

Form **990**

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 for instructions and the latest information.

OMB No. 1545-0047

2020

Open to Public Inspection

Department of the Treasury
Internal Revenue Service

A For the 2020 calendar year, or tax year beginning

and ending

B Check if applicable:

- ☐ Address change
☐ Name change
☐ Initial return
☐ Final return/terminated
☐ Amended return
☐ Application pending

C Name of organization

OCEANA, INC.

Doing business as

Number and street (or P.O. box if mail is not delivered to street address) Room/suite
1025 CONNECTICUT AVENUE, NW 200

City or town, state or province, country, and ZIP or foreign postal code
WASHINGTON, DC 20036

**F Name and address of principal officer: CHRISTOPHER M. SHARKEY
SAME AS C ABOVE**

D Employer identification number

51-0401308

E Telephone number
(202) 833-3900

G Gross receipts \$ 37,499,299.

H(a) Is this a group return for subordinates? ☐ Yes ☒ No

H(b) Are all subordinates included? ☐ Yes ☐ No
If "No," attach a list. See instructions

H(c) Group exemption number ▶

I Tax-exempt status: ☒ 501(c)(3) ☐ 501(c)() (insert no.) ☐ 4947(a)(1) or ☐ 527

J Website: ▶ **WWW.OCEANA.ORG**

K Form of organization: ☒ Corporation ☐ Trust ☐ Association ☐ Other ▶

L Year of formation: **2001** **M State of legal domicile:** **DC**

Part I Summary

Activities & Governance	1 Briefly describe the organization's mission or most significant activities: TO ADVOCATE FOR POLICY CHANGES BY GOVERNMENTS AND CORPORATIONS IN ORDER TO PRESERVE OCEAN LIFE AND		
	2 Check this box <input type="checkbox"/> if the organization discontinued its operations or disposed of more than 25% of its net assets.		
	3	Number of voting members of the governing body (Part VI, line 1a)	24
	4	Number of independent voting members of the governing body (Part VI, line 1b)	22
	5	Total number of individuals employed in calendar year 2020 (Part V, line 2a)	148
	6	Total number of volunteers (estimate if necessary)	15166
		7a	Total unrelated business revenue from Part VIII, column (C), line 12
7b		Net unrelated business taxable income from Form 990-T, Part I, line 11	0.
Revenue	8	Contributions and grants (Part VIII, line 1h)	38,559,747.
	9	Program service revenue (Part VIII, line 2g)	17,312.
	10	Investment income (Part VIII, column (A), lines 3, 4, and 7d)	39,833.
	11	Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e)	15,583.
	12	Total revenue - add lines 8 through 11 (must equal Part VIII, column (A), line 12)	38,632,475.
Expenses	13	Grants and similar amounts paid (Part IX, column (A), lines 1-3)	1,061,781.
	14	Benefits paid to or for members (Part IX, column (A), line 4)	0.
	15	Salaries, other compensation, employee benefits (Part IX, column (A), lines 5-10)	22,280,365.
	16a	Professional fundraising fees (Part IX, column (A), line 11e)	248,931.
	b	Total fundraising expenses (Part IX, column (D), line 25) ▶	2,403,948.
	17	Other expenses (Part IX, column (A), lines 11a-11d, 11f-24e)	12,414,122.
	18	Total expenses. Add lines 13-17 (must equal Part IX, column (A), line 25)	36,005,199.
Net Assets or Fund Balances	19	Revenue less expenses. Subtract line 18 from line 12	2,627,276.
	20	Total assets (Part X, line 16)	60,289,592.
	21	Total liabilities (Part X, line 26)	6,196,068.
	22	Net assets or fund balances. Subtract line 21 from line 20	54,093,524.
			57,359,591.

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.

Sign Here Signature of officer **CHRISTOPHER M. SHARKEY, CHIEF FINANCIAL OFFICER**
Date **23 July 2021**
Type or print name and title

Paid Preparer Use Only Print/Type preparer's name **AARON M. FOX** Preparer's signature **07/13/21** Check ☐ if self-employed PTIN **P01365820**
Firm's name ▶ **MARCUM, LLP** Firm's EIN ▶ **11-1986323**
Firm's address ▶ **1899 L STREET, NW, SUITE 850 WASHINGTON, DC 20036** Phone no. (202) **227-4000**

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

032001 12-23-20

LHA For Paperwork Reduction Act Notice, see the separate instructions.

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SEE SCHEDULE O FOR ORGANIZATION MISSION STATEMENT CONTINUATION

COPY

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

- 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 \$
- 11,386,810.
- including grants of \$
- 571,043.
-) (Revenue \$)
-
- INTERNATIONAL**

BELIZE**BAN GILLNETS**

IN AUGUST 2020, OCEANA AND THE COALITION FOR SUSTAINABLE FISHERIES CONVINCED THE BELIZEAN GOVERNMENT TO SIGN AN AGREEMENT COMMITTING TO BAN GILLNETS BY 2022 AT THE LATEST. JUST A FEW MONTHS AFTER SIGNING THIS DOCUMENT, IN NOVEMBER, THE GOVERNMENT OF BELIZE SIGNED INTO LAW STATUTORY INSTRUMENT 158 OF 2020, IMMEDIATELY BANNING ALL GILLNETS. THIS SIGNING WAS IN LARGE PART DUE TO FUNDRAISING EFFORTS FROM OCEANA AND THE COALITION. OCEANA WAS ABLE TO FINALIZE COMMITMENTS FROM FOUNDATIONS AND INDIVIDUAL DONORS TOTALING \$1 MILLION BZD FOR THE

- 4b**
- (Code:) (Expenses \$
- 10,177,409.
- including grants of \$
- 485,618.
-) (Revenue \$)
-
- UNITED STATES**

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

STOP EXPANDED OFFSHORE DRILLING

THANKS TO OCEANA AND OUR PARTNERS, THE TRUMP ADMINISTRATION WAS NOT ABLE TO FINALIZE ITS REVISED FIVE-YEAR OIL AND GAS LEASING PLAN THAT WOULD HAVE INCLUDED EXPANDED LEASE SALES FOR OFFSHORE DRILLING IN MORE

- 4c**
- (Code:) (Expenses \$
- 1,806,408.
- including grants of \$) (Revenue \$)
-
- MARKETING AND COMMUNICATIONS**

KEY ACHIEVEMENTS OF OCEANA'S MARKETING AND COMMUNICATIONS DEPARTMENT IN 2020 ARE HIGHLIGHTED BELOW.

ONLINE COMMUNICATIONS

- OCEANA GREW OUR GRASSROOTS BASE TO 5.4 MILLION ORGANIZATIONAL SUPPORTERS. OCEANA HAS MORE THAN 7 MILLION SUPPORTERS WORLDWIDE. REGIONAL SOCIAL MEDIA ACCOUNTS NUMBER MORE THAN 6 MILLION SUPPORTERS WORLDWIDE.

- OCEANA'S WAVEMAKERS AND FACEBOOK/TWITTER/INSTAGRAM FOLLOWERS ACTED AND ENGAGED WITH OCEANA 35 MILLION TIMES REACHING OUR YEAR-END GOAL.

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

(Expenses \$ 2,305,428. including grants of \$ 59,297.) (Revenue \$)

- 4e**
- Total program service expenses
- 25,676,055.**

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Part IV Checklist of Required Schedules

	Yes	No
1 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>	1 X	
2 Is the organization required to complete <i>Schedule B, Schedule of Contributors</i> ?	2 X	
3 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>	3	X
4 Section 501(c)(3) organizations. 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>	4 X	
5 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>	5	X
6 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>	6	X
7 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>	7	X
8 Did the organization maintain collections of works of art, historical treasures, or other similar assets? <i>If "Yes," complete Schedule D, Part III</i>	8	X
9 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>	9	X
10 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>	10	X
11 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.		
a 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>	11a X	
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>	11b	X
c 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>	11c	X
d 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>	11d	X
e Did the organization report an amount for other liabilities in Part X, line 25? <i>If "Yes," complete Schedule D, Part X</i>	11e X	
f 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>	11f X	
12a Did the organization obtain separate, independent audited financial statements for the tax year? <i>If "Yes," complete Schedule D, Parts XI and XII</i>	12a	X
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>	12b X	
13 Is the organization a school described in section 170(b)(1)(A)(ii)? <i>If "Yes," complete Schedule E</i>	13	X
14a Did the organization maintain an office, employees, or agents outside of the United States?	14a X	
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>	14b X	
15 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>	15 X	
16 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>	16 X	
17 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>	17 X	
18 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>	18 X	
19 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>	19	X
20a Did the organization operate one or more hospital facilities? <i>If "Yes," complete Schedule H</i>	20a	X
b If "Yes" to line 20a, did the organization attach a copy of its audited financial statements to this return?	20b	
21 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>	21 X	

Part IV Checklist of Required Schedules (continued)

	Yes	No
22 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>	22	X
23 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>	23	X
24a 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>	24a	X
b Did the organization invest any proceeds of tax-exempt bonds beyond a temporary period exception?	24b	
c Did the organization maintain an escrow account other than a refunding escrow at any time during the year to defease any tax-exempt bonds?	24c	
d Did the organization act as an "on behalf of" issuer for bonds outstanding at any time during the year?	24d	
25a Section 501(c)(3), 501(c)(4), and 501(c)(29) organizations. 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>	25a	X
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>	25b	X
26 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>	26	X
27 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>	27	X
28 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):		
a A current or former officer, director, trustee, key employee, creator or founder, or substantial contributor? <i>If "Yes," complete Schedule L, Part IV</i>	28a	X
b A family member of any individual described in line 28a? <i>If "Yes," complete Schedule L, Part IV</i>	28b	X
c 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>	28c	X
29 Did the organization receive more than \$25,000 in non-cash contributions? <i>If "Yes," complete Schedule M</i>	29	X
30 Did the organization receive contributions of art, historical treasures, or other similar assets, or qualified conservation contributions? <i>If "Yes," complete Schedule M</i>	30	X
31 Did the organization liquidate, terminate, or dissolve and cease operations? <i>If "Yes," complete Schedule N, Part I</i>	31	X
32 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>	32	X
33 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>	33	X
34 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>	34	X
35a Did the organization have a controlled entity within the meaning of section 512(b)(13)?	35a	X
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>	35b	X
36 Section 501(c)(3) organizations. Did the organization make any transfers to an exempt non-charitable related organization? <i>If "Yes," complete Schedule R, Part V, line 2</i>	36	X
37 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>	37	X
38 Did the organization complete Schedule O and provide explanations in Schedule O for Part VI, lines 11b and 19? Note: All Form 990 filers are required to complete Schedule O	38	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
1a Enter the number reported in Box 3 of Form 1096. Enter -0- if not applicable	1a	71
b Enter the number of Forms W-2G included in line 1a. Enter -0- if not applicable	1b	0
c Did the organization comply with backup withholding rules for reportable payments to vendors and reportable gaming (gambling) winnings to prize winners?	1c	X

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

	Yes	No
2a 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		
2a 148		
b If at least one is reported on line 2a, did the organization file all required federal employment tax returns?	2b X	
Note: If the sum of lines 1a and 2a is greater than 250, you may be required to e-file (see instructions)		
3a Did the organization have unrelated business gross income of \$1,000 or more during the year?	3a	X
b If "Yes," has it filed a Form 990-T for this year? If "No" to line 3b, provide an explanation on Schedule O	3b	
4a 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)?	4a X	
b If "Yes," enter the name of the foreign country SEE SCHEDULE O See instructions for filing requirements for FinCEN Form 114, Report of Foreign Bank and Financial Accounts (FBAR).		
5a Was the organization a party to a prohibited tax shelter transaction at any time during the tax year?	5a	X
b Did any taxable party notify the organization that it was or is a party to a prohibited tax shelter transaction?	5b	X
c If "Yes" to line 5a or 5b, did the organization file Form 8886-T?	5c	
6a 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?	6a	X
b If "Yes," did the organization include with every solicitation an express statement that such contributions or gifts were not tax deductible?	6b	
7 Organizations that may receive deductible contributions under section 170(c).		
a 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?	7a X	
b If "Yes," did the organization notify the donor of the value of the goods or services provided?	7b X	
c Did the organization sell, exchange, or otherwise dispose of tangible personal property for which it was required to file Form 8282?	7c	X
d If "Yes," indicate the number of Forms 8282 filed during the year	7d	
e Did the organization receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?	7e	X
f Did the organization, during the year, pay premiums, directly or indirectly, on a personal benefit contract?	7f	X
g If the organization received a contribution of qualified intellectual property, did the organization file Form 8899 as required?	7g	
h If the organization received a contribution of cars, boats, airplanes, or other vehicles, did the organization file a Form 1098-C?	7h	
8 Sponsoring organizations maintaining donor advised funds. Did a donor advised fund maintained by the sponsoring organization have excess business holdings at any time during the year?	8	
9 Sponsoring organizations maintaining donor advised funds.		
a Did the sponsoring organization make any taxable distributions under section 4966?	9a	
b Did the sponsoring organization make a distribution to a donor, donor advisor, or related person?	9b	
10 Section 501(c)(7) organizations. Enter:		
a Initiation fees and capital contributions included on Part VIII, line 12	10a	
b Gross receipts, included on Form 990, Part VIII, line 12, for public use of club facilities	10b	
11 Section 501(c)(12) organizations. Enter:		
a Gross income from members or shareholders	11a	
b Gross income from other sources (Do not net amounts due or paid to other sources against amounts due or received from them.)	11b	
12a Section 4947(a)(1) non-exempt charitable trusts. Is the organization filing Form 990 in lieu of Form 1041?	12a	
b If "Yes," enter the amount of tax-exempt interest received or accrued during the year	12b	
13 Section 501(c)(29) qualified nonprofit health insurance issuers.		
a Is the organization licensed to issue qualified health plans in more than one state?	13a	
Note: See the instructions for additional information the organization must report on Schedule O.		
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	13b	
c Enter the amount of reserves on hand	13c	
14a Did the organization receive any payments for indoor tanning services during the tax year?	14a	X
b If "Yes," has it filed a Form 720 to report these payments? If "No," provide an explanation on Schedule O	14b	
15 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?	15	X
If "Yes," see instructions and file Form 4720, Schedule N.		
16 Is the organization an educational institution subject to the section 4968 excise tax on net investment income?	16	X
If "Yes," complete Form 4720, Schedule O.		

Form 990 (2020)

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	1b	2	3	4	5	6	7a	7b	8a	8b	9	Yes	No
1a Enter the number of voting members of the governing body at the end of the tax year	24													
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 Enter the number of voting members included on line 1a, above, who are independent		22												
2 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?			2							X				
3 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?				3										X
4 Did the organization make any significant changes to its governing documents since the prior Form 990 was filed?					4									X
5 Did the organization become aware during the year of a significant diversion of the organization's assets?						5								X
6 Did the organization have members or stockholders?							6							X
7a 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?								7a						X
b Are any governance decisions of the organization reserved to (or subject to approval by) members, stockholders, or persons other than the governing body?									7b					X
8 Did the organization contemporaneously document the meetings held or written actions undertaken during the year by the following:														
a The governing body?										8a			X	
b Each committee with authority to act on behalf of the governing body?											8b		X	
9 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												9		X

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

	10a	10b	11a	12a	12b	12c	13	14	15a	15b	16a	16b	Yes	No
10a Did the organization have local chapters, branches, or affiliates?													X	
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	
11a Has the organization provided a complete copy of this Form 990 to all members of its governing body before filing the form?													X	
b Describe in Schedule O the process, if any, used by the organization to review this Form 990.														
12a Did the organization have a written conflict of interest policy? If "No," go to line 13													X	
b Were officers, directors, or trustees, and key employees required to disclose annually interests that could give rise to conflicts?													X	
c Did the organization regularly and consistently monitor and enforce compliance with the policy? If "Yes," describe in Schedule O how this was done													X	
13 Did the organization have a written whistleblower policy?													X	
14 Did the organization have a written document retention and destruction policy?													X	
15 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?														
a The organization's CEO, Executive Director, or top management official													X	
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).														
16a 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 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 ContractorsCheck 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) ANDREW F. SHARPLESS CHIEF EXECUTIVE OFFICER	40.00 1.00			X				454,319.	0.	43,564.
(2) JAMES F. SIMON PRESIDENT & GENERAL COUNSEL	40.00 1.00			X				358,405.	0.	44,673.
(3) CHRISTOPHER M. SHARKEY CHIEF FINANCIAL OFFICER	40.00 1.00			X				272,669.	0.	39,833.
(4) JACQUELINE SAVITZ SVP, UNITED STATES	40.00				X			259,834.	0.	33,520.
(5) NANCY GOLDEN VICE PRESIDENT OF DEVELOPM	40.00				X			254,194.	0.	32,873.
(6) MATTHEW M. LITTLEJOHN SVP, STRATEGIC MKTG & COMM	40.00					X		237,074.	0.	33,263.
(7) KATHY WHELPLEY SR DIRECTOR, INSTITUTIONAL	40.00					X		221,124.	0.	39,531.
(8) PASCALE MOEHRLE EXECUTIVE DIRECTOR, EUROPE	40.00				X			216,403.	0.	0.
(9) SUSAN MURRAY DEPUTY VP, PACIFIC	40.00					X		181,981.	0.	28,787.
(10) KATHRYN MATTHEWS CHIEF SCIENTIST	40.00					X		179,621.	0.	24,347.
(11) ERIC BILSKY SR. ATTORNEY/ASST. GENERAL	40.00					X		179,920.	0.	22,890.
(12) VALARIE VAN CLEAVE CHAIR	9.00	X		X				0.	0.	0.
(13) TED DANSON VICE-CHAIR	7.00	X		X				0.	0.	0.
(14) KEITH ADDIS PRESIDENT	6.00 1.00	X		X				0.	0.	0.
(15) JAMES SANDLER SECRETARY	3.00 1.00	X		X				0.	0.	0.
(16) DIANA THOMSON TREASURER	3.00 1.00	X		X				0.	0.	0.
(17) GAZ ALAZRAKI DIRECTOR	2.00	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) MONIQUE BAR DIRECTOR UNTIL 12/20	2.00	X						0.	0.	0.
(19) HERBERT M. BEDOLFE, III DIRECTOR	3.00	X						0.	0.	0.
(20) NICHOLAS DAVIS DIRECTOR	2.00	X						0.	0.	0.
(21) SYDNEY DAVIS DIRECTOR	2.00	X						0.	0.	0.
(22) CESAR GAVIRIA DIRECTOR	2.00	X						0.	0.	0.
(23) MARA EUGENIA GIRON DIRECTOR	3.00	X						0.	0.	0.
(24) LOIC GOUZER DIRECTOR	2.00	X						0.	0.	0.
(25) JENA KING DIRECTOR	2.00	X						0.	0.	0.
(26) BEN KOERNER DIRECTOR	2.00	X						0.	0.	0.
1b Subtotal								2,815,544.	0.	343,281.
c Total from continuation sheets to Part VII, Section A								0.	0.	0.
d Total (add lines 1b and 1c)								2,815,544.	0.	343,281.

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

40

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

	Yes	No
3		X
4	X	
5		X

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

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
M&R STRATEGIC SERVICES, INC., 1101 CONNECTICUT AVE, NW, 7TH FL, WASHINGTON, OGLETREE, DEAKINS P.C.	FUNDRAISING AND ADVERTISING	242,354.
P.O. BOX 89, COLUMBIA, SC 29202	LEGAL COUNSEL	209,864.
HYATT REGENCY, 100 HERON BLVD AT ROUTE 50, CAMBRIDGE, MD 21613	CONFERENCE	181,754.
DISCOVERY FLEET CORPORATION, 4/F JTKC CENTRE 2155 CHINO ROCEES AVE, MAKATI CITY, BRITE IDEAS, INC., 23161 ANTONIO PRKW, RANCHO SANTA MARGARITA, CA 92688	TRANSPORTATION	137,404.
	EVENT PRODUCTION AND DESIGN	135,126.

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

6

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) SARA LOWELL DIRECTOR	2.00	X						0.	0.	0.
(28) STEPHEN P. MCALLISTER DIRECTOR	2.00	X						0.	0.	0.
(29) DR. KRISTIAN PARKER DIRECTOR	3.00	X						0.	0.	0.
(30) DR. DANIEL PAULY DIRECTOR	2.00	X						0.	0.	0.
(31) SUSAN ROCKEFELLER DIRECTOR	6.00	X						0.	0.	0.
(32) DAVID ROCKEFELLER, JR. DIRECTOR	2.00	X						0.	0.	0.
(33) SIMON SIDAMON-ERISTOFF DIRECTOR	2.00	X						0.	0.	0.
(34) DR. RASHID SUMAILA DIRECTOR	2.00	X						0.	0.	0.
(35) SAM WATERSTON DIRECTOR	7.00 1.00	X						0.	0.	0.
(36) JEAN WEISS DIRECTOR	2.00	X						0.	0.	0.
Total to Part VII, Section A, line 1c										

Part VIII Statement of RevenueCheck 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
Contributions, Gifts, Grants and Other Similar Amounts	1 a Federated campaigns	1a	94,421.				
	b Membership dues	1b					
	c Fundraising events	1c	2,587,587.				
	d Related organizations	1d					
	e Government grants (contributions)	1e	787,572.				
	f All other contributions, gifts, grants, and similar amounts not included above ...	1f	33066084.				
	g Noncash contributions included in lines 1a-1f	1g	\$ 185,092.				
	h Total. Add lines 1a-1f						
Program Service Revenue	2 a			Business Code			
	b						
	c						
	d						
	e						
	f All other program service revenue						
	g Total. Add lines 2a-2f						
	Other Revenue	3 Investment income (including dividends, interest, and other similar amounts)			48,504.		
4 Income from investment of tax-exempt bond proceeds							
5 Royalties				16,666.			16,666.
6 a Gross rents		6a	(i) Real (ii) Personal				
b Less: rental expenses ...		6b					
c Rental income or (loss)		6c					
d Net rental income or (loss)							
7 a Gross amount from sales of assets other than inventory		7a	(i) Securities (ii) Other				
b Less: cost or other basis and sales expenses		7b					
c Gain or (loss)		7c					
d Net gain or (loss)				1,832.			1,832.
8 a Gross income from fundraising events (not including \$ 2,587,587. of contributions reported on line 1c). See Part IV, line 18		8a					
b Less: direct expenses		8b					
c Net income or (loss) from fundraising events				-4,890.			-4,890.
9 a Gross income from gaming activities. See Part IV, line 19		9a					
b Less: direct expenses	9b						
c Net income or (loss) from gaming activities							
10 a Gross sales of inventory, less returns and allowances	10a						
b Less: cost of goods sold	10b						
c Net income or (loss) from sales of inventory							
Miscellaneous Revenue	11 a MISCELLANEOUS			Business Code			
	b FOREIGN CURRENCY LOSS						
	c						
	d All other revenue						
	e Total. Add lines 11a-11d						
	12 Total revenue. See instructions			36350526.	0.	0.	-185,138.

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
1 Grants and other assistance to domestic organizations and domestic governments. See Part IV, line 21	487,840.	487,840.		
2 Grants and other assistance to domestic individuals. See Part IV, line 22				
3 Grants and other assistance to foreign organizations, foreign governments, and foreign individuals. See Part IV, lines 15 and 16	628,118.	628,118.		
4 Benefits paid to or for members				
5 Compensation of current officers, directors, trustees, and key employees	2,010,287.	257,587.	694,011.	1,058,689.
6 Compensation not included above to disqualified persons (as defined under section 4958(f)(1)) and persons described in section 4958(c)(3)(B)				
7 Other salaries and wages	15,678,996.	13,681,740.	1,985,051.	12,205.
8 Pension plan accruals and contributions (include section 401(k) and 403(b) employer contributions)	1,188,435.	951,920.	215,325.	21,190.
9 Other employee benefits	1,442,630.	1,068,128.	284,907.	89,595.
10 Payroll taxes	1,651,640.	1,385,144.	194,905.	71,591.
11 Fees for services (nonemployees):				
a Management				
b Legal	385,218.	337,820.	40,185.	7,213.
c Accounting	247,620.	217,152.	25,831.	4,637.
d Lobbying	145,744.	145,744.		
e Professional fundraising services. See Part IV, line 17	236,895.			236,895.
f Investment management fees				
g Other. (If line 11g amount exceeds 10% of line 25, column (A) amount, list line 11g expenses on Sch. O.)	2,233,196.	1,953,184.	235,636.	44,376.
12 Advertising and promotion	780,322.	535,577.	7,193.	237,552.
13 Office expenses	1,430,825.	896,750.	139,348.	394,727.
14 Information technology	11,592.		11,592.	
15 Royalties				
16 Occupancy	2,118,071.	1,626,082.	386,633.	105,356.
17 Travel	394,735.	365,238.	24,873.	4,624.
18 Payments of travel or entertainment expenses for any federal, state, or local public officials				
19 Conferences, conventions, and meetings	488,330.	273,407.	174,434.	40,489.
20 Interest	31,745.		31,745.	
21 Payments to affiliates				
22 Depreciation, depletion, and amortization	650,223.	241,052.	409,113.	58.
23 Insurance	386,318.	236,229.	127,716.	22,373.
24 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.)				
a DUES AND SUBSCRIPTIONS	418,294.	293,232.	94,257.	30,805.
b EQUIPMENT RENTAL/MAINT.	71,423.	39,471.	10,559.	21,393.
c LOSS ON DISPOSAL	48,333.	48,333.		
d MISCELLANEOUS	22,144.	6,307.	15,657.	180.
e All other expenses				
25 Total functional expenses. Add lines 1 through 24e	33,188,974.	25,676,055.	5,108,971.	2,403,948.
26 Joint costs. 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 SheetCheck if Schedule O contains a response or note to any line in this Part X ☐

		(A) Beginning of year		(B) End of year
Assets	1 Cash - non-interest-bearing	20,194,379.	1	32,746,083.
	2 Savings and temporary cash investments	5,471,443.	2	3,959,715.
	3 Pledges and grants receivable, net	28,378,744.	3	23,351,160.
	4 Accounts receivable, net	67,041.	4	583,300.
	5 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		5	
	6 Loans and other receivables from other disqualified persons (as defined under section 4958(f)(1)), and persons described in section 4958(c)(3)(B)		6	
	7 Notes and loans receivable, net		7	
	8 Inventories for sale or use	2,114.	8	1,885.
	9 Prepaid expenses and deferred charges	484,056.	9	412,925.
	10a Land, buildings, and equipment: cost or other basis. Complete Part VI of Schedule D	10a 7,412,513.		
	b Less: accumulated depreciation	10b 4,270,551.		
		3,532,443.	10c	3,141,962.
	11 Investments - publicly traded securities	131,503.	11	109,398.
	12 Investments - other securities. See Part IV, line 11	1,777,080.	12	1,777,080.
	13 Investments - program-related. See Part IV, line 11		13	
	14 Intangible assets		14	
15 Other assets. See Part IV, line 11	250,789.	15	500,987.	
16 Total assets. Add lines 1 through 15 (must equal line 33)	60,289,592.	16	66,584,495.	
Liabilities	17 Accounts payable and accrued expenses	2,255,043.	17	2,586,359.
	18 Grants payable	5,000.	18	500.
	19 Deferred revenue		19	
	20 Tax-exempt bond liabilities		20	
	21 Escrow or custodial account liability. Complete Part IV of Schedule D		21	
	22 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		22	
	23 Secured mortgages and notes payable to unrelated third parties		23	
	24 Unsecured notes and loans payable to unrelated third parties		24	2,731,729.
	25 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	3,936,025.	25	3,906,316.
	26 Total liabilities. Add lines 17 through 25	6,196,068.	26	9,224,904.
Net Assets or Fund Balances	Organizations that follow FASB ASC 958, check here <input checked="" type="checkbox"/> and complete lines 27, 28, 32, and 33.			
	27 Net assets without donor restrictions	15,135,825.	27	19,179,627.
	28 Net assets with donor restrictions	38,957,699.	28	38,179,964.
	Organizations that do not follow FASB ASC 958, check here <input type="checkbox"/> and complete lines 29 through 33.			
	29 Capital stock or trust principal, or current funds		29	
	30 Paid-in or capital surplus, or land, building, or equipment fund		30	
	31 Retained earnings, endowment, accumulated income, or other funds		31	
	32 Total net assets or fund balances	54,093,524.	32	57,359,591.
	33 Total liabilities and net assets/fund balances	60,289,592.	33	66,584,495.

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Part XI Reconciliation of Net AssetsCheck if Schedule O contains a response or note to any line in this Part XI ☐

1	Total revenue (must equal Part VIII, column (A), line 12)	1	36,350,526.
2	Total expenses (must equal Part IX, column (A), line 25)	2	33,188,974.
3	Revenue less expenses. Subtract line 2 from line 1	3	3,161,552.
4	Net assets or fund balances at beginning of year (must equal Part X, line 32, column (A))	4	54,093,524.
5	Net unrealized gains (losses) on investments	5	104,515.
6	Donated services and use of facilities	6	
7	Investment expenses	7	
8	Prior period adjustments	8	
9	Other changes in net assets or fund balances (explain on Schedule O)	9	0.
10	Net assets or fund balances at end of year. Combine lines 3 through 9 (must equal Part X, line 32, column (B))	10	57,359,591.

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

	Yes	No
1 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.		
2a 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	2a	X
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	2b	X
c 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.	2c	X
3a 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? _____	3a	X
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 _____	3b	

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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) 2016	(b) 2017	(c) 2018	(d) 2019	(e) 2020	(f) Total
1 Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grants.")	24887791.	48322208.	51826346.	38559747.	36535664.	200131756
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 Total. Add lines 1 through 3	24887791.	48322208.	51826346.	38559747.	36535664.	200131756
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)						67296159.
6 Public support. Subtract line 5 from line 4.						132835597

Section B. Total Support

Calendar year (or fiscal year beginning in) ►	(a) 2016	(b) 2017	(c) 2018	(d) 2019	(e) 2020	(f) Total
7 Amounts from line 4	24887791.	48322208.	51826346.	38559747.	36535664.	200131756
8 Gross income from interest, dividends, payments received on securities loans, rents, royalties, and income from similar sources	19,769.	16,973.	34,082.	60,659.	65,170.	196,653.
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.)	566.		5,154.		13,334.	19,054.
11 Total support. Add lines 7 through 10						200349828
12 Gross receipts from related activities, etc. (see instructions)					12	999,467.
13 First 5 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

14 Public support percentage for 2020 (line 6, column (f), divided by line 11, column (f))	14	66.30	%
15 Public support percentage from 2019 Schedule A, Part II, line 14	15	66.15	%
16a 33 1/3% support test - 2020. If the organization did not check the box on line 13, and line 14 is 33 1/3% or more, check this box and stop here. The organization qualifies as a publicly supported organization			
b 33 1/3% support test - 2019. 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 stop here. The organization qualifies as a publicly supported organization			
17a 10% -facts-and-circumstances test - 2020. 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 stop here. Explain in Part VI how the organization meets the facts-and-circumstances test. The organization qualifies as a publicly supported organization			
b 10% -facts-and-circumstances test - 2019. 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 stop here. Explain in Part VI how the organization meets the facts-and-circumstances test. The organization qualifies as a publicly supported organization			
18 Private foundation. If the organization did not check a box on line 13, 16a, 16b, 17a, or 17b, check this box and see instructions			

Schedule A (Form 990 or 990-EZ) 2020

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) 2016	(b) 2017	(c) 2018	(d) 2019	(e) 2020	(f) Total
1 Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grants.")						
2 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						
3 Gross receipts from activities that are not an unrelated trade or business under section 513						
4 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf						
5 The value of services or facilities furnished by a governmental unit to the organization without charge						
6 Total. Add lines 1 through 5						
7a Amounts included on lines 1, 2, and 3 received from disqualified persons						
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						
c Add lines 7a and 7b						
8 Public support. (Subtract line 7c from line 6.)						

Section B. Total Support

Calendar year (or fiscal year beginning in) ►	(a) 2016	(b) 2017	(c) 2018	(d) 2019	(e) 2020	(f) Total
9 Amounts from line 6						
10a Gross income from interest, dividends, payments received on securities loans, rents, royalties, and income from similar sources						
b Unrelated business taxable income (less section 511 taxes) from businesses acquired after June 30, 1975						
c Add lines 10a and 10b						
11 Net income from unrelated business activities not included in line 10b, whether or not the business is regularly carried on						
12 Other income. Do not include gain or loss from the sale of capital assets (Explain in Part VI.)						
13 Total support. (Add lines 9, 10c, 11, and 12.)						

14 First 5 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

15 Public support percentage for 2020 (line 8, column (f), divided by line 13, column (f))	15	%
16 Public support percentage from 2019 Schedule A, Part III, line 15	16	%

Section D. Computation of Investment Income Percentage

17 Investment income percentage for 2020 (line 10c, column (f), divided by line 13, column (f))	17	%
18 Investment income percentage from 2019 Schedule A, Part III, line 17	18	%

19a 33 1/3% support tests - 2020. 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 - 2019. 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 box 12a, Part I, complete Sections A and B. If you checked box 12b, Part I, complete Sections A and C. If you checked box 12c, Part I, complete Sections A, D, and E. If you checked box 12d, Part I, complete Sections A and D, and complete Part V.)

Section A. All Supporting Organizations

	Yes	No
1 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>		
2 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>		
3a Did the organization have a supported organization described in section 501(c)(4), (5), or (6)? <i>If "Yes," answer lines 3b and 3c below.</i>		
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>		
c 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>		
4a Was any supported organization not organized in the United States ("foreign supported organization")? <i>If "Yes," and if you checked box 12a or 12b in Part I, answer lines 4b and 4c below.</i>		
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>		
c 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>		
5a Did the organization add, substitute, or remove any supported organizations during the tax year? <i>If "Yes," answer lines 5b and 5c 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 Type I or Type II only. Was any added or substituted supported organization part of a class already designated in the organization's organizing document?		
c Substitutions only. Was the substitution the result of an event beyond the organization's control?		
6 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>		
7 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>		
8 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>		
9a 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 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>		
c 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>		
10a 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 line 10b below.</i>		
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
11 Has the organization accepted a gift or contribution from any of the following persons?		
a A person who directly or indirectly controls, either alone or together with persons described in lines 11b and 11c below, the governing body of a supported organization?		
11a		
b A family member of a person described in line 11a above?		
11b		
c A 35% controlled entity of a person described in line 11a or 11b above? If "Yes" to line 11a, 11b, or 11c, provide detail in Part VI .		
11c		

Section B. Type I Supporting Organizations

	Yes	No
1 Did the governing body, members of the governing body, officers acting in their official capacity, or membership of one or more supported organizations have the power to regularly appoint or elect at least a majority of the organization's officers, directors, or trustees at all times during the tax year? If "No," describe in Part VI 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 officers, directors, or trustees were allocated among the supported organizations and what conditions or restrictions, if any, applied to such powers during the tax year.		
1		
2 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 Part VI how providing such benefit carried out the purposes of the supported organization(s) that operated, supervised, or controlled the supporting organization.		
2		

Section C. Type II Supporting Organizations

	Yes	No
1 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 Part VI how control or management of the supporting organization was vested in the same persons that controlled or managed the supported organization(s).		
1		

Section D. All Type III Supporting Organizations

	Yes	No
1 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?		
1		
2 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 Part VI how the organization maintained a close and continuous working relationship with the supported organization(s).		
2		
3 By reason of the relationship described in line 2, above, 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 Part VI the role the organization's supported organizations played in this regard.		
3		

Section E. Type III Functionally Integrated Supporting Organizations

	Yes	No
1 Check the box next to the method that the organization used to satisfy the Integral Part Test during the year (see instructions).		
a <input type="checkbox"/> The organization satisfied the Activities Test. Complete line 2 below.		
b <input type="checkbox"/> The organization is the parent of each of its supported organizations. Complete line 3 below.		
c <input type="checkbox"/> The organization supported a governmental entity. Describe in Part VI how you supported a governmental entity (see instructions).		
2 Activities Test. Answer lines 2a and 2b below.		
a 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 Part VI 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.		
2a		
b Did the activities described in line 2a, above, 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 Part VI the reasons for the organization's position that its supported organization(s) would have engaged in these activities but for the organization's involvement.		
2b		
3 Parent of Supported Organizations. Answer lines 3a and 3b below.		
a 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? If "Yes" or "No" provide details in Part VI .		
3a		
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 Part VI the role played by the organization in this regard.		
3b		

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	Adjusted Net Income (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	Total (add lines 1a, 1b, and 1c)	1d	
e	Discount claimed for blockage or other factors (explain in detail in Part VI):		
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 0.015 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 0.035.	6	
7	Recoveries of prior-year distributions	7	
8	Minimum Asset Amount (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 0.85 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	Distributable Amount. 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) 2020

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

Section D - Distributions		Current Year
1 Amounts paid to supported organizations to accomplish exempt purposes	1	
2 Amounts paid to perform activity that directly furthers exempt purposes of supported organizations, in excess of income from activity	2	
3 Administrative expenses paid to accomplish exempt purposes of supported organizations	3	
4 Amounts paid to acquire exempt-use assets	4	
5 Qualified set-aside amounts (prior IRS approval required - <i>provide details in Part VI</i>)	5	
6 Other distributions (<i>describe in Part VI</i>). See instructions.	6	
7 Total annual distributions. Add lines 1 through 6.	7	
8 Distributions to attentive supported organizations to which the organization is responsive (<i>provide details in Part VI</i>). See instructions.	8	
9 Distributable amount for 2020 from Section C, line 6	9	
10 Line 8 amount divided by line 9 amount	10	

Section E - Distribution Allocations (see instructions)	(i) Excess Distributions	(ii) Underdistributions Pre-2020	(iii) Distributable Amount for 2020
1 Distributable amount for 2020 from Section C, line 6			
2 Underdistributions, if any, for years prior to 2020 (reasonable cause required - <i>explain in Part VI</i>). See instructions.			
3 Excess distributions carryover, if any, to 2020			
a From 2015			
b From 2016			
c From 2017			
d From 2018			
e From 2019			
f Total of lines 3a through 3e			
g Applied to underdistributions of prior years			
h Applied to 2020 distributable amount			
i Carryover from 2015 not applied (see instructions)			
j Remainder. Subtract lines 3g, 3h, and 3i from line 3f.			
4 Distributions for 2020 from Section D, line 7: \$			
a Applied to underdistributions of prior years			
b Applied to 2020 distributable amount			
c Remainder. Subtract lines 4a and 4b from line 4.			
5 Remaining underdistributions for years prior to 2020, if any. Subtract lines 3g and 4a from line 2. For result greater than zero, <i>explain in Part VI</i> . See instructions.			
6 Remaining underdistributions for 2020. Subtract lines 3h and 4b from line 1. For result greater than zero, <i>explain in Part VI</i> . See instructions.			
7 Excess distributions carryover to 2021. Add lines 3j and 4c.			
8 Breakdown of line 7:			
a Excess from 2016			
b Excess from 2017			
c Excess from 2018			
d Excess from 2019			
e Excess from 2020			

Schedule A (Form 990 or 990-EZ) 2020

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**

2016 AMOUNT: \$ 566.

2018 AMOUNT: \$ 5,154.

2020 AMOUNT: \$ 13,334.

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 for the latest information.

OMB No. 1545-0047

2020

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 (entering "N/A" in column (b) instead of the contributor name and address), 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>3,000,000.</u>	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
<u>2</u>		\$ <u>2,750,000.</u>	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
<u>3</u>		\$ <u>2,250,000.</u>	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
<u>4</u>		\$ <u>2,200,000.</u>	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
<u>5</u>		\$ <u>2,125,000.</u>	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
<u>6</u>		\$ <u>1,600,000.</u>	Person <input checked="" 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 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
7		\$ 1,500,000.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
8		\$ 1,227,920.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
9		\$ 950,000.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
10		\$ 925,000.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
11		\$ 800,000.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
12		\$ 750,000.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)

Employer identification number

51-0401308

Part II

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions.)	(d) Date received
		\$ _____	_____
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions.)	(d) Date received
		\$ _____	_____
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions.)	(d) Date received
		\$ _____	_____
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions.)	(d) Date received
		\$ _____	_____
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions.)	(d) Date received
		\$ _____	_____
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions.)	(d) Date received
		\$ _____	_____
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions.)	(d) Date received
		\$ _____	_____
(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
	(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 for instructions and the latest information.**

OMB No. 1545-0047

2020

**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
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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) 2020

LHA

032041 12-02-20

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
1a Total lobbying expenditures to influence public opinion (grassroots lobbying)		131,276.	
b Total lobbying expenditures to influence a legislative body (direct lobbying)		302,408.	
c Total lobbying expenditures (add lines 1a and 1b)		433,684.	
d Other exempt purpose expenditures		32,801,540.	
e Total exempt purpose expenditures (add lines 1c and 1d)		33,235,224.	
f Lobbying nontaxable amount. Enter the amount from the following table in both columns.		1,000,000.	
If the amount on line 1e, column (a) or (b) is:	The lobbying nontaxable amount is:		
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.		
g Grassroots nontaxable amount (enter 25% of line 1f)		250,000.	
h Subtract line 1g from line 1a. If zero or less, enter -0-		0.	
i Subtract line 1f from line 1c. If zero or less, enter -0-		0.	
j 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) 2017	(b) 2018	(c) 2019	(d) 2020	(e) Total
2a Lobbying nontaxable amount	1,000,000.	1,000,000.	1,000,000.	1,000,000.	4,000,000.
b Lobbying ceiling amount (150% of line 2a, column(e))					6,000,000.
c Total lobbying expenditures	271,436.	393,066.	637,649.	433,684.	1,735,835.
d Grassroots nontaxable amount	250,000.	250,000.	250,000.	250,000.	1,000,000.
e Grassroots ceiling amount (150% of line 2d, column (e))					1,500,000.
f Grassroots lobbying expenditures	130,278.	181,155.	189,454.	131,276.	632,163.

Schedule C (Form 990 or 990-EZ) 2020

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 for instructions and the latest information.**

OMB No. 1545-0047

2020

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) 2020

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		2,983,175.	824,096.	2,159,079.
d Equipment		2,743,982.	1,778,351.	965,631.
e Other		1,685,356.	1,668,104.	17,252.
Total. Add lines 1a through 1e. (Column (d) must equal Form 990, Part X, column (B), line 10c.)				3,141,962.

Schedule D (Form 990) 2020

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)		
Total. (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)		
Total. (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)	
Total. (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	3,906,316.
(3)	
(4)	
(5)	
(6)	
(7)	
(8)	
(9)	
Total. (Column (b) must equal Form 990, Part X, col. (B) line 25.) ▶	3,906,316.

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) 2020

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.

1	Total revenue, gains, and other support per audited financial statements	1	39,852,141.
2	Amounts included on line 1 but not on Form 990, Part VIII, line 12:		
a	Net unrealized gains (losses) on investments	2a	104,515.
b	Donated services and use of facilities	2b	3,356,854.
c	Recoveries of prior year grants	2c	
d	Other (Describe in Part XIII.)	2d	40,246.
e	Add lines 2a through 2d	2e	3,501,615.
3	Subtract line 2e from line 1	3	36,350,526.
4	Amounts included on Form 990, Part VIII, line 12, but not on line 1:		
a	Investment expenses not included on Form 990, Part VIII, line 7b	4a	
b	Other (Describe in Part XIII.)	4b	
c	Add lines 4a and 4b	4c	0.
5	Total revenue. Add lines 3 and 4c . (This must equal Form 990, Part I, line 12.)	5	36,350,526.

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.

1	Total expenses and losses per audited financial statements	1	36,586,074.
2	Amounts included on line 1 but not on Form 990, Part IX, line 25:		
a	Donated services and use of facilities	2a	3,356,854.
b	Prior year adjustments	2b	
c	Other losses	2c	-23,644.
d	Other (Describe in Part XIII.)	2d	63,890.
e	Add lines 2a through 2d	2e	3,397,100.
3	Subtract line 2e from line 1	3	33,188,974.
4	Amounts included on Form 990, Part IX, line 25, but not on line 1:		
a	Investment expenses not included on Form 990, Part VIII, line 7b	4a	
b	Other (Describe in Part XIII.)	4b	
c	Add lines 4a and 4b	4c	0.
5	Total expenses. Add lines 3 and 4c . (This must equal Form 990, Part I, line 18.)	5	33,188,974.

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, 2020, 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 63,890.

ACQUISITION OF ASSETS FROM DISSOLVED AFFILIATE

OTHER -23,644.

TOTAL TO SCHEDULE D, PART XI, LINE 2D 40,246.

Part XIII Supplemental Information *(continued)*

PART XII, LINE 2D - OTHER ADJUSTMENTS:

SPECIAL EVENTS EXPENSE

63,890.

**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 for instructions and the latest information.

OMB No. 1545-0047

2020Open 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	12	PROGRAM SERVICES	MARINE SCIENCE, POLICY, AND COMMUNICATIONS	816,193.
CENTRAL AMERICA AND THE CARIBBEAN	0	0	FUNDRAISING		13,220.
CENTRAL AMERICA AND THE CARIBBEAN	0	0	GRANTS TO RECIPIENTS LOCATED IN REGION		110,374.
EUROPE (INCLUDING ICELAND & GREENLAND)	3	34	PROGRAM SERVICES	MARINE SCIENCE, POLICY, AND COMMUNICATIONS	4,647,389.
EUROPE (INCLUDING ICELAND & GREENLAND)	0	0	FUNDRAISING		340,778.
NORTH AMERICA - CANADA AND MEXICO, BUT NOT THE UNITED STATES	1	10	PROGRAM SERVICES	MARINE SCIENCE, POLICY, AND COMMUNICATIONS	799,494.
NORTH AMERICA - CANADA AND MEXICO, BUT NOT THE UNITED STATES	0	0	GRANTS TO RECIPIENTS LOCATED IN REGION		513,329.
NORTH AMERICA - CANADA AND MEXICO, BUT NOT THE UNITED STATES	0	0	FUNDRAISING		2,981.
3 a Subtotal	5	56			7,243,758.
b Total from continuation sheets to Part I	4	58			5,329,159.
c Totals (add lines 3a and 3b)	9	114			12,572,917.

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

Schedule F (Form 990) 2020

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
SOUTH AMERICA	3	37	PROGRAM SERVICES	MARINE SCIENCE, POLICY, AND COMMUNICATIONS	3,566,990.
SOUTH AMERICA	0	0	FUNDRAISING		26,776.
SOUTH ASIA	1	21	PROGRAM SERVICES	MARINE SCIENCE, POLICY, AND COMMUNICATIONS	1,710,393.
EAST ASIA AND THE PACIFIC	0	0	GRANTS TO RECIPIENTS LOCATED IN REGION		25,000.
Totals	4	58			5,329,159.

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.	467,744.	WIRE	0.		
		CENTRAL AMERICA AND THE CARIBBEAN	FOR THE BAN OF GIL NETS AND BYCATCH	110,374.	WIRE	0.		
		NORTH AMERICA	IN SUPPORT OF RESEARCH PROJECT ("THE EXEMPT PURPOSE") TO THE	25,000.	WIRE	0.		

2 Enter total number of recipient organizations listed above that are recognized as charities by the foreign country, recognized as a tax exempt 501(c)(3) organization by the IRS, or for which the grantee or counsel has provided a section 501(c)(3) equivalency letter **1**

3 Enter total number of other organizations or entities **2**

SEE PART V FOR COLUMN (D) DESCRIPTIONS

Schedule F (Form 990) 2020

Part III can be duplicated if additional space is needed.

[illegible]

Schedule F (Form 990) 2020

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) 2020

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 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, COLUMN (D):

REGION: NORTH AMERICA

(D) PURPOSE OF GRANT: IN SUPPORT OF RESEARCH PROJECT ("THE EXEMPT PURPOSE") TO THE UNIVERSITY OF BRITISH COLUMBIA

PART III, COLUMN (A):

REGION: EAST ASIA AND THE PACIFIC

(A) TYPE OF GRANT OR ASSISTANCE: FOR THE PEW MARINE FELLOWSHIP PROJECT, FOCUSED ON CONSERVATION EDUCATION, PUBLIC ENGAGEMENT AND CONSERVATION ACTION

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 NEW YORK CITY BENEFIT	(b) Event #2 SEACHANGE	(c) Other events 1	(d) Total events (add col. (a) through col. (c))
	(event type)	(event type)	(total number)	
Revenue				
1 Gross receipts	1,180,799.	922,418.	543,370.	2,646,587.
2 Less: Contributions	1,166,799.	892,418.	528,370.	2,587,587.
3 Gross income (line 1 minus line 2)	14,000.	30,000.	15,000.	59,000.
Direct Expenses				
4 Cash prizes				
5 Noncash prizes				
6 Rent/facility costs		2,461.		2,461.
7 Food and beverages	4,962.	5,657.		10,619.
8 Entertainment	808.			808.
9 Other direct expenses	18,300.	31,702.		50,002.
10 Direct expense summary. Add lines 4 through 9 in column (d)				63,890.
11 Net income summary. Subtract line 10 from line 3, column (d)				-4,890.

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:
- | | | |
|--------------------------------------|------------|---|
| a The organization's facility | 13a | % |
| b An outside facility | 13b | % |
- 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: M&R STRATEGIC SERVICES, INC.

(I) ADDRESS OF FUNDRAISER:

1101 CONNECTICUT AVENUE, NW, 7TH FLOOR, WASHINGTON, DC 20036

(I) NAME OF FUNDRAISER: CHARITY BUZZ

(I) ADDRESS OF FUNDRAISER:

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

Part IV Supplemental Information (continued)

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, 2020, 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 for the latest information.**

OMB No. 1545-0047

2020

**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.

1 (a) Name and address of organization or government	(b) EIN	(c) IRC section (if applicable)	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV, appraisal, other)	(g) Description of noncash assistance	(h) Purpose of grant or assistance
CENTER FOR STRATEGIC AND INTERNATIONAL STUDIES, INC. (CSIS) - 1616 RHODE ISLAND AVENUE NW - WASHINGTON, DC 20036	52-1501082	501(C)(3)	180,000.	0.			TO SUPPORT THE JOINT PROJECT BETWEEN WWF AND CSIS TITLED "JOINT CAMPAIGN ON ILLEGAL,
WORLD WILDLIFE FUND (WWF) 1250 24TH STREET NW WASHINGTON, DC 20037	52-1693387	501(C)(3)	180,000.	0.			TO SUPPORT THE JOINT PROJECT BETWEEN WWF AND CSIS TITLED "JOINT CAMPAIGN ON ILLEGAL,
CLEAN COASTS, CLEAN WATER, CLEAN STREETS - 555 CAPITOL MALL, SUITE 400 - SACRAMENTO, CA 95814	84-4128252	501(C)(4)	50,000.	0.			CONTRIBUTION TO CALIFORNIA PLASTICS BALLOT INITIATIVE CAMPAIGN COMMITTEE EFFORT
AMERICAN UNIVERSITY 4400 MASSACHUSETTS AVENUE NW WASHINGTON, DC 20016	53-0196549	501(C)(3)	34,297.	0.			TO SUPPORT RESEARCH PROJECT - "SEAFOOD TRADE ANALYSIS OF MAJOR FISHING COUNTRIES" - CONDUCTED BY
SURF INDUSTRY MANUFACTURERS ASSOCIATION (SIMA) - 27068 LA PAZ ROAD, #570 - ALISO VIEJO, CA 92656	33-0385201	501(C)(6)	20,000.	0.			TO ASSIST ORGANIZATION WHOSE EFFORTS ARE FOCUSED ON ENHANCING THE OCEANIC ENVIRONMENT.
SECOND HARVEST FOOD BANK OF ORANGE COUNTY - 8014 MARINE WAY - IRVINE, CA 92618	32-0362611	501(C)(3)	15,000.	0.			TO ASSIST ORGANIZATION WHOSE EFFORTS ARE FOCUSED ON SECURING FOOD ASSISTANCE TO LOCAL

2 Enter total number of section 501(c)(3) and government organizations listed in the line 1 table ▶ **4.**

3 Enter total number of other organizations listed in the line 1 table ▶ **2.**

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

Schedule I (Form 990) 2020

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 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

CENTER FOR STRATEGIC AND INTERNATIONAL STUDIES, INC. (CSIS)

(H) PURPOSE OF GRANT OR ASSISTANCE: TO SUPPORT THE JOINT PROJECT BETWEEN WWF AND CSIS TITLED "JOINT CAMPAIGN ON ILLEGAL, UNREPORTED AND UNREGULATED (IUU) FISHING, TRANSPARENCY AND HUMAN RIGHTS".

NAME OF ORGANIZATION OR GOVERNMENT: WORLD WILDLIFE FUND (WWF)

(H) PURPOSE OF GRANT OR ASSISTANCE: TO SUPPORT THE JOINT PROJECT BETWEEN WWF AND CSIS TITLED "JOINT CAMPAIGN ON ILLEGAL, UNREPORTED AND UNREGULATED (IUU) FISHING, TRANSPARENCY AND HUMAN RIGHTS".

NAME OF ORGANIZATION OR GOVERNMENT: AMERICAN UNIVERSITY

(H) PURPOSE OF GRANT OR ASSISTANCE: TO SUPPORT RESEARCH PROJECT - "SEAFOOD TRADE ANALYSIS OF MAJOR FISHING COUNTRIES" - CONDUCTED BY DR. JESSICA GEPHART.

NAME OF ORGANIZATION OR GOVERNMENT:

SECOND HARVEST FOOD BANK OF ORANGE COUNTY

(H) PURPOSE OF GRANT OR ASSISTANCE: TO ASSIST ORGANIZATION WHOSE EFFORTS ARE FOCUSED ON SECURING FOOD ASSISTANCE TO LOCAL COMMUNITIES.

**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 for instructions and the latest information.

OMB No. 1545-0047

2020

Open to Public
Inspection

Name of the organization

OCEANA, INC.

Employer identification number

51-0401308

Part I Questions Regarding Compensation

1a 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"/> Housing allowance or residence for personal use |
| <input type="checkbox"/> Travel for companions | <input type="checkbox"/> Payments for business use of personal residence |
| <input type="checkbox"/> Tax indemnification and gross-up payments | <input type="checkbox"/> Health or social club dues or initiation fees |
| <input type="checkbox"/> Discretionary spending account | <input type="checkbox"/> Personal services (such as maid, chauffeur, chef) |

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

2 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?

3 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"/> Written employment contract |
| <input type="checkbox"/> Independent compensation consultant | <input checked="" type="checkbox"/> Compensation survey or study |
| <input checked="" type="checkbox"/> Form 990 of other organizations | <input checked="" type="checkbox"/> Approval by the board or compensation committee |

4 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:

a Receive a severance payment or change-of-control payment?

b Participate in or receive payment from a supplemental nonqualified retirement plan?

c Participate in or receive payment from an equity-based compensation arrangement?

If "Yes" to any of lines 4a-c, list the persons and provide the applicable amounts for each item in Part III.

Only section 501(c)(3), 501(c)(4), and 501(c)(29) organizations must complete lines 5-9.

5 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:

a The organization?

b Any related organization?

If "Yes" on line 5a or 5b, describe in Part III.

6 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:

a The organization?

b Any related organization?

If "Yes" on line 6a or 6b, describe in Part III.

7 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

8 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

9 If "Yes" on line 8, did the organization also follow the rebuttable presumption procedure described in Regulations section 53.4958-6(c)?

Yes No

1b		
2		
4a		X
4b		X
4c		X
5a		X
5b		X
6a		X
6b		X
7		X
8		X
9		

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

Schedule J (Form 990) 2020

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)	454,319.	0.	0.	34,199.	9,365.	497,883.	0.
	(ii)	0.	0.	0.	0.	0.	0.	0.
(2) JAMES F. SIMON PRESIDENT & GENERAL COUNSEL	(i)	358,405.	0.	0.	33,077.	11,596.	403,078.	0.
	(ii)	0.	0.	0.	0.	0.	0.	0.
(3) CHRISTOPHER M. SHARKEY CHIEF FINANCIAL OFFICER	(i)	272,669.	0.	0.	33,390.	6,443.	312,502.	0.
	(ii)	0.	0.	0.	0.	0.	0.	0.
(4) JACQUELINE SAVITZ SVP, UNITED STATES	(i)	259,834.	0.	0.	27,893.	5,627.	293,354.	0.
	(ii)	0.	0.	0.	0.	0.	0.	0.
(5) NANCY GOLDEN VICE PRESIDENT OF DEVELOPM	(i)	254,194.	0.	0.	30,492.	2,381.	287,067.	0.
	(ii)	0.	0.	0.	0.	0.	0.	0.
(6) MATTHEW M. LITTLEJOHN SVP, STRATEGIC MKTG & COMM	(i)	237,074.	0.	0.	25,860.	7,403.	270,337.	0.
	(ii)	0.	0.	0.	0.	0.	0.	0.
(7) KATHY WHELPLEY SR DIRECTOR, INSTITUTIONAL	(i)	221,124.	0.	0.	28,290.	11,241.	260,655.	0.
	(ii)	0.	0.	0.	0.	0.	0.	0.
(8) PASCALE MOEHRLE EXECUTIVE DIRECTOR, EUROPE	(i)	216,403.	0.	0.	0.	0.	216,403.	0.
	(ii)	0.	0.	0.	0.	0.	0.	0.
(9) SUSAN MURRAY DEPUTY VP, PACIFIC	(i)	181,981.	0.	0.	22,409.	6,378.	210,768.	0.
	(ii)	0.	0.	0.	0.	0.	0.	0.
(10) KATHRYN MATTHEWS CHIEF SCIENTIST	(i)	179,621.	0.	0.	21,696.	2,651.	203,968.	0.
	(ii)	0.	0.	0.	0.	0.	0.	0.
(11) ERIC BILSKY SR. ATTORNEY/ASST. GENERAL	(i)	179,920.	0.	0.	21,557.	1,333.	202,810.	0.
	(ii)	0.	0.	0.	0.	0.	0.	0.
	(i)							
	(ii)							
	(i)							
	(ii)							
	(i)							
	(ii)							
	(i)							
	(ii)							
	(i)							
	(ii)							

Part III	Supplemental Information
-----------------	---------------------------------

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 for instructions and the latest information.**

OMB No. 1545-0047

2020

**Open To Public
Inspection**

Name of the organization

OCEANA, INC.

Employer identification number

51-0401308

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) 2020

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	67,070.	SARAH L. BE		X
SUSAN SIDAMON-ERISTOFF	SUSAN IS THE DAUGHT	20,385.	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, 2020 WAS \$67,070.

(A) NAME OF PERSON: SUSAN SIDAMON-ERISTOFF

(B) RELATIONSHIP BETWEEN INTERESTED PERSON AND ORGANIZATION:

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

(C) AMOUNT OF TRANSACTION \$ 20,385.

(D) DESCRIPTION OF TRANSACTION: SUSAN SIDAMON-ERISTOFF WAS EMPLOYED WITH OCEANA THROUGH MAY 29, 2020 AND HER TOTAL COMPENSATION PAID FOR THE YEAR ENDED DECEMBER 31, 2020 WAS \$20,385.

(E) SHARING OF ORGANIZATION REVENUES? = NO

**SCHEDULE M
(Form 990)**

Department of the Treasury
Internal Revenue Service

Noncash Contributions

OMB No. 1545-0047

2020

Open to Public
Inspection

- ▶ **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 for instructions and the latest information.**

Name of the organization

OCEANA, INC.

Employer identification number

51-0401308

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	X		48,255.	RETAIL SALES PRICE
6 Cars and other vehicles				
7 Boats and planes				
8 Intellectual property				
9 Securities - Publicly traded	X	34	136,837.	FAIR MARKET VALUE
10 Securities - Closely held stock				
11 Securities - Partnership, LLC, or trust interests				
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 ▶ ()				
26 Other ▶ ()				
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 V, 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) 2020

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, 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 for the latest information.

OMB No. 1545-0047

2020

Open to Public
Inspection

Name of the organization

OCEANA, INC.

Employer identification number

51-0401308

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, 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 MORE THAN 10 MILLION SQUARE KILOMETERS OF OCEAN HABITAT.

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 CATCH):

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) 2020

032211 11-20-20

Name of the organization

OCEANA, INC.

Employer identification number

51-0401308

OCEANA'S CAMPAIGNS CARRY OUT FOUR KEY STRATEGIES:

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

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

- EXPAND TRANSPARENCY OF FISHING ACTIVITY AND GOVERNMENT

DECISION-MAKING PROCESSES, AND

- LIMIT 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:

CREATION OF A GILLNET LICENSE BUYBACK FUND. WHEN COMBINED WITH AN
ADDITIONAL \$1 MILLION BZD RAISED BY THE COALITION FOR SUSTAINABLE
FISHERIES TO TRANSITION LICENSED GILLNET FISHERS TO ALTERNATIVE GEAR
AND/OR LIVELIHOODS, THIS PACKAGE OF FUNDING CONVINCED THE GOVERNMENT OF
BELIZE TO SIGN AN AGREEMENT WITH OCEANA AND THE COALITION TO BAN
GILLNETS. THE IMPLEMENTATION OF THE PROPOSED GILLNET BUYBACK FUND,
WHICH HAS ALREADY BEGUN DISBURSING ITS FUNDS, WILL HELP FACILITATE
SUSTAINABLE INCOME DIVERSIFICATION OPPORTUNITIES FOR FISHERFOLK IN

Name of the organization

OCEANA, INC.

Employer identification number

51-0401308

BELIZE, AND WILL HELP TRANSITION BELIZE AWAY FROM THE USE OF DESTRUCTIVE FISHING GEAR. IN DOING SO, THIS PROJECT WILL HAVE A SIGNIFICANT BENEFIT TO BELIZEAN FISHERY ABUNDANCE AND THE HEALTH OF THE MESOAMERICAN REEF. SINCE THE LAW WENT INTO EFFECT, ALL NETS FROM ALL QUALIFIED GILLNET FISHERS - APPROXIMATELY 25,000 FEET OF NETS - HAVE BEEN COLLECTED ALONG WITH TAGS AND LICENSES AND ARE BEING SECURED BY THE COAST GUARD. THE NEWLY-ENACTED BAN ON GILLNETS IS A HUGE STEP IN PROTECTING BELIZE'S OCEAN - HOME TO 40 PERCENT OF THE WORLD'S SECOND-LARGEST CORAL REEF SYSTEM - FROM DESTRUCTIVE FISHING. THE GOVERNMENT'S BAN ON GILLNETS ADDRESSES A DIRE THREAT TO THE RESILIENCY OF BELIZE'S REEF AND HELPS IT ADAPT TO THE IMPACTS OF CLIMATE CHANGE OVER THE NEXT FEW DECADES.

REDUCE SINGLE-USE PLASTICS

IN JANUARY 2020, THE GOVERNMENT OF BELIZE OFFICIALLY BANNED SEVERAL SINGLE-USE DISPOSABLE FOOD PLASTIC ITEMS, INCLUDING CLAMSHELLS, PLATES, BOWLS, LIDS, UTENSILS, BAGS AND STRAWS. THESE ITEMS REPRESENT APPROXIMATELY 20 PERCENT OF THE SOLID WASTE COLLECTED IN BELIZE. THE NATIONAL PLASTICS LAW PROVIDED THAT, ON JULY 15, THE MANUFACTURING OF SINGLE-USE STYROFOAM AND PLASTIC ITEMS WAS TO CEASE. HOWEVER, IN MID-JULY, THE MANUFACTURERS REQUESTED AN EXTENSION. TO JUSTIFY THEIR EXTENSION, THE BUSINESSES ASSERTED THAT THE COVID-19 PANDEMIC HAD "USED UP MOST OF THE NATIONAL INVENTORY FOR PROHIBITED PRODUCTS" AND THAT THERE WERE "INSUFFICIENT SUPPLIES TO MEET ONGOING DEMAND." BELIZE'S CABINET GRANTED THE EXTENSION, ALLOWING MANUFACTURING TO CONTINUE UNTIL FEBRUARY 2021. IN BELIZE, MANUFACTURERS PRODUCE 35 MILLION SINGLE-USE PLASTIC BAGS AND FIVE MILLION PIECES OF STYROFOAM FOOD ITEMS. THE GOVERNMENT JUSTIFIED THIS EXTENSION AS "A WAY OF HELPING TO KEEP

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EMPLOYED PERSONS EMPLOYED, EVEN IF THEIR JOBS ARE TO MAKE SINGLE-USE PLASTIC ITEMS." SALE AND POSSESSION OF SINGLE-USE PLASTICS IS NOW SCHEDULED TO BE PROHIBITED IN 2021.

BRAZIL

DESPITE THE TERRIBLE COVID-19 PANDEMIC, OCEANA WAS ABLE TO ACHIEVE PROGRESS IN BRAZIL DURING 2020.

BAN BOTTOM TRAWLING IN THE STATE OF RIO GRANDE DO SUL

OCEANA HAS BEEN CAMPAIGNING FOR TWO YEARS TO DEFEND A BOTTOM TRAWL BAN IN THE STATE OF RIO GRANDE DO SUL, A BAN WHICH WE HELPED SECURE IN 2018. THE SUPREME COURT ISSUED A DECISION ON JUNE 18, 2020 IN AN UNRELATED CASE CHALLENGING A LAW IN AMAPA STATE BANNING INDUSTRIAL SHRIMP BOTTOM TRAWLING IN COASTAL WATERS. THE COURT UNANIMOUSLY DECIDED THAT STATE LAWS BANNING BOTTOM TRAWLING ARE FULLY CONSTITUTIONAL. THIS DECISION IS A FAVORABLE PRECEDENT FOR OUR CAMPAIGN TO DEFEND THE BOTTOM TRAWLING BAN IN RIO GRANDE DO SUL. FISHERIES IN THE AREA ARE ALREADY REPORTING INCREASED CATCHES OF SHRIMP, WITHIN TWO YEARS OF THE BAN BEING IMPLEMENTED.

UNFORTUNATELY, ON DECEMBER 16, 2020, THE SUPREME COURT ISSUED A DECISION THAT ENABLES THE TERRITORIAL SEAS OFF THE COAST OF RIO GRANDE DO SUL TO REOPEN FOR BOTTOM TRAWLING. THE COURT GRANTED A MOTION FOR PRELIMINARY INJUNCTION AGAINST THE BOTTOM-TRAWL BAN, AND ALTHOUGH THE INJUNCTION LASTS ONLY UNTIL THE SUPREME COURT RULES ON THE MERITS, BRAZIL'S SUPREME COURT CAN TAKE YEARS TO RESOLVE A CASE, SO THIS IS AN IMPORTANT AND ALARMING DEVELOPMENT.

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IMPLEMENTING CATCH LIMITS FOR COMMERCIAL FISHERIES

WE HAVE COMPLETED STOCK ASSESSMENTS FOR THREE FISHERIES AND MET AN IMPORTANT MILESTONE WHEN WE SUCCESSFULLY CONVINCED ARTISANAL FISHERS WHO CATCH LOBSTER, WHO WERE INITIALLY RELUCTANT TO ADOPT ANY TYPE OF CONTROL, TO SUPPORT OCEANA IN FAVOR OF A QUOTA SYSTEM. WE HELD A SERIES OF FOUR WORKSHOPS TO EXPLAIN THE CONCEPTS OF STOCK ASSESSMENTS, FISHING QUOTAS AND THE CURRENT STATE OF THE LOBSTER STOCK, RESULTING IN AN OFFICIAL DOCUMENT PREPARED BY 120 ARTISANAL FISHERS THAT PETITIONED THE GOVERNMENT TO SET A FISHING QUOTA FOR LOBSTER. THIS WILL HELP SUPPORT THE SUSTAINABILITY OF THIS FISHERY.

LAST YEAR THE GOVERNMENT SHUT DOWN THE DECISION-MAKING FISHERIES MANAGEMENT COUNCILS (FMCS) THAT WERE RESPONSIBLE FOR ESTABLISHING THESE LIMITS. WE HAVE IDENTIFIED WAYS AROUND THIS TO ACHIEVE OUR GOAL, BRINGING TOGETHER EXPERTS TO DEVELOP STOCK ASSESSMENTS FOR IMPORTANT BUT DATA-POOR COMMERCIAL SPECIES AND WORKING WITH THE FISHING SECTOR TO DEVELOP AND TEST MONITORING, CONTROL, AND TRACEABILITY TOOLS, AND ADVOCATE FOR REGULATIONS FOR CATCH LIMITS BASED ON OUR RECOMMENDATIONS.

IMPROVING FISHERIES MONITORING

OCEANA WON A MAJOR REFORM FOR BRAZIL'S FISHERIES IN JULY 2020 WHEN PRESIDENT BOLSONARO AND SECRETARY OF FISHERIES FORMALLY LAUNCHED A NEW ONLINE LOGBOOK SYSTEM FOR REPORTING CATCH DATA WITHIN BRAZIL'S INDUSTRIAL FISHING FLEET, COMPRISED OF NEARLY 6,000 VESSELS. THIS SYSTEM, WHICH WILL STRENGTHEN FISHERIES MANAGEMENT AND DATA COLLECTION THROUGHOUT BRAZIL, IS ALREADY ONLINE AND REPLACING THE TRADITIONAL BUT INEFFECTIVE PAPER-BASED FORMS. THIS IS AN IMPORTANT ACHIEVEMENT FOR A COUNTRY THAT LACKS BASIC INFORMATION ON ITS FISHERIES. BRAZIL AND

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MYANMAR ARE THE ONLY TWO TOP-50 FISHING NATIONS THAT DO NOT PROVIDE
REGULAR DATA ON MARINE CAPTURE FISHERIES TO THE FOOD AND AGRICULTURE
ORGANIZATION (FAO).

HAVING ONLINE LOGBOOKS IN PLACE DOES NOT NECESSARILY MEAN THAT DATA IS
ACCESSIBLE IN A USABLE WAY. OUR NEXT CHALLENGE IS TO PUSH FOR
TRANSPARENCY AND FULL ACCESS TO FISHING INFORMATION. WE HAVE THEREFORE
INITIATED A NEW PROJECT WITH GLOBAL FISHING WATCH AND OTHER PARTNERS,
CALLED THE OPEN TUNA PROJECT, TO DEMONSTRATE THE BENEFITS OF
TRANSPARENCY BY WORKING DIRECTLY WITH BRAZIL'S INDUSTRIAL TUNA FISHING
FLEET. WE HAVE ALREADY CONVINCED THE LONGLINE TUNA INDUSTRY TO
VOLUNTARILY OPEN LOGBOOK DATA, AND OLD PAPER FORMS ARE BEING UPLOADED
TO THE PROJECT'S DATABASE. THIS OPEN TUNA PROJECT WILL CREATE A
BENCHMARK ON TRANSPARENCY AND ACCESS TO INFORMATION, PUSHING THE
GOVERNMENT TO MAKE ALL FISHERIES DATA PUBLIC.

LIMIT SINGLE-USE PLASTICS

IN NOVEMBER 2020, OCEANA IN BRAZIL PUBLISHED A REPORT ON SINGLE-USE
PLASTICS, DESCRIBING THE PLASTIC INDUSTRY, BRAZIL'S WASTE MANAGEMENT
SYSTEM, OCEAN POLLUTION IMPACTS TO THE BRAZILIAN MARINE FAUNA, AND
ALTERNATIVES TO SINGLE-USE PLASTICS. OUR REPORT RECOMMENDS NATIONAL
LEGISLATION TO REDUCE SINGLE-USE PLASTICS, ACTION BY COMPANIES TO OFFER
PLASTIC-FREE CHOICES TO CONSUMERS, AND CREATION OF PLASTIC-FREE ZONES
IN PUBLIC AND PRIVATE SPACES. WE PRESENTED THE HIGHLIGHTS OF OUR REPORT
TO THE LEADERS OF THE ENVIRONMENTAL COMMISSIONS IN BOTH THE HOUSE AND
THE SENATE, WHO SAID THEY WERE IMPRESSED BY THE FACTS AND OFFERED TO
HOST PUBLIC HEARINGS AS SOON AS CONGRESS RETURNS TO ITS NORMAL
OPERATIONS. WE ALSO DRAFTED A NEW BILL FOR CONGRESS THAT WOULD

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GRADUALLY ELIMINATE DISPOSABLE PLASTICS SUCH AS STYROFOAM CONTAINERS,
UTENSILS, PLATES AND CUPS, AS WELL AS REQUIRING A FEE FOR PLASTIC BAGS.

OCEANA CANADA

IN 2020, 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:

REBUILD CANADA'S FISHERIES

OCEANA ACHIEVED A MAJOR CAMPAIGN VICTORY IN 2019 TO GAIN A REFORM OF
THE FISHERIES ACT THAT REQUIRES REBUILDING PLANS FOR DEPLETED STOCKS.
UNFORTUNATELY, WE HAVE NOT YET ACHIEVED OUR GOAL TO GET REGULATIONS
ENACTED THAT SUPPORT THE FISHERIES ACT, WHICH WERE DELAYED DUE TO THE
COVID-19 PANDEMIC. IN EARLY 2021 DRAFT REGULATIONS WERE RELEASED THAT
OCEANA IS NOT SATISFIED WITH, AND WE ARE FOCUSED ON IMPROVING THEM.
SPECIFICALLY, WE ARE PUSHING FOR:

- REGULATIONS THAT REQUIRE REBUILDING PLANS AND THAT INCLUDE A TIMELINE
FOR REBUILDING, TARGETS AND REFERENCE POINTS FOR STOCK ABUNDANCE;
- FISHERY MONITORING POLICY IMPLEMENTATION WORKPLANS WITH PRIORITIES
AND TIMELINES THAT ENSURES SUFFICIENT LEVELS OF MONITORING OF ALL
RETAINED AND DISCARDED CATCH WITHIN FIVE YEARS FOR ALL MAJOR STOCKS;
AND

- FORMAL AND CLEAR POLICY GUIDANCE BY THE GOVERNMENT FOR FISHERIES
MANAGERS TO EFFECTIVELY IMPLEMENT THE NEW REGULATIONS FOR REBUILDING,
INCLUDING HOW TO INTEGRATE THE VULNERABILITY OF STOCKS TO CLIMATE
CHANGE AND OTHER ECOSYSTEM CONSIDERATIONS INTO DECISION MAKING FOR
DEPLETED STOCKS.

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PROTECTING OCEAN HABITAT IN CANADA

OCEANA CANADA HAS BEEN WORKING WITH THE GOVERNMENT TO DESIGNATE A 133,000 KM² STRETCH OF OFFSHORE MARINE HABITAT IN THE CANADIAN PACIFIC AS A MARINE PROTECTED AREA (MPA). OCEANA HAS CALLED FOR REGULATIONS THAT WILL PERMANENTLY PROTECT THIS AREA FROM THE THREATS OF MINING AND BOTTOM-CONTACT FISHING GEAR, AND WE ARE DEVELOPING A PUBLIC ENGAGEMENT CAMPAIGN USING THE VIDEOS AND PHOTOGRAPHS WE CAPTURED ON OUR 2018 EXPEDITION. UNFORTUNATELY, DUE TO DELAYS EXACERBATED BY COVID, THIS GOAL WILL NOT BE ACHIEVED UNTIL 2021 AS THE REGULATORY PROCESS TO PROTECT THE OFFSHORE PACIFIC MARINE PROTECTED AREA HAS BEEN DELAYED. TO DATE, OCEANA HAS BEEN SUCCESSFUL IN CONTRIBUTING TO THE PROTECTION OF THE AMERICAN BANK MPA, EASTERN HONGUEDO STRAIT CORAL AND SPONGE CONSERVATION AREAS AND EASTERN GULF OF ST. LAWRENCE CORAL CONSERVATION AREA FOR A TOTAL OF 3,761 KM².

STOP SEAFOOD FRAUD IN CANADA

IN JUNE, OCEANA SUBMITTED A DETAILED POLICY BRIEF TO THE CANADIAN GOVERNMENT OUTLINING A HIGH-LEVEL VISION FOR A CANADIAN TRACEABILITY FRAMEWORK. THE GOAL OF THE BRIEF WAS TO PROVIDE A CLEAR, COMPREHENSIVE PATH TO ADVANCE THE FEDERAL GOVERNMENT'S MANDATE TO IMPLEMENT A BOAT-TO-PLATE SEAFOOD TRACEABILITY SYSTEM IN CANADA. THE POLICY BRIEF INCLUDED OUR RECOMMENDED MECHANISMS FOR ESTABLISHING AN INTER-DEPARTMENTAL TASK FORCE TO IMPLEMENT FULL-CHAIN TRACEABILITY, AS OUTLINED IN OUR ANNUAL CAMPAIGN GOAL.

OCEANA IS ALSO IN DISCUSSIONS WITH THE CANADIAN FOOD INSPECTION AGENCY (CFIA) AND WITH FISHERIES AND OCEANS CANADA (DFO). WE HAVE ORGANIZED AN

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ONLINE CONSULTATION BETWEEN GOVERNMENT AGENCIES, ENGOS AND INDUSTRY

ORGANIZATIONS, WHICH WILL TAKE PLACE IN SEPTEMBER 2021. OCEANA IS

ARRANGING EXPERT PRESENTATIONS DURING THE CONSULTATION. WE HAVE ALSO

COMMISSIONED AN ECONOMIC ANALYSIS OF THE IMPACTS OF ILLEGAL, UNREPORTED

AND UNREGULATED (IUU) ACTIVITIES IN CANADA BY THE FISHERIES ECONOMICS

RESEARCH UNIT AT THE UNIVERSITY OF BRITISH COLUMBIA. THIS REPORT, WHICH

WILL BE RELEASED IN OCTOBER, WILL SHINE A LIGHT ON CANADA'S PREVIOUSLY

OVERLOOKED ROLE IN PERPETUATING A MARKET FOR IUU PRODUCTS, AND WILL

PRODUCE ORIGINAL DATA SHOWING THE FINANCIAL LOSSES CURRENTLY BEING

SUSTAINED BY CANADIAN INDUSTRIES AND TAXPAYERS THROUGH ALLOWING IUU

PRODUCTS UNFETTERED ACCESS TO THE CANADIAN MARKET.

PROTECT NORTH ATLANTIC RIGHT WHALES

OCEANA CANADA IS CAMPAIGNING TO PROTECT THE FEW NORTH AMERICAN RIGHT

WHALES STILL IN EXISTENCE, WHICH NUMBER APPROXIMATELY 400. TOWARD THAT

END, WE ARE PROMOTING REDUCED SHIPPING SPEEDS IN ZONES WHERE WHALES

TRANSIT. TO PRESSURE THE GOVERNMENT TO MAKE SLOWDOWNS MANDATORY, OCEANA

CONDUCTED AN ANALYSIS USING GLOBAL FISHING WATCH AND SHIP SPEED WATCH

TO DEMONSTRATE THAT ONLY 33 PERCENT OF VESSELS WERE TRANSITING AT THE

REQUESTED 10 KNOTS. WEEKLY REPORTS WERE SENT TO GOVERNMENT OFFICIALS

AND A REPORT WAS LAUNCHED TO THE PUBLIC. ONE RESULT: IN FEBRUARY 2020,

TRANSPORT CANADA ANNOUNCED A VOLUNTARY SPEED RESTRICTION IN THE CABOT

STRAIT THAT WOULD BE APPLIED IN THE SPRING AND THE AUTUMN TO PROTECT

THE CRITICALLY-ENDANGERED NORTH ATLANTIC RIGHT WHALE. WE WERE ALSO

SUCCESSFUL IN SECURING SUPPORT FROM AT LEAST ONE MAJOR CANADIAN

SHIPPING COMPANY FOR A MANDATORY MEASURE IN THE CABOT STRAIT. WE WILL

CONTINUE TO ADVOCATE FOR A MANDATORY MEASURE IN THE CABOT STRAIT FOR

2021.

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LIMIT SINGLE-USE PLASTICS

IN OCTOBER 2020, OCEANA REACHED A 2021 CAMPAIGN MILESTONE EARLY WHEN THE MINISTER OF THE ENVIRONMENT PUBLICLY ANNOUNCED THE INTENTION TO BAN SIX SINGLE-USE PLASTICS PRODUCTS (PLASTIC CHECK-OUT BAGS, STIR STICKS, SIX-PACK RINGS, CUTLERY, STRAWS AND FOODSERVICE WARE MADE FROM PROBLEMATIC PLASTICS) BY THE END OF 2021. THIS ANNOUNCEMENT IS PART OF A LARGER GOVERNMENT DISCUSSION PAPER THAT WILL ALSO INCLUDE ADDITIONAL REGULATIONS TO ACHIEVE THE GOAL OF ZERO PLASTIC WASTE BY 2030. IN MEETINGS WITH THE MINISTER'S OFFICE EARLIER IN THE YEAR, STAFF EXPLAINED THAT ANNOUNCING THE BAN WOULD BE DELAYED AND THAT INSTEAD THEY WOULD FIRST FOCUS ON REGULATIONS RELATED TO EXTENDED PRODUCER RESPONSIBILITY (EPR) AND CIRCULAR ECONOMY. IN RESPONSE, OCEANA LAUNCHED A REPORT ENTITLED "DROWNING IN PLASTIC: ENDING CANADA'S CONTRIBUTION TO THE GLOBAL PLASTIC DISASTER" THAT RECEIVED BROAD MEDIA COVERAGE, AND A PETITION CALLING ON THE GOVERNMENT TO KEEP THEIR COMMITMENT TO BAN SINGLE-USE PLASTICS WHICH QUICKLY REACHED 100,000 SIGNATURES. WE ALSO CONDUCTED POLLING WHICH FOUND THAT 86 PERCENT OF CANADIANS SUPPORTED A BAN. THESE RESULTS WERE EVEN HIGHER THAN A SIMILAR POLL CONDUCTED BEFORE THE COVID-19 PANDEMIC HIT. THE MINISTER INCLUDED THE BAN IN A MID-YEAR ANNOUNCEMENT AND COMMITTED TO HAVING REGULATIONS IN PLACE BY THE END OF 2021.

CHILE**HABITAT PROTECTION**

- LA HIGUERA: OCEANA HAS BEEN WORKING WITH THE COMMUNITY FOR SEVERAL YEARS TO DEFEAT PLANNED INDUSTRIAL DEVELOPMENT PROJECTS IN THIS ECOLOGICALLY IMPORTANT AREA, WHICH IS HOME TO 80 PERCENT OF THE WORLD'S

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HUMBOLDT PENGUIN POPULATION AND A VITAL HABITAT FOR BLUE WHALES, HUMPBACK WHALES, CHILEAN SEA OTTERS, SEABIRDS AND OTHER ENDANGERED AND RARE SPECIES. FISHING OF LOCO (CHILEAN ABALONE) ACCOUNTS FOR 80 PERCENT OF THE LOCAL ECONOMY. WE ARE FIGHTING TO HAVE A NEW MPA DECLARED TO PROVIDE PERMANENT PROTECTION. WE HAVE HAD SEVERAL COURT VICTORIES AS WELL AS SETBACKS RELATED TO THE PUERTO CRUZ GRANDE PROJECT, THE LATEST WAS A DECISION AGAINST OCEANA BY THE ENVIRONMENTAL SUPERINTENDENCE IN SEPTEMBER. WE ARE NOW APPEALING THAT DECISION WITH THE ENVIRONMENTAL COURT AND IF DEFEATED, WILL PUSH ON TO THE SUPREME COURT.

- JUAN FERNANDEZ: AFTER WINNING AN MPA TOGETHER WITH THE JUAN FERNANDEZ FISHERMEN, THE FISHERS HAVE COME TO VIEW OUR STAFF AS TRUSTED ALLIES AND TURN TO US OFTEN FOR SUPPORT. WE ARE WORKING WITH THE LOCAL COMMUNITY TO ENSURE THAT THEIR WISHES ARE REPRESENTED IN THE MANAGEMENT PLAN FOR THEIR MPA, BY MAKING SURE THEY ARE PART OF THE DECISION-MAKING PROCESS. WE ARE ALSO SUPPORTING THE JUAN FERNANDEZ FISHERMEN TO DEVELOP ALTERNATIVE MEANS OF GETTING INCOME, SO THEY ARE NOT COMPLETELY DEPENDENT ON LOBSTER. AS A RESULT, THEY ARE BUILDING A FISH PROCESSING PLANT. THIS TURNED OUT TO BE A TIMELY DECISION BECAUSE CHINESE DEMAND FOR THE JUAN FERNANDEZ LOBSTER HAS DROPPED SIGNIFICANTLY DUE TO THE PANDEMIC.

- KATALALIXAR: THE PROPOSAL PROCESS TO RECLASSIFY THE 20,000 KM2 KATALALIXAR AREA AS A PARK, CHILE'S STRONGEST PROTECTION, ADVANCED WHEN CHILE'S PROTECTED AREA SERVICE (CONAF) FORMALLY REQUESTED THAT THE REGIONAL AUTHORITIES BEGIN THE PROCESS OF RECLASSIFICATION. THIS WILL PROTECT THIS FRAGILE ECOSYSTEM FROM INDUSTRIAL DEVELOPMENT. OUR PLANNED MAY EXPEDITION WITH THE KAWESQAR, WHO ARE THE LOCAL INDIGENOUS PEOPLE, TO DOCUMENT THE ANTHROPOLOGICAL IMPORTANCE OF THE AREA WAS CANCELLED

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DUE TO COVID-19. WE ARE DRAFTING THE CULTURAL JUSTIFICATION FOR
STRENGTHENED PROTECTIONS AT THE REQUEST OF THE KAWESQAR COMMUNITY,
BASED ON THE IMPORTANCE OF THE AREA TO THIS INDIGENOUS COMMUNITY. ONCE
WE CONDUCT THE EXPEDITION AND ANALYZE AND INCORPORATE THE DATA, THE
PROTECTION PROPOSAL WILL BE COMPLETE.

PROTECT BROWN KELP

BROWN KELP IS NOW THE LARGEST ARTISANAL "FISHERY" IN CHILE, WITH MORE
THAN 6,000 FISHERMEN AND OVER 160,000 TONS OF LANDINGS, VALUED AT \$269
MILLION USD. A RECENT TEN-FOLD INCREASE IN KELP EXTRACTION HAS BEEN
DRIVEN BY DECLINES IN OTHER FISHERIES, AMONG THEM COMMON HAKE, AS
DEMERSAL FISHERMEN SEEK ALTERNATIVE LIVELIHOODS AND ECONOMIC STABILITY.
THE BROWN KELP IS USED LOCALLY, NATIONALLY AND IS EXPORTED TO COUNTRIES
INCLUDING CHINA AND JAPAN WHERE IT IS USED FOR COSMETICS AND AS A FOOD
STABILIZER.

BROWN KELP IS MANAGED AS A FISHERY UNDER CHILEAN LAW WITH MANAGEMENT
BASED ON REGIONAL-SCALE PLANS. HOWEVER, GIVEN THE LACK OF MONITORING
AND COMPREHENSIVE MANAGEMENT PLANS AND EDUCATION OF FISHERMEN IN THIS
RELATIVELY NEW EXTRACTED RESOURCE, KELP IS NOW CONSIDERED HIGHLY
OVEREXPLOITED AND VERY CLOSE TO COLLAPSE. IF KELP DISAPPEARS, NOT ONLY
WILL FISHERS LOSE A VALUABLE SOURCE OF INCOME, MANY WILL RETURN TO
EXPLOITING FISHERIES THAT WE ARE WORKING TO REBUILD. THIS WILL HAVE A
DETRIMENTAL EFFECT ON THE BIODIVERSITY OF DEMERSAL FISHERIES SPECIES
AND ON THE SOCIAL AND ECONOMIC LIVELIHOODS OF FISHERMEN.

WE HAVE BEEN GATHERING EXTENSIVE MISSING DATA THAT IS NECESSARY AS A
FOUNDATION TO BASE ANY PLAN FOR SCIENCE-BASED MANAGEMENT OF THIS

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FISHERY. WE HAVE JUST RECEIVED A REPORT WE COMMISSIONED ON KELP THAT PROVIDES A BASIS TO START BUILDING A PROPOSAL FOR A MANAGEMENT PLAN FOR THIS FISHERY. THE REPORT DETAILED THE MARKET CHAIN FOR KELP, GOVERNMENT MONITORING GAPS, SCIENTIFIC GAPS AND REGULATION GAPS FOR KELP COMMERCE.

REDUCE ANTIBIOTIC USE IN SALMON AQUACULTURE

OCEANA HAS BEEN CAMPAIGNING FOR MANY YEARS TO BRING TRANSPARENCY TO SALMON FARMING PRACTICES IN CHILE AND TO REDUCE THE SPREAD OF SALMON AQUACULTURE. WE ACHIEVED OUR 2020 GOAL EARLIER IN THE YEAR WHEN WE PERSUADED THE GOVERNMENT TO DECLARE THAT NO NEW PERMITS WILL BE GRANTED FOR SALMON FARMS IN THE AYSN REGION OF PATAGONIA. SINCE THEN, OUR PROPOSED LEGISLATION ON TRANSPARENCY, WHICH WILL MAKE IT MANDATORY FOR SALMON FARMERS TO DISCLOSE THEIR USE OF ANTIBIOTICS AND ANTI-PARASITE PRODUCTS, HAS BEEN APPROVED BY THE SENATE'S COMMISSION OF FISHERIES, AND IS IN LINE TO BE VOTED ON BY THE FULL SENATE IN 2021. WE ALSO MANAGED TO INTRODUCE PROVISIONS THAT SANCTION SALMON ESCAPES THAT FOR THE FIRST TIME WILL DESIGNATE THIS AS ENVIRONMENTAL DAMAGE UNDER THE LEGISLATION. GETTING THIS LAW WILL PROTECT THE SIGNIFICANT WINS WE HAVE HAD IN MAKING SALMON FARMING IN CHILE A CLEANER AND MORE TRANSPARENT INDUSTRY.

LIMIT SINGLE-USE PLASTICS

IN JULY 2020, THE CHILEAN SENATE UNANIMOUSLY VOTED IN FAVOR OF A LAW, REFLECTING OCEANA'S RECOMMENDATIONS, TO BAN SINGLE-USE PLASTICS NATIONALLY. THE PROPOSED LAW, ONE OF THE MOST AMBITIOUS IN THE WORLD, ESTABLISHES THAT ALL FOOD SERVICES WILL BE FORBIDDEN FROM PROVIDING ANY PLASTIC CUP, MUG, UTENSIL, STRAW, PLATE, CONTAINER, TRAY OR SACHET. THE BILL ALSO REGULATES DISPOSABLE PLASTIC BOTTLES AND REQUIRES MAJOR

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CHANGES IN THE MANUFACTURING OF PLASTIC BOTTLES: 25 PERCENT RECYCLED CONTENT BY 2025; 50 PERCENT BY 2030; 55 PERCENT BY 2040; AND 70 PERCENT BY 2050. THE BILL WILL NOW BE REVIEWED BY THE COMMITTEE ON ENVIRONMENT OF THE CHAMBER OF DEPUTIES. ONCE APPROVED, THIS PLASTICS BILL WILL GRADUALLY COME INTO FORCE WITHIN THREE YEARS OF BEING ENACTED INTO LAW. WE ARE CAMPAIGNING FOR ITS ENACTMENT BY THE FIRST QUARTER OF 2021.

EUROPE

IN EARLY 2021, OCEANA RELEASED ITS UK FISHERIES AUDIT, WHICH PAINTED A DISTURBING PICTURE OF THE STATE OF UK FISH STOCKS. ONLY 36 PERCENT OF THE 104 AUDITED STOCKS WERE KNOWN TO BE HEALTHY IN TERMS OF STOCK SIZE AND ONLY 38 PERCENT SUSTAINABLY EXPLOITED. OF THE TOP 10 MOST ECONOMICALLY IMPORTANT FISH STOCKS FOR THE UK, SIX ARE OVERFISHED OR THEIR STOCK BIOMASS IS AT A CRITICAL LEVEL: NORTH SEA COD, NORTH SEA HERRING, SOUTHERN NORTH SEA CRAB, EASTERN ENGLISH CHANNEL SCALLOPS, NORTH EAST ATLANTIC BLUE WHITING AND NORTH SEA WHITING. FURTHER, THERE IS INSUFFICIENT DATA TO DEFINE REFERENCE POINTS FOR NORTH SEA ANGLERFISH. THEREFORE, ONLY THREE OF THE TOP 10 STOCKS UPON WHICH THE UK FISHING INDUSTRY RELIES ARE KNOWN TO BE BOTH HEALTHY AND SUSTAINABLY EXPLOITED: NORTH EAST ATLANTIC MACKEREL, NORTH SEA HADDOCK AND WEST OF SCOTLAND NEPHROPS. THIS IS DUE TO CATCH LIMITS HAVING BEEN SET AT OR BELOW THE RECOMMENDED SUSTAINABLE LIMITS FOR PRECEDING YEARS, DEMONSTRATING THE POSITIVE IMPACT TO BE GAINED BY FOLLOWING SCIENTIFIC ADVICE. OCEANA IS NOW CALLING ON THE UK GOVERNMENT TO STOP OVERFISHING AND LEAD THE WAY IN SUSTAINABLE FISHERIES BY SETTING CATCH LIMITS IN LINE WITH SCIENCE.

IN EARLY 2021, OCEANA REACHED A SIGNIFICANT MILESTONE IN OUR CAMPAIGN

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TO REDUCE ILLEGAL FISHING BY IMPROVING MONITORING OF SMALL-SCALE VESSELS WHEN THE EU FISHERIES COMMITTEE VOTED ON THE FUTURE FISHERIES CONTROL REGULATION. TAKING AN ENORMOUS STEP FORWARD, THEY VOTED IN FAVOR OF REQUIRING VESSEL MONITORING SYSTEM (VMS) TRACKERS FOR ALL EU VESSELS, INCLUDING THE MORE THAN 49,000 SMALL-SCALE VESSELS OPERATING IN THE EU. IN ADDITION, ELECTRONIC CATCH REPORTING WILL BE REQUIRED FOR ALL EU VESSELS REGARDLESS OF THEIR SIZE, SOMETHING THAT WAS CURRENTLY ONLY REQUIRED FOR VESSELS FROM 12 METERS ONWARDS. THE FISHERIES COMMITTEE ALSO REQUIRED MEMBER STATES TO ANNUALLY PUBLISH THEIR EFFORTS TO CONTROL FISHING ACTIVITIES AND TO MAKE PUBLIC THE NUMBER OF INSPECTIONS, VIOLATIONS, AND THE FOLLOW-UP ACTIONS TO CONFIRMED INFRINGEMENTS. MEMBER STATES ARE NOW REQUIRED TO SET UP DIGITAL TRACEABILITY SYSTEMS THAT WOULD PROVIDE KEY INFORMATION FOR AUTHORITIES ON ALL SEAFOOD PRODUCTS INCLUDING PROCESSED AND PREPARED PRODUCTS, SUCH AS CANNED TUNA, WHICH ARE CURRENTLY EXCLUDED.

FISH RECOVERY AND SUSTAINABLE MANAGEMENT ON DECEMBER 24, 2020, WITH JUST ONE WEEK BEFORE THE EXPIRY OF THE BREXIT TRANSITION PERIOD AND UNDER ADDITIONAL PRESSURE FROM COVID-19, THE EU AND THE UK REACHED AN AGREEMENT ON THE EU-UK TRADE AND COOPERATION AGREEMENT (TCA). THE NEW AGREEMENT INCLUDES SUSTAINABILITY PROVISIONS LIKE FISHING TO MAXIMUM SUSTAINABLE YIELD (MSY), MINIMIZING ECOSYSTEM IMPACT, IMPROVING SELECTIVITY AND REDUCING UNWANTED BYCATCH, AND COMBATING IUU. THE AGREEMENT ON FISHERIES ALSO PROVIDES PROMISING WORDING AGAINST SETTING UNILATERAL QUOTAS BEYOND SCIENTIFIC ADVICE. THE FISHERIES AGREEMENT BETWEEN THE EU AND THE UK IS A POSITIVE FIRST STEP FOR THEIR SHARED MARINE ECOSYSTEMS. OCEANA IS NOW URGING BOTH THE EU AND THE UK TO IMPLEMENT THE DEAL AND PUT AN END TO OVERFISHING, BY

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JOINTLY SETTING CATCH LIMITS FOR 2021 THAT ABIDE BY THE BEST AVAILABLE SCIENTIFIC ADVICE.

ALSO, IN DECEMBER, EU FISHERIES MINISTERS REACHED AN AGREEMENT ON NORTHEAST ATLANTIC TOTAL ALLOWABLE CATCHES (TACS) FOR STOCKS THAT ARE EXCLUSIVELY IN EU WATERS AND WESTERN MEDITERRANEAN FISHING EFFORT RESTRICTIONS. AROUND 65 PERCENT OF THE NE ATLANTIC TACS WERE SET IN LINE WITH SCIENTIFIC ADVICE, WHICH IS INSUFFICIENT TO MEET THE EU LEGAL COMMITMENT TO END OVERFISHING BY 2020 UNDER THE COMMON FISHERIES POLICY (CFP). ADDITIONALLY, THE COUNCIL UNILATERALLY SET OVER 120 PROVISIONAL TACS FOR SHARED STOCKS WITH THIRD COUNTRIES (MAINLY THE UK AND NORWAY) THAT WILL APPLY DURING THE FIRST QUARTER OF 2021 TO ENSURE CONTINUATION OF FISHING ACTIVITY UNTIL INTERNATIONAL AGREEMENTS ON THESE STOCKS ARE CONCLUDED. FOR MOST STOCKS, THESE TACS ARE A ROLL-OVER OF 25 PERCENT OF THE 2020 TAC, BUT TACS HAVE BEEN INCREASED FOR SOME PELAGIC STOCKS LIKE MACKEREL, BLUE WHITING AND HORSE MACKEREL.

FOR THE MEDITERRANEAN, FISHERIES MINISTERS AGREED TO REDUCE FISHING EFFORT (DAYS AT SEA) FOR BOTTOM TRAWLERS IN THE WESTERN MEDITERRANEAN BY 7.5 PERCENT, WHICH WILL BE ADDED TO A 10 PERCENT REDUCTION ADOPTED LAST YEAR. THIS DECISION IS IN LINE WITH THE MULTIANNUL PLAN FOR DEMERSAL FISHERIES IN THE WESTERN MEDITERRANEAN. NEVERTHELESS, OCEANA CONSIDERS THAT THE REDUCTION IN FISHING EFFORT FOR 2021 IS INSUFFICIENT, GIVEN THE DIRE STATUS OF DEMERSAL FISH STOCKS IN THE AREA AND SCIENTIFIC RECOMMENDATIONS TO REDUCE FISHING MORTALITY OF SOME STOCKS BY 40-80 PERCENT. OCEANA ISSUED A PRESS RELEASE IN ENGLISH AND SPANISH THAT RESULTED IN EXTENSIVE MEDIA COVERAGE, WITH ARTICLES FROM VARIOUS COUNTRIES ACROSS EUROPE INCLUDING FRANCE 24, THE BRUSSELS-BASED

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PRESS AGENCY AGENCE EUROPE, AGENCIA EFE, AND INTERVIEWS WITH SPANISH RADIO STATIONS. OCEANA ALSO PARTICIPATED IN AN NGO PRESS BRIEFING ON DECEMBER 14, 2020, TO PROVIDE BACKGROUND INFORMATION TO MEDIA ON THE FISHERIES MINISTERS DECISION ON FISHING OPPORTUNITIES FOR 2021.

HABITAT CAMPAIGN

IN 2020, OCEANA PUBLISHED A COMPREHENSIVE REVIEW OF THE EU MEDITERRANEAN FISHERIES REGULATION (1967/2006), SHOWING OVERALL WEAK IMPLEMENTATION OF PROTECTIONS IN SENSITIVE MARINE HABITATS. OUR ANALYSIS FOCUSED ON THE PROTECTION OF SEAGRASS, CORALLIGENOUS AND MAERL BED HABITATS AND FOUND A TOTAL OF 7,600 HOURS OF TRAWLING IN 2019 OVER THESE HABITATS, WITH ITALY REPRESENTING TWO THIRDS OF THIS, FOLLOWED BY MALTA. DATA ACCESSED BY OCEANA ALSO SHOWED VERY FEW FISHERIES PROTECTED AREAS (FPAS) HAVE BEEN ESTABLISHED, DESPITE THE REQUIREMENTS OF THE LAW. OCEANA IS URGING THE EUROPEAN COMMISSION AND EU MEMBER STATES TO FOLLOW A MORE HOLISTIC APPROACH TO BETTER PROTECT SENSITIVE MEDITERRANEAN HABITATS BY CREATING BROAD-SCALE TRAWL-FREE AREAS IN COASTAL AREAS, WHICH WOULD DELIVER A TRIPLE WIN FOR ARTISANAL LOW-IMPACT FISHERS, MARINE BIODIVERSITY AND CLIMATE RESILIENCE.

SEAGRASS, CORALLIGENOUS AND MAERL BEDS CREATE COMPLEX HABITATS THAT OFFER SHELTER TO VARIOUS MARINE ORGANISMS, ESPECIALLY JUVENILE FISH, ENABLING THEM TO REST AND GROW SAFELY. OUR ANALYSIS SHOWS BOTTOM-TRAWLING OCCURRING OVER THESE SENSITIVE HABITATS, INCLUDING INSIDE THE COASTAL ZONE WHERE SUCH FISHING IS NOT PERMITTED UNDER THE MEDITERRANEAN REGULATION. IN ADDITION, DESPITE A REQUIREMENT TO DESIGNATE ADDITIONAL FPAS TO PROTECT SENSITIVE HABITATS, MANY OF THE FPAS REPORTED BY MEMBER STATES HAD IN FACT ALREADY BEEN DESIGNATED

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PRIOR TO THE ADOPTION OF THE REGULATION. SOME ITALIAN FPAS, NOTABLY IN THE NORTHERN ADRIATIC SEA, SHOWED NO ENFORCEMENT OF RULES AT ALL, WITH ILLEGAL TRAWLING OCCURRING INSIDE THEM. TO ADD TO THIS, THE EUROPEAN COMMISSION'S LAX ENFORCEMENT HAS GIVEN EU MEMBER STATES TOO MUCH DISCRETION WHEN DEVELOPING NATIONAL MANAGEMENT PLANS AND OFTEN DISREGARDED SCIENTIFIC CONCERNS RAISED BY THE SCIENTIFIC, TECHNICAL AND ECONOMIC COMMITTEE FOR FISHERIES (STECF).

OCEANA STRESSES THE NEED TO STEP-UP IMPLEMENTATION AND COMPLIANCE, ESPECIALLY AS THE MEDITERRANEAN SEA IS THE MOST OVERFISHED SEA IN THE WORLD. WE ALSO CALL ON THE EUROPEAN COMMISSION TO ASSESS THE EFFECTIVENESS OF FPAS AND INITIATE LEGAL ACTION AGAINST EU MEMBER STATES THAT HAVE NOT DESIGNATED ANY, OR THAT FAIL TO ENFORCE MANAGEMENT RULES WITHIN THEM.

IN EARLY MAY, OCEANA ALSO RELEASED A REPORT PROFILING 15 BIODIVERSITY HOTSPOTS THAT SHOULD BE PROTECTED, BASED ON DATA COLLECTED DURING OCEANA'S 15 YEARS OF EXPEDITIONS IN EUROPEAN WATERS. THIS REPORT WAS DISSEMINATED TO KEY ENVIRONMENT MINISTRIES, URGING THEM TO MAKE USE OF OCEANA'S DATA TO PROTECT BIODIVERSITY IN THEIR WATERS. WE ALSO CONTINUE TO SUPPORT MPA DESIGNATION PROCESSES THAT HAVE DRAWN ON OUR DATA, IN THE SOUTHERN TRENCH (UK), THE DANISH PART OF THE NORTH SEA (DENMARK), BORKUM REEF (THE NETHERLANDS) AS WELL AS VARIOUS SITES IN SPAIN.

MEXICO

TRANSPARENCY

OVER THE PAST YEAR, WE WERE SUCCESSFUL IN OBTAINING HISTORICAL VESSEL TRACKING DATA (2012-2019) FROM THE GOVERNMENT AND UPLOADING IT TO

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GLOBAL FISHING WATCH (GFW) FOR THE FIRST TIME. WE ALSO GAINED SIGNIFICANT FISHING INDUSTRY SUPPORT FOR THE ONGOING RELEASE OF THE DATA TO GFW AND WE DEMONSTRATED THE VALUE OF VESSEL TRACKING THROUGH THE RELEASE OF A REPORT HIGHLIGHTING FOREIGN-VESSEL ACTIVITY WITHIN MEXICO'S EXCLUSIVE ECONOMIC ZONE (EEZ). UNFORTUNATELY, WE HAVE BEEN UNABLE TO CONVINCE THE GOVERNMENT TO PUBLISH ITS DATA ON A CONTINUAL BASIS, WHICH WOULD PROVIDE FURTHER TRANSPARENCY INTO THE ACTIVITIES OF THE FISHING FLEET. FURTHER PROGRESS ON THIS FRONT HAS BEEN CHALLENGING DUE TO THE PANDEMIC AND CHANGING ROLES WITH THE MEXICAN GOVERNMENT FOR MONITORING AND SURVEILLANCE OF ILLEGAL FISHING ACTIVITIES. STILL, WE HAVE DEVELOPED VERY POSITIVE RELATIONSHIPS WITH THE STAFF OF THE FISHERIES AGENCY, POSITIONING US FOR FUTURE GAINS TOWARD ACHIEVING THIS GOAL.

FISHERIES REBUILDING

SPURRED BY OCEANA'S 2019 SEAFOOD FRAUD REPORT, CONAPESCA, THE NATIONAL FISHERIES AUTHORITY, FOLLOWED THROUGH ON ITS COMMITMENT TO CONVENE AN INTER-AGENCY WORKING GROUP TO CREATE A SEAFOOD TRACEABILITY RULE. A DRAFT RULE CONTAINING SEVERAL OF OCEANA'S RECOMMENDATIONS CAME OUT OF THE GROUP'S FIRST MEETING, IN DECEMBER 2019. WE HAVE JOINED ALL SESSIONS OF THE TECHNICAL COMMITTEE AND HAVE PUSHED FOR A FULL-CHAIN, ELECTRONIC AND UNIQUE TRACEABILITY SYSTEM THAT APPLIES TO AS MANY FISHERIES AS POSSIBLE, PRIORITIZING HIGH-VOLUME AND HIGH-VALUE FISHERIES.

WE HAVE BUILT ALLIANCES WITH THE INDUSTRY THROUGH THIS PROCESS, MAINLY WITH EXPORTERS THAT REQUIRE BETTER AND MORE RELIABLE TRACEABILITY SYSTEMS. SOME OF THE EXPORTERS ALREADY HAVE ADVANCED SYSTEMS BUT LACK

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THE GOVERNMENT'S INVOLVEMENT, WHICH THEY WOULD WELCOME TO CONVEY A
CLEAR SIGN OF THE LEGALITY OF THEIR PRODUCT.

PERU

HABITAT PROTECTION

OCEANA HAS BEEN WORKING TO GAIN THE DESIGNATION OF A NEW MPA IN THE
NAZCA RIDGE IN PERU. THE FINAL STAKEHOLDER MEETING FOR THIS MPA WAS
COMPLETED IN 2020 AND WITH IT, THE FINAL VERSION OF THE DESIGNATION
REPORT WAS FINALLY CLOSED. FROM HERE, THE REPORT NEEDS FINAL APPROVAL
OF THE MULTISECTORAL COMMISSION THAT WAS CREATED TO OVERSEE THE MPA
DESIGNATION PROCESS AND BY THE ADMINISTRATIVE COUNCIL OF PERU'S
PROTECTED AREA SERVICE REMAIN BEFORE IT IS SENT TO CABINET. ONCE THERE,
IT SHOULD TAKE ONE TO THREE WEEKS FOR APPROVAL AND PRESIDENTIAL
SIGNATURE. THIS NEW MPA WILL PROTECT MARINE BIODIVERSITY IN A CRITICAL
ECOSYSTEM IN THE PACIFIC OCEAN.

DETER ILLEGAL FISHING

WE ARE ADVANCING THIS CAMPAIGN ON SEVERAL LEVELS:

- WE ARE SUPPORTING CUSTOMS IN SEIZING TONS OF ILLEGAL SHARK PARTS FROM
ENDANGERED SPECIES;
- WE CONTINUE TO LEAD TRAININGS FOR THE GOVERNMENT ON THE
IDENTIFICATION AND REGULATIONS SURROUNDING ILLEGAL SHARK PARTS;
- WE DEVELOPED A FIRST-EVER GUIDE TO SHARK TRUNKS WHICH IS BEING USED
BY CUSTOMS AND OTHER AUTHORITIES ALONG WITH OUR GUIDE TO SHARK FINS;
- WE ARE WORKING WITH NGOS IN ECUADOR, THE SOURCE OF THE ILLEGAL TRADE
IN SHARK PARTS THAT COMES THROUGH PERU;
- WE ARE COLLABORATING WITH THE ENVIRONMENTAL ATTORNEYS OFFICE ON CITES
COMPLIANCE FOR THE EXPORT OF ENDANGERED FISH SPECIES OR ITS PARTS;

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- WE ARE WORKING WITH THE UN OFFICE OF DRUGS AND CRIME ON DETERRING THE
ILLEGAL TRADE OF WILDLIFE IN PERU.

IN TWO YEARS, OCEANA HAS HELPED TO MOVE PERU FROM ITS POSITION AS THE
LARGEST EXPORTER OF SHARK FINS IN THE AMERICAS TO A LEADER IN THE FIGHT
AGAINST ILLEGAL TRAFFICKING OF FINS, AND THE GOVERNMENT HAS COME TO
RELY HEAVILY ON OUR ADVICE AND SUPPORT.

IN 2020, THE PERUVIAN GOVERNMENT SHUT DOWN THREE ADDITIONAL ILLEGAL
FISH PROCESSING PLANTS, BRINGING THE TOTAL TO EIGHT CLOSED PLANTS. ALL
THESE PLANTS HAVE BEEN CLOSED BECAUSE OF OCEANA'S 2019 REPORT MAPPING
EVERY ILLEGAL FISHMEAL PLANT IN PERU (BOTH FREESTANDING AND PART OF
LEGAL FISH PROCESSING PLANTS) AND DETAILS ABOUT THESE PLANTS'
OPERATIONS. IN PERU, ILLEGAL FISH CANNING HAS INCREASED DURING THE
PANDEMIC, ESPECIALLY FOR TUNA, AND WE ARE PROVIDING TECHNICAL SUPPORT
AND GUIDANCE TO PERU'S ENVIRONMENTAL POLICE TASK FORCE AND TO
ENVIRONMENTAL ATTORNEYS TO ADDRESS THIS NEW PROBLEM. THE ENVIRONMENTAL
POLICE HAVE NEWLY BECOME INVOLVED IN SHUTTING DOWN ILLEGAL FISH
PROCESSING SINCE THE NATIONAL GOVERNMENT SEES THIS AS A LOCAL
GOVERNMENT'S RESPONSIBILITY.

BENEFITTING BOTH OF OUR IUU CAMPAIGNS, OCEANA PRESENTED ARGUMENTS TO
THE PERUVIAN CONGRESS TO INCLUDE ILLEGAL FISHING IN AN ORGANIZED CRIMES
LAW, AND TO INCLUDE STRONGER PENALTIES AND RESOURCES TO FIGHT ILLEGAL
FISHING ACTIVITIES. WE WILL CONTINUE TO WORK WITH THE ENVIRONMENTAL
ATTORNEYS OFFICE AT THEIR REQUEST ON THE VALUATION OF ENVIRONMENTAL
CRIMES AND TO HELP THEM BETTER UNDERSTAND COLLATERAL ILLEGAL PRACTICES
LINKED TO ILLEGAL FISHING, SUCH AS FINNING AND ILLEGAL FISH PROCESSING,
TO HELP THEM PREPARE CASES AGAINST THESE ACTIVITIES.

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PHILIPPINES

PROTECT SARDINES/ESTABLISH NATIONAL RULES ON FISHERIES MANAGEMENT AREAS

OUR MOST SIGNIFICANT ACHIEVEMENT IN THE PHILIPPINES IN 2020 OCCURRED

WHEN THE SECRETARY OF THE DEPARTMENT OF AGRICULTURE SIGNED THE NATIONAL

SARDINES MANAGEMENT PLAN AND ENDORSED ITS ADOPTION AS A FRAMEWORK FOR

THE POLICIES, RESEARCH AND ACTIVITIES RELATED TO SARDINES' MANAGEMENT.

THE PLAN IS A PRODUCT OF A PARTICIPATORY PROCESS THAT INVOLVED KEY

STAKEHOLDERS OF THE SARDINES' INDUSTRY IN THE COUNTRY AND SERVES AS A

ROAD MAP FOR THE PROTECTION AND SUSTAINABLE MANAGEMENT OF THE SARDINES.

THIS IMPORTANT FOOD FISH FOR FILIPINOS IS THREATENED BY OVERFISHING AND

ILLEGAL FISHING.

STOP ILLEGAL COMMERCIAL FISHING IN MUNICIPAL WATERS

AN IMPORTANT CAMPAIGN IN THE PHILIPPINES FOCUSES ON STOPPING ILLEGAL

FISHING BY EXPANDING VESSEL MONITORING, SO THAT OFFICIALS CAN TRACK THE

MOVEMENTS OF LEGAL FISHERS AND OTHER VESSELS. IN OCTOBER 2020, OCEANA

SUCCEEDED IN GETTING THE LONG-AWAITED RULES ON VESSEL MONITORING

MEASURES FOR ALL COMMERCIAL FISHING VESSELS SIGNED BY THE AGRICULTURE

SECRETARY. THESE NEW RULES COVER ALL COMMERCIAL FISHING VESSELS AND

REFLECT OCEANA'S PRIORITIES, INCLUDING DELETING THE PROVISION ON

SUBSIDIES FOR THE DEVICE AND ACCESS TO DATA FOR LOCAL GOVERNMENTS AND

ENFORCERS IN MARINE PROTECTED AREAS. THE RULES WILL IMMEDIATELY APPLY

TO ALL COMMERCIAL FISHING VESSELS FROM 30.1 GROSS TONNAGE (GT) AND UP;

THOSE WITH 3.1-30 GT HAVE WITHIN ONE YEAR TO COMPLY.

OCEANA ALSO HAS SUPPORTED AN ONLINE PLATFORM, CALLED THE KARAGATAN

PATROL, WHERE PEOPLE CAN REPORT SUSPECTED ILLEGAL FISHERS. THE PLATFORM

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HAS BEEN VERY ACTIVE SINCE THE PANDEMIC LOCKDOWN WAS IMPLEMENTED IN THE PHILIPPINES. VARIOUS GROUPS HAVE SHARED INFORMATION ON SUSPECTED ILLEGAL FISHING DESPITE THE LIMITATIONS BROUGHT ABOUT BY THE COMMUNITY QUARANTINE DUE TO COVID-19. THESE INCLUDE ARRESTS OF ILLEGAL COMMERCIAL FISHERS, SEIZURES OF SHIPMENTS OF FISH CAUGHT WITH EXPLOSIVES/DYNAMITE AND OTHER FORMS OF ILLEGAL FISHING, AND EVEN THE REVOCATION OF A VESSEL'S FISHING LICENSE. THE KARAGATAN PATROL FACEBOOK GROUP HAS OVER 3,300 MEMBERS AND CONTINUES TO SEE A WEEKLY INCREASE IN MEMBERSHIP. IT HAS PROVEN TO BE A VITAL CONNECTIVE TOOL FOR ENFORCEMENT AUTHORITIES AROUND THE COUNTRY, PARTICULARLY UNDER THE CURRENT PANDEMIC SITUATION AS MANY PEOPLE HAVE TRANSITIONED TO REMOTE WORK, SINCE IT WAS LAUNCHED IN FEBRUARY 2019, WITH THE LEAGUE OF MUNICIPALITIES OF THE PHILIPPINES.

DETER ILLEGAL DUMP AND FILL ACTIVITY

IN THE PHILIPPINES, OCEANA HAD BEEN CAMPAIGNING TO STOP THE "RECLAMATION," INCLUDING A DUMP-AND-FILL PROJECT, OF PART OF MANILA BAY FOR A NEW AIRPORT AT BULACAN. THIS PROJECT WOULD COVER MORE THAN 2400 HECTARES OF FOREST LAND (MANGROVES AND WETLANDS) IN THE AREA, IMPACTING NUMEROUS SMALL-SCALE FISHERS AND THEIR FAMILIES THAT RELY ON THE REGION'S MARINE RESOURCES. IN NOVEMBER, AFTER GAINING SIGNIFICANT SUPPORT FROM PARTNERS AND MEMBERS OF THE LOCAL COMMUNITY, OCEANA FILED SUIT IN THE SUPREME COURT AGAINST THE CORPORATION LEADING THIS DUMP-AND-FILL PROJECT. UNFORTUNATELY, WE RECEIVED UNOFFICIAL WORD SHORTLY AFTER THAT OUR CASE HAD BEEN DISMISSED. WE ARE CURRENTLY DISCUSSING WITH OUR CO-PETITIONERS NEXT STEPS.

ONE SIGNIFICANT OUTCOME OF THIS CAMPAIGN HAS BEEN THE SUPPORT OF THE FISHERIES BUREAU, WHICH HAS BECOME A STRONG ALLY OF OCEANA IN THIS

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CAMPAIGN. THE BUREAU HAS PUBLICLY ARTICULATED ITS STUDIES SHOWING THAT MANILA BAY IS A RICH SARDINE SPAWNING GROUND AND MUST BE PROTECTED FROM DESTRUCTIVE PROJECTS SUCH AS DUMP-AND-FILL. IN FEBRUARY 2020, THE FISHERIES BUREAU REFUSED TO GIVE CLEARANCE TO TWO DUMP-AND-FILL PROJECTS IN MANILA BAY, CITING THAT THE PROJECTS' MITIGATION PLANS ARE INADEQUATE TO MITIGATE THE NEGATIVE IMPACTS ON MARINE ECOSYSTEMS AND THE PROJECT WILL NOT CONTRIBUTE TO RESTORING MARINE LIFE IN MANILA BAY.

STRENGTHEN CORAL-RICH MARINE PROTECTED AREAS

OCEANA HAS SELECTED PANAON ISLAND IN SOUTHERN LEYTE IN THE PHILIPPINES AS THE SITE FOR OUR CORAL-RICH MARINE PROTECTED AREA (MPA). PANAON ISLAND'S WATERS ARE ESTIMATED AT AROUND 25,000-30,000 HECTARES, AND 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 80S. 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 MPAS, AND POLITICAL DYNAMICS AND TOURISM POTENTIAL ARE BOTH GOOD. PROTECTING THIS REGION WILL PREVENT ANY FUTURE EXPLOITATION IN THE SITE AND SAFEGUARD THESE CORAL REEF ECOSYSTEMS FOR FUTURE GENERATIONS. PRIOR TO THE LOCKDOWN, OCEANA HAD PARTNERED WITH THE PROVINCIAL GOVERNMENT OF SOUTHERN LEYTE FOR A ROUNDTABLE DISCUSSION WITH VARIOUS STAKEHOLDERS TO DISCUSS THE FUTURE CONSERVATION DIRECTION OF PANAON ISLAND. THIS EVENT HIGHLIGHTED THE GOOD CONDITION OF THE REEFS IN PANAON ISLAND, THE CONSERVATION INITIATIVES OF EACH OF THE LOCAL STAKEHOLDERS, AND THE IMPORTANCE THAT IT GETS HOLISTIC PROTECTION FOR SUSTAINABLE MANAGEMENT BY HAVING IT DECLARED AS A PROTECTED SEASCAPE. AN ACTIVELY ENGAGED

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LOCAL COMMUNITY WILL BE AN INVALUABLE ASSET AS THIS CAMPAIGN MOVES FORWARD, AND THE CURRENT GOOD CONDITION OF THE REEF HIGHLIGHTS THE VIABILITY OF THIS LOCATION TO ENDURE AND THRIVE UNDER THE MORE ROBUST PROTECTIONS WE ARE FIGHTING FOR. IN LATE 2020, OCEANA WAS ABLE TO CONDUCT AN EXPEDITION IN THE AREA TO SECURE CRITICAL BIOLOGICAL, ECOLOGICAL, AND SOCIAL DATA THAT WILL ULTIMATELY INFORM OUR FUTURE ADVOCACY EFFORTS.

FISH IN NUTRITION SYSTEMS

IN 2020, OCEANA COMPLETED ITS FIRST PHASE OF RESEARCH ON THE LINKAGES BETWEEN HEALTHY FISHERIES AND HEALTHY COMMUNITIES. UNDER OCEANA'S FISH IN NUTRITION SYSTEMS (FINS), WE COMMISSIONED TWO RESEARCH CONTRACTS WITH KEY SUBJECT MATTER EXPERTS IN NUTRITION, FISHERIES, AND FOOD POLICY. THESE CONSULTANCIES REVIEWED DOCUMENTED CONNECTIONS BETWEEN FOOD SECURITY AND FISHERIES POLICIES AND PROVIDED RECOMMENDATIONS TO IMPROVE ASSOCIATED FOOD AND NUTRITION SECURITY OUTCOMES.

- OUR FIRST CONSULTANCY, BASED OUT OF THE FISHERIES ECONOMICS RESEARCH UNIT AT THE UNIVERSITY OF BRITISH COLUMBIA, COMPLETED A COMPREHENSIVE REVIEW OF THE SCIENTIFIC LITERATURE ON FOOD SECURITY AND FISHERIES MANAGEMENT POLICY LINKAGES. AN EXAMPLE OF ONE OF THE NINE RESEARCH QUESTIONS COVERED IS "WHAT ARE THE BARRIERS THAT POOR AND VULNERABLE GROUPS FACE TO INCREASING AND IMPROVING FISH CONSUMPTION." ONE OF SEVERAL KEY TAKEAWAYS IS THAT POLICIES FOCUSED ON INCREASING FISHERIES PRODUCTION MUST BE ACCOMPANIED BY COMPLEMENTARY POLICIES FOCUSED ON, E.G., EQUITABLE ALLOCATION OF RESOURCES, PROMOTING SEAFOOD CONSUMPTION, REDUCING FOOD WASTE AND LOSS, AND BUILDING RESILIENCE TO FUTURE SHOCKS, IF THEY ARE TO SUPPORT FOOD AND NUTRITION SECURITY FOR THE POOR AND

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VULNERABLE.

- THE SECOND CONSULTANCY WITH A TEAM BASED AT THE AUSTRALIAN NATIONAL CENTRE FOR OCEAN RESOURCES AND SECURITY, UNIVERSITY OF WOLLONGONG, CONDUCTED A DEEP DIVE INTO FISHERY AND FOOD AND NUTRITION SECURITY POLICIES FOR 15 SELECTED COUNTRIES. THE RESEARCH FINDINGS INCLUDED RECOMMENDATIONS FOR BEST PRACTICES LINKING FISHERIES MANAGEMENT AND ASSOCIATED PUBLIC HEALTH POLICIES, INCLUDING TYING FOOD SECURITY OBJECTIVES INTO FISHERIES MANAGEMENT, AND INCORPORATING WILD-CAPTURE FISHERIES INTO NATIONAL FOOD SYSTEMS AND FOOD SECURITY DIALOGUES. ONE OF THE KEY TAKEAWAYS IS THAT GOOD POLICY PRACTICE FOR FOOD AND NUTRITION SECURITY DEMONSTRATES LINKAGES BETWEEN SEAFOOD AND FOOD AND NUTRITION ACROSS MULTIPLE CONTEXTS, RATHER THAN WITHIN A SINGLE CONTEXT, AND PROVIDES A HIGH LEVEL OF DETAIL AND EVIDENCE OF COMMITMENT (E.G., THROUGH CONCRETE MILESTONES TIED TO A SPECIFIC AGENCY, BUDGET ALLOCATION, ETC.) TO IMPLEMENT ACTIONS. FEW POLICY INSTRUMENTS EXAMINED IN THE CASE STUDIES MAKE THE LINK BETWEEN SEAFOOD AND FOOD AND NUTRITION SECURITY ACROSS THE MULTIPLE CONTEXTS AND ONLY A QUARTER MADE HIGH TO VERY HIGH COMMITMENTS WITH OBJECTIVES LINKED TO PLANS OR CLEAR TARGETS. ONE POSSIBLE PATHWAY IS TO STRENGTHEN EXISTING POLICIES TO SUPPORT THIS CONNECTION BETWEEN SEAFOOD AND FOOD AND NUTRITION SECURITY.

WE HAVE SUMMARIZED KEY FINDINGS AND POLICY RECOMMENDATIONS FROM THE TWO REPORTS AND PLAN TO USE THE INFORMATION TO DETERMINE THE NEXT PHASE OF TARGETED RESEARCH. THE TWO REPORTS INCLUDE POLICY EXAMPLES THAT INTEGRATE FOOD AND NUTRITION SECURITY OUTCOMES WITH FISHERIES MANAGEMENT AND PROVIDE US WITH EXAMPLES AND BEST PRACTICES TO DEVELOP POLICY RECOMMENDATIONS AND CAMPAIGN PROTOTYPES.

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

THAN 90 PERCENT OF U.S. WATERS IN THE ATLANTIC, PACIFIC AND ARCTIC OCEANS. PRIOR TO THE 2020 ELECTIONS, ON SEPTEMBER 8, PRESIDENT TRUMP ANNOUNCED A 10-YEAR MORATORIUM ON OFFSHORE OIL DRILLING FOR FLORIDA, GEORGIA, SOUTH CAROLINA AND, ULTIMATELY, NORTH CAROLINA IN A MAJOR REVERSAL OF POLICY. THE MORATORIUM IS SET TO TAKE EFFECT JULY 1, 2022. OCEANA BELIEVES THIS ANNOUNCEMENT WAS SPURRED BY THE ORGANIZED OUTCRY FROM COASTAL RESIDENTS AND BUSINESSES IN THESE STATES AS WELL AS FROM THE LOCAL, STATE AND FEDERAL DECISION-MAKERS WHO HAD BECOME CHAMPIONS IN THESE EFFORTS. SEISMIC BLASTING IS ALSO NO LONGER AN IMMEDIATE OR NEAR-TERM THREAT TO OCEAN WATERS, MARINE LIFE AND COASTAL COMMUNITIES ALONG THE U.S. EAST COAST. AFTER YEARS OF OCEANA ORGANIZING OPPOSITION TO EXPANDED OFFSHORE DRILLING AND SEISMIC SURVEYS AMONGST COASTAL RESIDENTS AND BUSINESSES, SEISMIC PERMITS HELD BY FOUR SEISMIC COMPANIES EXPIRED ON NOVEMBER 30, 2020. IN EARLY OCTOBER 2020, THE COURT DISMISSED LITIGATION FILED BY OCEANA AND MORE THAN TWENTY NGO PARTNERS IN 2018, RECOGNIZING THAT SEISMIC AIRGUN BLASTING COULD NOT BEGIN UNDER THE LAPSED PERMITS AND THAT THE SEISMIC COMPANIES WILL NEED TO RESTART THE PROCESS IF THEY WISH TO CONDUCT SEISMIC SURVEYS. AS A RESULT, OCEANA AND OUR ALLIES PREVENTED HARM TO HUNDREDS OF THOUSANDS OF MARINE MAMMALS.

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,

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PACIFIC AND GULF COASTS - AND WHICH OCEANA HELPED TO CREATE, NOW TOTAL AT LEAST 56,000 BUSINESSES AND 500,000 FISHING FAMILIES. BY THE END OF 2020, 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, BY THE END OF 2020, 391 COASTAL MUNICIPALITIES HAD FORMALLY PASSED RESOLUTIONS OPPOSING OFFSHORE DRILLING AND/OR SEISMIC BLASTING.

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. UNFORTUNATELY, OCEANA WAS NOT SUCCESSFUL IN EFFORTS TO CHAMPION A NATIONAL SHARK FIN TRADE BAN IN THE U.S. THIS PAST YEAR.

RESPONSIBLE FISHING

IN 2020, OCEANA WORKED WITH REPRESENTATIVES IN CONGRESS TO SUPPORT THEIR EFFORTS TO INTRODUCE THE BREAK FREE FROM PLASTIC POLLUTION ACT. IF PASSED, THIS LAW WOULD BAN SOME OF THE MOST POLLUTING PLASTICS, INCLUDING CARRYOUT BAGS AND POLYSTYRENE FOAM FOOD AND DRINKWARE, WHILE PROTECTING THE ABILITY OF STATE AND LOCAL GOVERNMENTS TO ENACT MORE STRINGENT STANDARDS AND PUTTING A PAUSE ON BUILDING NEW PLASTIC FACILITIES. MORE THAN 100 MEMBERS OF CONGRESS SPONSORED THIS PIECE OF

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LEGISLATION. IN NOVEMBER, OCEANA RELEASED A NEW REPORT DETAILING THE DEVASTATING IMPACT THAT PLASTIC POLLUTION IS HAVING ON MARINE WILDLIFE. "CHOKED, STRANGLER, DROWNED: THE PLASTICS CRISIS UNFOLDING IN OUR OCEANS" COMPILED DATA FROM GOVERNMENT AGENCIES, ORGANIZATIONS AND INSTITUTIONS THAT MONITOR THE IMPACT OF PLASTIC ON MARINE ANIMALS, AND FOUND EVIDENCE OF NEARLY 1,800 ANIMALS FROM 40 DIFFERENT SPECIES SWALLOWING OR BECOMING ENTANGLED IN PLASTIC OVER THE LAST DECADE. EVEN MORE TROUBLING, ALMOST 90 PERCENT OF THE ANIMALS WERE FROM SPECIES CLASSIFIED AS THREATENED OR ENDANGERED. THE SPECIES IMPACTED WERE MARINE MAMMALS, LIKE WHALES, DOLPHINS, SEALS, SEA LIONS, AND SEA TURTLES; ALL SIX U.S. SPECIES OF WHICH ARE ENDANGERED OR THREATENED WITH EXTINCTION.

ALSO, IN 2020, 10 LOCAL COMMUNITIES PASSED POLICIES THAT HELP LIMIT PLASTIC POLLUTION. EIGHT OF THESE POLICIES (FIVE ORDINANCES AND TWO RESOLUTIONS) LIMIT THE SALE AND/OR DISTRIBUTION OF SINGLE-USE PLASTIC IN HOLLYWOOD (FL), DELRAY BEACH (FL), DANIA BEACH (FL), MIAMI SHORES VILLAGE (FL), TAMPA (FL), MONTGOMERY COUNTY (MD), AND CHARLESTON (SC). THREE ADDITIONAL ORDINANCES, MEANWHILE, IN BOCA RATON, KEY WEST AND SUNNY ISLE FORMALLY OPPOSE FLORIDA'S STATE PREEMPTION LAW THAT RESTRICT CITIES' ABILITIES TO EFFECTIVELY COMBAT THE PLASTIC POLLUTION CRISIS. OUTSIDE OF FLORIDA, THE STATE OF NEW YORK PASSED AN OCEANA-SUPPORTED STATEWIDE BAN ON POLYSTYRENE FOAM THAT WILL PROHIBIT THE SALE AND DISTRIBUTION OF DISPOSABLE FOOD SERVICE CONTAINERS THAT CONTAIN EXPANDED POLYSTYRENE FOAM AND POLYSTYRENE LOOSE FILL PACKAGING MATERIAL BY 2022.

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

PR AND MEDIA: IN 2020, OCEANA:

- PUBLISHED 64 BLOGS;
- GENERATED 9,390 STRATEGIC MEDIA HITS;
- PUBLISHED 16 CEO NOTES;
- EARNED OVER \$7 MILLION IN PSA PLACEMENT VALUE; AND
- PUBLISHED THE 2019-2020 ANNUAL REPORT AND THREE MAGAZINES.

PUBLICATIONS

IN 2020, OCEANA PUBLISHED REPORTS ON OUR WEBSITE WHICH INCLUDE:

1. JUST ONE WORD: REFILLABLES.
2. RESPONSE TO THE ACTION PLAN FOR THE NORTH ATLANTIC RIGHT WHALE (EUBALAENA GLACIALIS) IN CANADA.
3. HINDSIGHT 2020: LESSONS WE CANNOT IGNORE FROM THE BP DISASTER.
4. SHIPS IGNORE VOLUNTARY SPEED ZONE DESIGNED TO PROTECT ENDANGERED RIGHT WHALES.
5. GUIA DE ACCION INTERSECTORIAL PARA LA FISCALIZACION EN AREAS NATURALES PROTEGIDAS EN EL AMBITO MARINO Y MARINO-COSTERO.
6. FRAUDE Y SUSTITUCION EN LA VENTA DE PESCADOS EN PERU.
7. DANGEROUS PASSAGE: MAKE 10 KNOTS MANDATORY FOR SHIPS IN THE CABOT STRAIT.
8. AVALIACAO DE ESTOQUE DA LAGOSTA-VERMELHA (PANULIRUS ARGUS): ANALISE SEQUENCIAL DE POPULCOAES E DINAMICA DE BIOMASSA.
9. UNMANAGED = UNPROTECTED: EUROPE'S MARINE PAPER PARKS
10. SEAMOUNTS: GIANTS IN DANGER
11. HABITAT PROTECTION UNDER THE MEDITERRANEAN SEA REGULATION: A MISSED OPPORTUNITY?

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12. SPAIN: DIVING AMONG PLASTICS

13. PLASTIC IN THE DEEP: AN INVISIBLE PROBLEM

14. UM OCEANO LIVRE DE PLASTICO

15. AMAZON'S PLASTIC PROBLEM REVEALED

16. DROWNING IN PLASTIC

17. UNTRACEABLE: THE CONSEQUENCES OF CANADA'S POORLY REGULATED SUPPLY

CHAIN

18. FISHERY AUDIT 2020

19. RESPONSE TO PROPOSED INTEGRATED MANAGEMENT APPROACH TO PLASTIC

PRODUCTS TO PREVENT WASTE AND POLLUTION

20. CHOKED, STRANGLER, DROWNED: THE PLASTICS CRISIS UNFOLDING IN OUR

OCEANS

21. WHALE SAFE OCEANS: PREVENTING ENTANGLEMENTS OFF THE U.S. WEST COAST

22. OCEANA FINDS 300 CHINESE VESSELS PILLAGING THE GALAPAGOS FOR SQUID

COLLECTIVELY, THESE REPORTS HAVE BEEN VIEWED MORE THAN 56,000 TIMES AND

FEATURED IN NUMEROUS MEDIA PLATFORMS AROUND THE WORLD.

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

MARINE SCIENCE

EXPENSES \$ 1,492,826. INCLUDING GRANTS OF \$ 59,297. REVENUE \$ 0.

LAW

EXPENSES \$ 812,602. 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, SWITZERLAND

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

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 for instructions and the latest information.

OMB No. 1545-0047

2020

**Open to Public
Inspection**

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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 ACTION, 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) 2020

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.

[illegible]

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
1 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?		
a Receipt of (i) interest, (ii) annuities, (iii) royalties, or (iv) rent from a controlled entity	1a	X
b Gift, grant, or capital contribution to related organization(s)	1b	X
c Gift, grant, or capital contribution from related organization(s)	1c	X
d Loans or loan guarantees to or for related organization(s)	1d	X
e Loans or loan guarantees by related organization(s)	1e	X
f Dividends from related organization(s)	1f	X
g Sale of assets to related organization(s)	1g	X
h Purchase of assets from related organization(s)	1h	X
i Exchange of assets with related organization(s)	1i	X
j Lease of facilities, equipment, or other assets to related organization(s)	1j	X
k Lease of facilities, equipment, or other assets from related organization(s)	1k	X
l Performance of services or membership or fundraising solicitations for related organization(s)	1l	X
m Performance of services or membership or fundraising solicitations by related organization(s)	1m	X
n Sharing of facilities, equipment, mailing lists, or other assets with related organization(s)	1n	X
o Sharing of paid employees with related organization(s)	1o	X
p Reimbursement paid to related organization(s) for expenses	1p	X
q Reimbursement paid by related organization(s) for expenses	1q	X
r Other transfer of cash or property to related organization(s)	1r	X
s Other transfer of cash or property from related organization(s)	1s	X

2 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	1,081,237.	COST
(2) OCEANA BRASIL	B	1,186,767.	COST
(3) OCEANA IN BELIZE	B	1,163,933.	COST
(4) OCEANA MEXICO	B	636,950.	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.