.

**3 Activities per Region.** (The following Part I, line 3 table can be duplicated if additional space is needed.)

(a) Region	(b) Number of offices in the region	(c) Number of employees, agents, and independent contractors in the region	(d) Activities conducted in the region (by type) (such as, fundraising, program services, investments, grants to recipients located in the region)	(e) If activity listed in (d) is a program service, describe specific type of service(s) in the region	(f) Total expenditures for and investments in the region
CENTRAL AMERICA AND THE CARIBBEAN	1	13	PROGRAM SERVICES	MARINE SCIENCE, POLICY, AND COMMUNICATIONS	638,479.
CENTRAL AMERICA AND THE CARIBBEAN	0		FUNDRAISING		16,039.
EUROPE (INCLUDING ICELAND & GREENLAND)	5	29	PROGRAM SERVICES	MARINE SCIENCE, POLICY, AND COMMUNICATIONS	4,309,580.
EUROPE (INCLUDING ICELAND & GREENLAND)	0	0	GRANTS TO RECIPIENTS LOCATED IN REGION		24,344.
EUROPE (INCLUDING ICELAND & GREENLAND)	0	0	FUNDRAISING		424,159.
NORTH AMERICA - CANADA AND MEXICO, BUT NOT THE UNITED STATES	3	21	PROGRAM SERVICES	MARINE SCIENCE, POLICY, AND COMMUNICATIONS	56,716.
NORTH AMERICA - CANADA AND MEXICO, BUT NOT THE UNITED STATES	0	0	GRANTS TO RECIPIENTS LOCATED IN REGION		375,768.
NORTH AMERICA	0	0	GRANTS TO RECIPIENTS LOCATED IN REGION		25,000.
<b>3 a Subtotal</b> .....	9	63			5,870,085.
<b>b Total from continuation sheets to Part I</b> .....	4	67			7,066,393.
<b>c Totals</b> (add lines 3a and 3b) .....	13	130			12,936,478.

LHA For Paperwork Reduction Act Notice, see the Instructions for Form 990.

Schedule F (Form 990) 2019

**Part I** Continuation of Activities per Region. (Schedule F (Form 990), Part I, line 3)

(a) Region	(b) Number of offices in the region	(c) Number of employees or agents in region	(d) Activities conducted in region (by type) (i.e., fundraising, program services, grants to recipients located in the region)	(e) If activity listed in (d) is a program service, describe specific type of service(s) in region	(f) Total expenditures for region
NORTH AMERICA	0	0	FUNDRAISING		882,306.
SOUTH AMERICA	3	44	PROGRAM SERVICES	MARINE SCIENCE, POLICY, AND COMMUNICATIONS	4,561,682.
SOUTH AMERICA	0	0	FUNDRAISING		23,779.
SOUTH ASIA	1	23	PROGRAM SERVICES	MARINE SCIENCE, POLICY, AND COMMUNICATIONS	1,598,626.
<b>Totals</b> .....	4	67			7,066,393.

**Part II** **Grants and Other Assistance to Organizations or Entities Outside the United States.** Complete if the organization answered "Yes" on Form 990, Part IV, line 15, for any recipient who received more than \$5,000. Part II can be duplicated if additional space is needed.

1 (a) Name of organization	(b) IRS code section and EIN (if applicable)	(c) Region	(d) Purpose of grant	(e) Amount of cash grant	(f) Manner of cash disbursement	(g) Amount of noncash assistance	(h) Description of noncash assistance	(i) Method of valuation (book, FMV, appraisal, other)
		NORTH AMERICA - CANADA AND MEXICO, BUT NOT THE UNITED STATES	TO SUPPORT OCEANA CANADA'S MISSION TO RESTORE CANADIAN OCEANS.	375,768.	WIRE AND IN-KIND CONTRIBUTIONS	0.		
		EUROPE (INCLUDING ICELAND & GREENLAND)	FOR BIODIVERSITY, HOT SPOTS AND RECOVERING FISHSTOCKS (SUBCONTRACTS)	24,344.		0.	DONATION OF 32 TRACKERS FOR FISHING VESSELS	COST

2 Enter total number of recipient organizations listed above that are recognized as charities by the foreign country, recognized as tax-exempt by the IRS, or for which the grantee or counsel has provided a section 501(c)(3) equivalency letter

2

3 Enter total number of other organizations or entities

1

Part III can be duplicated if additional space is needed.

Schedule F (Form 990) 2019

**Part IV Foreign Forms**

- 1** Was the organization a U.S. transferor of property to a foreign corporation during the tax year? *If "Yes," the organization may be required to file Form 926, Return by a U.S. Transferor of Property to a Foreign Corporation (see Instructions for Form 926)* ..... ☐ Yes ☒ No
- 2** Did the organization have an interest in a foreign trust during the tax year? *If "Yes," the organization may be required to separately file Form 3520, Annual Return To Report Transactions With Foreign Trusts and Receipt of Certain Foreign Gifts, and/or Form 3520-A, Annual Information Return of Foreign Trust With a U.S. Owner (see Instructions for Forms 3520 and 3520-A; don't file with Form 990)* ..... ☐ Yes ☒ No
- 3** Did the organization have an ownership interest in a foreign corporation during the tax year? *If "Yes," the organization may be required to file Form 5471, Information Return of U.S. Persons With Respect to Certain Foreign Corporations (see Instructions for Form 5471)* ..... ☐ Yes ☒ No
- 4** Was the organization a direct or indirect shareholder of a passive foreign investment company or a qualified electing fund during the tax year? *If "Yes," the organization may be required to file Form 8621, Information Return by a Shareholder of a Passive Foreign Investment Company or Qualified Electing Fund (see Instructions for Form 8621)* ..... ☐ Yes ☒ No
- 5** Did the organization have an ownership interest in a foreign partnership during the tax year? *If "Yes," the organization may be required to file Form 8865, Return of U.S. Persons With Respect to Certain Foreign Partnerships (see Instructions for Form 8865)* ..... ☐ Yes ☒ No
- 6** Did the organization have any operations in or related to any boycotting countries during the tax year? *If "Yes," the organization may be required to separately file Form 5713, International Boycott Report (see Instructions for Form 5713; don't file with Form 990)* ..... ☒ Yes ☐ No

Schedule F (Form 990) 2019

**Part V** Supplemental Information

Provide the information required by Part I, line 2 (monitoring of funds); Part I, line 3, column (f) (accounting method; amounts of investments vs. expenditures per region); Part II, line 1 (accounting method); Part III (accounting method); and Part III, column (c) (estimated number of recipients), as applicable. Also complete this part to provide any additional information. See instructions.

**PART I, LINE 2:**

OCEANA INFREQUENTLY MAKES GRANTS TO FOREIGN ORGANIZATIONS OR INDIVIDUALS. HOWEVER, ON OCCASION OCEANA WILL MAKE A GRANT IN FURTHERANCE OF ITS MISSION. IN DOING SO, OCEANA MONITORS THE USE OF THE GRANT IN A MANNER APPROPRIATE UNDER THE CIRCUMSTANCES, INCLUDING THE NATURE OF THE GRANTEE AND THE PURPOSE OF THE GRANT.

**PART I, LINE 3:**

OCEANA REPORTED THE EXPENDITURES BASED ON THE ACCOUNTING METHOD USED IN ITS AUDITED FINANCIAL STATEMENTS WHICH IS ON AN ACCRUAL BASIS.





**Part II Fundraising Events.** Complete if the organization answered "Yes" on Form 990, Part IV, line 18, or reported more than \$15,000 of fundraising event contributions and gross income on Form 990-EZ, lines 1 and 6b. List events with gross receipts greater than \$5,000.

		(a) Event #1	(b) Event #2	(c) Other events	(d) Total events (add col. (a) through col. (c))
		SEACHANGE (event type)	NEW YORK CITY BENEFIT (event type)	2 (total number)	
Revenue	1 Gross receipts .....	1,453,375.	1,890,221.	926,029.	4,269,625.
	2 Less: Contributions .....	1,308,237.	1,805,221.	782,205.	3,895,663.
	3 Gross income (line 1 minus line 2) .....	145,138.	85,000.	143,824.	373,962.
Direct Expenses	4 Cash prizes .....				
	5 Noncash prizes .....				
	6 Rent/facility costs .....		108,004.	80,977.	188,981.
	7 Food and beverages .....	80,805.	4,000.	32,384.	117,189.
	8 Entertainment .....	2,250.	2,500.	3,703.	8,453.
	9 Other direct expenses .....	17,712.	2,666.	17,507.	37,885.
	10 Direct expense summary. Add lines 4 through 9 in column (d) .....				352,508.
11 Net income summary. Subtract line 10 from line 3, column (d) .....				21,454.	

**Part III Gaming.** Complete if the organization answered "Yes" on Form 990, Part IV, line 19, or reported more than \$15,000 on Form 990-EZ, line 6a.

		(a) Bingo	(b) Pull tabs/instant bingo/progressive bingo	(c) Other gaming	(d) Total gaming (add col. (a) through col. (c))
Revenue	1 Gross revenue .....				
Direct Expenses	2 Cash prizes .....				
	3 Noncash prizes .....				
	4 Rent/facility costs .....				
	5 Other direct expenses .....				
	6 Volunteer labor .....	<input type="checkbox"/> Yes _____ % <input type="checkbox"/> No	<input type="checkbox"/> Yes _____ % <input type="checkbox"/> No	<input type="checkbox"/> Yes _____ % <input type="checkbox"/> No	
	7 Direct expense summary. Add lines 2 through 5 in column (d) .....				
	8 Net gaming income summary. Subtract line 7 from line 1, column (d) .....				

9 Enter the state(s) in which the organization conducts gaming activities: \_\_\_\_\_

a Is the organization licensed to conduct gaming activities in each of these states? ☐ Yes ☐ No

b If "No," explain: \_\_\_\_\_

10a Were any of the organization's gaming licenses revoked, suspended, or terminated during the tax year? ☐ Yes ☐ No

b If "Yes," explain: \_\_\_\_\_

- 11** Does the organization conduct gaming activities with nonmembers? ☐ Yes ☐ No
- 12** Is the organization a grantor, beneficiary or trustee of a trust, or a member of a partnership or other entity formed to administer charitable gaming? ☐ Yes ☐ No
- 13** Indicate the percentage of gaming activity conducted in:
- |                                      |            |   |
|--------------------------------------|------------|---|
| <b>a</b> The organization's facility | <b>13a</b> | % |
| <b>b</b> An outside facility         | <b>13b</b> | % |
- 14** Enter the name and address of the person who prepares the organization's gaming/special events books and records:

Name ► \_\_\_\_\_

Address ► \_\_\_\_\_

- 15a** Does the organization have a contract with a third party from whom the organization receives gaming revenue? ☐ Yes ☐ No

**b** If "Yes," enter the amount of gaming revenue received by the organization ► \$ \_\_\_\_\_ and the amount of gaming revenue retained by the third party ► \$ \_\_\_\_\_

**c** If "Yes," enter name and address of the third party:

Name ► \_\_\_\_\_

Address ► \_\_\_\_\_

- 16** Gaming manager information:

Name ► \_\_\_\_\_

Gaming manager compensation ► \$ \_\_\_\_\_

Description of services provided ► \_\_\_\_\_

☐ Director/officer ☐ Employee ☐ Independent contractor

- 17** Mandatory distributions:

**a** Is the organization required under state law to make charitable distributions from the gaming proceeds to retain the state gaming license? ☐ Yes ☐ No

**b** Enter the amount of distributions required under state law to be distributed to other exempt organizations or spent in the organization's own exempt activities during the tax year ► \$ \_\_\_\_\_

**Part IV Supplemental Information.** Provide the explanations required by Part I, line 2b, columns (iii) and (v); and Part III, lines 9, 9b, 10b, 15b, 15c, 16, and 17b, as applicable. Also provide any additional information. See instructions.

**SCHEDULE G, PART I, LINE 2B, LIST OF TEN HIGHEST PAID FUNDRAISERS:**

(I) NAME OF FUNDRAISER: THE HOLMAN GROUP, LLC

(I) ADDRESS OF FUNDRAISER:

1854 NORTH DOHENY DRIVE, WEST HOLLYWOOD, CA 90069

(I) NAME OF FUNDRAISER: CHARITY BUZZ

(I) ADDRESS OF FUNDRAISER:

437 FIFTH AVENUE, 11TH FLOOR, NEW YORK, NY 10016

**Part IV** Supplemental Information (continued)

(I) NAME OF FUNDRAISER: M + R STRATEGIC SERVICES, INC.

(I) ADDRESS OF FUNDRAISER:

1901 L STREET, NW, SUITE 800, WASHINGTON, DC 20036

PART I, LINE 2B, COLUMN III

CHARITY BUZZ COLLECTED AND PROCESSED THE WINNING AUCTION BID PAYMENTS  
FOR OCEANA'S FUNDRAISING EVENT, SEACHANGE.

PART I, LINE 2B, COLUMN (V)

DURING THE YEAR ENDED DECEMBER 31, 2019, M&R STRATEGIC SERVICES, INC.

WAS COMPENSATED A TOTAL OF \$229,843. OF THIS AMOUNT, \$217,651 WAS

RELATED TO PROFESSIONAL FUNDRAISING CONSULTING. M&R STRATEGIC SERVICES,

INC. ALSO PROVIDED DIGITAL ADVERTISING AND AD BUYING.

**SCHEDULE I**  
**(Form 990)**

Department of the Treasury  
Internal Revenue Service

**Grants and Other Assistance to Organizations,  
Governments, and Individuals in the United States**  
Complete if the organization answered "Yes" on Form 990, Part IV, line 21 or 22.

▶ **Attach to Form 990.**

▶ **Go to [www.irs.gov/Form990](http://www.irs.gov/Form990) for the latest information.**

OMB No. 1545-0047

**2019**

**Open to Public  
Inspection**

Name of the organization

**OCEANA, INC.**

**Employer identification number**

**51-0401308**

**Part I General Information on Grants and Assistance**

**1** Does the organization maintain records to substantiate the amount of the grants or assistance, the grantees' eligibility for the grants or assistance, and the selection criteria used to award the grants or assistance? .....

☒ **Yes** ☐ **No**

**2** Describe in Part IV the organization's procedures for monitoring the use of grant funds in the United States.

**Part II Grants and Other Assistance to Domestic Organizations and Domestic Governments.** Complete if the organization answered "Yes" on Form 990, Part IV, line 21, for any recipient that received more than \$5,000. Part II can be duplicated if additional space is needed.

<b>1 (a)</b> Name and address of organization or government	<b>(b)</b> EIN	<b>(c)</b> IRC section (if applicable)	<b>(d)</b> Amount of cash grant	<b>(e)</b> Amount of non-cash assistance	<b>(f)</b> Method of valuation (book, FMV, appraisal, other)	<b>(g)</b> Description of noncash assistance	<b>(h)</b> Purpose of grant or assistance
ROCKEFELLER PHILANTHROPY ADVISORS, INC. - 6 W. 48TH STREET, 10TH FLOOR - NEW YORK, NY 10036	13-3615533	501(C)(3)	267,847.	0.			TO SUPPORT THE OUTLAW OCEAN'S PROJECT OF "OCEAN JOURNALISM THAT CAPTURES ATTENTION AND DRIVES
SILVERLAKE CONSERVATORY OF MUSIC 4652 HOLLYWOOD BOULEVARD LOS ANGELES, CA 90027	27-0030546	501(C)(3)	100,000.	0.			TO SHARE A PORTION OF THE FUNDS RAISED FROM OCEANA'S ROCK UNDER THE STARS EVENT ON OCTOBER
SURF INDUSTRY MANUFACTURERS ASSOCIATION (SIMA) - 27068 LA PAZ ROAD, SUITE 570 - ALISO VIEJO, CA 92656	33-0385201	501(C)(6)	30,000.	0.			TO HELP LOCAL ECOLOGICAL AND ENVIRONMENTAL ORGANIZATIONS WHOSE EFFORTS ARE FOCUSED ON
PLASTIC POLLUTION COALITION 2150 ALLSTON WAY, SUITE 460 BERKELEY, CA 94704	94-2889684	501(C)(3)	25,000.	0.			TO SHARE A PORTION OF THE FUNDS RAISED FROM OCEANA'S SEACHANGE EVENT.

**2** Enter total number of section 501(c)(3) and government organizations listed in the line 1 table ..... **3.**

**3** Enter total number of other organizations listed in the line 1 table ..... **1.**

LHA **For Paperwork Reduction Act Notice, see the Instructions for Form 990.**

**Schedule I (Form 990) (2019)**

**SEE PART IV FOR COLUMN (H) DESCRIPTIONS**

**Part III** **Grants and Other Assistance to Domestic Individuals.** Complete if the organization answered "Yes" on Form 990, Part IV, line 22.  
Part III can be duplicated if additional space is needed.

(a) Type of grant or assistance	(b) Number of recipients	(c) Amount of cash grant	(d) Amount of non-cash assistance	(e) Method of valuation (book, FMV, appraisal, other)	(f) Description of noncash assistance

**Part IV** **Supplemental Information.** Provide the information required in Part I, line 2; Part III, column (b); and any other additional information.

**PART I, LINE 2:**

OCEANA INFREQUENTLY MAKES GRANTS TO ORGANIZATIONS OR INDIVIDUALS. HOWEVER,  
ON OCCASION OCEANA WILL MAKE A GRANT IN FURTHERANCE OF ITS MISSION. IN  
DOING SO, OCEANA MONITORS THE USE OF THE GRANT IN A MANNER APPROPRIATE  
UNDER THE CIRCUMSTANCES, INCLUDING THE NATURE OF THE GRANTEE AND THE  
PURPOSE OF THE GRANT.

**PART II, LINE 1, COLUMN (H):**

**NAME OF ORGANIZATION OR GOVERNMENT:**

**Part IV** Supplemental Information

ROCKEFELLER PHILANTHROPY ADVISORS, INC.

(H) PURPOSE OF GRANT OR ASSISTANCE: TO SUPPORT THE OUTLAW OCEAN'S  
PROJECT OF "OCEAN JOURNALISM THAT CAPTURES ATTENTION AND DRIVES CHANGE"

NAME OF ORGANIZATION OR GOVERNMENT: SILVERLAKE CONSERVATORY OF MUSIC

(H) PURPOSE OF GRANT OR ASSISTANCE: TO SHARE A PORTION OF THE FUNDS  
RAISED FROM OCEANA'S ROCK UNDER THE STARS EVENT ON OCTOBER 12, 2019.

NAME OF ORGANIZATION OR GOVERNMENT:

SURF INDUSTRY MANUFACTURERS ASSOCIATION (SIMA)

(H) PURPOSE OF GRANT OR ASSISTANCE: TO HELP LOCAL ECOLOGICAL AND  
ENVIRONMENTAL ORGANIZATIONS WHOSE EFFORTS ARE FOCUSED ON ENHANCING THE  
OCEANIC ENVIRONMENT.

**SCHEDULE J  
(Form 990)**

Department of the Treasury  
Internal Revenue Service

**Compensation Information**

- For certain Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees
- ▶ **Complete if the organization answered "Yes" on Form 990, Part IV, line 23.**
- ▶ **Attach to Form 990.**
- ▶ **Go to [www.irs.gov/Form990](http://www.irs.gov/Form990) for instructions and the latest information.**

OMB No. 1545-0047

**2019**

Open to Public  
Inspection

Name of the organization

OCEANA, INC.

Employer identification number

51-0401308

**Part I Questions Regarding Compensation**

	Yes	No
<b>1a</b> Check the appropriate box(es) if the organization provided any of the following to or for a person listed on Form 990, Part VII, Section A, line 1a. Complete Part III to provide any relevant information regarding these items.		
<input type="checkbox"/> First-class or charter travel		
<input type="checkbox"/> Travel for companions		
<input type="checkbox"/> Tax indemnification and gross-up payments		
<input type="checkbox"/> Discretionary spending account		
<input type="checkbox"/> Housing allowance or residence for personal use		
<input type="checkbox"/> Payments for business use of personal residence		
<input type="checkbox"/> Health or social club dues or initiation fees		
<input type="checkbox"/> Personal services (such as maid, chauffeur, chef)		
<b>b</b> If any of the boxes on line 1a are checked, did the organization follow a written policy regarding payment or reimbursement or provision of all of the expenses described above? If "No," complete Part III to explain	<b>1b</b>	
<b>2</b> Did the organization require substantiation prior to reimbursing or allowing expenses incurred by all directors, trustees, and officers, including the CEO/Executive Director, regarding the items checked on line 1a?	<b>2</b>	
<b>3</b> Indicate which, if any, of the following the organization used to establish the compensation of the organization's CEO/Executive Director. Check all that apply. Do not check any boxes for methods used by a related organization to establish compensation of the CEO/Executive Director, but explain in Part III.		
<input checked="" type="checkbox"/> Compensation committee		
<input type="checkbox"/> Independent compensation consultant		
<input checked="" type="checkbox"/> Form 990 of other organizations		
<input type="checkbox"/> Written employment contract		
<input checked="" type="checkbox"/> Compensation survey or study		
<input checked="" type="checkbox"/> Approval by the board or compensation committee		
<b>4</b> During the year, did any person listed on Form 990, Part VII, Section A, line 1a, with respect to the filing organization or a related organization:		
<b>a</b> Receive a severance payment or change-of-control payment?	<b>4a</b>	<b>X</b>
<b>b</b> Participate in, or receive payment from, a supplemental nonqualified retirement plan?	<b>4b</b>	<b>X</b>
<b>c</b> Participate in, or receive payment from, an equity-based compensation arrangement?	<b>4c</b>	<b>X</b>
If "Yes" to any of lines 4a-c, list the persons and provide the applicable amounts for each item in Part III.		
<b>Only section 501(c)(3), 501(c)(4), and 501(c)(29) organizations must complete lines 5-9.</b>		
<b>5</b> For persons listed on Form 990, Part VII, Section A, line 1a, did the organization pay or accrue any compensation contingent on the revenues of:		
<b>a</b> The organization?	<b>5a</b>	<b>X</b>
<b>b</b> Any related organization?	<b>5b</b>	<b>X</b>
If "Yes" on line 5a or 5b, describe in Part III.		
<b>6</b> For persons listed on Form 990, Part VII, Section A, line 1a, did the organization pay or accrue any compensation contingent on the net earnings of:		
<b>a</b> The organization?	<b>6a</b>	<b>X</b>
<b>b</b> Any related organization?	<b>6b</b>	<b>X</b>
If "Yes" on line 6a or 6b, describe in Part III.		
<b>7</b> For persons listed on Form 990, Part VII, Section A, line 1a, did the organization provide any nonfixed payments not described on lines 5 and 6? If "Yes," describe in Part III	<b>7</b>	<b>X</b>
<b>8</b> Were any amounts reported on Form 990, Part VII, paid or accrued pursuant to a contract that was subject to the initial contract exception described in Regulations section 53.4958-4(a)(3)? If "Yes," describe in Part III	<b>8</b>	<b>X</b>
<b>9</b> If "Yes" on line 8, did the organization also follow the rebuttable presumption procedure described in Regulations section 53.4958-6(c)?	<b>9</b>	

LHA For Paperwork Reduction Act Notice, see the Instructions for Form 990.

Schedule J (Form 990) 2019

**Part II Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees.** Use duplicate copies if additional space is needed.

For each individual whose compensation must be reported on Schedule J, report compensation from the organization on row (i) and from related organizations, described in the instructions, on row (ii). Do not list any individuals that aren't listed on Form 990, Part VII.

**Note:** The sum of columns (B)(i)-(iii) for each listed individual must equal the total amount of Form 990, Part VII, Section A, line 1a, applicable column (D) and (E) amounts for that individual.

(A) Name and Title		(B) Breakdown of W-2 and/or 1099-MISC compensation			(C) Retirement and other deferred compensation	(D) Nontaxable benefits	(E) Total of columns (B)(i)-(D)	(F) Compensation in column (B) reported as deferred on prior Form 990
		(i) Base compensation	(ii) Bonus & incentive compensation	(iii) Other reportable compensation				
(1) ANDREW F. SHARPLESS CHIEF EXECUTIVE OFFICER	(i)	429,918.	0.	0.	33,600.	9,709.	473,227.	0.
	(ii)	0.	0.	0.	0.	0.	0.	0.
(2) JAMES F. SIMON PRESIDENT & GENERAL COUNSEL	(i)	345,809.	0.	0.	32,675.	13,092.	391,576.	0.
	(ii)	0.	0.	0.	0.	0.	0.	0.
(3) CHRISTOPHER M. SHARKEY CHIEF FINANCIAL OFFICER	(i)	259,827.	0.	0.	27,923.	7,514.	295,264.	0.
	(ii)	0.	0.	0.	0.	0.	0.	0.
(4) JACQUELINE SAVITZ SVP, UNITED STATES	(i)	247,165.	0.	0.	27,310.	5,662.	280,137.	0.
	(ii)	0.	0.	0.	0.	0.	0.	0.
(5) NANCY GOLDEN VICE PRESIDENT OF DEVELOPMENT	(i)	230,492.	0.	0.	27,720.	2,884.	261,096.	0.
	(ii)	0.	0.	0.	0.	0.	0.	0.
(6) PASCALE MOEHRLE EXECUTIVE DIRECTOR, EUROPE	(i)	205,797.	0.	0.	0.	0.	205,797.	0.
	(ii)	0.	0.	0.	0.	0.	0.	0.
(7) MATTHEW M. LITTLEJOHN SVP, STRATEGIC MKTG & COMMUNICATIONS	(i)	231,972.	0.	0.	28,536.	7,376.	267,884.	0.
	(ii)	0.	0.	0.	0.	0.	0.	0.
(8) MICHAEL F. HIRSHFIELD CHIEF SCIENTIST & STRATEGY OFFICER	(i)	224,546.	0.	0.	24,330.	2,807.	251,683.	0.
	(ii)	0.	0.	0.	0.	0.	0.	0.
(9) KATHY WHELPLEY SR DIRECTOR, INSTITUTIONAL GIVING	(i)	206,392.	0.	0.	25,718.	7,267.	239,377.	0.
	(ii)	0.	0.	0.	0.	0.	0.	0.
(10) SUSAN MURRAY DEPUTY VP, PACIFIC	(i)	180,215.	0.	0.	21,811.	6,171.	208,197.	0.
	(ii)	0.	0.	0.	0.	0.	0.	0.
(11) ERIC BILSKY SR. ATTORNEY/ASST. GENERAL COUNSEL	(i)	171,178.	0.	0.	20,929.	4,757.	196,864.	0.
	(ii)	0.	0.	0.	0.	0.	0.	0.
	(i)							
	(ii)							
	(i)							
	(ii)							
	(i)							
	(ii)							
	(i)							
	(ii)							



<b>Part III</b>	<b>Supplemental Information</b>
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Provide the information, explanation, or descriptions required for Part I, lines 1a, 1b, 3, 4a, 4b, 4c, 5a, 5b, 6a, 6b, 7, and 8, and for Part II. Also complete this part for any additional information.

[illegible]

**SCHEDULE L**  
**(Form 990 or 990-EZ)**

Department of the Treasury  
Internal Revenue Service

**Transactions With Interested Persons**

▶ **Complete if the organization answered "Yes" on Form 990, Part IV, line 25a, 25b, 26, 27, 28a, 28b, or 28c, or Form 990-EZ, Part V, line 38a or 40b.**

▶ **Attach to Form 990 or Form 990-EZ.**

▶ **Go to [www.irs.gov/Form990](http://www.irs.gov/Form990) for instructions and the latest information.**

OMB No. 1545-0047

**2019**

**Open To Public  
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OCEANA, INC.

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**Part I Excess Benefit Transactions** (section 501(c)(3), section 501(c)(4), and section 501(c)(29) organizations only).

Complete if the organization answered "Yes" on Form 990, Part IV, line 25a or 25b, or Form 990-EZ, Part V, line 40b.

1 (a) Name of disqualified person	(b) Relationship between disqualified person and organization	(c) Description of transaction	(d) Corrected?	
			Yes	No

2 Enter the amount of tax incurred by the organization managers or disqualified persons during the year under section 4958 ..... ▶ \$

3 Enter the amount of tax, if any, on line 2, above, reimbursed by the organization ..... ▶ \$

**Part II Loans to and/or From Interested Persons.**

Complete if the organization answered "Yes" on Form 990-EZ, Part V, line 38a or Form 990, Part IV, line 26; or if the organization reported an amount on Form 990, Part X, line 5, 6, or 22.

(a) Name of interested person	(b) Relationship with organization	(c) Purpose of loan	(d) Loan to or from the organization?		(e) Original principal amount	(f) Balance due	(g) In default?		(h) Approved by board or committee?		(i) Written agreement?	
			To	From			Yes	No	Yes	No	Yes	No

Total ..... ▶ \$

**Part III Grants or Assistance Benefiting Interested Persons.**

Complete if the organization answered "Yes" on Form 990, Part IV, line 27.

(a) Name of interested person	(b) Relationship between interested person and the organization	(c) Amount of assistance	(d) Type of assistance	(e) Purpose of assistance

LHA For Paperwork Reduction Act Notice, see the Instructions for Form 990 or 990-EZ.

Schedule L (Form 990 or 990-EZ) 2019

**Part IV Business Transactions Involving Interested Persons.**

Complete if the organization answered "Yes" on Form 990, Part IV, line 28a, 28b, or 28c.

(a) Name of interested person	(b) Relationship between interested person and the organization	(c) Amount of transaction	(d) Description of transaction	(e) Sharing of organization's revenues?	
				Yes	No
SARAH BEDOLFE	SARAH IS THE DAUGHT	60,423.	SARAH L. BE		X
SUSAN SIDAMON-ERISTOFF	SUSAN IS THE DAUGHT	41,602.	SUSAN SIDAM		X

**Part V Supplemental Information.**

Provide additional information for responses to questions on Schedule L (see instructions).

SCH L, PART IV, BUSINESS TRANSACTIONS INVOLVING INTERESTED PERSONS:

(A) NAME OF PERSON: SARAH BEDOLFE

(B) RELATIONSHIP BETWEEN INTERESTED PERSON AND ORGANIZATION:

SARAH IS THE DAUGHTER OF BOARD DIRECTOR, HERBERT M. BEDOLFE, III

(D) DESCRIPTION OF TRANSACTION: SARAH L. BEDOLFE IS AN EMPLOYEE OF

OCEANA AND HER TOTAL COMPENSATION PAID FOR THE YEAR ENDED DECEMBER 31,

2019 WAS \$60,423.

(A) NAME OF PERSON: SUSAN SIDAMON-ERISTOFF

(B) RELATIONSHIP BETWEEN INTERESTED PERSON AND ORGANIZATION:

SUSAN IS THE DAUGHTER OF BOARD DIRECTOR, SIMON SIDAMON-ERISTOFF

(D) DESCRIPTION OF TRANSACTION: SUSAN SIDAMON-ERISTOFF IS AN EMPLOYEE OF

OCEANA AND HER TOTAL COMPENSATION PAID FOR THE YEAR ENDED DECEMBER 31,

2019 WAS \$41,602.

**SCHEDULE M  
(Form 990)**

Department of the Treasury  
Internal Revenue Service

**Noncash Contributions**

OMB No. 1545-0047

**2019**

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- ▶ **Complete if the organizations answered "Yes" on Form 990, Part IV, lines 29 or 30.**  
▶ **Attach to Form 990.**  
▶ **Go to [www.irs.gov/Form990](http://www.irs.gov/Form990) for instructions and the latest information.**

Name of the organization

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**Part I Types of Property**

	(a) Check if applicable	(b) Number of contributions or items contributed	(c) Noncash contribution amounts reported on Form 990, Part VIII, line 1g	(d) Method of determining noncash contribution amounts
1 Art - Works of art .....				
2 Art - Historical treasures .....				
3 Art - Fractional interests .....				
4 Books and publications .....				
5 Clothing and household goods .....				
6 Cars and other vehicles .....				
7 Boats and planes .....				
8 Intellectual property .....				
9 Securities - Publicly traded .....	X	4,725	246,231.	FAIR MARKET VALUE
10 Securities - Closely held stock .....				
11 Securities - Partnership, LLC, or trust interests .....	X	1	528,552.	FAIR MARKET VALUE
12 Securities - Miscellaneous .....				
13 Qualified conservation contribution - Historic structures .....				
14 Qualified conservation contribution - Other ...				
15 Real estate - Residential .....				
16 Real estate - Commercial .....				
17 Real estate - Other .....				
18 Collectibles .....				
19 Food inventory .....				
20 Drugs and medical supplies .....				
21 Taxidermy .....				
22 Historical artifacts .....				
23 Scientific specimens .....				
24 Archeological artifacts .....				
25 Other ▶ ( DONATED AUCTION )	X	139	1,252,801.	FAIR MARKET VALUE
26 Other ▶ ( HDMI PROJECTOR )	X	1	1,712.	SALES PRICE
27 Other ▶ ( )				
28 Other ▶ ( )				

29 Number of Forms 8283 received by the organization during the tax year for contributions  
for which the organization completed Form 8283, Part IV, Donee Acknowledgement .....

29

30a During the year, did the organization receive by contribution any property reported in Part I, lines 1 through 28, that it  
must hold for at least three years from the date of the initial contribution, and which isn't required to be used for  
exempt purposes for the entire holding period? .....

b If "Yes," describe the arrangement in Part II.

31 Does the organization have a gift acceptance policy that requires the review of any nonstandard contributions? .....

32a Does the organization hire or use third parties or related organizations to solicit, process, or sell noncash  
contributions? .....

b If "Yes," describe in Part II.

33 If the organization didn't report an amount in column (c) for a type of property for which column (a) is checked,  
describe in Part II.

	Yes	No
30a		X
31	X	
32a	X	
33		

LHA For Paperwork Reduction Act Notice, see the Instructions for Form 990.

Schedule M (Form 990) 2019

**Part II**

**Supplemental Information.** Provide the information required by Part I, lines 30b, 32b, and 33, and whether the organization is reporting in Part I, column (b), the number of contributions, the number of items received, or a combination of both. Also complete this part for any additional information.

SCHEDULE M, PART I, COLUMN (B):

OCEANA REPORTS THE NUMBER OF ITEMS CONTRIBUTED IN PART I, COLUMN (B).

SCHEDULE M, LINE 32B:

CHARITY BUZZ SOLICITED, COLLECTED, AND PROCESSED NON-CASH DONATIONS  
RELATED TO OCEANA'S FUNDRAISING EVENTS.

**SCHEDULE O**  
**(Form 990 or 990-EZ)**

Department of the Treasury  
Internal Revenue Service

**Supplemental Information to Form 990 or 990-EZ**

Complete to provide information for responses to specific questions on  
Form 990 or 990-EZ or to provide any additional information.

▶ Attach to Form 990 or 990-EZ.

▶ Go to [www.irs.gov/Form990](http://www.irs.gov/Form990) for the latest information.

OMB No. 1545-0047

**2019**

Open to Public  
Inspection

Name of the organization

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FORM 990, PART I, LINE 1, DESCRIPTION OF ORGANIZATION MISSION:

RETURN THE OCEANS TO THEIR FORMER ABUNDANCE.

FORM 990, PART III, LINE 1, DESCRIPTION OF ORGANIZATION'S MISSION:

OCEANA WAS FOUNDED IN 2001 BY AN INTERNATIONAL GROUP OF FOUNDATIONS.

DESPITE REPEATED SCIENTIFIC REPORTS OF WIDESPREAD FISHERY COLLAPSE

CAUSED BY OVERFISHING AND POLLUTION, THE FOUNDERS DISCOVERED THAT

LEADING ENVIRONMENTAL FOUNDATIONS SPENT LESS THAN HALF OF ONE PERCENT

OF THEIR RESOURCES ON OCEAN CONSERVATION. HEALTHY OCEANS CONTRIBUTE

SIGNIFICANTLY TO FEEDING A GROWING WORLD POPULATION AND TO MITIGATING

THE EFFECTS OF CLIMATE CHANGE, YET NO INTERNATIONAL ORGANIZATION WAS

WORKING EXCLUSIVELY TO PROTECT AND RESTORE ABUNDANT OCEAN FISHERIES.

OCEANA'S FOUNDERS ENVISIONED AN ORGANIZATION DEDICATED SOLELY TO

ACHIEVING SIGNIFICANT IMPROVEMENTS IN OCEAN MANAGEMENT POLICIES THROUGH

A SCIENCE-BASED APPROACH, USING CAREFULLY CHOSEN NATIONAL CAMPAIGNS

WITH FIXED DEADLINES AND MEASURABLE GOALS.

TODAY, OCEANA HAS GROWN FROM AN AMBITIOUS START-UP TO AN INTERNATIONAL

ORGANIZATION WITH A RECORD OF RESULTS ON FOUR CONTINENTS. TOGETHER WITH

OUR ALLIES, WE HAVE WON NEARLY 200 SIGNIFICANT POLICY VICTORIES AND

PROTECTED ALMOST 9.1 MILLION SQUARE KILOMETERS OF OCEANS. OCEANA

SUPPORTS SCIENCE-DRIVEN OCEAN MANAGEMENT IN THE MOST PRODUCTIVE PARTS

OF THE WORLD'S OCEANS, WITH TEAMS WORKING IN COUNTRIES WHICH CONTROL

ABOUT A THIRD OF THE WORLD'S WILD OCEAN FISHERIES (BY WEIGHT): THE

UNITED STATES, THE EUROPEAN UNION, THE UNITED KINGDOM, BELIZE, BRAZIL,

CANADA, CHILE, MEXICO, PERU AND THE PHILIPPINES.

LHA For Paperwork Reduction Act Notice, see the Instructions for Form 990 or 990-EZ.

Schedule O (Form 990 or 990-EZ) (2019)

932211 09-06-19

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OCEANA'S CAMPAIGNS CARRY OUT FOUR KEY STRATEGIES:

-STOP OVERFISHING THROUGH SCIENCE-BASED FISHERY MANAGEMENT, AND BY  
DETECTING ILLEGAL FISHING;

-REDUCE BYCATCH, OR THE UNINTENDED CATCH OF FISH AND MARINE ANIMALS;

-PROTECT HABITAT AND THE ECOSYSTEMS THAT DEPEND ON THEIR HEALTH, AND

-CURB POLLUTION, BY STOPPING THE EXPANSION OF OFFSHORE OIL DRILLING AND  
REDUCING THE PRODUCTION OF SINGLE-USE PLASTICS.

OCEANA'S CAMPAIGNS HAVE DEMONSTRATED THE EFFECTIVENESS OF THESE  
STRATEGIES FOR RESTORING OCEANS. WITH SOUND POLICIES IN PLACE, OCEAN  
ECOSYSTEMS RECOVER, OFTEN RAPIDLY, AND ABUNDANT FISHERIES RETURN, EVEN  
EXCEEDING FORMER LEVELS. A FULLY PRODUCTIVE OCEAN CAN PROVIDE A MEAL A  
DAY FOR A BILLION PEOPLE, FOREVER. TOGETHER WITH OUR ALLIES, WE ARE  
SAVING THE OCEANS TO FEED THE WORLD.

FORM 990, PART III, LINE 4A, PROGRAM SERVICE ACCOMPLISHMENTS:

WE BELIEVE THE BAN CAN BE ENACTED AND COME INTO FORCE IN 2020. THE BAN  
CAN BE ENACTED BY STATUTORY INSTRUMENT (SI), WHICH IS LESS TIME  
CONSUMING THAN PRESENTING A BILL IN THE HOUSE OF REPRESENTATIVES. AN SI  
CARRIES THE SAME LEGAL WEIGHT AS A LEGISLATION PASSED BY THE HOUSE.

OCEANA WILL SUPPORT THE TRANSITION PROCESS BY FOCUSING OUR  
COMMUNICATIONS ON IMPLEMENTATION OF THE BAN.

FORM 990, PART III, LINE 4A, PROGRAM SERVICE ACCOMPLISHMENTS, CON'T:

IN ADDITION, WE ARE WORKING TO DEVELOP AN EXPANDED MARKET FOR

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SUSTAINABLY CAUGHT FISH (WITHOUT GILLNETS) THROUGH EXPANSION OF THE FISH RIGHT, EAT RIGHT PROGRAM. OUR ONGOING WORK ON THIS INITIATIVE WILL HELP TO ENSURE THAT THE BAN WILL BE ENFORCEABLE. IN 2019, WE WERE SUCCESSFUL IN OUR APPLICATION FOR A PILOT PROJECT TO BE IMPLEMENTED IN SUPPORT OF FISH RIGHT EAT RIGHT. FUNDED BY THE INTER-AMERICAN DEVELOPMENT BANK, THE PILOT WILL NOT ONLY IDENTIFY THE BEST DIGITAL PLATFORM FOR FISHERS TO SELL SEAFOOD, IT WILL ESTABLISH THE FIRST BASELINE DATA ON HOW MUCH FINFISH AND OTHER SEAFOOD IS BEING CONSUMED NATIONALLY THROUGH THE DOMESTIC MARKET AND VIA THE TOURISM SECTOR. THIS DATA WILL PROVIDE INVALUABLE INSIGHT INTO SEAFOOD EXTRACTION. CURRENTLY, BELIZE ONLY RECORDS THE SEAFOOD BEING EXPORTED FROM BELIZE, AND EVEN THAT DATA HAS BEEN TRADITIONALLY LIMITED TO LOBSTER AND CONCH.

SIMULTANEOUSLY, OUR WORK WITH THE BELIZE COAST GUARD CONTINUES TO DEMONSTRATE OUR ACKNOWLEDGMENT THAT ALL LAWS REQUIRE ENFORCEMENT. OUR CONTRIBUTION OF A VESSEL TO THE COAST GUARD'S SEA GOING FLEET BOLSTERED THE ARGUMENT THAT THE COAST GUARD WILL HAVE THE CAPABILITY TO ENFORCE THE GILLNET BAN AND ENHANCED THE EFFECTIVENESS OF THEIR OPERATIONS AGAINST ILLEGAL FISHING ACTIVITIES.

#### REDUCE SINGLE USE PLASTICS

DESPITE CONTINUED WORK ON THE LEGISLATION ON THE BAN OF SINGLE USE PLASTICS IN THE FOOD SECTOR, BELIZE FAILED TO MEET ITS SELF-IMPOSED DEADLINE OF APRIL 2019. OCEANA WAS FORCED TO STRONGLY OBJECT TO THE DRAFT LEGISLATION THAT WAS PRESENTED IN THE SUMMER OF 2019.

THROUGH OUR ONGOING ROLE AS THE CO-CHAIR OF THE COMMUNICATIONS AND PUBLIC AWARENESS WORKING GROUP, WE CONTINUED TO INCREASE THE PUBLIC'S



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SUPPORT FOR THE BAN OF SINGLE USE, DISPOSABLE PLASTIC, AND STYROFOAM PRODUCTS WITHIN THE FOOD SECTOR. AT YEAREND, IT APPEARED THE GOVERNMENT WAS CLOSE TO TAKING ACTION.

WE HAVE ALSO DETERMINED THAT MOVING FORWARD, WE WILL HAVE TO INCREASE OUR ENGAGEMENT WITH THE MINISTRY OF TRADE TO ENSURE THAT APPROPRIATE WORK IS BEING DONE TO ADJUST THE RELEVANT TARIFFS AND FEES TO ALLOW REASONABLE COSTS TO IMPORT/PRODUCE ENVIRONMENTALLY FRIENDLY FOOD CONTAINERS AND UTENSILS. WE THEREFORE CONTINUE TO WORK ON GETTING INCREASED PRIORITY FOR THE SINGLE USE BAN, BY CHAMPIONING THE FOOD VENDORS WHO ARE USING ENVIRONMENTALLY FRIENDLY ALTERNATIVES AND PRACTICES AHEAD OF THE LEGAL CHANGES.

BRAZIL

DESPITE PRESIDENT BOLSONARO'S AGGRESSIVE ATTACK ON ENVIRONMENTAL PROTECTIONS AND HIS EFFORT TO DISCREDIT SCIENTIFIC RESEARCH AND CIVIL SOCIETY ORGANIZATIONS THROUGHOUT BRAZIL, OCEANA WAS ABLE TO ACHIEVE PROGRESS IN BRAZIL DURING 2019. WE ARE A CREDIBLE AND IMPACTFUL VOICE FOR OCEAN CONSERVATION.

BAN BOTTOM TRAWLING IN THE STATE OF RIO GRANDE DO SUL

IN JULY 2019, THE FISHING INDUSTRY OF SANTA CATARINA STATE COMMENCED A STRONG POLITICAL EFFORT TO REPEAL LAW 15223/2018, WHICH BANNED BOTTOM TRAWLING WITHIN 12 MILES OFF THE COAST OF RIO GRANDE DO SUL. BACKED BY EXPLICIT SUPPORT FROM PRESIDENT BOLSONARO, THEY FILED A CHALLENGE CLAIMING THE LAW WAS UNCONSTITUTIONAL IN THE FEDERAL SUPREME COURT. THE PLAINTIFFS ASKED FOR THE LAW TO BE SUSPENDED PENDING A FINAL DECISION REGARDING ITS CONSTITUTIONALITY. THIS WOULD HAVE ALLOWED BOTTOM

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TRAWLING TO RESTART IMMEDIATELY. THE INDUSTRY'S POLITICAL EFFORT PEAKED IN AUGUST WHEN STRONG ATTACKS WERE MADE DIRECTLY AGAINST OCEANA ON SOCIAL MEDIA AND IN PROTESTS IN BRASILIA.

TO COUNTERACT THESE ATTEMPTS TO REPEAL THE LAW, OCEANA WORKED ON THREE SEPARATE FRONTS. FIRST, WE ORGANIZED A GROUP OF RIO GRANDE DO SUL FISHERS WHO VISITED 13 DEPUTIES AND 3 SENATORS FROM VARIOUS POLITICAL PARTIES WHO ALL EXPRESSED UNCONDITIONAL SUPPORT FOR THE LAW. DEPUTY HENRIQUE FONTANA (FROM RIO GRANDE DO SUL) MADE A SPEECH EXPLICITLY DEFENDING THE LAW IN ONE OF THE FEW TIMES IN HISTORY THAT FISHERIES AND FISHERIES MANAGEMENT WERE MENTIONED IN THE TRIBUNE OF THE CONGRESS. WE ALSO ORGANIZED A MEETING WITH SUPREME COURT JUSTICE CELSO DE MELLO WITH ARTISANAL AND INDUSTRIAL FISHERMEN FROM RIO GRANDE DO SUL AS WELL AS STATE DEPUTIES.

IN THE SECOND FRONT, WE ORGANIZED THE RIO GRANDE DO SUL FISHING SECTOR, FOCUSING 30 ARTISANAL AND INDUSTRIAL FISHING LEADERS IN THAT STATE. THE GOAL FOR THIS GRASSROOTS EFFORT IS TO FORCE GOVERNOR EDUARDO LEITE TO PUBLISH A STATE DECREE ADDRESSING PARTS OF THE LAW THAT NEED SPECIFIC REGULATIONS SUCH AS THE STATE FUND FOR FISHERIES AND AQUACULTURE. IN ADDITION, FISHERS AND EXPERTS WILL DEVELOP A FISHERY MONITORING PROGRAM FOR THE STATE SO AS TO DEMONSTRATE THAT RIO GRANDE DO SUL'S SUSTAINABLE FISHERIES POLICY IS NOT RESTRICTED TO THE BAN ON TRAWLING. THIS WILL STRENGTHEN OUR DEFENSE OF THE LAW AGAINST THE CONSTITUTIONAL CHALLENGE.

FINALLY, WE CONDUCTED TWO TECHNICAL STUDIES TO PROVIDE DIRECT SUPPORT TO THE RIO GRANDE DO SUL STATE GOVERNMENT IN DEFENDING THE BAN: THE FIRST STUDY CONSIDERS THE LEGAL ANALYSIS OF THE CONSTITUTIONALITY OF

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LOCAL LAW IN FURTHER DETAIL, WHILE THE SECOND STUDY BROADENS THE ASSESSMENT OF THE IMPACTS CAUSED BY BOTTOM TRAWLING IN THE REGION. BOTH WILL BE USED BY ORGANIZATIONS THAT JOINED AS AMICUS CURIAE IN DEFENDING THE LAW IN THE SUPREME COURT.

#### IMPLEMENTING CATCH LIMITS FOR COMMERCIAL FISHERIES

OCEANA DID NOT GAIN ACCESS TO DATA FOR A DETAILED STOCK ASSESSMENT OF SNAPPER (LUTJANUS PURPUREUS). TO ADDRESS THIS PROBLEM, WE ESTIMATED TOTAL ALLOWABLE CATCH (TAC) USING DATA-LIMITED METHODS, WITH VERY SATISFACTORY RESULTS. ACCORDING TO OUR ASSESSMENT, ANNUAL CATCH LIMITS SHOULDN'T EXCEED 4,500 MT. THIS IS BELOW THE HISTORICAL CATCHES THAT HAVE REMAINED STABLE VARYING BETWEEN 5,000-6,000 MT. WITH THE TERMINATION OF FISHERIES MANAGEMENT COUNCILS (FMCS), THESE STUDIES WILL BE VALIDATED IN TWO WAYS: IN A WORKSHOP WITH EXPERTS AND BY PUBLISHING AN ARTICLE IN A SCIENTIFIC JOURNAL.

IN THE CASE OF LOBSTER (PANULIRUS ARGUS AND P. LAEVICAUDA), WE COMPLETED TWO FULL STOCK ASSESSMENTS. OUR FOCUS HAS BEEN TO SUPPORT THE APPROVAL OF A QUOTA PROPOSAL THAT WAS ALREADY UNDER DISCUSSION BUT FACING SOME RESISTANCE FROM ARTISANAL FISHERS. TO OVERCOME THIS RESISTANCE, OCEANA HELD THREE MEETINGS WITH ABOUT 100 LEADERS OF TRADITIONAL FISHING COMMUNITIES FROM NORTHEASTERN BRAZIL TO EXPLAIN HOW QUOTA MANAGEMENT WORKS AND ITS IMPORTANCE IN REBUILDING LOBSTER STOCKS. TO DATE, FISHERMEN SEEM INCLINED TO SUPPORT OCEANA'S PROPOSAL.

FOR SARDINES, THE THIRD STOCK STUDIED BY OCEANA, WE HAVE ALSO BASED OUR ASSESSMENT ON DATA-LIMITED METHODS. THESE DATA-LIMITED MODELS HAVE PRODUCED INCONSISTENT AND HIGHLY VARIABLE TAC VALUES DUE TO THE

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VARIABILITY OF SARDINE CATCH. CURRENTLY THE SARDINE CATCH IS AT ITS LOWEST HISTORICAL LEVEL, DRIVEN BY OVERCAPACITY IN THE PURSE SEINE FLEET. WE WILL WORK IN 2020 TO FURTHER DOCUMENT THE PROBLEM AND PROPOSE A PLAN FOR MANAGING THE PURSE SEINE FLEET.

#### TRANSPARENCY AND SCIENCE-BASED DECISIONS ON FISHERIES

THE FISHERIES MANAGEMENT COUNCILS IN BRAZIL WERE TERMINATED ON JUNE 28, 2019. ALTHOUGH THE FISHERIES SECRETARIAT COMMITTED TO REINSTATING THEM, IT DID NOT, AND DECISION-MAKING OCCURRED AGAIN WITHOUT CIVIL SOCIETY PARTICIPATION. THIS UNDOED OUR EARLIER SUCCESS, WHICH INCLUDED PERSUADING THE FISHERIES SECRETARIAT TO INCREASE TRANSPARENCY IN ITS DECISIONS BY PUBLISHING ALL MINUTES OF PELAGIC FISHERIES MANAGEMENT COUNCIL MEETINGS ON ITS WEBSITE. THE SAME SECRETARIAT, THROUGH OCEANA'S COMMUNICATION CHANNELS, STREAMED SOME FMC MEETINGS LIVE, AND THE GOVERNMENT FORMALLY COMMITTED TO ADOPTING THE PRACTICE FOR ALL OTHER MEETINGS.

#### IMPROVING FISHERIES MONITORING

AS A RESULT OF OUR CAMPAIGNING TO PUSH THE FISHING SECTOR AND OTHERS TO FORMALLY REQUEST ONLINE LOGBOOKS, THE GOVERNMENT FORMALLY COMMITTED TO CREATING AND IMPLEMENTING IN THE NEAR FUTURE A SYSTEM FOR ABOUT 3,500 FISHING VESSELS OF THE BRAZILIAN FLEET. CURRENTLY, PAPER-BASED SYSTEMS ARE BEING USED, WHICH LIMIT THE AVAILABILITY OF DATA FOR SCIENCE-BASED FISHERIES MANAGEMENT. OCEANA IS SEEKING TO MODERNIZE THE TOOL THROUGH AN ELECTRONIC SYSTEM.

WE FIRST PERSUADED THE BRAZILIAN SOCIETY OF ICHTHYOLOGY TO FORMALLY RECOMMEND TO THE GOVERNMENT THE IMPLEMENTATION OF AN ELECTRONIC TOOL.

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WE ALSO GENERATED SUPPORT FROM IMPORTANT ARTISANAL AND INDUSTRIAL FISHING SYNDICATES AND ASSOCIATIONS THAT SENT SUPPORTIVE LETTERS TO THE GOVERNMENT AND WE GOT THE TUNA FISHERIES MANAGEMENT COUNCIL TO ACCEPT OUR PROPOSAL TO ESTABLISH ONLINE LOGBOOKS FOR THE ENTIRE TUNA FISHING FLEET.

THESE STEPS ENCOURAGED THE GOVERNMENT TO MOVE FORWARD WITH USING AN ELECTRONIC SYSTEM, BASED ON OUR TAINHOMETER FROM 2018, TO MONITOR THE MULLET INDUSTRIAL FLEET IN 2019. A FINAL INDICATION OF GOVERNMENT SUPPORT WAS THE INCLUSION OF A NEW FULLY COMPUTERIZED LOGBOOK SYSTEM IN THE GOALS OF THE SECRETARIAT OF FISHERIES FOR THE YEAR AHEAD.

FORM 990, PART III, LINE 4A, PROGRAM SERVICE ACCOMPLISHMENTS, CON'T:

PROTECT ABROLHOS CORAL REEF BANK FROM OIL DRILLING

ABROLHOS IS A LARGE CORAL REEF BANK LOCATED IN SOUTHERN BAHIA,

NORTHEAST REGION OF BRAZIL. IT IS AN AREA OF GREAT ECOLOGICAL

IMPORTANCE, HOSTING THE LARGEST MARINE BIODIVERSITY IN SOUTH ATLANTIC

AND SEVERAL ENDEMIC SPECIES. IT IS ALSO IMPORTANT AS A BREEDING GROUND

FOR HUMPBACK WHALES THAT ARE SEEN IN THE REGION EVERY YEAR. TOURISM AND

FISHERIES PLAY AN IMPORTANT ROLE IN THE ECONOMY FOR THE SMALL

SURROUNDING COMMUNITIES.

IN APRIL, THE PRESIDENT OF THE BRAZILIAN INSTITUTE OF ENVIRONMENT AND RENEWABLE NATURAL RESOURCES (IBAMA) AUTHORIZED THE AUCTIONING OF SEVEN BLOCKS TO EXPLOIT IN THE CAMAMU-ALMADA AND JACUPE BASINS, BOTH DANGEROUSLY CLOSE TO ABROLHOS MARINE PARK. THIS DECISION WAS CONTRARY TO RECOMMENDATIONS FROM HIS OWN TECHNICAL STAFF. IN RESPONSE, OCEANA AND OUR PARTNER NGOS CREATED THE "ABROLHOS CONNECTION", A COALITION

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WHOSE MISSION WAS TO PREVENT SALE OF THESE BLOCKS.

WITH THESE ALLIES, WE MOUNTED A COMMUNICATIONS CAMPAIGN WARNING OF THE IMPACTS OF A POSSIBLE OIL SPILL NEAR THIS SANCTUARY. POLITICIANS, CELEBRITIES, AND THE GENERAL PUBLIC GOT OUR MESSAGE. ACTIONS TO CONVINCE THE WORLD'S LARGEST OIL COMPANIES TO PREVENT AN ECOLOGICAL DISASTER INCLUDED A PETITION WITH MORE THAN 1.1 MILLION SIGNATURES DELIVERED TO THE BRAZILIAN CONGRESS. IN SEPTEMBER, STATE AND FEDERAL PROSECUTORS FILED A PUBLIC CIVIL LAWSUIT AGAINST THE LEASING PROCESS. THE COURT DECIDED THAT THESE BLOCKS COULD BE AUCTIONED BUT THAT OPERATING LICENSES FOR DRILLING SHOULD NOT BE GRANTED WITHOUT AN EXTENSIVE AND CONCLUSIVE TECHNICAL STUDY.

AS A RESULT OF THIS PUBLIC REACTION AND THE COURT CASE, NO COMPANY BID FOR THE SEVEN BLOCKS OF THE CAMAMU-ALMADA AND JACUPE BASINS IN THE AUCTION, WHICH INCLUDE MORE THAN 8,800 KM2 OF CORAL REEFS.

OCEANA CANADA

IN 2019, OCEANA INC. PROVIDED CHARITABLE CONTRIBUTIONS AND IN-KIND SUPPORT TO OCEANA CANADA, AN INDEPENDENT NONPROFIT ORGANIZATION INCORPORATED UNDER CANADIAN LAW. WITH OUR SUPPORT, OCEANA CANADA ACHIEVED THE FOLLOWING VICTORIES:

REFORM CANADA'S FISHERIES ACT

A MODERNIZED FISHERIES ACT (BILL C-68) BECAME LAW IN JUNE 2019. DUE TO OCEANA'S CAMPAIGNING, FOR THE FIRST TIME IN THE ACT'S HISTORY, THE MINISTER OF FISHERIES IS REQUIRED TO CREATE REBUILDING PLANS FOR DEPLETED FISH POPULATIONS. ADDITIONALLY, THE GOVERNMENT HAS COMMITTED

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MORE THAN \$100 MILLION OVER FIVE YEARS TO ASSESS AND REBUILD FISH STOCKS. THIS BRINGS CANADA INTO THE GROUP OF NATIONS WITH MODERN FISHERIES LAWS AND SHOULD LEAD TO AN HISTORIC TURNING POINT IN THE HEALTH OF CANADIAN FISHERIES. THE INTENT OF THE NEW LAW IS CLEAR. NOW WE MUST ENSURE THAT REGULATIONS DRAFTED TO SUPPORT THE LAW MAINTAIN THE SAME LEVEL OF AMBITION. THESE REGULATIONS ARE UNDER DEVELOPMENT AND EXPECTED TO BE RELEASED FOR PUBLIC CONSULTATION IN EARLY 2020. OCEANA HAS PROVIDED RECOMMENDATIONS ON THE NEW REGULATIONS AND WILL ADVOCATE THAT THEY MUST INCLUDE ABUNDANCE TARGETS AND TIMELINES FOR REBUILDING TO BE SUCCESSFUL.

OCEANA SUCCESSFULLY SECURED A BAN ON THE IMPORT AND EXPORT OF SHARK FINS IN THE FISHERIES ACT MAKING CANADA THE FIRST COUNTRY IN THE G20 TO INCLUDE SUCH A BAN WHICH CAME INTO EFFECT ON JUNE 21, 2019.

#### REBUILD CANADA'S FISHERIES

OCEANA WAS SUCCESSFUL IN SECURING ELECTION PLATFORM COMMITMENTS TO REBUILD CANADA'S FISHERIES IN THE LIBERAL, NEW DEMOCRATIC PARTY AND CONSERVATIVE PARTY PLATFORMS.

THE LEGISLATIVE AND REGULATORY FRAMEWORK NEEDED TO ESTABLISH THE PRACTICE OF REBUILDING PLANS IS ALMOST IN PLACE. THE CREATION OF REBUILDING PLANS IS MANDATED IN LAW, THE GOVERNMENT HAS COMMITTED SUBSTANTIAL FINANCIAL RESOURCES (OVER \$100 MILLION CAD) TO REBUILDING AND STOCK ASSESSMENT, A PROGRESSIVE POLICY FRAMEWORK EXISTS, AND THE DEVELOPMENT OF REBUILDING REGULATIONS IS UNDERWAY. HOWEVER, PROGRESS ON DRAFTING AND IMPLEMENTING REBUILDING PLANS REMAINS SLOW. AS OF NOVEMBER, THE GOVERNMENT RELEASED FOUR REBUILDING PLANS IN 2019. THE

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REBUILDING PLAN FOR NORTHERN COD HAS BEEN DELAYED ONCE AGAIN.

ADDITIONALLY, THE QUALITY OF THESE PLANS DOES NOT MEET INTERNATIONALLY ACCEPTED BEST PRACTICES. OUR STRATEGY IS TO KEEP POLITICAL PRESSURE ON THE DEPARTMENT THROUGH THE MINISTER'S OFFICE (INCLUDING PRESSURE FROM OTHER POLITICAL PARTIES).

IN NOVEMBER OCEANA RELEASED THE THIRD ANNUAL FISHERY AUDIT ASSESSING THE CURRENT STATE OF CANADA'S FISHERIES, MEASURING PROGRESS OVER THE PAST YEAR, AND PROVIDING RECOMMENDATIONS ON HOW THE DFO CAN RESTORE ABUNDANCE TO CANADA'S OCEANS. UNFORTUNATELY, IN 2019 THE PERCENTAGE OF HEALTHY ZONE MARINE FISH STOCKS DROPPED TO 29.4 PERCENT (FROM 34 PERCENT LAST YEAR (57 RATHER THAN 66 OUT OF 194 STOCKS)) AND THE NUMBER OF STOCKS IN THE CRITICAL ZONE HAS INCREASED TO 17 PERCENT (FROM 13.3 PERCENT LAST YEAR (33 RATHER THAN 26 STOCKS)).

PROTECTING OCEAN HABITAT IN CANADA

THROUGH THE EFFORTS OF OCEANA AND OTHER ORGANIZATIONS, AS THE GOVERNMENT ANNOUNCED EARLIER THIS YEAR THAT ALMOST 14 PERCENT OF CANADA'S OCEANS ARE NOW PROTECTED THROUGH MPAS (OR INTERIM MEASURES).

IN ADDITION, THE NEWLY ELECTED GOVERNMENT HAS MADE A COMMITMENT TO PROTECT 25 PERCENT OF CANADA'S OCEANS BY 2025.

THE GOVERNMENT HAS ANNOUNCED THAT DRAFT REGULATIONS FOR THE 140,000 KM2 PACIFIC OFFSHORE MPA WILL BE COMPLETE IN SPRING 2020. WE WILL CONTINUE TO WORK WITH DFO, FIRST NATIONS, ACADEMIA, INDUSTRY, AND NGOS TO ENSURE REGULATIONS ARE COMPLETED IN 2020, WITH SUFFICIENT PROTECTION STANDARDS.



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IN AUGUST 2019, OCEANA CANADA AND THE NUNATSIAVUT GOVERNMENT (CANADA'S ONLY SELF-DETERMINED REGIONAL INUIT GOVERNMENT) COMPLETED A JOINT EXPEDITION TO EXPLORE THE CULTURALLY AND ECOLOGICALLY SIGNIFICANT COASTAL HABITATS OF NUNATSIAVUT (NORTHERN LABRADOR) AND GATHER RELEVANT DATA TO INFORM THE DEVELOPMENT OF AN INDIGENOUS PROTECTED AREA (IPA) AS PART OF THE IMAPPIVUT (INUIT FOR "OUR OCEANS") INITIATIVE. THE REGION IS A VERY PRODUCTIVE AREA WITH IMPORTANT SOFT CORALS, TUBE DWELLING ANEMONES AND SEA LILIES. THE STUDY SITES ARE SIGNIFICANT TO THE LABRADOR INUIT AS IMPORTANT SITES FOR TRADITIONAL, ECONOMIC, AND SOCIAL GATHERING AREAS THAT HOLD PERSONAL AND COMMUNITY VALUE FOR FOOD SECURITY, CULTURE, AND SPIRITUAL PRACTICES.

#### STOP SEAFOOD FRAUD IN CANADA

DUE TO A NEWLY ELECTED LIBERAL MINORITY GOVERNMENT SUPPORTED BY THE NEW DEMOCRATIC PARTY WE ARE OPTIMISTIC THAT, FOR THE FIRST TIME, WE CAN MAKE PROGRESS IN SECURING BOAT-TO-PLATE TRACEABILITY IN CANADA THROUGH THE CREATION OF A MULTI-DEPARTMENT TASK FORCE IN 2020. HOWEVER, IT IS UNLIKELY THAT A FULL BOAT-TO-PLATE TRACEABILITY SCHEME WILL BE IN PLACE BY THE END OF THE YEAR AS THAT WILL NEED ADDITIONAL TIME TO BE APPROVED BY THE PRIME MINISTER'S OFFICE, GAIN BUDGET AND CABINET APPROVALS AND SECURE ANY NECESSARY CHANGES TO LEGISLATION OR REGULATIONS.

#### PROTECT NORTH ATLANTIC RIGHT WHALES

IN SEPTEMBER 2019 OCEANA RELEASED A BINATIONAL REPORT ON RIGHT WHALES IN CANADA AND THE UNITED STATES, AS WELL AS A CANADA-SPECIFIC REPORT, AND FOLLOWED UP WITH MEETINGS WITH SENIOR GOVERNMENT OFFICIALS. OUR MEDIA OUTREACH RESULTED IN 269 CANADIAN MEDIA HITS AND SIGNIFICANT SOCIAL MEDIA ENGAGEMENT.

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IN SPRING 2019, THE CANADIAN GOVERNMENT ANNOUNCED FISHERIES CLOSURES AND VESSEL SPEED RESTRICTION ZONES TO PROTECT RIGHT WHALES.

IN SUMMER 2019, NINE NORTH ATLANTIC RIGHT WHALES WERE FOUND DEAD IN CANADIAN WATERS INDICATING THAT STRONGER PROTECTION MEASURES ARE NEEDED IN THE GULF OF ST. LAWRENCE. WE ARE ADVOCATING FOR EXPANDED MEASURES IN 2020 INCLUDING EXPANDING THE SPEED RESTRICTION ZONES TO THE EASTERN GULF OF ST. LAWRENCE (CABOT STRAIT), THROUGH DIRECT MEETINGS WITH GOVERNMENT OFFICIALS, COORDINATING NGO GROUPS, AND OUTREACH TO FISHING AND SHIPPING INDUSTRY GROUPS. WE ARE WORKING WITH GLOBAL FISHING WATCH, UTILIZING DATA FROM THE NEW "VESSEL TRACKER" PLATFORM TO BUILD THE CASE FOR AN EXPANDED SPEED RESTRICTION ZONE.

#### CHILE

CHILE'S STABILITY HAS BEEN RATTLED BY PROTESTS ORIGINALLY SPARKED BY GRIEVANCES OVER LIVING COSTS AND ECONOMIC INEQUALITY. IN WEEKS OF DEMONSTRATIONS, THERE HAVE BEEN OUTBREAKS OF LOOTING AND ARSON. AS OF THIS WRITING MORE THAN 7,000 PEOPLE HAVE BEEN DETAINED AND 20 PEOPLE KILLED. CHILE IS ONE OF LATIN AMERICA'S WEALTHIEST COUNTRIES BUT ALSO ONE OF ITS MOST UNEQUAL, WITH THE WORST LEVELS OF INCOME EQUALITY AMONG THE 36 MEMBER NATIONS OF THE ORGANIZATION FOR ECONOMIC CO-OPERATION AND DEVELOPMENT (OECD).

WITH RESPECT TO THE GENERAL ISSUE OF INEQUALITY IN CHILE, IT IS WORTH NOTING THAT IN MANY OF OCEANA'S CAMPAIGNS, OUR CHIEF ALLIES HAVE BEEN LOCAL COMMUNITIES AND ARTISANAL FISHERS, AND THAT THE RESULTS OF OUR FISHERIES, HABITAT, AND POLLUTION CAMPAIGNS HAVE SERVED TO PROTECT

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THEIR LIVELIHOODS.

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IN 2019, WE ACHIEVED SEVERAL VICTORIES IN CHILE:

CONGRESS PASSED A LAW TO DETER AND PUNISH ILLEGAL FISHING.

CHILE HAS MADE ALL DATA FROM ITS VESSEL MONITORING SYSTEM AVAILABLE ON  
GLOBAL FISHING WATCH.THE SOUTH PACIFIC REGIONAL FISHERIES MANAGEMENT ORGANIZATION KEPT ONE  
OF THE WORLD'S LARGEST TRANSSHIPPING "REEFER" SHIPS ON THE ILLEGAL,  
UNREPORTED, AND UNREGULATED (IUU) FISHING BLACKLIST.THE ONLY OPERATION DUMPING MINE TAILINGS IN THE OCEAN WILL SOON  
TERMINATE OPERATION.ANTIBIOTIC USE IN SALMON FARMS PER UNIT OF FARMED SALMON DECREASED BY  
50 PERCENT BELOW ITS RATE IN 2012.

HABITAT PROTECTION

FOR THE FIRST TIME, CHILE'S NATIONAL BUDGET FOR 2019 INCLUDED A LINE  
ITEM FOR THE ADMINISTRATION OF MARINE PROTECTED AREAS AND BUDGETED  
\$400,000. THIS WAS THE RESULT OF OCEANA'S WORK TO ENSURE THAT MPAS ARE  
SUCCESSFULLY MANAGED AND FULFILL THEIR PROMISE FOR CONSERVATION AND  
COMMUNITIES. WE CONTINUE TO ADVOCATE WITH NATIONAL POLICYMAKERS FOR  
ADDITIONAL FUNDING FOR THIS LINE ITEM.JUAN FERNANDEZ ISLANDS: OUR STRONG RELATIONSHIPS WITHIN THE FISHING  
COMMUNITY OF JUAN FERNANDEZ ARE ADVANCING THE MANAGEMENT PLANNING FOR  
THEIR MPA AND ALSO NATIONAL COMMUNICATIONS THAT PROMOTE THE AREA. WE  
WORKED WITH FISHERS IN JUAN FERNANDEZ TO ADDRESS SEVERAL AREAS OF THE  
FISHERIES LAW THAT, IN PRACTICE, ARE DETERRING SUSTAINABLE FISHING IN

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MPAS OF MULTIPLE USES INCLUDING THEIRS. WE ARE PROVIDING TECHNICAL ASSISTANCE TO FISHERS WHO WERE APPLYING FOR GOVERNMENT FUNDING FOR SEVERAL FISHERIES AND ENVIRONMENTAL PROJECTS THAT WOULD HELP THEM MANAGE THEIR MPA.

LA HIGUERA: ECONOMIC INEQUALITY IS PLAYING OUT IN LA HIGUERA WHERE WE ARE SUPPORTING THE COMMUNITY TO PROTECT ITS MARINE RESOURCES FROM UNSUSTAINABLE MINING INTERESTS. IN SEPTEMBER, CHILE'S SUPREME COURT RULED IN OUR FAVOR TO RETURN THE CASE AGAINST THE DOMINGA DESALINIZATION AND PORT PROJECT TO THE ENVIRONMENTAL COURT TO REVIEW THE GOVERNMENT'S DENIAL OF A PERMIT FOR THE PROJECT. OCEANA HAS LONGSTANDING STRONG RELATIONSHIPS WITH THE LOCAL COMMUNITY AND ARTISANAL FISHERS BECAUSE OF OUR SUCCESSFUL CAMPAIGN TO DEFEAT A COAL POWER PLANT THERE IN 2010, AND THE DRAWN OUT LEGAL BATTLE OVER THE DOMINGA PROJECT HAS BROADENED AND DEEPENED THIS BASE OF SUPPORT. ALTHOUGH THERE ARE VOCAL COMMUNITY MEMBERS WHO SUPPORT THE ENVIRONMENTALLY DESTRUCTIVE DEVELOPMENT THAT DOMINGA WANTS, THE HUMBOLDT ALLIANCE, WHICH WE HELPED BUILD, NOW HAS ABOUT 95 ORGANIZATIONS WORKING TO DEFEAT DOMINGA, ESTABLISH AN MPA THERE AND STRENGTHEN SUSTAINABLE FISHING AND TOURISM IN LA HIGUERA.

TORTEL: BASED ON THE RESULTS OF OUR APRIL WORKSHOP WITH THE TORTEL COMMUNITY ON THE RICH BIODIVERSITY OF THE AREA AND THEIR VISION FOR THE MANAGEMENT OF THEIR MARINE RESOURCES, WE HAVE CONTINUED TO SUPPORT THE COMMUNITY AS THEY DEVELOP A MANAGEMENT PLAN FOR THE NEW MPA.

KATALALIXAR: WE COMPLETED THE SCIENTIFIC DOCUMENTATION FOR THE PROPOSAL FOR ADDITIONAL PROTECTIONS IN PATAGONIA FOR KATALALIXAR,

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INCLUDING BOTH THE MARINE AND TERRESTRIAL COMPONENTS WHICH WE OVERSAW AT THE REQUEST OF THE GOVERNMENT. THE RICH BIODIVERSITY WE FOUND (IDENTIFYING ABOUT 300 MARINE SPECIES) SUPPORT RAISING THE AREA'S DESIGNATION FROM A NATURAL RESERVE TO A MARINE PARK, THE STRONGEST DESIGNATION FOR PROTECTION IN CHILE. OUR GOAL IS TO SUBMIT THIS PROPOSAL, TOGETHER WITH THE LOCAL INDIGENOUS COMMUNITIES, TO CONAF (THE CHILEAN PROTECTED AREA SERVICE) EARLY IN 2020 AND TO ACHIEVE AN MPA THERE BY THE END OF 2020. ALSO IN PATAGONIA, WE EXPECT THE GOVERNMENT TO FINALIZE A MANAGEMENT PLAN FOR THE MPA THERE BY MID-2020 IN ACCORDANCE WITH OUR TIMELINE.

PROTECT COMMON HAKE AND JACK MACKEREL

WE CONTINUED TO SUPPORT VIGOROUS IMPLEMENTATION OF THE MAJOR IUU FISHING LAW THAT WE WON AT THE BEGINNING OF 2019. CHILE'S VESSEL MONITORING SYSTEM (VMS) DATA IS NOW AVAILABLE ON GLOBAL FISHING WATCH. THIS ACHIEVEMENT IS A MILESTONE IN OUR CAMPAIGN TO GET BETTER MANAGEMENT FOR COMMON HAKE, WHICH SUFFERS FROM SIGNIFICANT EXPLOITATION IN AREAS OF NATIONAL JURISDICTION AND IN THE HIGH SEAS. OUR CHILE OFFICE HAS AN EXCELLENT WORKING RELATIONSHIP WITH THE SPRFMO WHICH REGULATES HIGH SEAS AND CHILE'S HAKE AND JACK MACKEREL FISHERIES. WE ALSO DEVELOPED AND PRESENTED A MAJOR TRANSSHIPMENT CASE INVOLVING THE BIGGEST FACTORY VESSEL IN THE WORLD, THE VLADIVOSTOK, TO THE SPRFMO AND GOT THEM TO LEVY SANCTIONS AGAINST THE THREE COUNTRIES INVOLVED. THIS IS THE FIRST TIME A NON-MEMBER COUNTRY, IN THIS CASE OCEANA, HAS DEVELOPED A CASE THAT WAS HEARD BY THE SPRFMO.

PROTECT BROWN KELP

TO GATHER MOMENTUM FOR OUR CAMPAIGN AND THE BEST THINKING IN THE

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COUNTRY, WE ORGANIZED AND HELD THE FIRST-EVER SEMINAR ON THE KELP

FISHERY IN CHILE, IN CONJUNCTION WITH AND UNIVERSIDAD CATOLICA.

EXPERTS FROM AROUND THE COUNTRY GATHERED IN AUGUST TO DISCUSS CURRENT

SCIENCE AND POLICY, IDENTIFY GAPS AND DISCUSS WHY CURRENT MANAGEMENT

PLANS ARE NOT WORKING. WE ALSO HIRED ACUAIM, A TECHNOLOGY-BASED

PROBLEM-SOLVING CONSULTING FIRM, TO IDENTIFY THE MAIN INFORMATION GAPS

FOR THE DESIGN, IMPLEMENTATION AND MANAGEMENT OF A CONSERVATION AND

CULTIVATION PROGRAM FOR THE SUSTAINABLE DEVELOPMENT OF THE MACROALGAE

INDUSTRY AND THE COMMUNITIES AROUND IT, INCLUDING AN ANALYSIS OF THE

SUPPLY CHAIN FOR KELP. BASED ON ACUAIM'S REPORT AND WITH INPUT FROM

THE EXPERT COMMUNITY WE HAVE GENERATED, WE WILL DEVELOP A SUSTAINABLE

MANAGEMENT PLAN FOR KELP IN 2020.

REDUCE ANTIBIOTIC USE IN SALMON AQUACULTURE

IN 2019, WE ACHIEVED OUR GOAL OF DECREASING THE AMOUNT OF ANTIBIOTICS

USED PER UNIT OF FARMED SALMON IN CHILE BY 50 PERCENT FROM 2012 LEVELS.

HOWEVER, WE DID NOT ACHIEVE OUR GOAL OF REDUCING THE TOTAL AMOUNT OF

SALMON PRODUCED. CHILE'S RULES ALLOW FOR HIGHER THAN DESIRABLE DENSITY

IN SALMON PENS AND SALMON COMPANIES HAVE BEEN MISREPORTING THE

RESULTING MORTALITY RATES. WE ARE CAMPAIGNING TO REQUIRE THE

GOVERNMENT TO "DOUBLE-CHECK" REPORTED MORTALITY TO CURTAIL THIS ABUSE

AND ALSO TO EXTEND A MORATORIUM ON NEW SALMON CONCESSIONS IN SOUTHERN

CHILE FOR ANOTHER FIVE YEARS.

EUROPE

ILLEGAL FISHING

IN A STEP FORWARD FOR TRANSPARENCY, THE EUROPEAN COMMISSION HAS NOW

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MADE PUBLIC ITS LISTS OF AUTHORIZATIONS INDICATING WHERE AND WHEN EU VESSELS ARE AUTHORIZED TO FISH IN EXTERNAL WATERS. THE INFORMATION WAS RELEASED IN APRIL 2019 ON THE EUROPEAN COMMISSION WEBSITE. THE COMMISSION HAS ALSO PROMISED THAT A FINAL AND MORE EASILY ACCESSIBLE DATABASE WILL BE IMPLEMENTED BY THE END OF 2021.

THE GENERAL FISHERIES COMMISSION FOR THE MEDITERRANEAN (GFCM) ADOPTED IN ITS NOVEMBER MEETING THE MANDATORY DISCLOSURE OF FISHING ACCESS AGREEMENTS IN WATERS OF THIRD COUNTRIES AND STRENGTHENING THE IUU VESSEL LIST (BY ADDING A REQUIREMENT FOR COUNTRIES TO ENSURE THAT THEIR CITIZENS ARE NOT ENGAGED IN IUU FISHING OR PROVIDE SERVICES TO IUU VESSELS). THESE MEASURES WERE PROPOSED BY OCEANA AND ENDORSED BY THE EU.

IN SEPTEMBER, AND TOGETHER WITH THE EU IUU COALITION, OCEANA LAUNCHED AN ADVOCACY TOOLAN ONLINE MAP THAT PROVIDES LINKS TO REPORTS AND MEDIA COVERAGE WHICH UNVEIL WEAKNESSES OR FAILURES IN FISHERIES CONTROL WITHIN EU MEMBER STATES. THIS MAP WILL BE A 'LIVE TOOL' TO IMPROVE MEMBER STATE EFFORTS TO TACKLE IUU FISHING, AND TO PUT PRESSURE ON THE COMMISSION TO ACT AGAINST MEMBER STATES THAT FAIL TO IMPLEMENT REQUIRED FISHERIES CONTROL SYSTEMS.

FOLLOWING OCEANA'S ALERT IN FEBRUARY, THE MARINE MANAGEMENT ORGANISATION - THE RELEVANT ENFORCEMENT AUTHORITY IN THE UK - TOOK ACTION TO CANCEL THE INSURANCE CONTRACT OF THE 'ATLANTIC WIND' - AN INTERNATIONALLY LISTED IUU FISHING VESSEL FOUND ON FIVE REGIONAL FISHERY MANAGEMENT ORGANIZATIONS' IUU VESSEL LISTS. WE WILL CONTINUE SCREENING FOR SIMILAR CASES AS TIME ALLOWS. IN JUNE, OCEANA WAS GIVEN

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AN AWARD BY THE GENERAL FISHERIES COMMISSION FOR THE MEDITERRANEAN, IN RECOGNITION OF OUR WORK WITH THE GLOBAL INSURANCE SECTOR IN EFFORTS TO COMBAT IUU FISHING. IN SEPTEMBER, OCEANA ATTENDED A MARINE MANAGEMENT ORGANISATION EVENT TO INFORM INSURERS OF THEIR LEGAL OBLIGATIONS REGARDING IUU. OCEANA WAS ALSO INVITED TO SPEAK AT THE ANNUAL MEETING OF THE INTERNATIONAL UNION OF MARINE INSURANCE - THE WORLD'S LARGEST INTERNATIONAL GATHERING OF MARINE INSURERS - ABOUT IUU FISHING AND THE ROLE THAT THE INSURANCE SECTOR CAN HAVE IN TRANSFORMING OCEAN GOVERNANCE. OUR PRESENTATION WAS WELL RECEIVED, AND MANY NEW CONTACTS WERE MADE WITH INSURERS WHO ARE EAGER TO LEARN MORE ABOUT OCEANA AND FIND OUT HOW THEY CAN ENGAGE WITH US ON THE ISSUES DISCUSSED.

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FISH RECOVERY AND SUSTAINABLE MANAGEMENT

IN OCTOBER 2019 THE EU FISHERIES MINISTERS REACHED AN AGREEMENT ON THE 2020 FISHING LIMITS FOR FISH STOCKS IN THE BALTIC SEA. OUR OVERALL ASSESSMENT OF THE DECISION REGARDING FISH STOCKS IN THE BALTIC SEA IS VERY POSITIVE AS THE MINISTERS EXCEEDED THE SCIENTIFIC ADVICE FOR ONLY TWO OUT OF TEN FISH STOCKS, (WHILE IN OCTOBER 2014 SCIENTIFIC ADVICE WAS EXCEEDED FOR SIX OUT OF EIGHT FISH STOCKS).

IN FEBRUARY 2019, THE EUROPEAN UNION ADOPTED A MULTIANNUL MANAGEMENT PLAN FOR THE NORTH WESTERN WATERS - ONE OF THE KEY FISHING GROUNDS IN EUROPE. THE MANAGEMENT PLAN CONTAINS THE CLEAR OBJECTIVE TO EXPLOIT TARGET FISH STOCKS AT MSY. THE PLAN SHOULD HAVE BEEN MORE AMBITIOUS WITH RESPECT TO CERTAIN CONSERVATION MEASURES, SUCH AS EXPLOITATION TARGETS FOR BYCATCH STOCKS AND THE PROTECTION OF ESSENTIAL FISH HABITATS (WHICH WAS NOT INCLUDED IN THE FINAL TEXT).



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SPATIAL/TEMPORAL RESTRICTIONS ON BOTTOM TRAWLING HAVE BEEN ADOPTED DURING 2019 IN THE MEDITERRANEAN THAT CORRESPOND TO A TOTAL AREA OF MORE THAN 94,000 SQUARE KILOMETERS. THESE RESTRICTIONS WERE APPROVED UNDER THE WESTERN MEDITERRANEAN MULTIANNUAL PLAN (ADOPTED IN APRIL 2019) AND COVERED IN SEPARATE DECISIONS BY THE GENERAL FISHERIES COMMISSION FOR THE MEDITERRANEAN. THEY PROTECT ESSENTIAL FISH HABITATS.

#### HABITAT CAMPAIGN

ONE YEAR BEFORE THE DEADLINE, THE EU HAS ACHIEVED THE TARGET OF DECLARING MORE THAN 10 PERCENT OF THE MARINE AND COASTAL WATERS PROTECTED (MPAS). OFFICIAL FIGURES INDICATE THAT MORE THAN 12 PERCENT OF EU WATERS ARE NOW DESIGNATED AS MPAS. THIS ACHIEVEMENT HAS BEEN MADE PRIMARILY THROUGH THE DESIGNATION OF SITES WITHIN NATURA 2000 (THE EU COORDINATED NETWORK OF PROTECTED AREAS). OCEANA HAS BEEN INSTRUMENTAL IN RAISING THE IMPORTANCE OF MPAS ON THE EU AGENDA, IN ADVOCATING FOR THE ORIGINAL 10 PERCENT TARGET TO APPLY TO ALL EU WATERS (AND NOT ONLY THE ATLANTIC, AS ORIGINALLY PROPOSED BY THE EU), IN GATHERING AND PROVIDING DATA THAT HAVE CONTRIBUTED TO THE PROTECTION OF SITES, AND IN LOBBYING EU MEMBER STATES TO PROTECT AREAS OF HIGH ECOLOGICAL VALUE. SUCH SITES HAVE INCLUDED EXTENSIVE AREAS THAT ARE NOW DESIGNATED NATURA 2000 AREAS IN MALTA (2252 KM<sup>2</sup>), PORTUGAL (22,880 KM<sup>2</sup>) AND SPAIN (44,474 KM<sup>2</sup>).

IN FEBRUARY, SPAIN EXPANDED CABRERA NATIONAL PARK TO MAKE IT THE SECOND-LARGEST MARINE NATIONAL PARK IN THE MEDITERRANEAN. OCEANA HAD BEEN WORKING TO EXPAND THE PARK SINCE 2007. IN 2013, OCEANA JOINED CABRERA'S BOARD OF TRUSTEES, AND IN 2017, ACHIEVED AN UNPRECEDENTED

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PARLIAMENTARY CONSENSUS IN SPAIN: ALMOST ALL THE POLITICAL PARTIES IN THE SPANISH CONGRESS AND ALL OF THOSE IN THE SENATE SUPPORTED THE EXPANSION OF THE PARK. THE PARK, LOCATED SOUTH OF MALLORCA, WILL PROVIDE THE HIGHEST LEVEL OF LEGAL PROTECTION FOR THREATENED MARINE LIFE. OCEANA HAS ALSO PROVIDED ITS DETAILED DATA FROM RESEARCH EXPEDITIONS TO THE NATIONAL PARKS AUTONOMOUS AGENCY, WHICH WILL USE THE INFORMATION TO DEVELOP MANAGEMENT MEASURES FOR THE PARK.

THE UK GOVERNMENT DESIGNATED 41 NEW MARINE CONSERVATION ZONES (MCZS) EARLIER THIS YEAR. THIS MEANS THAT THE UK HAS SUBSTANTIALLY COMPLETED ITS ECOLOGICALLY COHERENT NETWORK OF MARINE PROTECTED AREAS, WITH 355 MPAS AMOUNTING TO OVER 30 PERCENT OF UK SEAS NOW DESIGNATED AS MPAS. DURING THE 2018 PUBLIC CONSULTATION PROCESS ON THE POTENTIAL DESIGNATION OF NEW MCZS, OCEANA FORMALLY PRESENTED A DETAILED RESPONSE THAT INCLUDED OCEANA DATA AND SUPPORTING PHOTOGRAPHIC EVIDENCE FROM TWO AREAS SURVEYED DURING THE NORTH SEA EXPEDITIONS. USING THIS DATA, WE ARGUED IN FAVOR OF THE DESIGNATION OF THE SITES, AND OF THE EXPANSION OF THEIR BOUNDARIES TO INCLUDE FEATURES OF CONSERVATION IMPORTANCE IN ADJACENT WATERS. BOTH SITES HAVE NOW BEEN DESIGNATED. THE UK GOVERNMENT IS NOW ALSO UNDERTAKING A REVIEW OF HIGHLY PROTECTED MARINE AREAS AND IS CURRENTLY HOLDING A PUBLIC CONSULTATION ON THE NEED FOR THESE TO BECOME STRICTLY PROTECTED SITES. OCEANA IS RESPONDING TO THE CONSULTATION AND ENGAGING WITH BOTH CIVIL SERVANTS AND MEMBERS OF THE REVIEW PANEL, TO ADVOCATE FOR THE NEED FOR STRICTER PROTECTION, INCLUDING MORE EFFECTIVE MANAGEMENT OF EXISTING UK MPAS. THIS WILL BE AN IMPORTANT COMPONENT OF OUR FUTURE CAMPAIGN FOR BUILDING EFFECTIVENESS OF THE MPA NETWORK IN EUROPE.

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MEXICO

## TRANSPARENCY

THANKS TO OCEANA, ANYONE WITH AN INTERNET CONNECTION CAN NOW, FOR THE FIRST TIME, ACCESS THE HISTORICAL VMS DATA OF OVER 2,000 VESSELS. PREVIOUSLY ONLY 34 VESSELS WERE PUBLICLY VISIBLE. HOWEVER, THE GOVERNMENT REFUSED TO ANNOUNCE ITS COMMITMENT TO REGULARLY RELEASE THE DATA TO GLOBAL FISHING WATCH AND SO TO GET THIS, WE WILL CONTINUE TO CAMPAIGN UNTIL THE GOVERNMENT IS FULLY COMMITTED TO SHARING THE DATA.

## SEAFOOD TRACEABILITY

OUR WORK ON SEAFOOD FRAUD OVER THE PAST YEAR HAS MADE THIS ISSUE VISIBLE TO THE PUBLIC. THE ACTIONS AND STATEMENTS OF GOVERNMENT OFFICIALS PROVE IT IS NOW CLEARLY PART OF THE PUBLIC AGENDA. ON MARCH 12, WE LAUNCHED OUR FIRST SEAFOOD FRAUD REPORT, CALLED "GATO X LIEBRE", DURING AN EVENT WHICH REMAINS, TO THIS DAY, OUR MOST PUBLICIZED MOMENT. IN THE DAYS AND WEEKS FOLLOWING THIS LAUNCH THERE WERE NUMEROUS STORIES ON PRINT, TV AND RADIO NEWS SOURCES, AS WELL AS A LOT OF INTEREST ON SOCIAL MEDIA. A SINGLE VIDEO NEWS STORY OF OUR CAMPAIGN BY ONLINE NEWS SITE BRUT, HAS OVER 3.9 MILLION VIEWS ON FACEBOOK AS OF THE WRITING OF THIS NARRATIVE.

THE GOVERNMENT WENT ON THE RECORD SHORTLY AFTER THE LAUNCH. ON MAY 6, CONAPESCA PUBLISHED AN OFFICIAL PRESS RELEASE, ON THEIR WEBSITE, COMMITTING TO IMPROVING TRACEABILITY. FURTHER, IN AN OFFICIAL DOCUMENT CALLED THE NATIONAL NORMS AND STANDARDS PROGRAM, THE GOVERNMENT COMMITTED TO PUBLISHING A NORM ON TRACEABILITY. THE FISHERIES AGENCY,

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CONAPESCA, FOLLOWED A COUPLE OF WEEKS AFTER THAT WITH A REAFFIRMATION OF THIS COMMITMENT IN THE SHAPE OF A PRESS RELEASE ON THEIR WEBSITE. WE HAVE BEEN ASKED TO BE A PART OF THIS WORKING GROUP WHICH WILL GIVE US THE OPPORTUNITY TO BRING MEANINGFUL TRACEABILITY MEASURES INTO THE DISCUSSION.

HOWEVER, THE TRACEABILITY REQUIREMENTS ARE NOT YET IN PLACE. TO THAT END WE HAVE PREPARED BRIEFING MATERIALS FOR KEY OFFICIALS DEFINING THE MINIMUM REQUIREMENTS FOR A GOOD POLICY. WE ALSO HELD A PRESS CONFERENCE WITH REPRESENTATIVES OF THE FISHING INDUSTRY AND PROCESSORS WHO STAND WITH US ON OUR PROPOSAL. TOGETHER, WE URGED THE GOVERNMENT TO USE THE RESOURCES AND COLLECTIVE EXPERIENCE OF THE FISHERIES COMMUNITY TO PUT TOGETHER THE BEST POSSIBLE TRACEABILITY RULES. WE CONTINUE TO BUILD ALLIANCES WITHIN THE FISHING INDUSTRY ON THIS ISSUE AND CONTINUE TO PRESSURE CONAPESCA TO DELIVER A MEANINGFUL TRACEABILITY RULE BY 2020.

#### FISHERIES REBUILDING

WE LAUNCHED THIS CAMPAIGN ON JUNE 11, WITH THE RELEASE OF OUR FISHERIES AUDIT, WHICH WE CALLED "FISHING BLIND". A FEW DAYS BEFORE THAT, ON JUNE 5, WE WERE INVITED TO PRESENT THE SAME INFORMATION TO THE FISHERIES COMMITTEE OF THE CHAMBER OF DEPUTIES. AFTER THIS SESSION, THE COMMITTEE CHAIR, DEPUTY MAXIMILIANO RUIZ, GAVE INTERVIEWS TO SEVERAL MEDIA OUTLETS WHERE HE TALKED ABOUT THE DIRE FUTURE OF THE FISHERIES SECTOR, USING SOME OF OUR TALKING POINTS. OUR MESSAGES WERE ALIGNED.

IN OUR AUDIT, WE UNDERScored HOW LITTLE PUBLIC INFORMATION EXISTS TO SUPPORT THE GOVERNMENT'S ASSESSMENTS OF THE STATUS OF COMMERCIALY IMPORTANT FISH SPECIES IN MEXICO. THE MAIN CONCLUSION OF OUR AUDIT WAS

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THAT WE KNOW A LOT LESS THAN WE THINK WE KNOW ABOUT THE STATUS OF FISHERIES IN MEXICO, AND THAT WHAT WE DO KNOW IS QUITE TROUBLING. WE WERE POSITIVELY SURPRISED BY THE AMOUNT OF MEDIA ATTENTION THAT THE FISHERIES AUDIT GOT. DESPITE BEING VERY TECHNICAL, IT WAS VERY APPEALING TO THE PUBLIC. WE USED THE LAUNCH OF THE AUDIT TO QUICKLY PIVOT THE CONVERSATION TO THE CONCEPT OF REBUILDING, WHICH IS NOT AT ALL A FAMILIAR CONCEPT IN THE WORLD OF FISHERIES IN MEXICO. THIS IS ONE OF OUR MAIN, ONGOING TACTICS FOR OUR CAMPAIGN: CREATE A NARRATIVE ON THE NEED TO REBUILD FISHERIES.

AS WITH THE SEAFOOD FRAUD STUDY, THE FISHERIES AUDIT WAS INTENDED TO BUILD THE SPACE FOR OUR POLICY SOLUTION, SO, DURING THE FIRST PART OF THE YEAR, WE ALSO WORKED ON PUTTING TOGETHER THIS POLICY SOLUTION. WE DID THIS IN THE SHAPE OF A LEGAL REFORM PROPOSAL THAT SPELLS OUT WHAT CHANGES ARE NEEDED TO WHICH ARTICLES IN THE FISHERIES LAW. THE FOCUS OF THE PROPOSAL IS ALSO THE MAIN GOAL OF THIS CAMPAIGN: TO GIVE CONAPESCA THE LEGAL MANDATE TO REBUILD FISHERIES THAT HAVE BEEN OFFICIALLY RECOGNIZED AS OVERFISHED. IN 2020, WE WILL SOLIDIFY OUR PROGRESS AND TAKE CONCRETE STEPS TOWARDS PASSING OUR LEGISLATIVE PROPOSALS.

PERU

HABITAT PROTECTION

TO ACHIEVE THE DESIGNATION OF NAZCA RIDGE AS THE FIRST STRICTLY MARINE PROTECTED AREA IN PERU, WE ASSEMBLED A SPECIAL TASK FORCE TO SUPPORT THE GOVERNMENT AND WORKED WITH THE AGENCIES INVOLVED TO BUILD A COMMON AGENDA FOR THE DESIGNATION OF THE MPA. OUR COMMUNICATION WORK THROUGH THE YEAR WAS CRITICAL FOR THE PRESENTATION OF THE NAZCA RIDGE PROPOSAL

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IN THE RECENT III LATIN-AMERICAN & CARIBBEAN PARKS CONGRESS IN LIMA. AT THIS EVENT, MINISTER OF THE ENVIRONMENT, FABIOLA MUOZ, COMMITTED PUBLICLY TO THE CREATION OF THE MPA BEFORE THE END OF THIS YEAR.

FORM 990, PART III, LINE 4A, PROGRAM SERVICE ACCOMPLISHMENTS, CON'T:

PLASTIC POLLUTION

LAST DECEMBER, OCEANA AND OUR ALLIES IN PERU WON PASSAGE OF A NEW PLASTIC REDUCTION LAW WHICH REGULATES BOTH THE USE AND PRODUCTION OF DISPOSABLES, INCLUDING PLASTIC BAGS, STRAWS, EXPANDED POLYSTYRENE PACKAGES, AND PLASTIC TABLEWARE. THIS LAW SETS REAL DEADLINES, FROM 1 TO 3 YEARS, TO LIMIT THE MANUFACTURE FOR DOMESTIC USE, IMPORT, DISTRIBUTION, DELIVERY, TRADING AND USE OF DISPOSABLE PLASTICS. OCEANA WAS INSTRUMENTAL IN DRAFTING THE LEGISLATION AND ACTIVELY ADVOCATED FOR ITS QUICK PASSAGE.

ALSO, LAST AUGUST THE REGULATIONS FOR THIS LAW WERE ISSUED. THIS LEGAL INSTRUMENT, WHILE FAR FROM PERFECT, OUTLINES A NUMBER OF COMPLEMENTARY MEASURES REQUIRED FOR BETTER CONTROL AND REDUCTION OF SINGLE USE PLASTICS. OCEANA'S COMMUNICATIONS CAMPAIGN PLAYED A SIGNIFICANT ROLE IN THE CONSULTATION PROCESS BY PROMOTING A NUMBER OF OPEN DISCUSSIONS ABOUT THE SUBJECT IN SOCIAL MEDIA.

DESPITE ACTIVELY CAMPAIGNING AGAINST THE LAW, PAMOLSA, THE LARGEST PLASTIC FOOD CONTAINER PRODUCER, IS MOVING TOWARDS ELIMINATION OF SINGLE-USE PLASTIC BY IMPLEMENTING NEW PRODUCTION LINES OF CARDBOARD AND VEGETABLE FIBER CONTAINERS. SEVERAL OTHER LOCAL PLASTIC PRODUCERS AND DISTRIBUTORS ARE ALSO STARTING TO TAKE ACTION TO REPLACE SINGLE USE PLASTICS BY THE DEADLINE OF DECEMBER 2021 ESTABLISHED BY THE PLASTICS

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LAW. WE HAVE COMMISSIONED A SHORT CONSULTANCY TO ASSESS THE RELIABILITY OF THESE COMMITMENTS AND THE STATE OF IMPLEMENTATION IN THE PRIVATE SECTOR. THE RESULTS OF THIS ANALYSIS WILL BE USED IN FUTURE COMMUNICATION CAMPAIGNS FOCUSED ON PUBLIC SURVEILLANCE AND REPORTING.

THE PLASTICS LAW PROHIBITS PRODUCTION (FOR NATIONAL USE), IMPORT, DISTRIBUTION, AND SALE OF STYROFOAM (EXPANDED POLYSTYRENE) BY DECEMBER 2021. EVEN SO, MOST OF THE MAIN FAST FOOD CHAINS (BURGERS, ROTISSERIE CHICKEN AND PIZZA) IN PERU HAVE ALREADY MOVED ON TO USING CARDBOARD FOR THEIR TAKE-AWAY CONTAINERS. ALSO ALL THE RESTAURANTS OF THE GASTON ACURIO CORPORATION HAVE STOPPED USING STYROFOAM.

#### DETER ILLEGAL FISHING

THE FISHERIES AGENCY, PRODUCE, HAS PUT ON HOLD THE INTERNATIONAL TRADE OF CITES-RESTRICTED SPECIES UNTIL THEY HAVE EFFECTIVELY OVERHAULED THEIR OFFICE RESPONSIBLE FOR PROVIDING CITES PERMITS AND CERTIFICATIONS. THIS ACTION WAS TAKEN AFTER THE INTERCEPTION OF SEVERAL SHIPMENTS CONTAINING TENS OF TONS OF ILLEGAL SHARK FINS. THE AGENCY ALSO REMOVED AND IS INVESTIGATING OFFICERS SUSPECTED TO BE INVOLVED IN CORRUPTION AROUND CITES PERMITS. OCEANA PROVIDED TRAINING TO OFFICERS AT CUSTOMS, PRODUCE, THE MARINE RESEARCH INSTITUTE (IMARPE) AND THE MINISTRY OF THE ENVIRONMENT (MINAM), AND PRODUCED AND DISSEMINATED A STATE-OF-THE-ART IDENTIFICATION GUIDE FOR SHARK FINS AS PART OF THIS CAMPAIGN.

ADDITIONALLY, OCEANA'S ADVICE AND SUPPORT TO THE PERU DELEGATION PARTICIPATING AT THE RECENT CITES COP18 IN SWITZERLAND RESULTED IN THE ADOPTION OF ADDITIONAL NECESSARY MEASURES TO THWART THE ILLEGAL TRADE

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OF SHARKS. THE NEW MEASURES WILL AFFECT THE GLOBAL SHARK TRADE,  
REQUIRING COUNTRIES TO REPORT THE CURRENT EXTENT OF STOCKPILED SHARK  
PRODUCTS FOR CITES-LISTED SPECIES, ELIMINATING A LOOPHOLE IN THE  
CONTROL SYSTEM. THIS ACHIEVEMENT IS THE RESULT OF A TWO-YEAR-LONG  
COLLABORATION BETWEEN OCEANA AND THE PERUVIAN CITES AUTHORITIES AND WAS  
MADE POSSIBLE THROUGH THE SUPPORT OF AN INTERNATIONAL COALITION OF NGOS  
WORKING WITH THEIR RESPECTIVE GOVERNMENTS.

PHILIPPINES

PROTECT SARDINES/ESTABLISH NATIONAL RULES ON FISHERIES MANAGEMENT AREAS  
THE BUREAU OF FISHERIES AND AQUATIC RESOURCES (BFAR) THIS YEAR  
ESTABLISHED TWELVE FISHERIES MANAGEMENT AREAS CO-MANAGED BY LOCAL AND  
NATIONAL GOVERNMENTS AND STAKEHOLDERS THROUGHOUT THE COUNTRY. THIS  
SYSTEM, SIMILAR TO FISHERIES MANAGEMENT COUNCILS IN THE US AND OTHER  
COUNTRIES, PROMISES TO PROVIDE MORE TRANSPARENT AND COORDINATED  
DECISION-MAKING ON FISHERIES.

TAKING ADVANTAGE OF THE NEW SYSTEM, WE ARE WORKING IN SEVERAL FISHERIES  
MANAGEMENT AREAS IN THE CENTER OF THE COUNTRY TO IMPROVE MANAGEMENT OF  
SARDINES, THE LARGEST CATCH BY WEIGHT IN THE PHILIPPINES. THE FISHERIES  
MANAGEMENT AREAS WERE ESTABLISHED IN RESPONSE TO OCEANA'S LAWSUIT  
SEEKING ENFORCEMENT OF THE KEY NATIONAL FISHERY LAW. NEVERTHELESS, OUR  
LAWSUIT CONTINUES BECAUSE THE BUREAU OF FISHERIES AND AQUATIC RESOURCES  
HAS NOT FULLY COMPLIED WITH THE LAW BY REQUIRING COMMERCIAL FISHING  
VESSELS TO CARRY VESSEL TRACKING DEVICES.

WE ARE ON TRACK WITH OUR SARDINES-SPECIFIC CAMPAIGN GOAL, WHICH IS TO



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GET BFAR TO PROMULGATE RULES AND REGULATIONS ENSURING SUSTAINABLE CATCHES OF SARDINES BY 2020. INITIAL REFERENCE POINTS AND HARVEST CONTROL RULES AND MEASURES WERE IDENTIFIED IN FISHERIES MANAGEMENT AREA 7. THESE WILL BE VALIDATED THROUGH A SARDINE FISHERIES STUDY AND THE TO-BE-FORMED SCIENCE ADVISORY GROUP. WE HAVE SUCCEEDED IN GETTING A NATIONAL SARDINE MANAGEMENT FRAMEWORK PLAN THROUGH THE PUBLIC CONSULTATIONS PROCESS. THE NEXT STEPS ARE APPROVAL BY THE NATIONAL FISHERIES AND AQUATIC RESOURCES MANAGEMENT COUNCIL AND THEN THE AGRICULTURE SECRETARY FOR HIS SIGNATURE. WE HAVE PUT PRESSURE ON THE FISHERIES BUREAU DIRECTOR TO CONSIDER THIS A PRIORITY IN THE NEW YEAR.

STOP ILLEGAL COMMERCIAL FISHING IN MUNICIPAL WATERS  
THE DECENTRALIZATION OF FISHERIES MANAGEMENT INTO 12 SCIENCE-BASED FISHERIES MANAGEMENT AREAS AUGURS WELL FOR ACHIEVEMENT OF OUR GOAL TO ELIMINATE COMMERCIAL FISHING VESSELS FROM ILLEGALLY FISHING IN MUNICIPAL WATERS THROUGHOUT THE PHILIPPINES. WE ARE ESTABLISHING A CIRCLE OF EXEMPLARY MAYORS IN EACH FISHERIES MANAGEMENT AREA TO BE CHAMPIONS FOR PROTECTING MUNICIPAL WATERS.

WE ACHIEVED A SIGNIFICANT MILESTONE IN THIS CAMPAIGN AT THE CONCLUSION OF THE YEAR: FOR THE FIRST TIME IN ITS HISTORY, THE FISHERIES BUREAU PERMANENTLY REVOKED THE COMMERCIAL FISHING LICENSE OF AN OPERATOR WHO WAS A REPEAT OFFENDER. THE ORDER DATED NOVEMBER 2019 WAS RELEASED BY THE FISHERIES BUREAU TO OCEANA IN JANUARY 2020 AFTER A FOLLOW UP.

THE ONLINE PLATFORM FOR REPORTING ILLEGAL COMMERCIAL FISHING, KARAGATAN PATROL, LAUNCHED BY OCEANA IN FEBRUARY THIS YEAR IN PARTNERSHIP WITH THE LEAGUE OF MUNICIPALITIES OF THE PHILIPPINES IS NOW RECOGNIZED AS A

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KEY SOURCE OF INFORMATION AND DATA ON ILLEGAL FISHING ACTIVITIES IN THE PHILIPPINES. MEMBERSHIP OF THE PLATFORM HAS SURPASSED 2000, WITH MEMBERS REPRESENTING NATIONAL GOVERNMENT AGENCIES, ENFORCEMENT UNITS, LOCAL GOVERNMENTS, ENVIRONMENT ADVOCATES, FISHERFOLK LEADERS, AND CONCERNED CITIZENS. MEMBERS USE THE FACEBOOK PAGE TO REPORT AND COMMENT ON SUSPICIOUS ACTIVITY AND ENFORCEMENT ACTIONS. ON THIS WEBSITE, ANYONE CAN SEE WHERE VESSELS HAVE BEEN FISHING AT NIGHT. THE SITE COLLECTS SATELLITE DATA ON LIGHTS AT SEA, APPLIES AN ALGORITHM TO DISTINGUISH TRANSITING FROM FISHING, AND PLOTS FISHING ACTIVITY ON AN OVERLAY OF PHILIPPINES JURISDICTIONAL WATERS. THIS SITE HAS ATTRACTED ATTENTION BOTH BECAUSE IT SHOWS WHERE COMMERCIAL FISHING BOATS ARE FISHING ILLEGALLY IN MUNICIPAL WATERS AND BECAUSE IT SHOWS THE INCURSION OF FOREIGN - PROBABLY CHINESE - BOATS INTO THE WEST PHILIPPINE SEA.

DETER ILLEGAL DUMP AND FILL ACTIVITY

OCEANA BEGAN 2019 WITH A VERY POSITIVE SHOW OF SUPPORT FROM THE DEPARTMENT OF INTERIOR AND LOCAL GOVERNMENT (DILG) FOR OUR CAMPAIGN TO STOP ILLEGAL DUMP-AND-FILL PROJECTS. (DILG) SECRETARY EDUARDO AO IS PROVING TO BE OUR MOST CONSISTENT ALLY IN THE DUTERTE ADMINISTRATION. HE IS OPENLY OPPOSING DUMP AND FILL PROJECTS (KNOWN AS RECLAMATION IN THE COUNTRY).

FORM 990, PART III, LINE 4A, PROGRAM SERVICE ACCOMPLISHMENTS, CON'T:

STRENGTHEN CORAL-RICH MARINE PROTECTED AREAS

WE RECENTLY GOT BOARD APPROVAL FOR A NEW CAMPAIGN TO PROTECT A RELATIVELY PRISTINE CORAL REEF AREA IN PANAON ISLAND IN LEYTE. WE WILL SEEK LEGAL PROTECTION UNDER THE EXPANDED NATIONAL INTEGRATED PROTECTED AREA SYSTEM. WE VISITED SEVERAL SITES IN 2019, AND THE CORAL REEFS OF

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PANAON ISLAND STOOD OUT AS EXHIBITING GOOD LIVE CORAL COVER. PANAON ISLAND'S WATERS ARE ESTIMATED AT AROUND 25,000-30,000 HECTARES. ITS REEF IS CLASSIFIED AS A VERY GOOD CANDIDATE FOR CONSERVATION. IT HAS A HIGH DIVERSITY OF FISH AND CORALS AND THERE ARE SIGNS OF RECOVERY FROM BLAST FISHING IN THE 80'S. IT IS A FEEDING GROUNDS FOR WHALE SHARKS, DOLPHINS, SEA TURTLES AND OTHER LARGE MARINE VERTEBRATES. THERE ARE SIGHTINGS OF THE RARE AND ENDANGERED LEATHERBACK TURTLES. FISHERFOLK BENEFIT FROM THE SPILL-OVER EFFECT OF AT LEAST 10 LOCALLY PROTECTED MARINE PROTECTED AREAS. IN ADDITION, BOTH POLITICAL DYNAMICS AND SUSTAINABLE TOURISM POTENTIAL ARE PROMISING.

#### ILLEGAL FISHING AND TRANSPARENCY

OCEANA SECURED VMS DATA FROM TWO COUNTRIES (CHILE AND MEXICO) AND PUBLISHED IT ON THE GLOBAL FISHING WATCH PLATFORM. THE CHILEAN GOVERNMENT SIGNED AN AGREEMENT ON MAY 15 TO MAKE ITS VESSEL TRACKING DATA PUBLICLY AVAILABLE THROUGH THE GLOBAL FISHING WATCH MAP AS A RESULT OF OCEANA'S COLLABORATION WITH THE CHILEAN GOVERNMENT TO INCREASE TRANSPARENCY OF COMMERCIAL FISHING IN CHILEAN WATERS.

OCEANA ALSO CREATED ALERTS FOR TWO COUNTRIES, BRAZIL AND THE PHILIPPINES, USING GFW. IN BRAZIL, AN AUTOMATED ALERT SYSTEM SENDS A REPORT TO OCEANA'S BRAZIL OFFICE WHEN A FOREIGN FLAGGED FISHING VESSEL ENTERS THE BRAZILIAN EXCLUSIVE ECONOMIC ZONE (EEZ). AN ADDITIONAL MESSAGE IS SENT WHEN A VESSEL APPEARS TO FISH IN THE TERRITORIAL SEA OF SOUTHERN BRAZIL (12 NAUTICAL MILES FROM SHORE), THE AREA WHERE WE WON A TRAWLING CLOSURE YEAR-ROUND AND AN INDUSTRIAL PURSE SEINE CLOSURE FROM MAY 15 TO JULY 31 EACH YEAR. THE BRAZILIAN OFFICE CAN INVESTIGATE ANY FISHING BY INFERRED TRAWLERS OR PURSE SEINERS DURING THE CLOSURES TO

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IDENTIFY VESSELS THAT VIOLATE THESE CLOSURES AND TO EVALUATE THE EFFECTIVITY OF FISHING VESSEL COMPLIANCE WITH THE CLOSURES IN SOUTHERN BRAZIL. OCEANA ANALYSTS DEVELOPED AN AUTOMATED ALERT SYSTEM FOR THE PHILIPPINES THAT SENDS A REPORT TO OCEANA'S PHILIPPINES OFFICE WHEN A FOREIGN VESSEL ENTERS THE PHILIPPINE EEZ. ALL AVAILABLE DATA ON THE VESSEL'S ACTIVITY (I.E., POSSIBLE FISHING EVENTS, RENDEZVOUS, GAPS IN AIS TRANSMISSION, AND PORT VISITS) OVER THE PREVIOUS MONTH ARE REPORTED IN PDF FORMAT, INCLUDING A MAP AND TABLE OF EVENTS. THE ALERT WILL ALLOW MEMBERS OF OCEANA PHILIPPINES TO MONITOR THE INTRUSION OF FOREIGN VESSELS IN PHILIPPINE WATERS. OCEANA ALSO MODIFIED AND IMPROVED THE PERU ALERT TO ENHANCE ENFORCEMENT CAPACITY OF PERU'S CUSTOMS AGENCY.

OCEANA ANALYSTS ALSO CONDUCTED THEIR OWN RESEARCH AND WORKED WITH OCEANA OFFICES TO WRITE FOUR REPORTS AND MAKE DATA AVAILABLE TO SUPPORT ADVOCACY EFFORTS. DUE TO CONFIDENTIALITY RESTRICTIONS AND CONSTRAINTS IN NAMING VESSELS, NOT ALL THE REPORTS WERE MADE AVAILABLE TO THE PUBLIC. MOST NOTABLY, OUR TEAM PROVIDED OCEANA CHILE WITH INFORMATION ALLOWING IT TO DEMONSTRATE TO THE SOUTH PACIFIC REGIONAL FISHERY MANAGEMENT ORGANIZATION THAT THE LARGEST FACTORY VESSEL IN THE WORLD, THE DAMANZAIHAO, WAS ENGAGING IN SUSPICIOUS ACTIVITIES. SOUTH PACIFIC REGIONAL FISHERIES MANAGEMENT ORGANIZATION TOOK ACTION AGAINST THE COUNTRIES INVOLVED AND DECIDED TO KEEP THE VESSEL ON ITS ILLEGAL, UNREPORTED AND UNREGULATED FISHING (IUU) LIST.

OCEANA IS BUILDING A PLATFORM TO TRACK VESSEL SPEEDS ALONG THE EAST COAST OF THE UNITED STATES AND CANADA TO IDENTIFY VESSELS THAT EXCEED SPEED RESTRICTIONS IN ANY OF THE SEASONAL OR DYNAMIC MANAGEMENT AREAS THAT WERE ESTABLISHED TO PROTECT NORTH ATLANTIC RIGHT WHALES.

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ADDITIONAL LAYERS ON THE MAP WILL SHOW CRITICAL HABITAT AND ANY NEAR  
REAL-TIME WHALE SIGHTINGS IF THE DATA IS AVAILABLE.

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OTHERWISE IMMINENT DRILLING PLAN COULD LAST AS LONG AS 18 MONTHS UNTIL  
NOVEMBER 2020. WE ARE STAYING ON GUARD IN CASE OF A CHANGE IN PLANS,  
WHICH COULD OCCUR WITHOUT NOTICE. WE HAVE ALSO SHIFTED TO A PROACTIVE  
CAMPAIGN PUSHING FOR LEGISLATION TO CLOSE THE ATLANTIC AND PACIFIC TO  
DRILLING TO MAINTAIN THE NECESSARY POLITICAL PRESSURE TO PREVENT  
PRESIDENT TRUMP FROM ADVANCING HIS OFFSHORE DRILLING PLAN.

THE CONGRESSIONAL MORATORIUM ON OFFSHORE DRILLING IN THE GULF OF MEXICO  
REMAINS INTACT. NO BILLS THAT WOULD UNDO THE CONGRESSIONAL MORATORIUM  
ON DRILLING IN THE EASTERN GULF OF MEXICO PASSED EITHER HOUSE OF  
CONGRESS IN 2019. OCEANA AND ITS ALLIES ALSO SUCCESSFULLY ADVOCATED FOR  
NEW LEGISLATION TO PLACE A MORATORIUM ON OFFSHORE OIL DRILLING IN  
OREGON STATE WATERS, AND TO PROHIBIT ANY ACTIVITIES OR NEW  
INFRASTRUCTURE THAT WOULD SUPPORT OIL DRILLING IN FEDERAL WATERS.

IN SOUTH CAROLINA, OCEANA WORKED WITH ALLIES TO SUPPORT COASTAL  
RESIDENTS WHO WANTED TO PUT IN PLACE A STATE PROHIBITION ON ACTIONS TO  
FURTHER OIL AND GAS RELATED ACTIVITIES FOR ONE YEAR. IN VIRGINIA, WE  
MAINTAINED A DEFENSIVE POSTURE AND WERE SUCCESSFULLY ABLE TO PREVENT  
ANY PRO-OFFSHORE DRILLING STATE LEGISLATION. WE ALSO SUPPORTED BILLS  
PASSED IN NEW YORK AND GEORGIA THAT PROHIBIT OFFSHORE DRILLING AND  
INFRASTRUCTURE THAT WOULD SUPPORT IT, IN THOSE STATES.

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OCEANA'S EFFORTS TO REACH OUT TO COASTAL RESIDENTS AND BUSINESS LEADERS HAS LED TO A GROWING AND GALVANIZED BIPARTISAN OPPOSITION TO EXPANDED DRILLING, MOST NOTABLY FROM BUSINESSES THAT RELY ON HEALTHY OCEANS. THE THREE BUSINESS ALLIANCES THAT OPPOSE OFFSHORE DRILLING ON THE ATLANTIC, PACIFIC AND GULF COASTS AND WHICH OCEANA HELPED TO CREATE, NOW TOTAL AT LEAST 56,000 BUSINESSES AND 500,000 FISHING FAMILIES. MORE THAN 2,200 LOCAL, STATE AND FEDERAL ELECTED OFFICIALS, INCLUDING GOVERNORS ALONG THE EAST AND WEST COASTS AND MORE THAN 230 MEMBERS OF CONGRESS (A MAJORITY), NOW PUBLICLY OPPOSE EXPANDED OFFSHORE DRILLING AS WELL. IN ADDITION, AT THE END OF 2019, 380 MUNICIPALITIES HAD FORMALLY PASSED RESOLUTIONS OPPOSING OFFSHORE DRILLING AND/OR SEISMIC BLASTING (WE SECURED 58 OF THESE RESOLUTIONS IN 2019, EXCEEDING OUR GOAL OF 50).

#### DEFENSE OF OCEAN PROTECTION LAWS

OCEANA AND OUR MAGNUSON-STEVENS ACT COALITION PARTNERS HAVE SUCCESSFULLY FOUGHT ATTEMPTS TO WEAKEN THE MAGNUSON-STEVENS ACT AND THE MARINE MAMMAL PROTECTION ACT. FURTHERMORE, THERE WERE NO REVERSALS OF PREVIOUSLY PROTECTED MARINE AREAS IN 2019, ANOTHER STANDARD BY WHICH WE MEASURE SUCCESS IN THIS CAMPAIGN.

#### BAN THE SHARK FIN TRADE

SHARK POPULATIONS AROUND THE WORLD ARE IN SERIOUS DECLINE, LARGELY DRIVEN BY THE DEMAND FOR THEIR FINS. FINS FROM AS MANY AS 73 MILLION SHARKS END UP IN THE GLOBAL SHARK FIN TRADE EACH YEAR, AND MORE THAN 70 PERCENT OF THE MOST POPULAR SPECIES IN THE FIN TRADE FACE A HIGH OR VERY HIGH THREAT OF EXTINCTION. A NATIONAL TRADE BAN WOULD ENSURE THAT THE UNITED STATES NO LONGER PARTICIPATES IN THE GLOBAL FIN TRADE THAT CONTRIBUTES TO THE DECLINE OF MANY AT-RISK SHARK SPECIES. IN 2019,

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OCEANA SUCCESSFULLY ADVOCATED FOR TWO CONGRESSIONAL COMMITTEES TO HOLD HEARINGS AND VOTES ON THE SHARK FIN SALES ELIMINATION ACT, WHICH WOULD PROHIBIT THE TRADE OF SHARK FINS IN THE U.S.

SAVE THE NORTH ATLANTIC RIGHT WHALE

ON SEPTEMBER 12, 2019, OCEANA LAUNCHED THE BINATIONAL CAMPAIGN TO SAVE NORTH ATLANTIC RIGHT WHALES FROM EXTINCTION. TO KICK OFF THE CAMPAIGN IN BOTH THE UNITED STATES AND CANADA WE RELEASED A BINATIONAL REPORT AND FACT SHEET WHICH DETAIL THE DIRE REALITY FACING NORTH ATLANTIC RIGHT WHALES, HIGHLIGHT THE TWO GREATEST CURRENT THREATS FACING THEIR POPULATION (ENTANGLEMENTS IN FISHING GEAR AND COLLISIONS WITH SHIPS), AND OUTLINE WHAT MUST BE DONE FOR THIS SPECIES TO RECOVER.

OCEANA WORKED IN COALITION TO INTRODUCE, BUILD SUPPORT, AND PASS H.R. 1568, THE SCIENTIFIC ASSISTANCE FOR VERY ENDANGERED NORTH ATLANTIC RIGHT WHALES (SAVE) ACT OF 2019 IN THE HOUSE NATURAL RESOURCES COMMITTEE. THIS BIPARTISAN LEGISLATION WOULD PROVIDE A SUSTAINED SOURCE OF FEDERAL FUNDING FOR RESEARCH TO DEVELOP, TEST, OR USE INNOVATIVE TECHNOLOGIES AND STRATEGIES TO REDUCE ENTANGLEMENTS AND VESSEL COLLISIONS. WE ALSO PUSHED FOR INCREASED FUNDING FOR NORTH ATLANTIC RIGHT WHALE CONSERVATION IN BOTH CHAMBERS.

RESPONSIBLE FISHING

WHILE OUR PREVIOUS RESPONSIBLE FISHING CAMPAIGN IS FINISHED, WE HAD SOME OUTSTANDING VICTORIES IN 2019.

ON OCTOBER 10, 2019, AFTER YEARS OF CAMPAIGN WORK BY OCEANA AND OUR PARTNERS, THE CALIFORNIA FISH AND GAME COMMISSION UNANIMOUSLY ADOPTED A

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FIRST-OF-ITS-KIND FISHERY MANAGEMENT PLAN FOR PACIFIC HERRING THAT WILL ENSURE A SUSTAINABLE HERRING FISHERY INTO THE FUTURE. WE ALSO SAW THE PACIFIC COUNCIL AUTHORIZE THE USE OF DEEP-SET BUOY GEAR IN THE SWORDFISH FISHERY OFF CALIFORNIA AS AN ALTERNATIVE TO THE DESTRUCTIVE DRIFT GILLNETS THAT ARE DEADLY TO MARINE MAMMALS AND SEA TURTLES, MANY OF WHICH ARE ENDANGERED.

TO HELP INCREASE CRITICAL OBSERVER COVERAGE IN THE GULF OF ALASKA TRAWL FISHERIES, WHICH HAVE VERY HIGH LEVELS OF BYCATCH, WE PERSUADED THE NORTH PACIFIC FISHERY MANAGEMENT COUNCIL TO AGREE TO TWO NEW MEASURES TO HELP FUND ADDITIONAL OBSERVERS (COVERAGE IS CURRENTLY ONLY ABOUT 25 PERCENT IN THE TRAWL FISHERIES). FIRST, THEY APPROVED AN INCREASE IN THE FEE THAT IS CHARGED TO PAY FOR THE OBSERVERS, WHICH SHOULD YIELD ENOUGH REVENUE TO BRING OBSERVER COVERAGE TO 100 PERCENT. THEN, THEY AGREED WITH OUR RECOMMENDATIONS ON COST CONTAINMENT MEASURES THAT WOULD MAKE THE PROGRAM MORE SUSTAINABLE AND DIRECTED THE NATIONAL MARINE FISHERY SERVICE TO IMPLEMENT THEM.

FORM 990, PART III, LINE 4C, PROGRAM SERVICE ACCOMPLISHMENTS, CON'T: OCEANA'S WAVEMAKERS, FACEBOOK/TWITTER/INSTAGRAM FOLLOWERS TOOK ACTION FOR OCEANA 27 MILLION TIMES, HANDILY BEATING THE 2019 GOAL OF 15 MILLION ACTIONS.

## PR AND MEDIA

WE PUBLISHED 18 BLOGS AND HAD 174 THOUGHT LEADERS SHARE OUR DIGITAL CONTENT.

EXCEEDED OUR 2019 GOAL OF 8,167 STRATEGIC MEDIA HITS.

WE PUBLISHED FIVE CEO NOTES.



Name of the organization

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WE EARNED OVER \$19 MILLION IN PSA PLACEMENT VALUE, BEATING OUR 2019  
GOAL \$2.5 MILLION.

WE PUBLISHED THE 2018-2019 ANNUAL REPORT AND THREE MAGAZINES.  
PUBLICATIONS

OCEANA PUBLISHED 40 REPORTS IN 2019:

UNITED STATES

CASTING A WIDER NET: MORE ACTION NEEDED TO STOP SEAFOOD FRAUD IN THE  
UNITED STATES (MARCH 2019)

DIRTY DRILLING: TRUMP ADMINISTRATION PROPOSALS WEAKEN KEY SAFETY  
PROTECTIONS AND RADICALLY EXPAND OFFSHORE DRILLING (APRIL 2019)

ILLEGAL FISHING AND HUMAN RIGHTS ABUSES AT SEA (JUNE 2019)

LAST CHANCE FOR SURVIVAL FOR NORTH ATLANTIC RIGHT WHALES (SEPTEMBER  
2019)

EUROPE

RESPONSIBLE SOURCING RECOMMENDATIONS FOR THE SPANISH SEAFOOD SUPPLY  
CHAIN (FEBRUARY 2019)

PROTECTING THE NORTH SEA: BROWN BANK (MAY 2019)

TOWARDS THE CREATION OF A MARINE PROTECTED AREA IN THE AEOLIAN ISLANDS  
(MAY 2019)

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PROTECTION BEYOND BORDERS: AN OPPORTUNITY FOR THE QUARK (DECEMBER 2019)

PROTECTING THE NORTH SEA: CLEAVER BANK (DECEMBER 2019)

PROTECTING THE NORTH SEA: HOLDERNESS (DECEMBER 2019)

PROTECTING THE NORTH SEA: NEW RESEARCH FOR BIODIVERSITY RECOVERY  
(DECEMBER 2019)

BRAZIL

DEMYSTIFYING MONITORING: THE ROLE OF CIVIL SOCIETY IN GENERATING DATA  
ON FISHING ACTIVITY (MARCH 2019)ARTISANAL MULLET FISHING IN THE MUNICIPALITY OF LAGUNA, SANTA CATARINA,  
WITH THE USE OF RINGED GILLNETS IN THE 2018 HARVEST (MARCH 2019)SPATIAL DYNAMICS OF THE RINGED GILLNET FLEET DURING THE MULLET HARVEST  
IN 2018 (MARCH 2019)EVALUATION OF THE MORPHOLOGICAL AND MERISTIC VARIABILITY OF THE MULLET  
LANDED IN THE SOUTHEASTERN AND SOUTHERN REGIONS OF BRAZIL AS A TOOL FOR  
THE IDENTIFICATION OF POPULATION SUBUNITS (MARCH 2019)CATCH QUOTAS APPLIED TO MULLET FISHING A CRITICAL EVALUATION OF THE  
2018 HARVEST (MARCH 2019)

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SIZE STRUCTURE OF MULLET CAPTURED BY THE RINGED GILLNET FLEET AND ITS  
RELATIONSHIP WITH THE DIFFERENT MESH SIZES USED (MARCH 2019)

CANADA

COMMENTS ON THE DRAFT NATIONAL FISHERY MONITORING POLICY (FEBRUARY  
2019)

COMMENTS ON THE DFO DOCUMENT FOR CONSULTATION: PROPOSED ELEMENTS OF A  
REGULATION TO LIST MAJOR FISH STOCKS AND TO DESCRIBE REQUIREMENTS FOR  
FISH STOCK REBUILDING PLANS (FEBRUARY 2019)

REBUILDING CANADA'S FISHERIES: SUBMISSION TO THE SENATE STANDING  
COMMITTEE ON FISHERIES AND OCEANS (MAY 2019)

THE IMPACT OF WIDESPREAD SEAFOOD MISLABELING ON CANADIANS: PRESENTATION  
TO THE HOUSE OF COMMONS STANDING COMMITTEE ON FISHERIES AND OCEANS (MAY  
2019)

ECONOMIC AND SOCIAL BENEFITS OF FISHERIES REBUILDING (MAY 2019)

OCEANS OF OPPORTUNITY: THE ECONOMIC CASE FOR REBUILDING NORTHERN COD  
(MAY 2019)

THE LAST 400: STRATEGIES FOR SAVING NORTH ATLANTIC RIGHT WHALES IN  
CANADA (SEPTEMBER 2019)

MISLABELED: MONTREAL INVESTIGATION RESULTS AND HOW TO FIX CANADA'S

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SEAFOOD FRAUD PROBLEM (OCTOBER 2019)

FISHERY AUDIT 2019 (NOVEMBER 2019)

CHILE

ANTIBIOTIC USE IN CHILEAN SALMON FARMING BETWEEN 2015 AND 2017 (APRIL  
2019)PROPOSAL TO LIMIT THE GENERATION OF DISPOSABLE PRODUCTS AND REGULATE  
PLASTICS (MAY 2019)

MEXICO

GATO X LIEBRE: THE FISH ON YOUR PLATE MAY NOT BE THE ONE YOU ORDERED  
(MARCH 2019)

MEXICO FISHERIES AUDIT (JUNE 2019)

PERU

GLOBAL FISHING WATCH USER MANUAL (JANUARY 2019)

TECHNOLOGICAL ALTERNATIVES FOR THE CONTROL OF DISCARDS AND REDUCTION OF  
CATCHES OF JUVENILES IN THE ANCHOVY FISHERY (JANUARY 2019)REGIONAL GOVERNMENTS AND FISHERIES MANAGEMENT: PLANS, COMPETENCIES AND  
BUDGETS (JANUARY 2019)

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ILLEGAL PRODUCTION OF FISHMEAL IN PERU (FEBRUARY 2019)

ANALYSIS OF THE NORMATIVE FRAMEWORK OF ELASMOBRANCHS WITH AN EMPHASIS  
ON SHARKS (FEBRUARY 2019)

KEYS TO THE 5-MILE ANCHOVY FISHING DEBATE IN THE SOUTH (MARCH 2019)

SHARK FIN IDENTIFICATION GUIDE IN PERU (MAY 2019)

THE VALUE CHAIN OF THE SHARK FISHERY IN PERU (JUNE 2019)

TOWARDS AN ECOSYSTEM FISHERIES POLICY IN PERU: ASPECTS AND CHALLENGES  
TO TAKE INTO ACCOUNT (AUGUST 2019)

FRAUD AND REPLACEMENT IN THE SALE OF FISH IN PERU (NOVEMBER 2019)

FORM 990, PART III, LINE 4D, OTHER PROGRAM SERVICES:

MARINE SCIENCE

EXPENSES \$ 1,571,045. INCLUDING GRANTS OF \$ 0. REVENUE \$ 0.

LAW

EXPENSES \$ 890,192. INCLUDING GRANTS OF \$ 0. REVENUE \$ 0.

FORM 990, PART V, LINE 4B, LIST OF FOREIGN COUNTRIES:

BELGIUM, BELIZE, CHILE, SPAIN,

UNITED KINGDOM, DENMARK, PHILIPPINES, BRAZIL,

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PERU, MEXICO

FORM 990, PART VI, SECTION A, LINE 2:

BOARD MEMBERS, SUSAN ROCKEFELLER AND DAVID ROCKEFELLER, JR., HAVE A FAMILY RELATIONSHIP.

BOARD MEMBERS HERBERT M. BEDOLFE, III AND SARA LOWELL BOTH SERVE AS EMPLOYEES AND OFFICERS OF THE MARISLA FOUNDATION. HERBERT SERVES AS THE EXECUTIVE DIRECTOR AND SARA SERVES AS THE SECRETARY/MARINE PROGRAM DIRECTOR.

FORM 990, PART VI, SECTION B, LINE 11B:

INFORMATION FOR THE FEDERAL FORM 990 COMES LARGELY FROM OCEANA'S INDEPENDENTLY AUDITED FINANCIAL STATEMENTS, WHICH CONSOLIDATES OCEANA'S ACTIVITIES ACROSS NATIONAL BOUNDARIES. THE ACCOUNTING DEPARTMENT COLLECTS THIS AND OTHER INFORMATION NEEDED FOR THE FEDERAL FORM 990, WHICH IS REVIEWED AND PRESENTED IN DRAFT FORM BY A TAX ACCOUNTING FIRM. AFTER APPROVAL BY SENIOR MANAGEMENT, THE FINAL DRAFT OF THE 990 IS PRESENTED TO THE BOARD FOR REVIEW BEFORE IT IS SUBMITTED TO THE INTERNAL REVENUE SERVICE.

FORM 990, PART VI, SECTION B, LINE 12C:

EVERY YEAR, OCEANA'S OFFICERS, DIRECTORS, AND KEY EMPLOYEES FILL OUT A DISCLOSURE REPORT ASKING THEM TO DISCLOSE ANY FAMILY OR BUSINESS RELATIONSHIPS THEY MAY HAVE WITH OTHER OCEANA OFFICERS, DIRECTORS, OR KEY EMPLOYEES, AS WELL AS ANY FINANCIAL CONFLICTS OF INTEREST THEY MAY HAVE.

IN ADDITION, OCEANA'S CONFLICT OF INTEREST POLICY REQUIRES ANY DIRECTOR OR

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OFFICER WHO IS AN INTERESTED PERSON WITH RESPECT TO A TRANSACTION OR ARRANGEMENT UNDER CONSIDERATION BY THE CORPORATION TO PROMPTLY DISCLOSE TO THE BOARD OF DIRECTORS OR THE BOARD'S DESIGNATE THE EXISTENCE AND NATURE OF HIS OR HER FINANCIAL INTEREST IN THE TRANSACTION OR ARRANGEMENT.

CONFLICTS OF INTEREST REPORTING:

ANY ACTUAL OR POTENTIAL CONFLICT OF INTEREST MUST BE DISCLOSED TO THE CEO; PRESIDENT AND GENERAL COUNSEL; CFO; OR GLOBAL DIRECTOR OF HUMAN RESOURCES, THE EXECUTIVE COMMITTEE MEMBER IN CHARGE OF THE COUNTRY OFFICE OR DEPARTMENT; OR THE OFFICE ADMINISTRATOR FOR THE COUNTRY OFFICE. THIS INCLUDES ACTUAL OR POTENTIAL CONFLICTS INVOLVING BUSINESS OR FINANCIAL INTEREST, FAMILY RELATIONSHIPS, OR SEXUAL/ROMANTIC RELATIONSHIPS.

THE CFO WILL DETERMINE WHETHER ANY STEPS MUST BE TAKEN TO AVOID AN APPEARANCE OR EXISTENCE OF A CONFLICT OF INTEREST OR THE CREATION OF AN ENVIRONMENT THAT OTHERS IN THE WORKPLACE MIGHT REASONABLY FIND TO BE UNPROFESSIONAL OR INAPPROPRIATE. SUCH STEPS, DEPENDING ON THE NATURE OF THE CONFLICT OF INTEREST, MIGHT INCLUDE, BUT ARE NOT LIMITED TO, DIVESTITURE OF ADVERSE INTERESTS, RECUSAL FROM CERTAIN DECISIONS, TRANSFER OF ONE OF THE EMPLOYEES TO ANOTHER DEPARTMENT (IF A POSITION IS AVAILABLE), CHANGING THE MANAGER FOR ONE OF THE EMPLOYEES, OR, WHEN OTHER OPTIONS ARE NOT FEASIBLE, THE TERMINATION OF EMPLOYMENT OF ONE OF THE EMPLOYEES.

EMPLOYEES WHO WISH TO PROVIDE SERVICES TO OR FOR THE BENEFIT OF ANY ENTITY OUTSIDE OCEANA MUST DISCLOSE SUCH PROPOSED ACTIVITY TO OCEANA, WHICH WILL MAKE APPROPRIATE DETERMINATIONS IN ACCORDANCE WITH THE ORGANIZATION'S GLOBAL CODE OF ETHICS.

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FAMILY RELATIONSHIPS (NEPOTISM): OCEANA WILL NOT ALLOW A

SUPERVISOR/SUBORDINATE RELATIONSHIP TO EXIST BETWEEN FAMILY RELATIVES.

SEXUAL/ROMANTIC RELATIONSHIPS: ROMANTIC RELATIONSHIPS BETWEEN EMPLOYEES

THAT CONSTITUTE AN ACTUAL OR REASONABLY-PERCEIVED CONFLICT OF INTEREST ARE PROHIBITED.

FORM 990, PART VI, SECTION B, LINE 13

WHISTLEBLOWING AND REPORTING VIOLATIONS:

OCEANA NEEDS AND EXPECTS THE SUPPORT AND COOPERATION OF ITS EMPLOYEES TO ENFORCE ITS POLICIES. EMPLOYEES WHO HAVE EXPERIENCED, OBSERVED, OR LEARNED ABOUT CONDUCT THEY BELIEVE IS CONTRARY TO OCEANA'S POLICES OR CODE OF ETHICS MUST REPORT SUCH VIOLATIONS (OR POTENTIAL OR SUSPECTED VIOLATIONS).

OCEANA PROVIDES TWO WAYS TO REPORT VIOLATIONS.

FIRST, VIOLATIONS MAY BE REPORTED THROUGH A REPORTING SYSTEM THAT OCEANA HAS SET UP THROUGH AN ONLINE WEBSITE OR BY CALLING THE PHONE NUMBER LISTED FOR EACH COUNTRY ON THAT WEBSITE. THE SITE IS CONFIDENTIAL, EASY TO USE, AND ALWAYS AVAILABLE. EMPLOYEES HAVE THE OPTION TO DISCLOSE THEIR IDENTITY OR MAKE A REPORT ANONYMOUSLY; HOWEVER, DISCLOSING IDENTITY IS STRONGLY ENCOURAGED TO ENABLE OCEANA TO CONDUCT A THOROUGH INVESTIGATION, ESPECIALLY IN THE CASE OF A POLICY THAT PROTECTS INDIVIDUALS (FOR EXAMPLE, CONCERNING SEXUAL HARASSMENT OR DISCRIMINATION).

ANY REPORT THAT IMPLICATES THE CEO; PRESIDENT AND GENERAL COUNSEL; OR CFO WILL BE FORWARDED BY THE THIRD PARTY ADMINISTRATOR OF THE WEBSITE TO THE CHAIR, VICE CHAIR AND TREASURER OF OCEANA'S BOARD OF DIRECTORS.



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SECOND, VIOLATIONS MAY BE REPORTED TO THE APPROPRIATE STAFF PERSON, AS FOLLOWS.

THE VIOLATION MUST BE REPORTED TO THE CEO; PRESIDENT AND GENERAL COUNSEL; CFO; OR GLOBAL DIRECTOR OF HUMAN RESOURCES, IF THE VIOLATION INVOLVES ONE OF THE FOLLOWING ISSUES:

- SEXUAL OR OTHER HARASSMENT
- UNLAWFUL DISCRIMINATION
- FINANCIAL MISCONDUCT OR MISREPORTING
- BRIBERY OR CORRUPTION
- RETALIATION FOR REPORTING ANY VIOLATION

IF THE VIOLATION INVOLVES ANY OTHER ISSUE, THE REPORT MUST BE MADE TO ANY OF THE FOLLOWING: CEO; PRESIDENT AND GENERAL COUNSEL; CFO; OR GLOBAL DIRECTOR OF HUMAN RESOURCES; THE EXECUTIVE COMMITTEE MEMBER IN CHARGE OF THE COUNTRY OFFICE OR DEPARTMENT; OR THE OFFICE ADMINISTRATOR FOR THE COUNTRY OFFICE.

INVESTIGATION: WHEN AN EMPLOYEE REPORTS A VIOLATION OF THIS CODE, OCEANA WILL INVESTIGATE AND TAKE CORRECTIVE ACTION AS WARRANTED UNDER THE CIRCUMSTANCES. THE STEPS TO BE TAKEN DURING THE INVESTIGATION ARE NOT FIXED IN ADVANCE (EXCEPT AS REQUIRED BY APPLICABLE LAW), BUT INSTEAD WILL VARY DEPENDING UPON THE NATURE OF THE ALLEGATIONS. SUCH INVESTIGATION WILL REMAIN CONFIDENTIAL TO THE EXTENT CONSISTENT WITH EFFECTIVELY UNDERSTANDING THE FACTS AND TAKING CORRECTIVE MEASURES.

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RESOLVING THE MATTER: IF OCEANA DETERMINES THAT A VIOLATION HAS OCCURRED, THE COMPANY WILL TAKE APPROPRIATE REMEDIAL ACTION TO CORRECT THE SITUATION. ANY EMPLOYEE DETERMINED BY OCEANA TO BE RESPONSIBLE FOR A VIOLATION WILL BE SUBJECT TO APPROPRIATE DISCIPLINARY ACTION, SUBJECT TO APPLICABLE LAW, UP TO AND INCLUDING TERMINATION. IT IS A CONDITION OF EMPLOYMENT THAT EMPLOYEES COOPERATE WITH ALL OCEANA INVESTIGATIONS. IN ADDITION, OCEANA MAY CHOOSE TO TAKE ACTION EVEN IF IT CONCLUDES THAT THE ALLEGED CONDUCT NEITHER VIOLATES OCEANA'S GLOBAL CODE OF ETHICS NOR THE LAW, BUT SUCH CONDUCT WAS IMPERMISSIBLY INTERFERING WITH THE WORK ENVIRONMENT.

NO RETALIATION: IT IS A VIOLATION TO RETALIATE AGAINST AN INDIVIDUAL WHO REPORTS INCIDENTS THAT HE OR SHE BELIEVES TO BE VIOLATIONS OF OCEANA'S GLOBAL CODE OF ETHICS, OR WHO COOPERATES IN AN INVESTIGATION OF A VIOLATION. RETALIATION IS A SERIOUS VIOLATION AND SHOULD BE REPORTED IMMEDIATELY. THE REPORT AND INVESTIGATION OF ALLEGATIONS OF RETALIATION WILL FOLLOW THE PROCEDURES SET FORTH. ANY PERSON FOUND TO HAVE RETALIATED AGAINST AN INDIVIDUAL FOR REPORTING DISCRIMINATORY HARASSMENT OR PARTICIPATING IN AN INVESTIGATION OF ALLEGATIONS OF SUCH CONDUCT WILL BE SUBJECT TO APPROPRIATE DISCIPLINARY ACTION.

FORM 990, PART VI, SECTION B, LINE 15:

OCEANA'S PROCESS FOR DETERMINING COMPENSATION OF ITS CEO, OFFICERS, AND KEY EMPLOYEES IS AS FOLLOWS: ANNUALLY, OCEANA PROVIDES THE BOARD DIRECTORS WITH DATA FROM MULTIPLE SOURCES ON COMPARABLE SALARIES AND BENEFITS IN OTHER NONPROFIT ORGANIZATIONS, ESPECIALLY BUT NOT LIMITED TO THOSE IN THE CONSERVATION FIELD, FOR OCEANA'S CEO. THE BOARD REVIEWS AND DISCUSSES THE COMPENSATION DATA AS WELL AS THE CEO'S ACHIEVEMENTS FOR THE PRIOR YEAR AS WELL AS HIS PROPOSED GOALS FOR THE NEXT YEAR BEFORE TAKING A DECISION ON

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ANY ADJUSTMENTS TO THE CEO COMPENSATION OF BENEFITS.

OCEANA PROVIDES THE FINANCE AND AUDIT COMMITTEE OF THE BOARD DIRECTORS WITH DATA FROM MULTIPLE SOURCES ON COMPARABLE SALARIES AND BENEFITS IN OTHER NONPROFIT ORGANIZATIONS, ESPECIALLY BUT NOT LIMITED TO THOSE IN THE CONSERVATION FIELD, FOR OCEANA'S OFFICERS, TOP MANAGEMENT, AND KEY EMPLOYEES ("THE EXECUTIVE TEAM", OR "EC"). THE COMMITTEE DISCUSSES EACH OF THE EC MEMBER'S ACHIEVEMENTS FOR THE PRIOR YEAR AS WELL AS HER/HIS PROPOSED GOALS FOR THE NEXT YEAR. THE COMMITTEE REVIEWS THESE DATA TO DETERMINE IF THE COMPENSATION IS REASONABLE AND THAT OCEANA HAS NOT ENGAGED IN AN EXCESS BENEFIT TRANSACTION WITH ANY INDIVIDUAL IN A POSITION TO SUBSTANTIALLY INFLUENCE THE ORGANIZATION'S AFFAIRS.

THE BOARD OF DIRECTORS AND AUDIT AND FINANCE COMMITTEE DISCUSSIONS ARE DOCUMENTED IN THE MINUTES OF THE RESPECTIVE BODIES.

OCEANA REGULARLY CONDUCTS COMPENSATION REVIEWS, MOST RECENTLY IN OCTOBER 2019.

FORM 990, PART VI, LINE 17, LIST OF STATES RECEIVING COPY OF FORM 990:

AK,AL,AR,AZ,CA,CO,CT,DE,FL,GA,HI,IA,ID,IL,IN,KS,KY,LA,MA,MD,ME,MI,MN,MO,MS  
MT,NC,ND,NE,NH,NJ,NM,NV,NY,OH,OK,OR,PA,RI,SC,SD,TN,TX,UT,VA,VT,WA,WI,WV,WY

FORM 990, PART VI, SECTION C, LINE 19:

OCEANA POSTS ANNUAL REPORTS, ITS AUDITED FINANCIAL STATEMENTS, AND THE PUBLIC DISCLOSURE COPY OF ITS IRS FORM 990 ON ITS WEBSITE, WWW.OCEANA.ORG. IT ALSO SHARES RELEVANT INFORMATION WITH INDEPENDENT WATCHDOG ORGANIZATIONS SUCH AS GUIDESTAR, CHARITY NAVIGATOR AND THE BETTER BUSINESS BUREAU TO

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ALLOW THESE ORGANIZATIONS INDEPENDENT ASSESSMENT OF OCEANA'S ACCOUNTABILITY AND TRANSPARENCY.

OCEANA'S ARTICLES OF INCORPORATION, BY-LAWS AND FORM 1023 ARE AVAILABLE ON OCEANA'S WEBSITE AND TO MEMBERS OF THE PUBLIC UPON WRITTEN REQUEST.

OCEANA'S ARTICLES OF INCORPORATION, AS WELL AS A CERTIFICATE OF GOOD STANDING, ARE ALSO INDEPENDENTLY AVAILABLE THROUGH THE DEPARTMENT OF CONSUMER AND REGULATORY AFFAIRS FOR THE DISTRICT OF COLUMBIA (WHERE OCEANA, INC. IS INCORPORATED), THOUGH THERE IS A FEE FOR THIS SERVICE.

FORM 990, PART XI, LINE 9, CHANGES IN NET ASSETS:

ACQUISITION OF ASSETS FROM DISSOLVED AFFILIATE 117,468.

FORM 990

THIS RETURN PRESENTS CONSOLIDATED FINANCIAL STATEMENTS FOR OCEANA, INC.

AND ITS NON-U.S. AFFILIATES. OCEANA HAS OFFICES IN SPAIN, BRAZIL,

DENMARK, BELGIUM, MEXICO, PHILIPPINES, BELIZE, LONDON, CHILE AND PERU

FOR THE PURPOSE OF BUILDING AN INTERNATIONAL MOVEMENT TO SAVE THE OCEAN

THROUGH PUBLIC POLICY ADVOCACY, SCIENCE AND ECONOMICS, LEGAL ACTION,

GRASSROOTS MOBILIZATION, AND PUBLIC EDUCATION. THE OPERATIONS IN SPAIN,

BELIZE, BRAZIL, MEXICO, SWITZERLAND, AND THE UNITED KINGDOM ARE

INCORPORATED AS INDEPENDENT ENTITIES IN THOSE COUNTRIES UNDER LOCAL

LAW. HOWEVER, THESE ENTITIES ARE DEPENDENT ON OCEANA FOR FUNDING,

PARTICIPATE IN OCEANA ACTIVITIES AND DECISION-MAKING, AND CARRY OUT THE

GENERAL MISSION AND INTERNATIONAL ACTIVITIES OF OCEANA.

**SCHEDULE R  
(Form 990)**

Department of the Treasury  
Internal Revenue Service

**Related Organizations and Unrelated Partnerships**

► Complete if the organization answered "Yes" on Form 990, Part IV, line 33, 34, 35b, 36, or 37.

► Attach to Form 990.

► Go to [www.irs.gov/Form990](http://www.irs.gov/Form990) for instructions and the latest information.

OMB No. 1545-0047

**2019**

**Open to Public  
Inspection**

Name of the organization

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**Part I Identification of Disregarded Entities.** Complete if the organization answered "Yes" on Form 990, Part IV, line 33.

(a) Name, address, and EIN (if applicable) of disregarded entity	(b) Primary activity	(c) Legal domicile (state or foreign country)	(d) Total income	(e) End-of-year assets	(f) Direct controlling entity

**Part II Identification of Related Tax-Exempt Organizations.** Complete if the organization answered "Yes" on Form 990, Part IV, line 34, because it had one or more related tax-exempt organizations during the tax year.

(a) Name, address, and EIN of related organization	(b) Primary activity	(c) Legal domicile (state or foreign country)	(d) Exempt Code section	(e) Public charity status (if section 501(c)(3))	(f) Direct controlling entity	(g) Section 512(b)(13) controlled entity?	
						Yes	No
OCEANA ADVOCACY RESOURCES, INC. - 31-1814181 1025 CONNECTICUT AVENUE, NW, #200 WASHINGTON, DC 20036	LOBBYING	DISTRICT OF COLUMBIA	501(C)(4)	N/A	OCEANA, INC.	X	
FUNDACION OCEANA GRAN VIA 59, 9TH FLOOR MADRID, SPAIN 28013	PROTECTING THE WORLD'S OCEANS TO SUSTAIN THE CIRCLE OF LIFE.	SPAIN	N/A	N/A	OCEANA, INC.	X	
OCEANA UK 2-6 CANNON STREET, EC4M 6YH LONDON, UNITED KINGDOM EC4M 6YH	PROTECTING THE WORLD'S OCEANS TO SUSTAIN THE CIRCLE OF LIFE.	UNITED KINGDOM	N/A	N/A	OCEANA, INC.	X	
OCEANA IN BELIZE 2385 HIBISCUS STREET BELMOPAN, BELIZE	PROTECTING THE WORLD'S OCEANS TO SUSTAIN THE CIRCLE OF LIFE.	BELIZE	N/A	N/A	OCEANA, INC.	X	

For Paperwork Reduction Act Notice, see the Instructions for Form 990.

Schedule R (Form 990) 2019

**Part II Continuation of Identification of Related Tax-Exempt Organizations**

[illegible]

**Part III Identification of Related Organizations Taxable as a Partnership.** Complete if the organization answered "Yes" on Form 990, Part IV, line 34, because it had one or more related organizations treated as a partnership during the tax year.

[illegible]

**Part IV Identification of Related Organizations Taxable as a Corporation or Trust.** Complete if the organization answered "Yes" on Form 990, Part IV, line 34, because it had one or more related organizations treated as a corporation or trust during the tax year.

(a) Name, address, and EIN of related organization	(b) Primary activity	(c) Legal domicile (state or foreign country)	(d) Direct controlling entity	(e) Type of entity (C corp, S corp, or trust)	(f) Share of total income	(g) Share of end-of-year assets	(h) Percentage ownership	(i) Section 512(b)(13) controlled entity?	
								Yes	No

**COPY**

**Part V Transactions With Related Organizations.** Complete if the organization answered "Yes" on Form 990, Part IV, line 34, 35b, or 36.**Note:** Complete line 1 if any entity is listed in Parts II, III, or IV of this schedule.

	Yes	No
<b>1</b> During the tax year, did the organization engage in any of the following transactions with one or more related organizations listed in Parts II-IV?		
<b>a</b> Receipt of (i) interest, (ii) annuities, (iii) royalties, or (iv) rent from a controlled entity .....	<b>1a</b>	X
<b>b</b> Gift, grant, or capital contribution to related organization(s) .....	<b>1b</b>	X
<b>c</b> Gift, grant, or capital contribution from related organization(s) .....	<b>1c</b>	X
<b>d</b> Loans or loan guarantees to or for related organization(s) .....	<b>1d</b>	X
<b>e</b> Loans or loan guarantees by related organization(s) .....	<b>1e</b>	X
<b>f</b> Dividends from related organization(s) .....	<b>1f</b>	X
<b>g</b> Sale of assets to related organization(s) .....	<b>1g</b>	X
<b>h</b> Purchase of assets from related organization(s) .....	<b>1h</b>	X
<b>i</b> Exchange of assets with related organization(s) .....	<b>1i</b>	X
<b>j</b> Lease of facilities, equipment, or other assets to related organization(s) .....	<b>1j</b>	X
<b>k</b> Lease of facilities, equipment, or other assets from related organization(s) .....	<b>1k</b>	X
<b>l</b> Performance of services or membership or fundraising solicitations for related organization(s) .....	<b>1l</b>	X
<b>m</b> Performance of services or membership or fundraising solicitations by related organization(s) .....	<b>1m</b>	X
<b>n</b> Sharing of facilities, equipment, mailing lists, or other assets with related organization(s) .....	<b>1n</b>	X
<b>o</b> Sharing of paid employees with related organization(s) .....	<b>1o</b>	X
<b>p</b> Reimbursement paid to related organization(s) for expenses .....	<b>1p</b>	X
<b>q</b> Reimbursement paid by related organization(s) for expenses .....	<b>1q</b>	X
<b>r</b> Other transfer of cash or property to related organization(s) .....	<b>1r</b>	X
<b>s</b> Other transfer of cash or property from related organization(s) .....	<b>1s</b>	X
<b>2</b> If the answer to any of the above is "Yes," see the instructions for information on who must complete this line, including covered relationships and transaction thresholds.		

(a) Name of related organization	(b) Transaction type (a-s)	(c) Amount involved	(d) Method of determining amount involved
(1) FUNDACION OCEANA	B	3,213,448.	COST
(2) OCEANA BRASIL	B	1,290,219.	COST
(3) OCEANA IN BELIZE	B	639,273.	COST
(4) OCEANA MEXICO	B	997,716.	COST
(5)			
(6)			



**Part VI** **Unrelated Organizations Taxable as a Partnership.** Complete if the organization answered "Yes" on Form 990, Part IV, line 37.

Provide the following information for each entity taxed as a partnership through which the organization conducted more than five percent of its activities (measured by total assets or gross revenue) that was not a related organization. See instructions regarding exclusion for certain investment partnerships.

[illegible]

Provide additional information for responses to questions on Schedule R. See instructions.