

<b>Form 990</b> Department of the Treasury Internal Revenue Service	<b>Return of Organization Exempt From Income Tax</b> 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 <a href="http://www.irs.gov/Form990">www.irs.gov/Form990</a> for instructions and the latest information.	OMB No. 1545-0047 <div style="border: 2px solid black; padding: 5px; font-size: 24pt; font-weight: bold;">2021</div> Open to Public Inspection
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<b>A</b> For the 2021 calendar year, or tax year beginning and ending	
<b>B</b> Check if applicable: <input type="checkbox"/> Address change <input type="checkbox"/> Name change <input type="checkbox"/> Initial return <input type="checkbox"/> Final return/terminated <input type="checkbox"/> Amended return <input type="checkbox"/> Application pending	<b>C</b> Name of organization <b>OCEANA, INC.</b> Doing business as Number and street (or P.O. box if mail is not delivered to street address) Room/suite <b>1025 CONNECTICUT AVENUE, NW 200</b> City or town, state or province, country, and ZIP or foreign postal code <b>WASHINGTON, DC 20036</b> <b>D</b> Employer identification number <b>51-0401308</b> <b>E</b> Telephone number <b>(202) 833-3900</b> <b>G</b> Gross receipts \$ <b>36,147,671.</b> <b>H(a)</b> Is this a group return for subordinates? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <b>H(b)</b> Are all subordinates included? <input type="checkbox"/> Yes <input type="checkbox"/> No If "No," attach a list. See instructions <b>H(c)</b> Group exemption number ▶
<b>I</b> Tax-exempt status: <input checked="" type="checkbox"/> 501(c)(3) <input type="checkbox"/> 501(c)( ) (insert no.) <input type="checkbox"/> 4947(a)(1) or <input type="checkbox"/> 527 <b>J</b> Website: ▶ <b>WWW.OCEANA.ORG</b> <b>K</b> Form of organization: <input checked="" type="checkbox"/> Corporation <input type="checkbox"/> Trust <input type="checkbox"/> Association <input type="checkbox"/> Other ▶ <b>L</b> Year of formation: <b>2001</b> <b>M</b> State of legal domicile: <b>DC</b>	

<b>Part I Summary</b>			
<b>1</b>	Briefly describe the organization's mission or most significant activities: <b>TO ADVOCATE FOR POLICY CHANGES BY GOVERNMENTS AND CORPORATIONS IN ORDER TO PRESERVE OCEAN LIFE AND</b>		
<b>2</b>	Check this box <input type="checkbox"/> if the organization discontinued its operations or disposed of more than 25% of its net assets.		
<b>3</b>	Number of voting members of the governing body (Part VI, line 1a)	<b>3</b>	<b>26</b>
<b>4</b>	Number of independent voting members of the governing body (Part VI, line 1b)	<b>4</b>	<b>25</b>
<b>5</b>	Total number of individuals employed in calendar year 2021 (Part V, line 2a)	<b>5</b>	<b>175</b>
<b>6</b>	Total number of volunteers (estimate if necessary)	<b>6</b>	<b>16155</b>
<b>7a</b>	Total unrelated business revenue from Part VIII, column (C), line 12	<b>7a</b>	<b>0.</b>
<b>7b</b>	Net unrelated business taxable income from Form 990-T, Part I, line 11	<b>7b</b>	<b>0.</b>
<b>8</b>	Contributions and grants (Part VIII, line 1h)	<b>8</b>	<b>36,535,664.</b>
<b>9</b>	Program service revenue (Part VIII, line 2g)	<b>9</b>	<b>0.</b>
<b>10</b>	Investment income (Part VIII, column (A), lines 3, 4, and 7d)	<b>10</b>	<b>50,336.</b>
<b>11</b>	Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e)	<b>11</b>	<b>-235,474.</b>
<b>12</b>	Total revenue - add lines 8 through 11 (must equal Part VIII, column (A), line 12)	<b>12</b>	<b>36,350,526.</b>
<b>13</b>	Grants and similar amounts paid (Part IX, column (A), lines 1-3)	<b>13</b>	<b>1,115,958.</b>
<b>14</b>	Benefits paid to or for members (Part IX, column (A), line 4)	<b>14</b>	<b>0.</b>
<b>15</b>	Salaries, other compensation, employee benefits (Part IX, column (A), lines 5-10)	<b>15</b>	<b>21,971,988.</b>
<b>16a</b>	Professional fundraising fees (Part IX, column (A), line 11e)	<b>16a</b>	<b>236,895.</b>
<b>16b</b>	Total fundraising expenses (Part IX, column (D), line 25) ▶ <b>2,416,838.</b>	<b>16b</b>	<b>257,660.</b>
<b>17</b>	Other expenses (Part IX, column (A), lines 11a-11d, 11f-24e)	<b>17</b>	<b>9,864,133.</b>
<b>18</b>	Total expenses. Add lines 13-17 (must equal Part IX, column (A), line 25)	<b>18</b>	<b>33,188,974.</b>
<b>19</b>	Revenue less expenses. Subtract line 18 from line 12	<b>19</b>	<b>3,161,552.</b>
<b>20</b>	Total assets (Part X, line 16)	<b>20</b>	<b>66,584,495.</b>
<b>21</b>	Total liabilities (Part X, line 26)	<b>21</b>	<b>9,224,904.</b>
<b>22</b>	Net assets or fund balances. Subtract line 21 from line 20	<b>22</b>	<b>57,359,591.</b>

<b>Part II Signature Block</b>			
Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete. Declaration of preparer (other than officer) is based on all information of which preparer has any knowledge.			
<b>Sign Here</b>	Signature of officer  <b>CHRISTOPHER M. SHARKEY, CHIEF FINANCIAL OFFICER</b> Type or print name and title	Date	<b>15 JUL 22</b>
<b>Paid Preparer Use Only</b>	Print/Type preparer's name <b>AARON M. FOX</b> Firm's name ▶ <b>MARCUM, LLP</b> Firm's address ▶ <b>1899 L STREET, NW, SUITE 850 WASHINGTON, DC 20036</b>	Preparer's signature  Date <b>06/23/22</b>	Check <input type="checkbox"/> if self-employed PTIN <b>P01365820</b> Firm's EIN ▶ <b>11-1986323</b> Phone no. (202) 227-4000

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

**Part III Statement of Program Service Accomplishments**

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

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- 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 \$ 12,740,065. including grants of \$ 1,143,062. ) (Revenue \$ )  
**INTERNATIONAL****BELIZE****BAN GILLNETS**

TO COMPLEMENT THE 2020 BAN ON GILLNETS, OCEANA'S FISH RIGHT, EAT RIGHT PROGRAM COMPLETED A MEMORANDUM OF UNDERSTANDING WITH A RESTAURATEUR TO LEAD ON PROMOTING THE BENEFITS OF RESPONSIBLY SOURCED FINFISH 2021. PARTICIPATING FISHERS ARE USING OUR PILOT APP, DOCUMENTING CATCHES ON CAMERA AND TRACKING LOGISTICS OF SALES TO THAT RESTAURANT. THIS LEVEL OF TRACEABILITY FOR FISHERIES IS A NATIONAL MILESTONE.

**INCREASE TRANSPARENCY****4b** (Code: ) (Expenses \$ 10,924,566. including grants of \$ 690,000. ) (Revenue \$ )  
**UNITED STATES**

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

**RESPONSIBLE FISHING**

THROUGHOUT 2021, OCEANA CONTINUED TO LEAD EFFORTS TO CHAMPION THE MAGNUSON-STEVENS FISHERY CONSERVATION AND MANAGEMENT ACT (MSA) TO ENSURE THAT IT IS NOT WEAKENED IN CONGRESS. THE MSA COALITION OF NGOS

**4c** (Code: ) (Expenses \$ 1,913,126. including grants of \$ ) (Revenue \$ )  
**MARKETING AND COMMUNICATIONS**

KEY ACHIEVEMENTS OF OCEANA'S MARKETING AND COMMUNICATION DEPARTMENT IN 2021 ARE HIGHLIGHTED BELOW:

**ONLINE COMMUNICATIONS**

- OCEANA GREW OUR GRASSROOTS BASE TO 5.6 MILLION ORGANIZATIONAL SUPPORTERS. OCEANA HAS MORE THAN 7.6 MILLION SUPPORTERS WORLDWIDE.  
- OCEANA'S SUPPORTERS ENGAGED WITH OCEANA CAMPAIGNS ONLINE OVER 16 MILLION TIMES.

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

(Expenses \$ 2,276,582. including grants of \$ 27,514. ) (Revenue \$ )**4e** Total program service expenses **27,854,339.**Form **990** (2021)

**Part IV Checklist of Required Schedules**

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

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

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

Note: All Form 990 filers are required to complete Schedule O

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

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

X

	Yes	No
<b>1a</b> Enter the number reported in box 3 of Form 1096. Enter -0- if not applicable .....	<b>1a</b>	77
<b>b</b> Enter the number of Forms W-2G included on line 1a. Enter -0- if not applicable .....	<b>1b</b>	0
<b>c</b> Did the organization comply with backup withholding rules for reportable payments to vendors and reportable gaming (gambling) winnings to prize winners? .....	<b>1c</b>	X

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

	Yes	No
<b>2a</b> Enter the number of employees reported on Form W-3, Transmittal of Wage and Tax Statements, filed for the calendar year ending with or within the year covered by this return	<b>2a</b>	175
<b>b</b> If at least one is reported on line 2a, did the organization file all required federal employment tax returns?	<b>2b</b>	X
<b>Note:</b> If the sum of lines 1a and 2a is greater than 250, you may be required to e-file. See instructions.		
<b>3a</b> Did the organization have unrelated business gross income of \$1,000 or more during the year?	<b>3a</b>	X
<b>b</b> If "Yes," has it filed a Form 990-T for this year? If "No" to line 3b, provide an explanation on Schedule O	<b>3b</b>	
<b>4a</b> At any time during the calendar year, did the organization have an interest in, or a signature or other authority over, a financial account in a foreign country (such as a bank account, securities account, or other financial account)?	<b>4a</b>	X
<b>b</b> If "Yes," enter the name of the foreign country <b>SEE SCHEDULE O</b> See instructions for filing requirements for FinCEN Form 114, Report of Foreign Bank and Financial Accounts (FBAR).		
<b>5a</b> Was the organization a party to a prohibited tax shelter transaction at any time during the tax year?	<b>5a</b>	X
<b>b</b> Did any taxable party notify the organization that it was or is a party to a prohibited tax shelter transaction?	<b>5b</b>	X
<b>c</b> If "Yes" to line 5a or 5b, did the organization file Form 8886-T?	<b>5c</b>	
<b>6a</b> Does the organization have annual gross receipts that are normally greater than \$100,000, and did the organization solicit any contributions that were not tax deductible as charitable contributions?	<b>6a</b>	X
<b>b</b> If "Yes," did the organization include with every solicitation an express statement that such contributions or gifts were not tax deductible?	<b>6b</b>	
<b>7 Organizations that may receive deductible contributions under section 170(c).</b>		
<b>a</b> Did the organization receive a payment in excess of \$75 made partly as a contribution and partly for goods and services provided to the payor?	<b>7a</b>	X
<b>b</b> If "Yes," did the organization notify the donor of the value of the goods or services provided?	<b>7b</b>	X
<b>c</b> Did the organization sell, exchange, or otherwise dispose of tangible personal property for which it was required to file Form 8282?	<b>7c</b>	X
<b>d</b> If "Yes," indicate the number of Forms 8282 filed during the year	<b>7d</b>	
<b>e</b> Did the organization receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?	<b>7e</b>	X
<b>f</b> Did the organization, during the year, pay premiums, directly or indirectly, on a personal benefit contract?	<b>7f</b>	X
<b>g</b> If the organization received a contribution of qualified intellectual property, did the organization file Form 8899 as required?	<b>7g</b>	
<b>h</b> If the organization received a contribution of cars, boats, airplanes, or other vehicles, did the organization file a Form 1098-C?	<b>7h</b>	
<b>8 Sponsoring organizations maintaining donor advised funds.</b> Did a donor advised fund maintained by the sponsoring organization have excess business holdings at any time during the year?	<b>8</b>	
<b>9 Sponsoring organizations maintaining donor advised funds.</b>		
<b>a</b> Did the sponsoring organization make any taxable distributions under section 4966?	<b>9a</b>	
<b>b</b> Did the sponsoring organization make a distribution to a donor, donor advisor, or related person?	<b>9b</b>	
<b>10 Section 501(c)(7) organizations.</b> Enter:		
<b>a</b> Initiation fees and capital contributions included on Part VIII, line 12	<b>10a</b>	
<b>b</b> Gross receipts, included on Form 990, Part VIII, line 12, for public use of club facilities	<b>10b</b>	
<b>11 Section 501(c)(12) organizations.</b> Enter:		
<b>a</b> Gross income from members or shareholders	<b>11a</b>	
<b>b</b> Gross income from other sources. (Do not net amounts due or paid to other sources against amounts due or received from them.)	<b>11b</b>	
<b>12a Section 4947(a)(1) non-exempt charitable trusts.</b> Is the organization filing Form 990 in lieu of Form 1041?	<b>12a</b>	
<b>b</b> If "Yes," enter the amount of tax-exempt interest received or accrued during the year	<b>12b</b>	
<b>13 Section 501(c)(29) qualified nonprofit health insurance issuers.</b>		
<b>a</b> Is the organization licensed to issue qualified health plans in more than one state?	<b>13a</b>	
<b>Note:</b> See the instructions for additional information the organization must report on Schedule O.		
<b>b</b> Enter the amount of reserves the organization is required to maintain by the states in which the organization is licensed to issue qualified health plans	<b>13b</b>	
<b>c</b> Enter the amount of reserves on hand	<b>13c</b>	
<b>14a</b> Did the organization receive any payments for indoor tanning services during the tax year?	<b>14a</b>	X
<b>b</b> If "Yes," has it filed a Form 720 to report these payments? If "No," provide an explanation on Schedule O	<b>14b</b>	
<b>15</b> Is the organization subject to the section 4960 tax on payment(s) of more than \$1,000,000 in remuneration or excess parachute payment(s) during the year?	<b>15</b>	X
If "Yes," see the instructions and file Form 4720, Schedule N.		
<b>16</b> Is the organization an educational institution subject to the section 4968 excise tax on net investment income?	<b>16</b>	X
If "Yes," complete Form 4720, Schedule O.		
<b>17 Section 501(c)(21) organizations.</b> Did the trust, any disqualified person, or mine operator engage in any activities that would result in the imposition of an excise tax under section 4951, 4952 or 4953?	<b>17</b>	
If "Yes," complete Form 6069.		

**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	Yes	No
<b>1a</b> Enter the number of voting members of the governing body at the end of the tax year	26			
If there are material differences in voting rights among members of the governing body, or if the governing body delegated broad authority to an executive committee or similar committee, explain on Schedule O.				
<b>b</b> Enter the number of voting members included on line 1a, above, who are independent		25		
<b>2</b> Did any officer, director, trustee, or key employee have a family relationship or a business relationship with any other officer, director, trustee, or key employee?			X	
<b>3</b> Did the organization delegate control over management duties customarily performed by or under the direct supervision of officers, directors, trustees, or key employees to a management company or other person?				X
<b>4</b> Did the organization make any significant changes to its governing documents since the prior Form 990 was filed?				X
<b>5</b> Did the organization become aware during the year of a significant diversion of the organization's assets?				X
<b>6</b> Did the organization have members or stockholders?				X
<b>7a</b> Did the organization have members, stockholders, or other persons who had the power to elect or appoint one or more members of the governing body?				X
<b>b</b> Are any governance decisions of the organization reserved to (or subject to approval by) members, stockholders, or persons other than the governing body?				X
<b>8</b> Did the organization contemporaneously document the meetings held or written actions undertaken during the year by the following:				
<b>a</b> The governing body?			X	
<b>b</b> Each committee with authority to act on behalf of the governing body?			X	
<b>9</b> Is there any officer, director, trustee, or key employee listed in Part VII, Section A, who cannot be reached at the organization's mailing address? If "Yes," provide the names and addresses on Schedule O				X

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

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

**Section C. Disclosure**

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

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

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

**20** State the name, address, and telephone number of the person who possesses the organization's books and records **JAMES F. SIMON - (202) 833-3900**  
**1025 CONNECTICUT AVENUE, NW, 200, WASHINGTON, DC 20036**

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

- List all of the organization's **current** officers, directors, trustees (whether individuals or organizations), regardless of amount of compensation. Enter -0- in columns (D), (E), and (F) if no compensation was paid.
  - List all of the organization's **current** key employees, if any. See the 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, Form 1099-MISC, and/or box 1 of Form 1099-NEC) 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 the 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/1099-NEC)	(E) Reportable compensation from related organizations (W-2/1099-MISC/1099-NEC)	(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			X				453,834.	0.	44,650.
(2) JAMES F. SIMON PRESIDENT & GENERAL COUNSEL	40.00			X				358,913.	0.	47,985.
(3) CHRISTOPHER M. SHARKEY CHIEF FINANCIAL OFFICER	40.00			X				271,994.	0.	43,669.
(4) JACQUELINE SAVITZ CHIEF POLICY OFFICER, NORTH AMERICA	40.00				X			257,352.	0.	42,168.
(5) NANCY GOLDEN VICE PRESIDENT, GLOBAL DEVELOPMENT	40.00				X			255,224.	0.	32,864.
(6) MATTHEW LITTLEJOHN SR. VP, STRATEGIC INITIATIVES	40.00					X		236,464.	0.	39,793.
(7) KATHY WHELPLEY CHIEF OF STAFF	40.00					X		231,467.	0.	38,772.
(8) PASCALE MOEHRLE EXECUTIVE DIRECTOR, EUROPE	40.00				X			223,158.	0.	0.
(9) SUSAN MURRAY DEPUTY VICE PRESIDENT, PACIFIC	40.00					X		181,286.	0.	29,419.
(10) KATHRYN MATTHEWS CHIEF SCIENTIST	40.00					X		180,407.	0.	24,200.
(11) ERIC BILSKY SR. ATTORNEY & ASSISTANT GENERAL COU	40.00					X		180,247.	0.	22,501.
(12) SAM WATERSTON CHAIR	8.00	X						0.	0.	0.
(13) MARA EUGENIA GIRON VICE-CHAIR	3.00	X						0.	0.	0.
(14) KEITH ADDIS PRESIDENT	6.00	X						0.	0.	0.
(15) JAMES SANDLER SECRETARY	3.00	X						0.	0.	0.
(16) DIANA THOMSON TREASURER	3.00	X						0.	0.	0.
(17) GARY 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/1099-NEC)	(E) Reportable compensation from related organizations (W-2/1099-MISC/1099-NEC)	(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) HERBERT M. BEDOLFE, III DIRECTOR	3.00	X						0.	0.	0.
(19) TED DANSON DIRECTOR	5.00	X						0.	0.	0.
(20) NICHOLAS DAVIS DIRECTOR	2.00	X						0.	0.	0.
(21) SYNDEY DAVIS DIRECTOR UNTIL 4/14/21	2.00	X						0.	0.	0.
(22) MAYA GABEIRA DIRECTOR	3.00	X						0.	0.	0.
(23) CESAR GAVIRIA DIRECTOR	2.00	X						0.	0.	0.
(24) LOIC GOUZER DIRECTOR	3.00	X						0.	0.	0.
(25) JENA KING DIRECTOR	2.00	X						0.	0.	0.
(26) BEN KOERNER DIRECTOR	2.00	X						0.	0.	0.
<b>1b Subtotal</b>								2,830,346.	0.	366,021.
<b>c Total from continuation sheets to Part VII, Section A</b>								0.	0.	0.
<b>d Total (add lines 1b and 1c)</b>								2,830,346.	0.	366,021.

**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 **37**

**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
<b>3</b>		X
<b>4</b>	X	
<b>5</b>		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, 1901 L STREET N.W. SUITE 800, WASHINGTON, DC 20036	DIGITAL ADVERTISING / FUNDRAISING CONSUL	290,151.
SAVILLS AGUIRRE NEWMAN ARQUITECTURA, S.A.U. AVENIDA DIAGONAL 615, BARCELONA, SPAIN 080	INDUSTRIAL SERVICES	200,104.
COLORNET PRINTING AND GRAPHICS INC. 22570 GLENN DRIVE, STERLING, VA 20164	PRINT MATERIALS FOR OCEANA STAFF AND SUP	151,806.
SIGNATURE PARTY RENTALS 3100 S. SUSAN STREET, SANTA ANA, CA 92704	PRODUCTION COSTS FOR SEACHANGE FUNDRAISI	132,171.
INFOTOUCH SYSTEM INC, 114 AMORSOLO STREET 2/F DON PABLO BLDG, LEGAZI VIL, MAKATI,	IT SUPPORT	118,684.

**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 **5**

SEE PART VII, SECTION A CONTINUATION SHEETS

Form **990** (2021)



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

[illegible]

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

				(A) Total revenue	(B) Related or exempt function revenue	(C) Unrelated business revenue	(D) Revenue excluded from tax under sections 512 - 514
<b>Contributions, Gifts, Grants and Other Similar Amounts</b>	<b>1 a</b> Federated campaigns .....	<b>1a</b>	218,695.				
	<b>b</b> Membership dues .....	<b>1b</b>					
	<b>c</b> Fundraising events .....	<b>1c</b>	2,984,487.				
	<b>d</b> Related organizations .....	<b>1d</b>					
	<b>e</b> Government grants (contributions) .....	<b>1e</b>	5,314,605.				
	<b>f</b> All other contributions, gifts, grants, and similar amounts not included above ...	<b>1f</b>	27140739.				
	<b>g</b> Noncash contributions included in lines 1a-1f .....	<b>1g</b>	\$ 303,653.				
	<b>h Total.</b> Add lines 1a-1f .....						
<b>Program Service Revenue</b>	<b>2 a</b> .....			<b>Business Code</b>			
	<b>b</b> .....						
	<b>c</b> .....						
	<b>d</b> .....						
	<b>e</b> .....						
	<b>f</b> All other program service revenue .....						
	<b>g Total.</b> Add lines 2a-2f .....						
	<b>Other Revenue</b>	<b>3</b> Investment income (including dividends, interest, and other similar amounts) .....				14,466.	
<b>4</b> Income from investment of tax-exempt bond proceeds .....							
<b>5</b> Royalties .....				243.		243.	
<b>6 a</b> Gross rents .....		<b>6a</b>	(i) Real	(ii) Personal			
<b>b</b> Less: rental expenses ...		<b>6b</b>					
<b>c</b> Rental income or (loss) .....		<b>6c</b>					
<b>d</b> Net rental income or (loss) .....							
<b>7 a</b> Gross amount from sales of assets other than inventory .....		<b>7a</b>	(i) Securities	(ii) Other			
<b>b</b> Less: cost or other basis and sales expenses .....		<b>7b</b>	192,424.				
<b>c</b> Gain or (loss) .....		<b>7c</b>	194,740.				
<b>d</b> Net gain or (loss) .....				-2,316.		-2,316.	
<b>8 a</b> Gross income from fundraising events (not including \$ 2,984,487. of contributions reported on line 1c). See Part IV, line 18 .....	<b>8a</b>						
<b>b</b> Less: direct expenses .....	<b>8b</b>	260,723.					
<b>c</b> Net income or (loss) from fundraising events .....				292,517.			
<b>9 a</b> Gross income from gaming activities. See Part IV, line 19 .....				-31,794.		-31,794.	
<b>b</b> Less: direct expenses .....	<b>9b</b>						
<b>c</b> Net income or (loss) from gaming activities .....							
<b>10 a</b> Gross sales of inventory, less returns and allowances .....	<b>10a</b>						
<b>b</b> Less: cost of goods sold .....	<b>10b</b>						
<b>c</b> Net income or (loss) from sales of inventory .....							
<b>Miscellaneous Revenue</b>	<b>11 a</b> MISCELLANEOUS .....			<b>Business Code</b>			
	<b>b</b> FOREIGN CURRENCY LOSS .....			900099	180,737.		180,737.
	<b>c</b> .....			900099	-159,448.		-159,448.
	<b>d</b> All other revenue .....						
	<b>e Total.</b> Add lines 11a-11d .....				21,289.		
	<b>12 Total revenue.</b> See instructions .....				35660414.	0.	0.
						1,888.	

**Part IX Statement of Functional Expenses**

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

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

Do not include amounts reported on lines 6b, 7b, 8b, 9b, and 10b of Part VIII.	(A) Total expenses	(B) Program service expenses	(C) Management and general expenses	(D) Fundraising expenses
<b>1</b> Grants and other assistance to domestic organizations and domestic governments. See Part IV, line 21	658,863.	658,863.		
<b>2</b> Grants and other assistance to domestic individuals. See Part IV, line 22				
<b>3</b> Grants and other assistance to foreign organizations, foreign governments, and foreign individuals. See Part IV, lines 15 and 16	1,201,713.	1,201,713.		
<b>4</b> Benefits paid to or for members				
<b>5</b> Compensation of current officers, directors, trustees, and key employees	2,040,811.	1,302,264.	596,972.	141,575.
<b>6</b> Compensation not included above to disqualified persons (as defined under section 4958(f)(1)) and persons described in section 4958(c)(3)(B)				
<b>7</b> Other salaries and wages	16,282,524.	13,444,421.	2,092,400.	745,703.
<b>8</b> Pension plan accruals and contributions (include section 401(k) and 403(b) employer contributions)	1,180,363.	894,347.	204,990.	81,026.
<b>9</b> Other employee benefits	1,649,853.	1,223,729.	318,458.	107,666.
<b>10</b> Payroll taxes	1,631,240.	1,362,987.	202,096.	66,157.
<b>11</b> Fees for services (nonemployees):				
<b>a</b> Management				
<b>b</b> Legal	442,307.	383,826.	41,001.	17,480.
<b>c</b> Accounting	212,273.	184,207.	19,677.	8,389.
<b>d</b> Lobbying	159,613.	159,613.		
<b>e</b> Professional fundraising services. See Part IV, line 17	257,660.			257,660.
<b>f</b> Investment management fees				
<b>g</b> Other. (If line 11g amount exceeds 10% of line 25, column (A), amount, list line 11g expenses on Sch O.)	2,917,637.	2,513,381.	282,521.	121,735.
<b>12</b> Advertising and promotion	1,042,919.	867,704.	18,051.	157,164.
<b>13</b> Office expenses	1,278,378.	793,904.	184,059.	300,415.
<b>14</b> Information technology	3,010.		3,010.	
<b>15</b> Royalties				
<b>16</b> Occupancy	1,972,946.	1,506,933.	362,996.	103,017.
<b>17</b> Travel	330,107.	265,058.	29,930.	35,119.
<b>18</b> Payments of travel or entertainment expenses for any federal, state, or local public officials				
<b>19</b> Conferences, conventions, and meetings	382,087.	161,038.	21,654.	199,395.
<b>20</b> Interest	5,204.		5,204.	
<b>21</b> Payments to affiliates				
<b>22</b> Depreciation, depletion, and amortization	623,030.	203,978.	419,023.	29.
<b>23</b> Insurance	385,738.	295,643.	68,460.	21,635.
<b>24</b> Other expenses. Itemize expenses not covered above. (List miscellaneous expenses on line 24e. If line 24e amount exceeds 10% of line 25, column (A), amount, list line 24e expenses on Schedule O.)				
<b>a DUES AND SUBSCRIPTIONS</b>	588,269.	389,601.	168,002.	30,666.
<b>b EQUIPMENT RENTAL/MAINT.</b>	70,005.	36,538.	11,808.	21,659.
<b>c MISCELLANEOUS</b>	8,007.	4,591.	3,068.	348.
<b>d</b>				
<b>e</b> All other expenses				
<b>25 Total functional expenses.</b> Add lines 1 through 24e	35,324,557.	27,854,339.	5,053,380.	2,416,838.
<b>26 Joint costs.</b> Complete this line only if the organization reported in column (B) joint costs from a combined educational campaign and fundraising solicitation.				

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

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

		(A) Beginning of year		(B) End of year
<b>Assets</b>	<b>1</b> Cash - non-interest-bearing .....	32,746,083.	<b>1</b>	36,188,962.
	<b>2</b> Savings and temporary cash investments .....	3,959,715.	<b>2</b>	5,251,694.
	<b>3</b> Pledges and grants receivable, net .....	23,351,160.	<b>3</b>	14,278,054.
	<b>4</b> Accounts receivable, net .....	583,300.	<b>4</b>	2,877,285.
	<b>5</b> Loans and other receivables from any current or former officer, director, trustee, key employee, creator or founder, substantial contributor, or 35% controlled entity or family member of any of these persons .....		<b>5</b>	
	<b>6</b> Loans and other receivables from other disqualified persons (as defined under section 4958(f)(1)), and persons described in section 4958(c)(3)(B) .....		<b>6</b>	
	<b>7</b> Notes and loans receivable, net .....		<b>7</b>	
	<b>8</b> Inventories for sale or use .....	1,885.	<b>8</b>	
	<b>9</b> Prepaid expenses and deferred charges .....	412,925.	<b>9</b>	609,387.
	<b>10a</b> Land, buildings, and equipment: cost or other basis. Complete Part VI of Schedule D .....	<b>10a</b> 7,870,153.		
	<b>b</b> Less: accumulated depreciation .....	<b>10b</b> 4,725,597.		
	<b>11</b> Investments - publicly traded securities .....	109,398.	<b>11</b>	96,204.
	<b>12</b> Investments - other securities. See Part IV, line 11 .....	1,777,080.	<b>12</b>	1,582,548.
	<b>13</b> Investments - program-related. See Part IV, line 11 .....		<b>13</b>	
	<b>14</b> Intangible assets .....		<b>14</b>	
	<b>15</b> Other assets. See Part IV, line 11 .....	500,987.	<b>15</b>	238,550.
<b>16</b> <b>Total assets.</b> Add lines 1 through 15 (must equal line 33) .....	66,584,495.	<b>16</b>	64,267,240.	
<b>Liabilities</b>	<b>17</b> Accounts payable and accrued expenses .....	2,586,359.	<b>17</b>	2,636,660.
	<b>18</b> Grants payable .....	500.	<b>18</b>	
	<b>19</b> Deferred revenue .....		<b>19</b>	
	<b>20</b> Tax-exempt bond liabilities .....		<b>20</b>	
	<b>21</b> Escrow or custodial account liability. Complete Part IV of Schedule D .....		<b>21</b>	
	<b>22</b> Loans and other payables to any current or former officer, director, trustee, key employee, creator or founder, substantial contributor, or 35% controlled entity or family member of any of these persons .....		<b>22</b>	
	<b>23</b> Secured mortgages and notes payable to unrelated third parties .....		<b>23</b>	
	<b>24</b> Unsecured notes and loans payable to unrelated third parties .....	2,731,729.	<b>24</b>	0.
	<b>25</b> Other liabilities (including federal income tax, payables to related third parties, and other liabilities not included on lines 17-24). Complete Part X of Schedule D .....	3,906,316.	<b>25</b>	3,797,918.
	<b>26</b> <b>Total liabilities.</b> Add lines 17 through 25 .....	9,224,904.	<b>26</b>	6,434,578.
	<b>Net Assets or Fund Balances</b>	<b>Organizations that follow FASB ASC 958, check here</b> <input checked="" type="checkbox"/> <b>and complete lines 27, 28, 32, and 33.</b>		
<b>27</b> Net assets without donor restrictions .....		19,179,627.	<b>27</b>	26,698,344.
<b>28</b> Net assets with donor restrictions .....		38,179,964.	<b>28</b>	31,134,318.
<b>Organizations that do not follow FASB ASC 958, check here</b> <input type="checkbox"/> <b>and complete lines 29 through 33.</b>				
<b>29</b> Capital stock or trust principal, or current funds .....			<b>29</b>	
<b>30</b> Paid-in or capital surplus, or land, building, or equipment fund .....			<b>30</b>	
<b>31</b> Retained earnings, endowment, accumulated income, or other funds .....			<b>31</b>	
<b>32</b> Total net assets or fund balances .....		57,359,591.	<b>32</b>	57,832,662.
<b>33</b> Total liabilities and net assets/fund balances .....		66,584,495.	<b>33</b>	64,267,240.

Form 990 (2021)

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

<b>1</b>	Total revenue (must equal Part VIII, column (A), line 12)	<b>1</b>	35,660,414.
<b>2</b>	Total expenses (must equal Part IX, column (A), line 25)	<b>2</b>	35,324,557.
<b>3</b>	Revenue less expenses. Subtract line 2 from line 1	<b>3</b>	335,857.
<b>4</b>	Net assets or fund balances at beginning of year (must equal Part X, line 32, column (A))	<b>4</b>	57,359,591.
<b>5</b>	Net unrealized gains (losses) on investments	<b>5</b>	137,214.
<b>6</b>	Donated services and use of facilities	<b>6</b>	
<b>7</b>	Investment expenses	<b>7</b>	
<b>8</b>	Prior period adjustments	<b>8</b>	
<b>9</b>	Other changes in net assets or fund balances (explain on Schedule O)	<b>9</b>	0.
<b>10</b>	Net assets or fund balances at end of year. Combine lines 3 through 9 (must equal Part X, line 32, column (B))	<b>10</b>	57,832,662.

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

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

Form 990 (2021)

**SCHEDULE A**  
**(Form 990)**

Department of the Treasury  
Internal Revenue Service

**Public Charity Status and Public Support**

Complete if the organization is a section 501(c)(3) organization or a section 4947(a)(1) nonexempt charitable trust.  
▶ Attach to Form 990 or Form 990-EZ.

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

OMB No. 1545-0047

**2021**

Open to Public  
Inspection

Name of the organization

OCEANA, INC.

Employer identification number

51-0401308

**Part I Reason for Public Charity Status.** (All organizations must complete this part.) See instructions.

The organization is not a private foundation because it is: (For lines 1 through 12, check only one box.)

- 1 ☐ A church, convention of churches, or association of churches described in **section 170(b)(1)(A)(i).**
- 2 ☐ A school described in **section 170(b)(1)(A)(ii).** (Attach Schedule E (Form 990).)
- 3 ☐ A hospital or a cooperative hospital service organization described in **section 170(b)(1)(A)(iii).**
- 4 ☐ A medical research organization operated in conjunction with a hospital described in **section 170(b)(1)(A)(iii).** Enter the hospital's name, city, and state: \_\_\_\_\_
- 5 ☐ An organization operated for the benefit of a college or university owned or operated by a governmental unit described in **section 170(b)(1)(A)(iv).** (Complete Part II.)
- 6 ☐ A federal, state, or local government or governmental unit described in **section 170(b)(1)(A)(v).**
- 7 ☒ An organization that normally receives a substantial part of its support from a governmental unit or from the general public described in **section 170(b)(1)(A)(vi).** (Complete Part II.)
- 8 ☐ A community trust described in **section 170(b)(1)(A)(vi).** (Complete Part II.)
- 9 ☐ An agricultural research organization described in **section 170(b)(1)(A)(ix)** operated in conjunction with a land-grant college or university or a non-land-grant college of agriculture (see instructions). Enter the name, city, and state of the college or university: \_\_\_\_\_
- 10 ☐ An organization that normally receives (1) more than 33 1/3% of its support from contributions, membership fees, and gross receipts from activities related to its exempt functions, subject to certain exceptions; and (2) no more than 33 1/3% of its support from gross investment income and unrelated business taxable income (less section 511 tax) from businesses acquired by the organization after June 30, 1975. See **section 509(a)(2).** (Complete Part III.)
- 11 ☐ An organization organized and operated exclusively to test for public safety. See **section 509(a)(4).**
- 12 ☐ An organization organized and operated exclusively for the benefit of, to perform the functions of, or to carry out the purposes of one or more publicly supported organizations described in **section 509(a)(1)** or **section 509(a)(2).** See **section 509(a)(3).** Check the box on lines 12a through 12d that describes the type of supporting organization and complete lines 12e, 12f, and 12g.
- a ☐ **Type I.** A supporting organization operated, supervised, or controlled by its supported organization(s), typically by giving the supported organization(s) the power to regularly appoint or elect a majority of the directors or trustees of the supporting organization. **You must complete Part IV, Sections A and B.**
- b ☐ **Type II.** A supporting organization supervised or controlled in connection with its supported organization(s), by having control or management of the supporting organization vested in the same persons that control or manage the supported organization(s). **You must complete Part IV, Sections A and C.**
- c ☐ **Type III functionally integrated.** A supporting organization operated in connection with, and functionally integrated with, its supported organization(s) (see instructions). **You must complete Part IV, Sections A, D, and E.**
- d ☐ **Type III non-functionally integrated.** A supporting organization operated in connection with its supported organization(s) that is not functionally integrated. The organization generally must satisfy a distribution requirement and an attentiveness requirement (see instructions). **You must complete Part IV, Sections A and D, and Part V.**
- e ☐ Check this box if the organization received a written determination from the IRS that it is a Type I, Type II, Type III functionally integrated, or Type III non-functionally integrated supporting organization.

f Enter the number of supported organizations

g Provide the following information about the supported organization(s).

(i) Name of supported organization	(ii) EIN	(iii) Type of organization (described on lines 1-10 above (see instructions))	(iv) Is the organization listed in your governing document?		(v) Amount of monetary support (see instructions)	(vi) Amount of other support (see instructions)
			Yes	No		
<b>Total</b>						

**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) 2017	(b) 2018	(c) 2019	(d) 2020	(e) 2021	(f) Total
<b>1</b> Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grants.") .....	48322208.	51826346.	38559747.	36535664.	35658526.	210902491
<b>2</b> Tax revenues levied for the organization's benefit and either paid to or expended on its behalf .....						
<b>3</b> The value of services or facilities furnished by a governmental unit to the organization without charge .....						
<b>4 Total.</b> Add lines 1 through 3 .....	48322208.	51826346.	38559747.	36535664.	35658526.	210902491
<b>5</b> 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) .....						71065096.
<b>6 Public support.</b> Subtract line 5 from line 4.						139837395

**Section B. Total Support**

Calendar year (or fiscal year beginning in) ►	(a) 2017	(b) 2018	(c) 2019	(d) 2020	(e) 2021	(f) Total
<b>7</b> Amounts from line 4 .....	48322208.	51826346.	38559747.	36535664.	35658526.	210902491
<b>8</b> Gross income from interest, dividends, payments received on securities loans, rents, royalties, and income from similar sources .....	16,973.	34,082.	60,659.	65,170.	14,709.	191,593.
<b>9</b> Net income from unrelated business activities, whether or not the business is regularly carried on .....			2,365.			2,365.
<b>10</b> Other income. Do not include gain or loss from the sale of capital assets (Explain in Part VI.) .....		5,154.		13,334.	180,737.	199,225.
<b>11 Total support.</b> Add lines 7 through 10						211295674
<b>12</b> Gross receipts from related activities, etc. (see instructions) .....					12	803,507.
<b>13 First 5 years.</b> If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and <b>stop here</b> .....						<input type="checkbox"/>

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

<b>14</b> Public support percentage for 2021 (line 6, column (f), divided by line 11, column (f)) .....	<b>14</b>	66.18	%
<b>15</b> Public support percentage from 2020 Schedule A, Part II, line 14 .....	<b>15</b>	66.30	%
<b>16a 33 1/3% support test - 2021.</b> If the organization did not check the box on line 13, and line 14 is 33 1/3% or more, check this box and <b>stop here.</b> The organization qualifies as a publicly supported organization .....			<input checked="" type="checkbox"/>
<b>b 33 1/3% support test - 2020.</b> If the organization did not check a box on line 13 or 16a, and line 15 is 33 1/3% or more, check this box and <b>stop here.</b> The organization qualifies as a publicly supported organization .....			<input type="checkbox"/>
<b>17a 10% -facts-and-circumstances test - 2021.</b> If the organization did not check a box on line 13, 16a, or 16b, and line 14 is 10% or more, and if the organization meets the facts-and-circumstances test, check this box and <b>stop here.</b> Explain in Part VI how the organization meets the facts-and-circumstances test. The organization qualifies as a publicly supported organization .....			<input type="checkbox"/>
<b>b 10% -facts-and-circumstances test - 2020.</b> If the organization did not check a box on line 13, 16a, 16b, or 17a, and line 15 is 10% or more, and if the organization meets the facts-and-circumstances test, check this box and <b>stop here.</b> Explain in Part VI how the organization meets the facts-and-circumstances test. The organization qualifies as a publicly supported organization .....			<input type="checkbox"/>
<b>18 Private foundation.</b> If the organization did not check a box on line 13, 16a, 16b, 17a, or 17b, check this box and see instructions .....			<input type="checkbox"/>

Schedule A (Form 990) 2021

**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) 2017	(b) 2018	(c) 2019	(d) 2020	(e) 2021	(f) Total
<b>1</b> Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grants.") .....						
<b>2</b> Gross receipts from admissions, merchandise sold or services performed, or facilities furnished in any activity that is related to the organization's tax-exempt purpose .....						
<b>3</b> Gross receipts from activities that are not an unrelated trade or business under section 513 .....						
<b>4</b> Tax revenues levied for the organization's benefit and either paid to or expended on its behalf .....						
<b>5</b> The value of services or facilities furnished by a governmental unit to the organization without charge .....						
<b>6 Total.</b> Add lines 1 through 5 .....						
<b>7a</b> Amounts included on lines 1, 2, and 3 received from disqualified persons .....						
<b>b</b> Amounts included on lines 2 and 3 received from other than disqualified persons that exceed the greater of \$5,000 or 1% of the amount on line 13 for the year .....						
<b>c</b> Add lines 7a and 7b .....						
<b>8 Public support.</b> (Subtract line 7c from line 6.)						

**Section B. Total Support**

Calendar year (or fiscal year beginning in) ►	(a) 2017	(b) 2018	(c) 2019	(d) 2020	(e) 2021	(f) Total
<b>9</b> Amounts from line 6 .....						
<b>10a</b> Gross income from interest, dividends, payments received on securities loans, rents, royalties, and income from similar sources .....						
<b>b</b> Unrelated business taxable income (less section 511 taxes) from businesses acquired after June 30, 1975 .....						
<b>c</b> Add lines 10a and 10b .....						
<b>11</b> Net income from unrelated business activities not included on line 10b, whether or not the business is regularly carried on .....						
<b>12</b> Other income. Do not include gain or loss from the sale of capital assets (Explain in Part VI.) .....						
<b>13 Total support.</b> (Add lines 9, 10c, 11, and 12.)						

**14 First 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**

<b>15</b> Public support percentage for 2021 (line 8, column (f), divided by line 13, column (f)) .....	<b>15</b>	%
<b>16</b> Public support percentage from 2020 Schedule A, Part III, line 15 .....	<b>16</b>	%

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

<b>17</b> Investment income percentage for <b>2021</b> (line 10c, column (f), divided by line 13, column (f)) .....	<b>17</b>	%
<b>18</b> Investment income percentage from <b>2020</b> Schedule A, Part III, line 17 .....	<b>18</b>	%

**19a 33 1/3% support tests - 2021.** 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 - 2020.** 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
<b>1</b> Are all of the organization's supported organizations listed by name in the organization's governing documents? <i>If "No," describe in Part VI how the supported organizations are designated. If designated by class or purpose, describe the designation. If historic and continuing relationship, explain.</i>		
<b>2</b> Did the organization have any supported organization that does not have an IRS determination of status under section 509(a)(1) or (2)? <i>If "Yes," explain in Part VI how the organization determined that the supported organization was described in section 509(a)(1) or (2).</i>		
<b>3a</b> Did the organization have a supported organization described in section 501(c)(4), (5), or (6)? <i>If "Yes," answer lines 3b and 3c below.</i>		
<b>b</b> Did the organization confirm that each supported organization qualified under section 501(c)(4), (5), or (6) and satisfied the public support tests under section 509(a)(2)? <i>If "Yes," describe in Part VI when and how the organization made the determination.</i>		
<b>c</b> Did the organization ensure that all support to such organizations was used exclusively for section 170(c)(2)(B) purposes? <i>If "Yes," explain in Part VI what controls the organization put in place to ensure such use.</i>		
<b>4a</b> Was any supported organization not organized in the United States ("foreign supported organization")? <i>If "Yes," and if you checked box 12a or 12b in Part I, answer lines 4b and 4c below.</i>		
<b>b</b> Did the organization have ultimate control and discretion in deciding whether to make grants to the foreign supported organization? <i>If "Yes," describe in Part VI how the organization had such control and discretion despite being controlled or supervised by or in connection with its supported organizations.</i>		
<b>c</b> Did the organization support any foreign supported organization that does not have an IRS determination under sections 501(c)(3) and 509(a)(1) or (2)? <i>If "Yes," explain in Part VI what controls the organization used to ensure that all support to the foreign supported organization was used exclusively for section 170(c)(2)(B) purposes.</i>		
<b>5a</b> Did the organization add, substitute, or remove any supported organizations during the tax year? <i>If "Yes," answer 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>b</b> <b>Type I or Type II only.</b> Was any added or substituted supported organization part of a class already designated in the organization's organizing document?		
<b>c</b> <b>Substitutions only.</b> Was the substitution the result of an event beyond the organization's control?		
<b>6</b> Did the organization provide support (whether in the form of grants or the provision of services or facilities) to anyone other than (i) its supported organizations, (ii) individuals that are part of the charitable class benefited by one or more of its supported organizations, or (iii) other supporting organizations that also support or benefit one or more of the filing organization's supported organizations? <i>If "Yes," provide detail in Part VI.</i>		
<b>7</b> Did the organization provide a grant, loan, compensation, or other similar payment to a substantial contributor (as defined in section 4958(c)(3)(C)), a family member of a substantial contributor, or a 35% controlled entity with regard to a substantial contributor? <i>If "Yes," complete Part I of Schedule L (Form 990).</i>		
<b>8</b> Did the organization make a loan to a disqualified person (as defined in section 4958) not described on line 7? <i>If "Yes," complete Part I of Schedule L (Form 990).</i>		
<b>9a</b> Was the organization controlled directly or indirectly at any time during the tax year by one or more disqualified persons, as defined in section 4946 (other than foundation managers and organizations described in section 509(a)(1) or (2))? <i>If "Yes," provide detail in Part VI.</i>		
<b>b</b> Did one or more disqualified persons (as defined on line 9a) hold a controlling interest in any entity in which the supporting organization had an interest? <i>If "Yes," provide detail in Part VI.</i>		
<b>c</b> Did a disqualified person (as defined on line 9a) have an ownership interest in, or derive any personal benefit from, assets in which the supporting organization also had an interest? <i>If "Yes," provide detail in Part VI.</i>		
<b>10a</b> Was the organization subject to the excess business holdings rules of section 4943 because of section 4943(f) (regarding certain Type II supporting organizations, and all Type III non-functionally integrated supporting organizations)? <i>If "Yes," answer line 10b below.</i>		
<b>b</b> Did the organization have any excess business holdings in the tax year? <i>(Use Schedule C, Form 4720, to determine whether the organization had excess business holdings.)</i>		

**Part IV** Supporting Organizations (continued)

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

**Section B. Type I Supporting Organizations**

	Yes	No
<b>1</b> 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 <b>Part VI</b> how the supported organization(s) effectively operated, supervised, or controlled the organization's activities. If the organization had more than one supported organization, describe how the powers to appoint and/or remove 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.		
<b>1</b>		
<b>2</b> Did the organization operate for the benefit of any supported organization other than the supported organization(s) that operated, supervised, or controlled the supporting organization? If "Yes," explain in <b>Part VI</b> how providing such benefit carried out the purposes of the supported organization(s) that operated, supervised, or controlled the supporting organization.		
<b>2</b>		

**Section C. Type II Supporting Organizations**

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

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

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

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

	Yes	No
<b>1</b> Check the box next to the method that the organization used to satisfy the Integral Part Test during the year (see instructions).		
<b>a</b> <input type="checkbox"/> The organization satisfied the Activities Test. Complete line 2 below.		
<b>b</b> <input type="checkbox"/> The organization is the parent of each of its supported organizations. Complete line 3 below.		
<b>c</b> <input type="checkbox"/> The organization supported a governmental entity. Describe in <b>Part VI</b> how you supported a governmental entity (see instructions).		
<b>2</b> Activities Test. Answer lines 2a and 2b below.		
<b>a</b> Did substantially all of the organization's activities during the tax year directly further the exempt purposes of the supported organization(s) to which the organization was responsive? If "Yes," then in <b>Part VI</b> identify those supported organizations and explain how these activities directly furthered their exempt purposes, how the organization was responsive to those supported organizations, and how the organization determined that these activities constituted substantially all of its activities.		
<b>2a</b>		
<b>b</b> Did the activities described on 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 <b>Part VI</b> the reasons for the organization's position that its supported organization(s) would have engaged in these activities but for the organization's involvement.		
<b>2b</b>		
<b>3</b> Parent of Supported Organizations. Answer lines 3a and 3b below.		
<b>a</b> Did the organization have the power to regularly appoint or elect a majority of the officers, directors, or trustees of each of the supported organizations? If "Yes" or "No" provide details in <b>Part VI</b> .		
<b>3a</b>		
<b>b</b> Did the organization exercise a substantial degree of direction over the policies, programs, and activities of each of its supported organizations? If "Yes," describe in <b>Part VI</b> the role played by the organization in this regard.		
<b>3b</b>		

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

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

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

Section B - Minimum Asset Amount		(A) Prior Year	(B) Current Year (optional)
1	Aggregate fair market value of all non-exempt-use assets (see instructions for short tax year or assets held for part of year):		
a	Average monthly value of securities	1a	
b	Average monthly cash balances	1b	
c	Fair market value of other non-exempt-use assets	1c	
d	<b>Total</b> (add lines 1a, 1b, and 1c)	1d	
e	<b>Discount</b> claimed for blockage or other factors ( <i>explain in detail in Part VI</i> ):		
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	<b>Minimum Asset Amount</b> (add line 7 to line 6)	8	

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

Schedule A (Form 990) 2021

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

		Current Year
<b>1</b>	Amounts paid to supported organizations to accomplish exempt purposes	<b>1</b>
<b>2</b>	Amounts paid to perform activity that directly furthers exempt purposes of supported organizations, in excess of income from activity	<b>2</b>
<b>3</b>	Administrative expenses paid to accomplish exempt purposes of supported organizations	<b>3</b>
<b>4</b>	Amounts paid to acquire exempt-use assets	<b>4</b>
<b>5</b>	Qualified set-aside amounts (prior IRS approval required - <i>provide details in Part VI</i> )	<b>5</b>
<b>6</b>	Other distributions ( <i>describe in Part VI</i> ). See instructions.	<b>6</b>
<b>7</b>	<b>Total annual distributions.</b> Add lines 1 through 6.	<b>7</b>
<b>8</b>	Distributions to attentive supported organizations to which the organization is responsive ( <i>provide details in Part VI</i> ). See instructions.	<b>8</b>
<b>9</b>	Distributable amount for 2021 from Section C, line 6	<b>9</b>
<b>10</b>	Line 8 amount divided by line 9 amount	<b>10</b>

<b>Section E - Distribution Allocations</b> (see instructions)	(i) Excess Distributions	(ii) Underdistributions Pre-2021	(iii) Distributable Amount for 2021
<b>1</b> Distributable amount for 2021 from Section C, line 6			
<b>2</b> Underdistributions, if any, for years prior to 2021 (reasonable cause required - <i>explain in Part VI</i> ). See instructions.			
<b>3</b> Excess distributions carryover, if any, to 2021			
<b>a</b> From 2016			
<b>b</b> From 2017			
<b>c</b> From 2018			
<b>d</b> From 2019			
<b>e</b> From 2020			
<b>f</b> <b>Total</b> of lines 3a through 3e			
<b>g</b> Applied to underdistributions of prior years			
<b>h</b> Applied to 2021 distributable amount			
<b>i</b> Carryover from 2016 not applied (see instructions)			
<b>j</b> Remainder. Subtract lines 3g, 3h, and 3i from line 3f.			
<b>4</b> Distributions for 2021 from Section D, line 7: \$			
<b>a</b> Applied to underdistributions of prior years			
<b>b</b> Applied to 2021 distributable amount			
<b>c</b> Remainder. Subtract lines 4a and 4b from line 4.			
<b>5</b> Remaining underdistributions for years prior to 2021, if any. Subtract lines 3g and 4a from line 2. For result greater than zero, <i>explain in Part VI</i> . See instructions.			
<b>6</b> Remaining underdistributions for 2021. Subtract lines 3h and 4b from line 1. For result greater than zero, <i>explain in Part VI</i> . See instructions.			
<b>7</b> <b>Excess distributions carryover to 2022.</b> Add lines 3j and 4c.			
<b>8</b> Breakdown of line 7:			
<b>a</b> Excess from 2017			
<b>b</b> Excess from 2018			
<b>c</b> Excess from 2019			
<b>d</b> Excess from 2020			
<b>e</b> Excess from 2021			

Schedule A (Form 990) 2021

**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**

2018 AMOUNT: \$ 5,154.

2020 AMOUNT: \$ 13,334.

2021 AMOUNT: \$ 180,737.

**Schedule B**  
(Form 990)

Department of the Treasury  
Internal Revenue Service

**Schedule of Contributors**

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

OMB No. 1545-0047

**2021**

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), 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), 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).

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>4,000,000.</u>	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
<u>2</u>		\$ <u>3,400,000.</u>	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
<u>3</u>		\$ <u>2,731,729.</u>	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
<u>4</u>		\$ <u>2,582,876.</u>	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
<u>5</u>		\$ <u>2,000,000.</u>	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
<u>6</u>		\$ <u>950,000.</u>	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
	_____ _____ _____ _____	\$ _____	_____



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)**

Department of the Treasury  
Internal Revenue Service

**Political Campaign and Lobbying Activities**

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

OMB No. 1545-0047

**2021**

**Open to Public  
Inspection**

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

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

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

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

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

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

Name of organization

OCEANA, INC.

Employer identification number

51-0401308

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

1 Provide a description of the organization's direct and indirect political campaign activities in Part IV.

2 Political campaign activity expenditures ..... ▶ \$

3 Volunteer hours for political campaign activities .....

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

1 Enter the amount of any excise tax incurred by the organization under section 4955 ..... ▶ \$

2 Enter the amount of any excise tax incurred by organization managers under section 4955 ..... ▶ \$

3 If the organization incurred a section 4955 tax, did it file Form 4720 for this year? ..... ☐ Yes ☐ No

4a Was a correction made? ..... ☐ Yes ☐ No

b If "Yes," describe in Part IV.

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

1 Enter the amount directly expended by the filing organization for section 527 exempt function activities ..... ▶ \$

2 Enter the amount of the filing organization's funds contributed to other organizations for section 527  
exempt function activities ..... ▶ \$

3 Total exempt function expenditures. Add lines 1 and 2. Enter here and on Form 1120-POL,  
line 17b ..... ▶ \$

4 Did the filing organization file **Form 1120-POL** for this year? ..... ☐ Yes ☐ No

5 Enter the names, addresses and employer identification number (EIN) of all section 527 political organizations to which the filing organization made payments. For each organization listed, enter the amount paid from the filing organization's funds. Also enter the amount of political contributions received that were promptly and directly delivered to a separate political organization, such as a separate segregated fund or a political action committee (PAC). If additional space is needed, provide information in Part IV.

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

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

Schedule C (Form 990) 2021

LHA

132041 11-03-21

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

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

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

Limits on Lobbying Expenditures (The term "expenditures" means amounts paid or incurred.)		(a) Filing organization's totals	(b) Affiliated group totals
<b>1a</b> Total lobbying expenditures to influence public opinion (grassroots lobbying)		192,464.	
<b>b</b> Total lobbying expenditures to influence a legislative body (direct lobbying)		295,146.	
<b>c</b> Total lobbying expenditures (add lines 1a and 1b)		487,610.	
<b>d</b> Other exempt purpose expenditures		34,495,577.	
<b>e</b> Total exempt purpose expenditures (add lines 1c and 1d)		34,983,187.	
<b>f</b> Lobbying nontaxable amount. Enter the amount from the following table in both columns.		1,000,000.	
<b>If the amount on line 1e, column (a) or (b) is:</b>	<b>The lobbying nontaxable amount is:</b>		
Not over \$500,000	20% of the amount on line 1e.		
Over \$500,000 but not over \$1,000,000	\$100,000 plus 15% of the excess over \$500,000.		
Over \$1,000,000 but not over \$1,500,000	\$175,000 plus 10% of the excess over \$1,000,000.		
Over \$1,500,000 but not over \$17,000,000	\$225,000 plus 5% of the excess over \$1,500,000.		
Over \$17,000,000	\$1,000,000.		
<b>g</b> Grassroots nontaxable amount (enter 25% of line 1f)		250,000.	
<b>h</b> Subtract line 1g from line 1a. If zero or less, enter -0-		0.	
<b>i</b> Subtract line 1f from line 1c. If zero or less, enter -0-		0.	
<b>j</b> If there is an amount other than zero on either line 1h or line 1i, did the organization file Form 4720 reporting section 4911 tax for this year?			<input type="checkbox"/> Yes <input type="checkbox"/> No

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

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

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

Lobbying Expenditures During 4-Year Averaging Period					
Calendar year (or fiscal year beginning in)	(a) 2018	(b) 2019	(c) 2020	(d) 2021	(e) Total
<b>2a</b> Lobbying nontaxable amount	1,000,000.	1,000,000.	1,000,000.	1,000,000.	4,000,000.
<b>b</b> Lobbying ceiling amount (150% of line 2a, column(e))					6,000,000.
<b>c</b> Total lobbying expenditures	393,066.	637,649.	433,684.	487,610.	1,952,009.
<b>d</b> Grassroots nontaxable amount	250,000.	250,000.	250,000.	250,000.	1,000,000.
<b>e</b> Grassroots ceiling amount (150% of line 2d, column (e))					1,500,000.
<b>f</b> Grassroots lobbying expenditures	181,155.	189,454.	131,276.	192,464.	694,349.

Schedule C (Form 990) 2021



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

OMB No. 1545-0047

**2021****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) 2021

**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:

	Amount
1c	
1d	
1e	
1f	

c Beginning balance

d Additions during the year

e Distributions during the year

f Ending balance

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

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

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

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		3,050,072.	1,014,326.	2,035,746.
d Equipment		3,130,635.	2,032,423.	1,098,212.
e Other		1,689,446.	1,678,848.	10,598.
<b>Total.</b> Add lines 1a through 1e. (Column (d) must equal Form 990, Part X, column (B), line 10c.)				3,144,556.

Schedule D (Form 990) 2021

**Part VII Investments - Other Securities.**

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

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

**Part VIII Investments - Program Related.**

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

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

**Part IX Other Assets.**

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

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

**Part X Other Liabilities.**

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

1. (a) Description of liability	(b) Book value
(1) Federal income taxes	
(2) DEFERRED RENT AND LEASE INCENTIVE	3,797,918.
(3) .....	
(4) .....	
(5) .....	
(6) .....	
(7) .....	
(8) .....	
(9) .....	
<b>Total.</b> (Column (b) must equal Form 990, Part X, col. (B) line 25.) ▶	3,797,918.

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) 2021

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

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

<b>1</b>	Total revenue, gains, and other support per audited financial statements	<b>1</b>	39,056,094.
<b>2</b>	Amounts included on line 1 but not on Form 990, Part VIII, line 12:		
<b>a</b>	Net unrealized gains (losses) on investments	<b>2a</b>	137,214.
<b>b</b>	Donated services and use of facilities	<b>2b</b>	2,997,122.
<b>c</b>	Recoveries of prior year grants	<b>2c</b>	
<b>d</b>	Other (Describe in Part XIII.)	<b>2d</b>	292,517.
<b>e</b>	Add lines <b>2a</b> through <b>2d</b>	<b>2e</b>	3,426,853.
<b>3</b>	Subtract line <b>2e</b> from line <b>1</b>	<b>3</b>	35,629,241.
<b>4</b>	Amounts included on Form 990, Part VIII, line 12, but not on line 1:		
<b>a</b>	Investment expenses not included on Form 990, Part VIII, line 7b	<b>4a</b>	
<b>b</b>	Other (Describe in Part XIII.)	<b>4b</b>	31,173.
<b>c</b>	Add lines <b>4a</b> and <b>4b</b>	<b>4c</b>	31,173.
<b>5</b>	Total revenue. Add lines <b>3</b> and <b>4c</b> . (This must equal Form 990, Part I, line 12.)	<b>5</b>	35,660,414.

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

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

<b>1</b>	Total expenses and losses per audited financial statements	<b>1</b>	38,583,023.
<b>2</b>	Amounts included on line 1 but not on Form 990, Part IX, line 25:		
<b>a</b>	Donated services and use of facilities	<b>2a</b>	2,997,122.
<b>b</b>	Prior year adjustments	<b>2b</b>	
<b>c</b>	Other losses	<b>2c</b>	
<b>d</b>	Other (Describe in Part XIII.)	<b>2d</b>	292,517.
<b>e</b>	Add lines <b>2a</b> through <b>2d</b>	<b>2e</b>	3,289,639.
<b>3</b>	Subtract line <b>2e</b> from line <b>1</b>	<b>3</b>	35,293,384.
<b>4</b>	Amounts included on Form 990, Part IX, line 25, but not on line 1:		
<b>a</b>	Investment expenses not included on Form 990, Part VIII, line 7b	<b>4a</b>	
<b>b</b>	Other (Describe in Part XIII.)	<b>4b</b>	31,173.
<b>c</b>	Add lines <b>4a</b> and <b>4b</b>	<b>4c</b>	31,173.
<b>5</b>	Total expenses. Add lines <b>3</b> and <b>4c</b> . (This must equal Form 990, Part I, line 18.)	<b>5</b>	35,324,557.

**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, 2021, 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 292,517.

**PART XI, LINE 4B - OTHER ADJUSTMENTS:**

OTHER 31,173.



**Part XIII** Supplemental Information *(continued)*

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

SPECIAL EVENTS EXPENSE 292,517.

## PART XII, LINE 4B - OTHER ADJUSTMENTS:

OTHER 31,173.

**SCHEDULE F  
(Form 990)**

Department of the Treasury  
Internal Revenue Service

**Statement of Activities Outside the United States**

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

► Attach to Form 990.

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

OMB No. 1545-0047

**2021**

Open to Public  
Inspection

Name of the organization

Employer identification number

OCEANA, INC.

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 - ANTIGUA & BARBUDA, ARUBA, BAHAMAS,	1	11	FUNDRAISING		15,860.
CENTRAL AMERICA AND THE CARIBBEAN - ANTIGUA & BARBUDA, ARUBA, BAHAMAS,	0	0	PROGRAM SERVICES	MARINE SCIENCE, POLICY, AND COMMUNICATIONS	1,029,401.
NORTH AMERICA - CANADA AND MEXICO, BUT NOT THE UNITED STATES	1	10	FUNDRAISING		4,485.
NORTH AMERICA - CANADA AND MEXICO, BUT NOT THE UNITED STATES	0	0	PROGRAM SERVICES	MARINE SCIENCE, POLICY, AND COMMUNICATIONS	1,533,405.
SOUTH AMERICA - ARGENTINA, BOLIVIA, BRAZIL, CHILE, COLUMBIA, ECUADOR,	3	40	FUNDRAISING		12,726.
SOUTH AMERICA - ARGENTINA, BOLIVIA, BRAZIL, CHILE, COLUMBIA, ECUADOR,	0	0	PROGRAM SERVICES	MARINE SCIENCE, POLICY, AND COMMUNICATIONS	2,857,723.
EUROPE (INCLUDING ICELAND & GREENLAND) - ALBANIA, ANDORRA, AUSTRIA, BELGIUM	2	33	FUNDRAISING		314,958.
EUROPE (INCLUDING ICELAND & GREENLAND) - ALBANIA, ANDORRA, AUSTRIA, BELGIUM	0	0	PROGRAM SERVICES	MARINE SCIENCE, POLICY, AND COMMUNICATIONS	3,934,304.
<b>3 a Subtotal</b> .....	7	94			9,702,862.
<b>b Total from continuation sheets to Part I</b> .....	1	24			1,424,808.
<b>c Totals</b> (add lines 3a and 3b) .....	8	118			11,127,670.

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

Schedule F (Form 990) 2021

**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 ASIA - AFGHANISTAN, BANGLADESH, BHUTAN, INDIA, MALDIVES,	1	24	PROGRAM SERVICES	MARINE SCIENCE, POLICY, AND COMMUNICATIONS	1,424,808.
<b>Totals</b> .....	1	24			1,424,808.

**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	EXPLORE HOW FISHERIES SUBSIDIES MAY BE FUELING THE DEPLETION OF GLOBAL COMMON-POOL	12,375.	WIRE TRANSFER	0.		
		CENTRAL AMERICA AND THE CARIBBEAN - ANTIGUA & BARBUDA, ARUBA, BELIZE.	MANAGE THE GILLNET TRANSITION FUND FOR LOCAL FISHERMEN IN BELIZE.	231,831.	WIRE TRANSFER	0.		
		EUROPE (INCLUDING ICELAND & GREENLAND) - ALBANIA, ANDORRA, GEARS TO	HELP DEVELOP A REPORT TO IDENTIFY ALTERNATIVE FISHING	7,082.	WIRE TRANSFER	0.		
		EUROPE (INCLUDING ICELAND & GREENLAND) - ALBANIA, ANDORRA, DEVELOPING GOALS AND	COVER FUNDRAISER'S SALARY EXPENSES WHOSE WORK WILL COVER	50,000.	WIRE TRANSFER	0.		
		NORTH AMERICA - CANADA AND MEXICO, BUT NOT THE UNITED STATES	TO SUPPORT OCEANA CANADA'S MISSION TO RESTORE CANADIAN OCEANS.	890,425.	WIRE TRANSFER	0.		
		SOUTH AMERICA - ARGENTINA, BOLIVIA, BRAZIL, CHILE, COLUMBIA,	SUPPORT AN ENVIRONMENTAL TRUST FUND THAT WILL PROMOTE THE	10,000.	WIRE TRANSFER	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

5

3 Enter total number of other organizations or entities

1

SEE PART V FOR COLUMN (D) DESCRIPTIONS

Schedule F (Form 990) 2021



**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) 2021

**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 - CANADA AND MEXICO, BUT NOT THE UNITED STATES

(D) PURPOSE OF GRANT: EXPLORE HOW FISHERIES SUBSIDIES MAY BE FUELING THE DEPLETION OF GLOBAL COMMON-POOL MARINE RESOURCES BY SERVING AS A CATALYST TO DISTANT WATER FISHING (DWF) AND ILLEGAL, UNREPORTED, AND UNREGULATED (IUU) FISHING ACTIVITIES.

**(A) REGION:**

EUROPE (INCLUDING ICELAND & GREENLAND) - ALBANIA, ANDORRA, AUSTRIA, BELGIU

(D) PURPOSE OF GRANT: HELP DEVELOP A REPORT TO IDENTIFY ALTERNATIVE FISHING GEARS TO BOTTOM-TRAWLING IN THE CONTEXT OF A POSSIBLE BAN OF SENSITIVE AREAS, INCLUDING MARINE PROTECTED AREAS.

**(A) REGION:**

EUROPE (INCLUDING ICELAND & GREENLAND) - ALBANIA, ANDORRA, AUSTRIA, BELGIU

(D) PURPOSE OF GRANT: COVER FUNDRAISER'S SALARY EXPENSES WHOSE WORK WILL

**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.

**COVER DEVELOPING GOALS AND A PLAN FOR RAISING DONATIONS.****(A) REGION:**

SOUTH AMERICA - ARGENTINA, BOLIVIA, BRAZIL, CHILE, COLUMBIA, ECUADOR,

**(D) PURPOSE OF GRANT: SUPPORT AN ENVIRONMENTAL TRUST FUND THAT WILL PROMOTE THE PROTECTION AND CONSERVATION OF NATURE AND THE ENVIRONMENT IN THE CHILEAN NATIONAL TERRITORY, INCLUDING THE FIGHT AGAINST CLIMATE CHANGE AND DESERTIFICATION, BY FINANCING CONSERVATION PROGRAMS FOCUSED ON MARINE PROTECTED AREAS THROUGHOUT CHILE.**





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

		(a) Event #1	(b) Event #2	(c) Other events	(d) Total events (add col. (a) through col. (c))
		SEACHANGE (event type)	NEW YORK CITY BENEFIT (event type)	NONE (total number)	
Revenue	1 Gross receipts .....	1,766,192.	1,479,018.		3,245,210.
	2 Less: Contributions .....	1,608,045.	1,376,442.		2,984,487.
	3 Gross income (line 1 minus line 2) .....	158,147.	102,576.		260,723.
Direct Expenses	4 Cash prizes .....				
	5 Noncash prizes .....				
	6 Rent/facility costs .....				
	7 Food and beverages .....	86,602.	49,463.		136,065.
	8 Entertainment .....	15,000.	9,000.		24,000.
	9 Other direct expenses .....	92,915.	39,537.		132,452.
	10 Direct expense summary. Add lines 4 through 9 in column (d) .....				292,517.
	11 Net income summary. Subtract line 10 from line 3, column (d) .....				-31,794.

**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, 2021, M&R STRATEGIC SERVICES, INC.  
WAS COMPENSATED A TOTAL OF \$290,151. OF THIS AMOUNT, \$257,660 WAS  
RELATED TO PROFESSIONAL FUNDRAISING CONSULTING. M&R STRATEGIC SERVICES,  
INC. ALSO PROVIDED DIGITAL ADVERTISING AND AD BUYING.

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

Department of the Treasury  
Internal Revenue Service

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

▶ **Attach to Form 990.**

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

OMB No. 1545-0047

**2021**

**Open to Public  
Inspection**

Name of the organization

**OCEANA, INC.**

**Employer identification number**

**51-0401308**

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

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

☒ **Yes** ☐ **No**

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

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

<b>1 (a)</b> Name and address of organization or government	<b>(b)</b> EIN	<b>(c)</b> IRC section (if applicable)	<b>(d)</b> Amount of cash grant	<b>(e)</b> Amount of noncash assistance	<b>(f)</b> Method of valuation (book, FMV, appraisal, other)	<b>(g)</b> Description of noncash assistance	<b>(h)</b> Purpose of grant or assistance
SURF INDUSTRY MANUFACTURERS ASSOCIATION (SIMA) - 27068 LA PAZ ROAD, #570 - ALISO VIEJO, CA 92656	33-0385201	501(C)(6)	30,000.	0.			2021 OCEANA ANNUAL DONATION TO ASSIST ORGANIZATION WHOSE EFFORTS ARE FOCUSED ON
AMERICAN UNIVERSITY 4400 MASSACHUSETTS AVE NW WASHINGTON, DC 20005	53-0196549	501(C)(3)	15,139.	0.			SUPPORT DEVELOPMENT AND REFINEMENT OF DR. JESSICA GEPHART'S SEAFOOD TRADE DATABASE.
WORLD WILDLIFE FUND, INC. 1250 24TH STREET NW WASHINGTON, DC 20037	52-1693387	501(C)(3)	205,000.	0.			SUPPORT THE PROJECT JOINT CAMPAIGN ON ILLEGAL, UNREPORTED AND UNREGULATED (IUU)
CENTER FOR STRATEGIC AND INTERNATIONAL STUDIES, INC. - 1616 RHODE ISLAND AVENUE NW - WASHINGTON, DC 20036	52-1501082	501(C)(3)	230,000.	0.			SUPPORT THE PROJECT JOINT CAMPAIGN ON ILLEGAL, UNREPORTED AND UNREGULATED (IUU)
TIDES CENTER (ICAR) 1014 TORNEY AVENUE SAN FRANCISCO, CA 94129	94-3213100	501(C)(3)	165,000.	0.			SUPPORT THE PROJECT JOINT CAMPAIGN ON ILLEGAL, UNREPORTED AND UNREGULATED (IUU)

**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 ..... **1.**

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

**Schedule I (Form 990) 2021**

**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:

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:

SURF INDUSTRY MANUFACTURERS ASSOCIATION (SIMA)

**Part IV** Supplemental Information

(H) PURPOSE OF GRANT OR ASSISTANCE: 2021 OCEANA ANNUAL DONATION TO ASSIST ORGANIZATION WHOSE EFFORTS ARE FOCUSED ON ENHANCING THE OCEANIC ENVIRONMENT.

NAME OF ORGANIZATION OR GOVERNMENT: WORLD WILDLIFE FUND, INC.

(H) PURPOSE OF GRANT OR ASSISTANCE: SUPPORT THE PROJECT JOINT CAMPAIGN ON ILLEGAL, UNREPORTED AND UNREGULATED (IUU) FISHING, TRANSPARENCY AND HUMAN RIGHTS. A THREE-YEAR EFFORT TO STRENGTHEN U.S. LEADERSHIP IN ADDRESSING IUU FISHING, IMPROVING THE TRANSPARENCY OF FISHING, ADDRESSING LABOR AND HUMAN RIGHTS ABUSES AND EXPANDING SEAFOOD TRACEABILITY.

NAME OF ORGANIZATION OR GOVERNMENT:

CENTER FOR STRATEGIC AND INTERNATIONAL STUDIES, INC.

(H) PURPOSE OF GRANT OR ASSISTANCE: SUPPORT THE PROJECT JOINT CAMPAIGN ON ILLEGAL, UNREPORTED AND UNREGULATED (IUU) FISHING, TRANSPARENCY AND HUMAN RIGHTS. A THREE-YEAR EFFORT TO STRENGTHEN U.S. LEADERSHIP IN ADDRESSING IUU FISHING, IMPROVING THE TRANSPARENCY OF FISHING, ADDRESSING LABOR AND HUMAN RIGHTS ABUSES AND EXPANDING SEAFOOD TRACEABILITY.

NAME OF ORGANIZATION OR GOVERNMENT: TIDES CENTER (ICAR)

(H) PURPOSE OF GRANT OR ASSISTANCE: SUPPORT THE PROJECT JOINT CAMPAIGN ON ILLEGAL, UNREPORTED AND UNREGULATED (IUU) FISHING, TRANSPARENCY AND HUMAN RIGHTS. A THREE-YEAR EFFORT TO STRENGTHEN U.S. LEADERSHIP IN ADDRESSING IUU FISHING, IMPROVING THE TRANSPARENCY OF FISHING, ADDRESSING LABOR AND HUMAN RIGHTS ABUSES AND EXPANDING SEAFOOD TRACEABILITY.

**SCHEDULE J  
(Form 990)**

Department of the Treasury  
Internal Revenue Service

**Compensation Information**

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

OMB No. 1545-0047

**2021**

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

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

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

Schedule J (Form 990) 2021



**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 and/or 1099-NEC 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)	453,834.	0.	0.	34,800.	9,850.	498,484.	0.
	(ii)	0.	0.	0.	0.	0.	0.	0.
(2) JAMES F. SIMON PRESIDENT & GENERAL COUNSEL	(i)	358,913.	0.	0.	34,800.	13,185.	406,898.	0.
	(ii)	0.	0.	0.	0.	0.	0.	0.
(3) CHRISTOPHER M. SHARKEY CHIEF FINANCIAL OFFICER	(i)	271,994.	0.	0.	33,390.	10,279.	315,663.	0.
	(ii)	0.	0.	0.	0.	0.	0.	0.
(4) JACQUELINE SAVITZ CHIEF POLICY OFFICER, NORTH AMERICA	(i)	257,352.	0.	0.	31,572.	10,596.	299,520.	0.
	(ii)	0.	0.	0.	0.	0.	0.	0.
(5) NANCY GOLDEN VICE PRESIDENT, GLOBAL DEVELOPMENT	(i)	254,224.	1,000.	0.	30,612.	2,252.	288,088.	0.
	(ii)	0.	0.	0.	0.	0.	0.	0.
(6) MATTHEW LITTLEJOHN SR. VP, STRATEGIC INITIATIVES	(i)	236,464.	0.	0.	29,144.	10,649.	276,257.	0.
	(ii)	0.	0.	0.	0.	0.	0.	0.
(7) KATHY WHELPLEY CHIEF OF STAFF	(i)	230,467.	1,000.	0.	28,410.	10,362.	270,239.	0.
	(ii)	0.	0.	0.	0.	0.	0.	0.
(8) PASCALE MOEHRLE EXECUTIVE DIRECTOR, EUROPE	(i)	223,158.	0.	0.	0.	0.	223,158.	0.
	(ii)	0.	0.	0.	0.	0.	0.	0.
(9) SUSAN MURRAY DEPUTY VICE PRESIDENT, PACIFIC	(i)	181,286.	0.	0.	22,410.	7,009.	210,705.	0.
	(ii)	0.	0.	0.	0.	0.	0.	0.
(10) KATHRYN MATTHEWS CHIEF SCIENTIST	(i)	179,407.	1,000.	0.	21,948.	2,252.	204,607.	0.
	(ii)	0.	0.	0.	0.	0.	0.	0.
(11) ERIC BILSKY SR. ATTORNEY & ASSISTANT GENERAL COU	(i)	180,247.	0.	0.	21,557.	944.	202,748.	0.
	(ii)	0.	0.	0.	0.	0.	0.	0.
	(i)							
	(ii)							
	(i)							
	(ii)							
	(i)							
	(ii)							
	(i)							
	(ii)							

<b>Part III</b>	<b>Supplemental Information</b>
-----------------	---------------------------------

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)**

Department of the Treasury  
Internal Revenue Service

**Transactions With Interested Persons**

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

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

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

OMB No. 1545-0047

**2021**

**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) 2021

**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

**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, 2021 WAS \$67,070.

**SCHEDULE M  
(Form 990)**

Department of the Treasury  
Internal Revenue Service

**Noncash Contributions**

OMB No. 1545-0047

**2021**

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

Name of the organization

OCEANA, INC.

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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 .....	X		20,125.	RETAIL VALUE
5 Clothing and household goods .....	X		97,661.	RETAIL VALUE
6 Cars and other vehicles .....				
7 Boats and planes .....				
8 Intellectual property .....				
9 Securities - Publicly traded .....	X	2,644	185,867.	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	

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

Schedule M (Form 990) 2021

**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)**

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 Form 990-EZ.

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

OMB No. 1545-0047

**2021**

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 (EU), 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) 2021

132211 11-11-21

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:

IN JUNE 2021, THE GOVERNMENT OF BELIZE SIGNED AN AGREEMENT WITH OCEANA  
AND GLOBAL FISHING WATCH (GFW) TO MAKE ITS VESSEL TRACKING DATA  
PUBLICLY AVAILABLE ON THE GFW PLATFORM. THIS NEWEST ADDITION WILL ALLOW  
ANYONE ANYWHERE IN THE WORLD TO MONITOR BELIZE'S COMMERCIAL FISHING  
FLEET IN NEAR REAL-TIME. THIS VICTORY FOR TRANSPARENCY IS THE RESULT OF  
OCEANA'S COLLABORATION WITH THE GOVERNMENT TO ENHANCE ITS MONITORING  
CAPACITY OF BELIZEAN-FLAGGED FISHING VESSELS ON THE HIGH SEAS AND THE  
WATERS OF OTHER COUNTRIES. OCEANA STAFF HAVE BEEN WORKING IN BELIZE TO



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OCEANA, INC.

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SECURE THIS AGREEMENT AND THE ILLEGAL FISHING AND TRANSPARENCY TEAM HAVE PROVIDED MULTIPLE OVERVIEWS AND TRAININGS TO THE GOVERNMENT ON THE GLOBAL FISHING WATCH PLATFORM AND HOW THE DATA CAN BE USED TO HELP WITH OVERSIGHT AND MANAGEMENT OF THE FLEET. LIKE MANY IN OTHER COASTAL COUNTRIES, BELIZE'S SMALL-SCALE FISHERS DEPEND ON TRANSPARENT, WELL REGULATED, HEALTHY OCEANS TO THRIVE. ADDING BELIZE'S VESSEL TRACKING DATA TO THE GFW PLATFORM WILL FURTHER BUILD ON THE PROGRESS BELIZE HAS ACHIEVED IN THE LAST DECADE TOWARDS PROTECTING ITS MARINE RESOURCES AND THE COMMUNITIES THAT RELY ON THEM.

#### REDUCE SINGLE-USE PLASTICS

IN FEBRUARY 2021, BELIZE'S NEW PRIME MINISTER REITERATED HIS SUPPORT FOR SINGLE-USE PLASTICS LEGISLATION AND COMMITTED HIS ADMINISTRATION TO PHASING OUT OF SINGLE-USE PLASTICS BY THE END OF 2021. DESPITE THIS WELCOME PLEDGE, THE STANDARDS FOR THE PRODUCTS THAT WILL REPLACE PROHIBITED PLASTIC ITEMS HAVE NOT BEEN PUBLISHED BY THE GOVERNMENT. ADDITIONALLY, IMPORTATION FEES HAVE NOT BEEN ADJUSTED TO REDUCE THE COSTS OF ENVIRONMENTALLY FRIENDLY PRODUCTS, WHICH CURRENTLY ARE MORE EXPENSIVE THAN SINGLE USE PLASTICS. IN SPITE OF THIS, WE ARE CONTINUING TO WORK TO ELIMINATE PLASTIC POLLUTION ON THE LOCAL LEVEL, ENGAGING WITH LOCAL MAYORS AND MAJOR SUPERMARKETS TOWARDS THIS GOAL.

#### BRAZIL

##### IMPLEMENTING CATCH LIMITS FOR COMMERCIAL FISHERIES

ON JUNE 28TH, PRESIDENT BOLSONARO ISSUED A DECREE CREATING A TOTAL OF 10 FISHERY MANAGEMENT COUNCILS FOR MARINE AND ESTUARINE FISHERIES, INCLUDING THE IMPORTANT LOBSTER AND THE RED SNAPPER COUNCILS. THIS IS A GOOD OPPORTUNITY FOR OCEANA, SINCE THE FORUMS WHERE FISHING QUOTAS ARE

Name of the organization

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DISCUSSED WERE FINALLY RESTORED. THE RESUMPTION OF THE COUNCILS IS IN RESPONSE TO THE FISHERIES SECRETARY, ORGANIZATIONS SUCH AS OCEANA, AND REPRESENTATIVES OF THE FISHING SECTOR THAT CALLED FOR MORE TRANSPARENCY OVER THE PAST TWO YEARS AND FORMAL PARTICIPATION FROM ALL STAKEHOLDERS ON DECISION-MAKING.

#### IMPROVING FISHERIES MONITORING

IN APRIL, THE BRAZILIAN GOVERNMENT SIGNED A MEMORANDUM OF UNDERSTANDING (MOU) WITH GLOBAL FISHING WATCH (GFW) TO PUBLICLY RELEASE THE COUNTRY'S VESSEL MONITORING SYSTEM (VMS) DATA. THIS AGREEMENT IS A MAJOR STEP FORWARD FOR SUSTAINABLE AND TRANSPARENT FISHERIES MANAGEMENT IN BRAZIL, AS IT BECAME JUST THE SEVENTH COUNTRY TO AGREE TO SHARE ITS VESSEL DATA ON A PUBLIC PLATFORM.

THE OPEN TUNA INITIATIVE, A PARTNERSHIP WITH SEVERAL MEMBERS OF THE TUNA INDUSTRY THAT IS FOCUSED ON MAKING TUNA FISHERIES AND THEIR SUPPLY CHAINS MORE TRANSPARENT, WAS A CRITICAL PRECURSOR TO THIS HISTORIC MOU.

BY WORKING WITH PRIVATE BUSINESS LEADERS, BUILDING UP TRUST BETWEEN OUR GROUPS, AND HELPING THEM SEE THE VALUE OF FISHERIES TRANSPARENCY, OCEANA AND GFW ALSO HELPED CONVINCE THE GOVERNMENT THAT SUCH ACTIONS WOULD STRENGTHEN THE COUNTRY'S STANDING IN THE GLOBAL SEAFOOD SUPPLY CHAIN. THANKS TO THIS INITIATIVE, VMS DATA FROM 14 INDUSTRIAL TUNA LONGLINERS THAT COLLECTIVELY REPRESENT 60-70 PERCENT OF BRAZIL'S MARKET FOR FRESH BIGEYE TUNA (THAT IS EXPORTED TO THE US) IS NOW PUBLICLY AVAILABLE ON GFW.

ONCE THEY ARE PUBLISHED, THESE DATA ON APPROXIMATELY 2,000 INDUSTRIAL

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VESSELS WILL HELP INFORM FUTURE FISHERIES MANAGEMENT, CONTROL, AND SURVEILLANCE ACTIVITIES. IN THIS WAY, THE AGREEMENT BETWEEN GFW AND THE BRAZILIAN GOVERNMENT ESTABLISHES A FRAMEWORK FOR THE COLLABORATIVE EXCHANGE OF DATA AND IMPROVES BRAZIL'S TRANSPARENCY AND MONITORING CAPACITIES.

#### LIMIT SINGLE-USE PLASTICS

WE ARE ON TRACK TO SUBMIT A BILL TO CONGRESS REQUIRING GRADUAL ELIMINATION OF DISPOSABLE PLASTIC PRODUCTS, SUCH AS STYROFOAM CONTAINERS, UTENSILS, PLATES, AND CUPS. WE HAVE RECENTLY GOTTEN A COMMITMENT FROM A SENATOR TO CREATE A WORKING GROUP WITHIN THE ENVIRONMENTAL PARLIAMENTARY FRONT OF THE CONGRESS. THE WORKING GROUP WILL BE COMPOSED OF KEY STAKEHOLDERS TO DISCUSS THE SCOPE AND SPECIFIC COMPONENTS OF A BILL TO BAN SINGLE-USE PLASTICS. ONCE THE BILL IS DRAFTED AND DISCUSSED, IT WILL BE SUBMITTED TO THE SENATE.

THE COVID-19 PANDEMIC DRAMATICALLY INCREASED FOOD DELIVERY DEMAND IN BRAZIL. THE BRAZILIAN COMPANY IFOOD HOLDS 70% OF THE MARKET SHARE AND REACHED 60 MILLION DELIVERY ORDERS PER MONTH EARLIER THIS YEAR. OCEANA AND OUR PARTNERS AT THE CLEAN SEAS CAMPAIGN OF THE UNITED NATIONS ENVIRONMENT PROGRAM (UNEP) HAVE BEEN HOLDING REGULAR CONVERSATIONS WITH IFOOD SINCE MAY. AFTER MONTHS OF INTENSE NEGOTIATIONS, SOCIAL MEDIA MOBILIZATION, AN ONLINE PETITION AND CELEBRITIES' SUPPORT TO OUR CAMPAIGN, IFOOD SIGNED A PUBLIC COMMITMENT IN AUGUST 2021 TO REDUCE ITS USE OF DISPOSABLE PLASTIC BY 2025. WITH OUR GUIDANCE, IFOOD HAS NOW ESTABLISHED A SPECIFIC WORKPLAN AND TIMELINE FOR SUCH PLASTIC REDUCTION, WHICH WILL REDUCE THE DISTRIBUTION OF SINGLE-USE PLASTICS BY 1.5 BILLION ITEMS PER YEAR. IN LATIN AMERICA, BRAZIL ACCOUNTS FOR 50%

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OF ALL FOOD DELIVERIES, REPRESENTING 1.2 BILLION ORDERS A YEAR.

ACCORDING TO A SURVEY BY THE STARTUP MOBILLS LABS, SPENDING ON FOOD

APPLICATIONS GREW 103% IN THE FIRST HALF OF 2020. THANKS TO ONLINE

ORDERING, TAKEAWAY AND DELIVERED FOOD SALES SECURED INCOME FOR SMALL

AND MEDIUM RESTAURANTS AMIDST THE ECONOMIC CRISIS THAT FOLLOWED THE

LOCKDOWN. IT IS EXPECTED THAT AS THE PANDEMIC CONTINUES, MORE

RESTAURANTS WILL JOIN FOOD-DELIVERY APPLICATIONS OR COMPLETELY MOVE

THEIR OPERATIONS TO ONLINE SALES. THE INCREASE IN DELIVERY ORDERS HAS

ALSO INCREASED THE USE OF DISPOSABLE PLASTICS ITEMS. BRAZIL PRODUCES 3

MILLION TONS OF SINGLE-USE PLASTIC EVERY YEAR, OF WHICH 13% ARE

THROW-AWAY PRODUCTS SUCH AS PLATES, CUPS, CUTLERY, PLASTIC BAGS, AND

STRAWS. THIS IS EQUIVALENT TO PRODUCING 200 BILLION THROW-AWAY PLASTIC

ITEMS PER YEAR. MOST OF THESE ITEMS ARE NOT RECYCLABLE AS THEY ARE

WORTHLESS TO THE RECYCLING CHAIN, SO THEY QUICKLY BECOME WASTE AND

POLLUTION. WITH IFOOD COMMITTING TO LOWER THEIR PLASTIC FOOTPRINT, WE

EXPECT OTHER APPS, SUCH AS UBEREATS AND RAPPI, TO DO THE SAME.

OCEANA CANADA

IN 2021, 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

THE DELAYED REBUILDING PLANS FOR THE DEPLETED FISHERIES OF ATLANTIC

MACKEREL AND NORTHERN COD WERE RELEASED AT THE VERY END OF 2020 AND

FAILED TO MEET ACCEPTABLE REBUILDING PLAN STANDARDS. THROUGHOUT 2021

WE HAVE PUSHED TO INCREASE BOTH THE QUALITY AND QUANTITY OF PLANS

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COMPLETED THIS YEAR THROUGH OUR TECHNICAL CONTRIBUTIONS AT FISHERY ADVISORY MEETINGS, THROUGH CONTINUED MEDIA ATTENTION, AND THROUGH HIGH-LEVEL ADVOCACY. WE ADVOCATED FOR AND ACHIEVED A SIGNIFICANT IMPROVEMENT IN TRANSPARENCY AND ACCOUNTABILITY WITH THE PUBLICATION OF A GOVERNMENT WEBPAGE WITH DFO'S ANNUAL WORK PLANS AND ANNUAL REPORTS ON DELIVERABLES ACHIEVED.

## LIMIT SINGLE-USE PLASTICS

IN MAY 2021, THE CANADIAN GOVERNMENT OFFICIALLY LISTED PLASTIC-MANUFACTURED ITEMS UNDER THE CANADIAN ENVIRONMENTAL PROTECTION ACT'S (CEPA) SCHEDULE 1, THE LAW'S LIST OF TOXIC SUBSTANCES. THIS LISTING IS A CRITICAL STEP TOWARDS ADDRESSING CANADA'S PLASTIC POLLUTION CRISIS, AS THIS NOW GIVES THE FEDERAL GOVERNMENT AUTHORITY TO REGULATE PLASTIC PRODUCTS AND KEEP THEM OUT OF INCINERATORS, LANDFILLS, AND THE ENVIRONMENT. IN LATE 2020, THE GOVERNMENT ISSUED PROPOSED RULES TO BAN SIX SINGLE-USE PLASTIC ITEMS (BAGS, STIRS, STICKS, SIX-PACK RINGS, CUTLERY, STRAWS AND FOOD SERVICE WARE) BY THE END OF 2021 AS PART OF A LARGER GOVERNMENT INITIATIVE TO ACHIEVE THE GOAL OF ZERO PLASTIC WASTE BY 2030. LISTING PLASTIC-MANUFACTURED ITEMS UNDER CEPA'S SCHEDULE 1 MOVES THE COUNTRY ONE STEP CLOSER TO ACHIEVING THIS GOAL. OCEANA CANADA APPLAUDED THIS DECISION BY THE CANADIAN GOVERNMENT, BUT WE ARE ALSO WORKING WITH THE MINISTER OF ENVIRONMENT AND CLIMATE CHANGE TO EXPAND THE BAN LIST BEYOND THE SIX ITEMS. OCEANA POLLING DATA SUGGESTED THAT 95 PERCENT OF CANADIANS ARE CONCERNED ABOUT THE IMPACT PLASTIC POLLUTION HAS ON OUR OCEANS AND 86 PERCENT SUPPORT A BAN ON SINGLE-USE PLASTICS. A COALITION REPRESENTING CANADA'S LARGEST VIRGIN PLASTIC PRODUCERS CHALLENGED THIS DECISION IN FEDERAL COURT AFTER THE AFOREMENTIONED LISTING, AND THIS IS WHERE THE CAMPAIGN STOOD AT THE END

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OF 2021.

CHILE

HABITAT PROTECTION

LA HIGUERA: OUR CAMPAIGN TO ACHIEVE THE DESIGNATION OF AN MPA IN LA HIGUERA SUFFERED A SETBACK IN APRIL 2021, WHEN THE ENVIRONMENTAL COURT OF CHILE RULED IN FAVOR OF THE PROPOSED DOMINGA MINING AND PORT PROJECT (SLATED TO BE DEVELOPED IN LA HIGUERA). WE APPEALED THIS DECISION BEFORE THE SUPREME COURT, WHICH PREVIOUSLY RULED IN OUR FAVOR. WE HAVE INTENSIVELY PUBLICIZED OUR POSITION ON THE ISSUE WE HAD OVER 25 TV INTERVIEWS AND 35 RADIO APPEARANCES, AND RAPIDLY ACTIVATED OUR SOCIAL MEDIA OUTREACH. #NOADOMINGA (SAY NO TO DOMINGA) BECAME THE TRENDING TOPIC IN CHILE FOR 3 DAYS WITH OVER 400K TWEETS, AND WE REACHED OVER 2 MILLION INTERACTIONS ON FACEBOOK AND INSTAGRAM.

KATALALIXAR: OUR CAMPAIGN TO PROTECT A PRISTINE AREA OF PATAGONIA ADVANCED WHEN CHILE'S PROTECTED AREA SERVICE (CONAF) FORMALLY REQUESTED THAT THE REGIONAL AUTHORITIES BEGIN THE PROCESS OF DESIGNATING KATALALIXAR AS AN MPA. BECAUSE OF COVID-19 AND THE REMOTENESS AND ISOLATION OF KATALALIXAR, HOWEVER, WE HAVE NOT BEEN ABLE TO MEET WITH THE KAWSQAR, THE LOCAL INDIGENOUS COMMUNITY, TO PRESENT OUR FINAL PROPOSAL AND RECEIVE THEIR APPROVAL. THEREFORE, THE DEADLINE FOR THIS CAMPAIGN HAS BEEN MOVED TO 2022.

END OVERFISHING AND REBUILD STOCKS

ANCHOVIES: OUR CAMPAIGN TO PROTECT ANCHOVIES WAS BOOSTED BY A SUPREME COURT DECISION THAT ENFORCES A BAN ON INDUSTRIAL FISHING FROM THE FIVE-MILE COASTAL ZONE IN TWO REGIONS IN NORTHERN CHILE, INCLUDING IN THE TARAPAC REGION WHERE PISAGUA IS LOCATED. SUCH A BAN ON INDUSTRIAL FISHING IN THESE AREAS OF PISAGUA WILL BE CONFIRMED AND MADE EVEN MORE

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DIFFICULT TO UNDO BY THE MPA THAT WE ARE SEEKING TO PROTECT ANCHOVY HABITAT IN PISAGUA. HAVING WON THE SUPPORT OF FISHERS FOR OUR PROPOSED MPA IN DECEMBER 2020, AND HAVING SUBMITTED OUR FORMAL PROPOSAL, WE ARE NOW CAMPAIGNING FOR THE MINISTRY OF ENVIRONMENT TO APPROVE THE PROPOSAL.

BROWN KELP: CHILE'S CONGRESS IS CURRENTLY DISCUSSING A BILL TO REGULATE KELP EXTRACTION AND WE ARE SUPPORTING ITS IMPROVEMENT. WE ARE WORKING ON THE DEVELOPMENT OF MORE APPROPRIATE PROPOSAL FOR ITS REGULATION, WHICH TAKES INTO ACCOUNT THE EXPERIENCE OF KELP FISHERS. IN THE MEANTIME, THE NATIONAL SERVICE OF FISHERIES DEvised AN EXTRACTION PLAN FOR KELP THAT INCLUDES IDENTIFYING AND REGISTERING KELP CHIPPING FACILITIES, MEETING A MILESTONE IN OUR CAMPAIGN.

SARDINES: WE RELEASED A REPORT ON GAPS IN THE CONTROL OF THE LANDING AND PROCESSING OF SARDINES FOR FISHMEAL AND FISH OIL IN THE BIO BIO REGION, THE AREA IN CHILE WHERE THE MAJORITY OF THESE FISH ARE PROCESSED AND CAUGHT. THE REPORT PROVIDES THE DATA WE NEED TO PUSH FOR BETTER REGULATION OF THE PRODUCTION CHAIN FOR THE FISHERY. WE HAVE MET WITH THE NATIONAL SERVICE OF FISHERIES TO PRIORITIZE THE GAPS WE UNCOVERED SO THAT WE CAN START WORKING ON THE MOST IMPORTANT ONES. WE ARE ALSO EXPLORING OPTIONS FOR AN UPCOMING EXPEDITION TO A SUBMARINE CANYON IN HUALPEN, IN THE BIO BIO REGION IN LATE FALL OR EARLY WINTER. THE PURPOSE OF THE EXPEDITION IS TO GATHER BIOLOGICAL DATA TO PROTECT THIS AREA THROUGH AN MPA, WHICH WOULD SAFEGUARD AN IMPORTANT HABITAT FOR SARDINES.

REDUCE SINGLE-USE PLASTICS

IN MAY 2021, CHILE SIGNED INTO LAW ONE OF THE WORLD'S MOST AMBITIOUS PROPOSALS TO COMBAT SINGLE-USE PLASTIC POLLUTION. THIS HISTORIC ACTION

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COMES AFTER TWO YEARS OF ADVOCACY AND CAMPAIGNING BY OCEANA AND OUR PARTNERS IN CHILE AND POSITIONS THE COUNTRY AS ONE OF THE WORLD'S LEADERS IN THE FIGHT AGAINST PLASTIC POLLUTION. THE NEW LAW INCLUDES SEVERAL KEY PROVISIONS TO COMPREHENSIVELY LIMIT SINGLE-USE PLASTIC PRODUCTION, DISTRIBUTION, AND USAGE NATIONALLY:

- WITHIN SIX MONTHS, ALL EATING ESTABLISHMENTS SUCH AS RESTAURANTS, COFFEE SHOPS, AND BARS WILL BE PROHIBITED FROM PROVIDING PLASTIC CUTLERY, DRINKING STRAWS, STIRRERS, AND CHOPSTICKS.

- AFTER THREE YEARS, IT WILL BE MANDATORY FOR EATING ESTABLISHMENTS TO UTILIZE REUSABLE PRODUCTS WHEN CONSUMPTION OCCURS INSIDE THESE ESTABLISHMENTS. FOR OUTSIDE CONSUMPTION, EATING ESTABLISHMENTS WILL HAVE TO PROVIDE DISPOSABLE PRODUCTS MADE OF MATERIALS OTHER THAN PLASTIC OR MADE OF CERTIFIED PLASTIC.

- WITHIN SIX MONTHS ALL SUPERMARKETS MUST SELL AND RECEIVE RETURNABLE BOTTLES IN THEIR IN-PERSON AND ONLINE SALES. THIS OBLIGATION WILL INCLUDE CONVENIENCE STORES AFTER TWO YEARS. AFTER THREE YEARS, THE PERCENTAGE OF RETURNABLE BOTTLES ON DISPLAY FOR SALE CANNOT BE LESS THAN 30 PERCENT. DISPOSABLE BOTTLES WILL BE ALLOWED ONLY IF THEY CONTAIN RECYCLED MATERIAL COLLECTED IN THE COUNTRY AND IN PERCENTAGES THAT WILL INCREASE OVER TIME.

THE NEW LAW WILL TRANSITION SERVICE ESTABLISHMENTS TO MORE SUSTAINABLE PRODUCT PACKAGING WHILE PREVENTING AN ESTIMATED 23,000 TONS OF SINGLE-USE PLASTIC POLLUTION GENERATED EACH YEAR BY THESE BUSINESSES. THIS IS EQUIVALENT TO THE WEIGHT OF 116 BLUE WHALES, WHICH IS ABOUT EQUIVALENT TO THE CARBON FOOTPRINT AS A PERSON DRIVING A CAR AROUND EARTH 5,300 TIMES.



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## EUROPE

## ILLEGAL FISHING

IN MARCH 2021, THE PLENARY OF THE EUROPEAN PARLIAMENT (EP) VOTED TO REQUIRE VMS FOR ALL EU FISHING VESSELS; REMOVE A MEMBER STATE VETO ON INFORMATION SHARING THAT WAS IN BREACH OF EU TRANSPARENCY LAWS; AND REQUIRE MEMBER STATES TO PUBLISH INFORMATION ANNUALLY ON THE NUMBER AND TYPE OF INSPECTIONS PERFORMED, INFRINGEMENTS FOUND, AND THEIR FOLLOW UP. THE EP ALSO VOTED TO REQUIRE ALL EU FISHING VESSELS TO REPORT CATCHES ELECTRONICALLY, AND CLARIFIED THAT BENEFITTING FROM OR SUPPORTING IUU FISHING, INCLUDING THROUGH THE PROVISION OF SERVICES, IS AN OFFENSE UNDER THE CONTROL REGULATION. THIS LANDMARK ACHIEVEMENT WAS THE DIRECT RESULT OF OCEANA'S SUCCESS IN FEBRUARY, WHEN THE FISHERIES COMMITTEE VOTED IN FAVOR OF THOSE SAME MEASURES. THE HIGH LEVEL OF SUPPORT FOR THESE AMBITIOUS PROPOSALS WITHIN PECH, ONE OF THE MOST CONSERVATIVE COMMITTEES OF THE EP, WAS CRITICAL FOR ENSURING VICTORY IN THE PLENARY VOTE.

WE ACHIEVED KEY MILESTONES TOWARD OUR GOAL TO GET THE GENERAL FISHERIES COMMISSION FOR THE MEDITERRANEAN (GFCM) TO STRENGTHEN ITS LIST OF AUTHORIZED VESSELS AND THE INTERNATIONAL COMMISSION FOR THE CONSERVATION OF ATLANTIC TUNAS (ICCAT) TO REQUIRE ITS MEMBERS TO SANCTION THEIR CITIZENS IF THEY SUPPORT IUU FISHING. IN MAY, THE EU OFFICIALLY ANNOUNCED THAT IT PLANS TO PROPOSE A FORMAL RECOMMENDATION TO STRENGTHEN THE AUTHORIZED VESSEL LIST (AVL) FOR ADOPTION AT THE GFCM ANNUAL MEETING. TO STRENGTHEN OUR ARGUMENT ON THE NEED TO UPDATE THE AVL, OCEANA PUBLISHED AND PRESENTED A REPORT TO THE GFCM IN WHICH WE EXPOSED TWO ITALIAN VESSELS THAT APPARENTLY TRAWLED ILLEGALLY IN A PROTECTED AREA. IN JUNE, THE EU MADE A PROPOSAL IN RESPONSE TO

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ADVOCACY FROM OCEANA TO STRENGTHEN MEASURES AGAINST NATIONALS INVOLVED  
IN IUU FISHING. MEMBERS OF ICCAT EXPRESSED THEIR SUPPORT FOR THE  
PROPOSAL.

A LEADING GLOBAL BUSINESS INFORMATION PROVIDER TO THE MARITIME SECTOR  
AGREED TO INCLUDE OFFICIALLY REPORTED INFORMATION ON IUU FISHING  
ACTIVITY IN THEIR EXTENSIVE DATABASES OF VESSEL INFORMATION. THE  
PROVIDER WILL INCLUDE INFORMATION ON FISHING AND SHIPPING COMPANIES AS  
WELL AS OTHER SECTORS, INCLUDING BUSINESSES, THAT PROVIDE THESE  
COMPANIES WITH SERVICES. THESE PLATFORMS ARE SUBSCRIBED TO BY OVER  
27,000 USERS, INCLUDING MARINE EQUIPMENT AND INSURANCE COMPANIES; SHIP  
OWNERS, BROKERS, BUILDERS AND MANAGERS; AND PORT SERVICES AND SECURITY,  
FOR A MULTITUDE OF PURPOSES, INCLUDING ASSESSING AND MINIMIZING RISK  
EXPOSURE. THESE BUSINESSES WILL NOW BE ABLE TO EASILY CHECK WHETHER  
QUERIED VESSELS HAVE BEEN FORMALLY IDENTIFIED BY GOVERNMENT AUTHORITIES  
FOR THEIR INVOLVEMENT IN IUU FISHING AN ACTIVITY THAT IS DEVASTATINGLY  
HARMFUL TO THE MARINE ENVIRONMENT AND IS OFTEN LINKED TO OTHER MARITIME  
CRIMES. TO ACHIEVE WIDER ADOPTION BY SERVICE PROVIDERS OF ACTIONS THAT  
EFFECTIVELY ADDRESS IUU FISHING, OCEANA JOINED TWO MAJOR FINANCIAL  
SECTOR INITIATIVES FOCUSED ON PROMOTING MARINE SUSTAINABILITY IN  
BUSINESS: THE UN SUSTAINABLE BLUE ECONOMY FINANCE INITIATIVE AND THE  
OCEAN RISK AND RESILIENCE ACTION ALLIANCE (ORRAA).

FISH RECOVERY AND SUSTAINABLE MANAGEMENT

IN JANUARY, OCEANA PUBLICLY RELEASED ITS UK FISHERIES AUDIT, COINCIDING  
WITH THE START OF EU-UK NEGOTIATIONS ON 2021 CATCH LIMITS. THE AUDIT  
WHICH AIMED TO LINK ITS FINDINGS TO THE NEED FOR STRONG SUSTAINABILITY  
COMMITMENTS IN THE UK'S FISHERIES STATEMENTS PAINTED A DISTURBING

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PICTURE OF THE STATE OF UK FISH STOCKS. IT SHOWED THAT ONLY 36% OF THE 104 AUDITED STOCKS WERE KNOWN TO BE HEALTHY IN TERMS OF STOCK SIZE AND ONLY 38% SUSTAINABLY EXPLOITED. OF THE TOP 10 MOST ECONOMICALLY IMPORTANT FISH STOCKS FOR THE UK, SIX ARE OVERFISHED OR HAVE A STOCK BIOMASS AT A CRITICAL LEVEL. THE SIX ARE: 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 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 DELIVERED THE REPORT TO KEY UK AND EU DECISION-MAKERS, NGOS, AND INDUSTRY REPRESENTATIVES, AND CALLED ON THE UK GOVERNMENT TO STOP OVERFISHING AND LEAD THE WAY IN SUSTAINABLE FISHERIES BY SETTING CATCH LIMITS IN LINE WITH SCIENCE. THE AUDIT RECEIVED EXTENSIVE COVERAGE IN KEY UK MEDIA.

WE ACHIEVED PROGRESS TOWARD OUR MULTI-YEAR GOAL TO ENSURE THAT, POST-BREXIT, ALL COMMERCIAL STOCKS, INCLUDING SHARED STOCKS, AROUND THE UK ARE FISHED AT SUSTAINABLE MANAGEMENT LEVELS BY 2023. IN JUNE, THE EU AND THE UK REACHED, FOR THE FIRST TIME AFTER BREXIT, AN AGREEMENT ON TOTAL ALLOWABLE CATCHES (TACS) FOR SHARED STOCKS FOR 2021. DUE TO THE DELAY IN THE ADOPTION OF THE EU-UK TRADE AND COOPERATION AGREEMENT, NEGOTIATIONS ON 2021 CATCH LIMITS FOR SHARED STOCKS ONLY BEGAN IN JANUARY. QUOTAS WERE SET FOR OVER 75 COMMERCIAL FISH STOCKS AND

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PROVISIONS WERE ADOPTED FOR THE EXPLOITATION OF NON-QUOTA STOCKS IN 2021. THIS WAS THE FIRST ANNUAL NEGOTIATION ON FISHING LIMITS UNDER THE EU-UK TRADE AND COOPERATION AGREEMENT. WHILE OCEANA WELCOMES THE WILLINGNESS OF BOTH PARTIES TO COOPERATE, WE CONSIDER THAT SOME OF THE ADOPTED MEASURES FALL SHORT OF ENSURING THE SUSTAINABLE EXPLOITATION OF COMMON FISH STOCKS.

#### HABITAT CAMPAIGN

THIS YEAR, OCEANA FOCUSED ON ENSURING THAT THE EU ACTION PLAN ON FISHERIES RESOURCES AND MARINE ECOSYSTEMS CONTAINS PROVISIONS TO PROHIBIT BOTTOM-TRAWLING IN EU MPAS. THE RELEASE OF THE ACTION PLAN UNFORTUNATELY WAS DELAYED TO 2022, TO ALLOW THE EUROPEAN COMMISSION MORE TIME FOR STAKEHOLDER CONSULTATION. DESPITE THIS DELAY, WE SECURED AN INITIAL VICTORY IN JUNE 2021 IN THE PLENARY OF THE EUROPEAN PARLIAMENT, WHICH CALLED FOR THE PROHIBITION OF DESTRUCTIVE ACTIVITIES INSIDE MPAS AS PART OF ITS POSITION ON THE BIODIVERSITY STRATEGY. AHEAD OF THIS VOTE, OCEANA LAUNCHED A PETITION TO BAN BOTTOM-TRAWLING IN ALL EU MPAS, WHICH GATHERED 150,000 SIGNATURES AND GENERATED INTENSE SOCIAL MEDIA ACTIVITY IN SUPPORT OF OUR CAMPAIGN.

OCEANA ACHIEVED TWO KEY MILESTONES THIS YEAR TOWARD OUR GOAL TO ENSURE THAT 10 PERCENT OF UK SEAS ARE FULLY PROTECTED FROM BOTTOM-TOWED FISHING GEAR BY 2023 (WITH A LONG-TERM GOAL OF 30 PERCENT BY 2030). FOLLOWING THE POST-BREXIT LICENSING BY THE UK GOVERNMENT OF OVER 2,000 UK AND EU VESSELS TO FISH IN BRITISH MPAS, OCEANA CONTESTED THIS GOVERNMENTAL ACTION. AS A RESULT, THE UK GOVERNMENT COMMITTED TO ADOPT FISHERIES MANAGEMENT PLANS FOR ALL ITS OFFSHORE MPAS WITHIN THREE YEARS. THE UK GOVERNMENT IS NOW EXPECTED TO CONSULT BROADLY AND TO

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DEVELOP NEW BY-LAWS REGULATING TRAWLING IN MPAS. THEN IN JUNE, THE UK GOVERNMENT ANNOUNCED ITS PLAN TO INCREASE PROTECTION OF ENGLISH WATERS THROUGH PILOT PROJECTS TO DESIGNATE HIGHLY PROTECTED MARINE AREAS (HPMAS) IN 2022. A SHORTLIST OF PROPOSED SITES IS UNDER DEVELOPMENT, WITH PUBLIC CONSULTATION TO FOLLOW IN 2022. HPMAS WILL HAVE THE HIGHEST LEVEL OF PROTECTION, EQUIVALENT TO NO-TAKE ZONES. OCEANA WELCOMED THE START OF THIS PROCESS, BUT WE STRESSED IN THE MEDIA THAT HPMAS SHOULD NOT DISTRACT FROM THE NEED TO BAN BOTTOM TRAWLING IN ALL UK MPAS.

## MEXICO

### TRANSPARENCY AND TRACEABILITY

OCEANA PERSUADED THE MEXICAN NATIONAL FISHERIES AUTHORITY TO RELEASE THE MEXICAN VMS DATA TO THE GOVERNMENT'S PUBLIC WEBSITE ON A MONTHLY BASIS. IN ADDITION, GFW HAS AGREED TO REGULARLY UPLOAD THAT DATA TO ITS PLATFORM. THIS BRINGS US VERY CLOSE TO REACHING OUR ULTIMATE GOAL OF GETTING THE FISHERIES AUTHORITY TO SHARE ITS VMS DATA OF MEXICAN FISHING VESSELS IN NEAR-REAL-TIME DIRECTLY WITH GFW TO ALLOW FOR INCREASED AND TIMELY MONITORING OF POTENTIAL ILLEGAL FISHING IN MEXICO'S OCEAN WATERS. THE FISHERIES AUTHORITY AGREED TO THIS MORE REGULAR TRANSFER OF DATA AFTER OCEANA DEMONSTRATED TO THEM THE NEED FOR AND IMPORTANCE OF TRANSPARENCY INTO THE MEXICAN INDUSTRIAL FLEET. HAVING THE RAW VMS DATA UPLOADED TO GFW WILL MAKE IT AVAILABLE FOR ANALYSIS BY OTHER RESEARCHERS, NGOS AND EVEN GOVERNMENT INSTITUTIONS. THIS PAST YEAR, OCEANA ALSO HELPED PUSH THE GOVERNMENT TO COMPLETE A NEAR-FINAL DRAFT OF A FIRST-EVER SEAFOOD TRACEABILITY RULE, WHICH INCLUDES RECOMMENDATIONS DEVELOPED BY OCEANA TO PREVENT SPECIES SUBSTITUTION FOR SEAFOOD SOLD IN MEXICO.

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FISHERIES REBUILDING

WE HAVE ENGAGED TWO MORE FISHERS' COMMUNITIES, IN TABASCO AND TAMAULIPAS (BOTH BORDERING THE GULF OF MEXICO), AS PART OF OUR PLAN TO BUILD SUPPORT FROM FISHERS FOR A NATIONAL LAW COMPELLING THE GOVERNMENT TO REBUILD FISHERIES. WE HAVE NOW ENGAGED THE LEADERS FROM EIGHT SUCH FISHER COMMUNITIES, INCLUDING IN SINALOA, SONORA, BAJA CALIFORNIA SUR (NORTHWEST); YUCATAN (SOUTHEAST); AND VERACRUZ (GULF OF MEXICO).

PROTECT HABITAT

STARTING ON AUGUST 9, 2021, AND DESPITE THE CHALLENGES OF COVID-19, WE CONDUCTED OUR FIRST SCIENTIFIC EXPEDITION AT SEA IN MEXICO. THE PURPOSE OF OUR EXPEDITION WAS TO OBTAIN INFORMATION ON THE ALACRANES REEF'S HEALTH AND GATHER ASSETS TO ASSIST US IN WINNING FURTHER PROTECTIONS FOR THIS MARINE AREA. WE ALSO AIM TO BETTER UNDERSTAND THE ROLE OF ALACRANES REEF IN SUPPORT OF COASTAL COMMUNITIES AND SMALL-SCALE FISHERS. THE EXPEDITION INCLUDED A GROUP OF SCIENTISTS, SCUBA DIVERS, VIDEOGRAPHERS, AND OCEANA STAFF. WE BEGAN DOCUMENTING ALACRANES REEF AND BAJOS DEL NORTE. THE TEAM COLLECTED EVIDENCE NEEDED TO PROTECT THE LARGEST CORAL REEF STRUCTURE IN THE GULF OF MEXICO. THE EXPEDITION'S RESULTS WILL BE FINALIZED IN 2022, AND WE HAVE ALREADY STARTED WORKING WITH MEXICAN AUTHORITIES AND STAKEHOLDERS. AFTER THE PRESS CONFERENCE THAT ANNOUNCED THE EXPEDITION, WE MET WITH FEDERAL AUTHORITIES INCLUDING THE SECRETARY OF ENVIRONMENT AND NATIONAL COMMISSION OF NATURAL PROTECTED AREAS. WE ALSO MET WITH THE SECRETARIES OF FISHING, ENVIRONMENT, AND SUSTAINABLE DEVELOPMENT OF YUCATAN, THE STATE WHERE ALACRANES REEF IS LOCATED. WE ARE NOW PARTNERING WITH LOCAL FISHERS TO DISCUSS AND AGREE ON THE PROTECTIONS NEEDED BY ALACRANES AND THE SURROUNDING REGION.

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## PERU

## HABITAT PROTECTION

TO IMPROVE THE MANAGEMENT OF EXISTING MPAS, OCEANA IS ENSURING THAT PERU'S NATIONAL SERVICE OF NATURAL PROTECTED AREAS (SERNANP) EFFECTIVELY PROTECTS THE WATERS AROUND MPAS IN THE REGIONS OF PIURA AND ICA, THROUGH IMPROVED CONTROLS OF FISHING AND TOURISM.

## ILLEGAL FISHING

OCEANA COMPLETED AN UPDATED ESTIMATION OF ANCHOVETA LANDINGS ILLEGALLY DIVERTED TO FISHMEAL PROCESSING USING INFORMATION PROVIDED BY THE MINISTRY OF PRODUCTION (PRODUCE) AND CUSTOMS TRADE RECORDS WE ARE NOW EXPANDING THE ANALYSIS TO INCLUDE THE ILLEGAL DETOUR OF GIANT SQUID LEGALLY ONLY ALLOWED TO BE USED FOR HUMAN CONSUMPTION - FOR PROTEIN-RICH FISHMEAL PRODUCTION. MEANWHILE, WE WERE ABLE TO STOP THE APPROVAL IN CONGRESS OF A BILL ALLOWING THE EXPANSION OF SMALL-SCALE FISHMEAL PROCESSING PLANTS USUALLY INVOLVED IN ILLEGAL FISHMEAL PROCESSING - PROMOTED BY LOCAL INTEREST GROUPS. ALSO, OCEANA SIGNED A MEMORANDUM OF UNDERSTANDING WITH THE SPECIAL OFFICE FOR ENVIRONMENTAL AFFAIRS OF THE NATIONAL ATTORNEY'S OFFICE (FEMA). THROUGH THIS MOU, WE WILL HAVE THE OPPORTUNITY TO IMPROVE THE PROSECUTION CAPACITIES OF FEMA AGAINST FISHERIES AND MARINE WILDLIFE CRIME.

## PHILIPPINES

STOP ILLEGAL COMMERCIAL FISHING IN MUNICIPAL WATERS THE FISHERIES BUREAU HAS STARTED THE IMPLEMENTATION OF VESSEL MONITORING RULES AND, WITH A COMPLIANCE RATE CURRENTLY ONLY AT 10%, WE ARE PUSHING FOR AT LEAST 50% AMONG COMMERCIAL FISHING VESSELS THIS

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YEAR. THE FISHERIES BUREAU HAS ALSO ADOPTED A UNIFIED ENFORCEMENT REPORTING SYSTEM THAT CAN TRIGGER REVOCATION OF THE FISHING LICENSE FOR VESSELS THAT VIOLATE THESE RULES. AS WE SUPPORT THE IMPLEMENTATION OF THE VESSEL MONITORING RULES FOR COMMERCIAL FISHING BOATS, WE ALSO ARE FIGHTING EFFORTS TO WEAKEN OR STOP THIS. FOR EXAMPLE, OUR CAMPAIGNING WITH ALLIES AND PARTNERS SUCCESSFULLY STALLED THE APPROVAL OF A BILL ALLOWING COMMERCIAL FISHING IN MUNICIPAL WATERS THAT WAS INTRODUCED INTO CONGRESS. WE ALSO ELEVATED OUR APPEAL TO THE SUPREME COURT OF A REGIONAL TRIAL COURT'S DECISION DECLARING THE VESSEL MONITORING RULES AS UNCONSTITUTIONAL.

#### DETER ILLEGAL DUMP AND FILL ACTIVITY

OCEANA LOST ITS LEGAL CASE AGAINST A DUMP-AND-FILL PROJECT IN THE PHILIPPINES THAT WOULD DESTROY MANGROVES. WE HAD IDENTIFIED A HIGH-PROFILE PROJECT IN MANILA BAY LED BY THE LARGEST COMPANY IN THE PHILIPPINES, SAN MIGUEL CORPORATION, THROUGH SAN MIGUEL AEROCITY, AND PURSUED A LEGAL STRATEGY TO STOP THE PROJECT, DRAWING ATTENTION TO THIS DESTRUCTIVE PROCESS THROUGHOUT THE COUNTRY. GIVEN THIS SETBACK, WE ARE NOW CAMPAIGNING TO WIN STRONG POLICY ACTION BY THE DEPARTMENT OF THE INTERIOR AND LOCAL GOVERNMENT TO REQUIRE STRICT ADHERENCE TO ENVIRONMENTAL LAWS BY LOCAL GOVERNMENTS BEFORE ALLOWING DUMP-AND-FILL PROJECTS.

#### STRENGTHEN CORAL-RICH MARINE PROTECTED AREAS

OCEANA SUCCESSFULLY COMPLETED ITS PLANNED 22-DAY EXPEDITION TO PANAON ISLAND IN SOUTHERN LEYTE, DESPITE COVID-19 AND TWO TYPHOONS DURING THE TRIP. THE EXPEDITION CAPTURED IMAGES AND RESEARCH TO SUPPORT THE DESIGNATION OF CORAL-RICH PANAON AS A MARINE PROTECTED AREA. THE



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VIBRANT AND DIVERSE CORALS DOCUMENTED BY OUR TEAM EXCEEDED OUR EXPECTATIONS, GIVEN THE POOR STATE OF MANY CORALS IN THE PHILIPPINES, AND INCREASED OUR DETERMINATION TO PROTECT THIS CRITICAL ECOSYSTEM. DESPITE SEVERAL CHALLENGES WITH THE WEATHER, THE TEAM COMPLETED 34 DIVES AT 19 SANCTUARIES AND 15 CONTROL SITES OVER A SPAN OF 20 DAYS AROUND PANAON ISLAND. EACH DIVE SITE HAD UNIQUE CHARACTERISTICS OF ITS OWN. THESE INCLUDED A SITE WITH A HUGE AREA COVERED WITH LIVE BRANCHING CORALS, AREAS WITH VAST SOFT CORAL COVER, AND ANOTHER THAT IS COMPARABLE TO A UNESCO WORLD HERITAGE SITE, THE TUBBATAHA REEFS. PANAON ISLAND IS ALSO IDENTIFIED BY A GROUP OF SCIENTISTS TO BE PART OF THE PRIORITY REEFS WITH HIGH PROBABILITY OF SURVIVING THE ADVERSE IMPACTS OF CLIMATE CHANGE. THUS THE URGENCY TO PROTECT IT. TO MOVE THE MPA PROCESS FORWARD, OCEANA COMPLETED A SUMMARY OF THE PRELIMINARY FINDINGS FROM THE EXPEDITION AND SUBMITTED IT TO CONGRESSIONAL, PROVINCIAL, AND MUNICIPAL LEADERS AND REGIONAL OFFICES OF THE DEPARTMENT OF ENVIRONMENT AND NATURAL RESOURCES AND BUREAU OF FISHERIES AND AQUATIC RESOURCES FOR THEIR REFERENCE.

#### REDUCE SINGLE-USE PLASTICS

WE SUED TO COMPEL THE NATIONAL SOLID WASTE MANAGEMENT COMMISSION TO CARRY OUT THEIR LEGAL OBLIGATION TO ISSUE A LIST OF NON-ENVIRONMENTALLY ACCEPTABLE PRODUCTS AND PACKAGING MATERIALS. THERE ARE 50 CO-PETITIONERS CONSISTING OF LOCAL GOVERNMENT OFFICIALS, ENVIRONMENT ADVOCATES, YOUTH ENVIRONMENTAL ADVOCATES, CHILDREN, FISHERFOLK, DIVERS AND WASTE PICKERS. TO DATE, 53 LOCAL GOVERNMENTS HAVE PASSED RESOLUTIONS CALLING ON THE COMMISSION TO RELEASE THE LIST OF NON-ENVIRONMENTALLY ACCEPTABLE PRODUCTS AND PACKAGING AND BAN SINGLE-USE PLASTICS NATIONWIDE.

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## TRANSPARENT OCEANS INITIATIVE

OCEANA'S NEW TRANSPARENT OCEANS INITIATIVE (TOI) SEEKS TO REIGN IN THE HARMFUL PRACTICES OF DISTANT WATER FLEETS AROUND THE WORLD, WHICH OPERATE IN THE HIGH SEAS OR WITHIN THE NATIONAL WATERS OF OTHER NATIONS, LARGELY WITHOUT ACCOUNTABILITY. TOI WILL COMPLEMENT OCEANA'S EXISTING CAMPAIGNS AGAINST IUU FISHING IN THE WORLD'S TOP FISHING COUNTRIES BY CONDUCTING RESEARCH ON DISTANT WATER FISHING'S IMPACT ON THE OCEANS AND THOSE WHO RELY ON THEM, EMPOWERING DECISION-MAKERS TO IMPLEMENT RESPONSIBLE DISTANT WATER FISHING POLICIES AND COMMUNICATING THE IMPORTANCE OF FISHERIES TRANSPARENCY AROUND THE WORLD. IN 2021, TOI COMMISSIONED THREE REPORTS THAT PROVIDED KEY INFORMATION ON THE IMPACT OF DISTANT WATER FISHING (DWF) AROUND THE WORLD. THESE REPORTS WERE:

- ASSESSING THE SPATIAL BURDEN OF HARMFUL FISHERIES SUBSIDIES BY DRS. DANIEL SKERRITT AND RASHID SUMAILA, THE UNIVERSITY OF BRITISH COLUMBIA. THIS REPORT FOUND THAT JUST 10 COUNTRIES (CHINA, JAPAN, KOREA, RUSSIA, U.S.A., THAILAND, TAIWAN, SPAIN, INDONESIA AND NORWAY) ACCOUNT FOR MORE THAN TWO-THIRDS OF THE WORLD'S TOTAL SPENDING ON HARMFUL FISHING SUBSIDIES. THE INVESTIGATION ALSO DISCOVERED THAT APPROXIMATELY 40 PERCENT OF THESE HARMFUL SUBSIDIES GO TO DISTANT WATER FLEETS, WHICH FISH ON THE HIGH SEAS OR IN OTHER NATIONS' EEZS, OFTEN IN THE WATERS OF LOW-INCOME NATIONS. THIS ACTIVITY WOULD LIKELY NOT PROVE PROFITABLE WITHOUT THESE SUBSIDIES. BY FINANCIALLY SUPPORTING SUCH ACTIVITY, THESE COUNTRIES ARE ESSENTIALLY SUBSIDIZING OVERFISHING.

- TRANSVERSAL LINKAGES IN WORLD'S FISHING CRIMES AND THE ROLE OF LEGAL ACCESS AS AN ENABLER OF CRIMINALITY BY DRS. DYHIA BELHABIB, ECOTRUST CANADA AND PHILIPPE LE BILLON, THE UNIVERSITY OF BRITISH COLUMBIA.

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- ADDRESSING CHINA'S FINANCING AND SUBSIDIZATION OF FISHERIES AT HOME AND ABROAD BY DR. TABITHA MALLORY, UNIVERSITY OF WASHINGTON AND CHINA OCEAN INSTITUTE.

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

AND CONSERVATION-MINDED FISHING INTERESTS, IN WHICH OCEANA SERVES ON THE STEERING COMMITTEE, HAS HELPED EDUCATE AND INFORM MEMBERS OF CONGRESS WHO HAVE EXPRESSED INTEREST IN PURSUING FISHERIES LEGISLATION. IN JULY 2021 LEGISLATION WAS INTRODUCED IN THE HOUSE OF REPRESENTATIVES TO REAUTHORIZE THE MSA.

TO BUILD FURTHER SUPPORT FOR THE MSA, OCEANA CONTINUED ONE OF OUR KEY VEHICLES FOR ENGAGING AND EXPANDING GRASSROOTS CONSTITUENCIES ON THE IMPORTANCE OF THE MSA OUR #KEEPOCEANSFISHY EVENTS. THESE EVENTS HAVE BEEN HELD VIRTUALLY SINCE THE ONSET OF THE PANDEMIC AND EMANATE FROM COASTAL AREAS ALONG BOTH COASTS. THEY ARE AIMED AT ILLUSTRATING THE IMPORTANCE OF RESPONSIBLE FISHERIES MANAGEMENT AND WHY HEALTHY FISHERIES AND OCEANS ARE IMPORTANT FOR COASTAL COMMUNITIES. ON JUNE 22, OCEANA ALSO PARTNERED WITH WHALE & DOLPHIN CONSERVANCY FOR THE VIRTUAL ORCA WATCH IN THE PACIFIC NORTHWEST. DISCUSSION FOCUSED ON ORCA AND SALMON CONSERVATION EFFORTS AND THE ROLE OF THE MSA IN MANAGING IMPORTANT FISH STOCKS LIKE SALMON. GUESTS INCLUDED LOCAL PARTNERS, INCLUDING FRIENDS OF LIME KILN STATE PARK, ORCASOUND, BE WHALE WISE AND MAYA'S LEGACY WHALE WATCH. NEARLY 1,000 REGISTERED FOR THE EVENT, WITH 472 VIEWING THE LIVE WEBINAR. IN ADDITION, MORE THAN 400 VIEWED THE FACEBOOK RECORDING OF THE EVENT.

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STOP EXPANDED OFFSHORE DRILLING

OCEANA AND OUR ALLIES WERE SUCCESSFUL IN GETTING THE FORMER ADMINISTRATION TO DELAY AND ULTIMATELY NOT FINALIZE ITS PROPOSED REVISED FIVE-YEAR OIL AND GAS LEASING PLAN (FOR 2019-2024) THAT WOULD HAVE EXPANDED LEASE SALES FOR OFFSHORE DRILLING IN 94 PERCENT OF U.S. WATERS IN THE ATLANTIC, PACIFIC AND ARCTIC OCEANS. THOUGH THE CURRENT FIVE-YEAR PLAN (FOR 2017-2022) REMAINS IN PLACE, PRESIDENT BIDEN SIGNED AN EXECUTIVE ORDER ON JANUARY 27, 2021, PAUSING NEW LEASING ON FEDERAL LANDS AND WATERS. THE ADMINISTRATION IS CONDUCTING A REVIEW OF THE FEDERAL OIL AND GAS LEASING PROGRAM THAT WILL INFORM ITS NEXT STEPS, AND WHICH WE EXPECT MAY INCLUDE ISSUANCE OF A NEW FIVE-YEAR OIL AND GAS LEASING PLAN.

REDUCE ILLEGAL FISHING

OCEANA IS CAMPAIGNING TO IMPROVE THE U.S. DOMESTIC AND INTERNATIONAL PROGRAMS AND POLICIES TO ADDRESS ILLEGAL FISHING, TRANSPARENCY AND TRACEABILITY. THANKS IN LARGE PART TO OCEANA'S ADVOCACY, IN MAY 2021 THE ILLEGAL FISHING AND FORCED LABOR PROTECTION ACT WAS INTRODUCED IN THE US HOUSE OF REPRESENTATIVES. THE BILL CALLS FOR:

- EXPANDING AND IMPROVING THE SEAFOOD IMPORT MONITORING PROGRAM (SIMP) TO ALL IMPORTED SEAFOOD SPECIES;
- REQUIRING FULL BOAT-TO-PLATE TRACEABILITY FOR ALL SEAFOOD;
- EXPANDING THE NUMBER OF U.S. VESSELS REQUIRED TO BROADCAST AUTOMATIC IDENTIFICATION SYSTEM (AIS) DATA; AND
- ADOPTING A NATION-BASED SANCTION SYSTEM SIMILAR TO THE EUROPEAN UNION CARDING APPROACH TO BETTER PREVENT PRODUCTS SOURCED BY IUU FISHING FROM ENTERING THE US MARKET.

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ALSO IN MAY, AN AMENDMENT WAS ADDED TO THE ENDLESS FRONTIERS/US INNOVATION AND COMPETITION ACT THAT WOULD HELP ADDRESS IUU FISHING AND FORCED LABOR. THE AMENDMENT DIRECTS CUSTOMS AND BORDER PROTECTION TO DEVELOP REGULATIONS FOR DEALING WITH FORCED LABOR IN THE SEAFOOD SUPPLY CHAIN, A HIGH-RISK INDUSTRY FOR FORCED LABOR. THIS PROVISION ALSO REQUIRES CUSTOMS AND BORDER PROTECTION TO DEVELOP A STRATEGY FOR USING DATA COLLECTED THROUGH SIMP IN THEIR EFFORTS.

#### PROTECT HABITAT

THE LAST FEDERAL FISHERY MANAGEMENT AREA IN THE NORTH PACIFIC WHERE THE BOTTOM TRAWLING FOOTPRINT HAS NOT YET BEEN "FROZEN" IS IN THE GULF OF ALASKA. THE NORTHEAST PACIFIC OCEAN, WHICH INCLUDES THE NORTH BERING SEA, THE GULF OF ALASKA, AND THE CALIFORNIA CURRENT LARGE MARINE ECOSYSTEM, IS ONE OF THE MOST PRODUCTIVE STRETCHES OF MARINE HABITAT IN THE WORLD. ITS NUTRIENT-RICH WATERS FOSTER UNIQUE AND ABUNDANT BIODIVERSITY, FROM DEEP-SEA CORALS AND GLASS SPONGES TO THE CRITICALLY ENDANGERED NORTHERN RIGHT WHALE. THE GULF OF ALASKA IS ALSO HOME TO SOME OF THE LARGEST AND MOST LUCRATIVE FISHERIES IN THE WORLD. IT IS A MAJOR SEAFOOD PRODUCER DUE TO ITS DIVERSE AND RICH HABITAT. THE KELP FORESTS, DEEP-SEA CORAL BEDS, UNDERWATER GULLIES, REEFS AND CANYONS ARE HOME TO KING CRAB, PACIFIC HALIBUT, SABLEFISH, PACIFIC COD, ALL FIVE SPECIES OF PACIFIC SALMON, POLLOCK, ROCKFISH, SHARKS, SCALLOPS AND OCTOPUS. AROUND 600 MILLION POUNDS OF FISH ARE REMOVED ANNUALLY BY THE FEDERAL GROUND FISH FISHERIES IN THE GULF OF ALASKA, A THIRD OF WHICH IS CAUGHT BY BOTTOM TRAWLING. ACCORDING TO THE NATIONAL ACADEMY OF SCIENCES, BOTTOM TRAWLING IS THE MOST DESTRUCTIVE FORM OF FISHING ON SENSITIVE SEAFLOOR HABITAT. IT IS THE UNDERWATER EQUIVALENT OF

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CLEARCUTTING TERRESTRIAL FORESTS VESSELS DRAG HEAVY NETS ACROSS THE SEAFLOOR, INDISCRIMINATELY CATCHING ANY WILDLIFE THAT GETS IN THE PATH OF THEIR NETS WHILE DESTROYING THE SURROUNDING HABITAT IN THE PROCESS. THE GULF OF ALASKA IS ALSO UNDERGOING MAJOR ECOLOGICAL CHANGE AS UNPRECEDENTED MARINE HEAT WAVES, LIKELY A RESULT OF CLIMATE CHANGE, HAVE CAUSED FISHERIES TO COLLAPSE AND MARINE MAMMALS AND SEABIRDS TO DIE BY THE THOUSANDS. IT IS IMPERATIVE THAT THOSE FISHERIES ARE MANAGED IN A WAY THAT PROTECTS HABITAT NECESSARY FOR MARINE LIFE TO GROW AND THRIVE.

OCEANA PROPOSES TO FREEZE THE FOOTPRINT OF BOTTOM TRAWLING AND IDENTIFY SENSITIVE HABITAT AREAS THAT CAN BE CLOSED TO TRAWLING WHILE MINIMIZING ECONOMIC IMPACT, AND WE ARE ON TRACK TO HAVE OUR HABITAT PROTECTION PROPOSAL CONSIDERED BY THE NORTH PACIFIC FISHERY MANAGEMENT COUNCIL IN 2022. WE HAVE CONDUCTED THE SCIENTIFIC RESEARCH, MAPPING, AND ANALYSIS NECESSARY TO DETERMINE WHERE TO FREEZE THE FOOTPRINT OF BOTTOM TRAWLING IN THE GULF OF ALASKA AS WELL AS WHICH SPECIFIC SENSITIVE HABITAT AREAS WITHIN THE CURRENT TRAWL FOOTPRINT TO DESIGNATE FOR PROTECTION. WE NOW PLAN TO SHARE OUR PROPOSAL WITH STAKEHOLDERS TO GET THEIR FEEDBACK.

OVER THE PAST YEAR WE HAVE MOVED THIS PROJECT FORWARD BY:

- UPDATING THE TRAWL FOOTPRINT IN THE GULF OF ALASKA TO A MUCH FINER SCALE USING NEW DATA FROM GLOBAL FISHING WATCH AS WELL AS NEW DATASETS FROM THE STATE OF ALASKA. BASED ON THIS NEW DATA WE EXPANDED THE RECOMMENDED AREA TO BE PROTECTED.

- TESTIFYING AND SUBMITTING COMMENT LETTERS TO THE NPFMC, AND MEETING WITH INFLUENTIAL STAKEHOLDERS AND COMMITTEE MEMBERS TO OUTLINE CONSIDERATIONS THAT WE BELIEVE SHOULD BE PART OF THE ESSENTIAL FISH HABITAT REVIEW PROCESS.

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- IDENTIFYING OTHER INTERESTED STAKEHOLDERS TO JOIN OUR EFFORTS, INCLUDING THE NEWLY FORMED ALASKA FISHING COMMUNITIES COALITION OF COMMUNITIES, ANGLERS, TRIBAL MEMBERS AND OTHERS WHO SUPPORT FREEZING THE TRAWL FOOTPRINT IN THE GULF OF ALASKA.

- CONTINUING TO EXAMINE AND RESEARCH BROADER ARGUMENTS FOR PROTECTING GULF OF ALASKA SEAFLOOR, SUCH AS NEW SCIENCE TO JUSTIFY BOTTOM TRAWL CLOSURES IN ORDER TO MITIGATE CLIMATE CHANGE IMPACTS.

PROTECT ENDANGERED SPECIES FROM ENTANGLEMENT IN FISHING GEAR AFTER YEARS OF CAMPAIGNING, OCEANA DELIVERED \$1 MILLION TO THE STATE OF CALIFORNIA TO HELP TRANSITION FISHERMEN AWAY FROM THE HIGHLY DESTRUCTIVE DRIFT GILLNET GEAR IN CALIFORNIA'S SWORDFISH FISHERY. THIS DONATION TRIGGERED A FOUR-YEAR PHASE-OUT OF ALL REMAINING STATE DRIFT GILLNET PERMITS, WHICH WILL END ANY REMAINING DRIFT GILLNET FISHING BY JANUARY 31, 2024, IN THE ONLY STATE IN THE U.S. WHERE USE OF THIS GEAR REMAINS LEGAL. THESE MILE-LONG DRIFT GILLNETS ARE NEARLY INVISIBLE AND ARE SET OUT OVERNIGHT NEAR THE OCEAN'S SURFACE TO CAPTURE SWORDFISH. THEY ARE RESPONSIBLE FOR ENTANGLING, INJURING AND KILLING ENDANGERED WHALES AND SEA TURTLES AS WELL AS DOLPHINS, SEA LIONS, SHARKS AND OTHER IMPORTANT NON-TARGETED FISH SPECIES. THE STATE OF CALIFORNIA ESTIMATED THAT AT LEAST 20 MILES OF DRIFT GILLNET GEAR HAD BEEN REMOVED FROM THE DRIFT GILLNET FISHERY FOR SWORDFISH IN 2021.

WITH AN INCREASE IN WHALE SIGHTINGS IN APRIL 2021, THE CALIFORNIA DEPARTMENT OF FISH AND WILDLIFE CLOSED THE NORTHERN CALIFORNIA DUNGENESS CRAB FISHERY IN WATERS DEEPER THAN 30 FATHOMS (180 FEET). IN JUNE 2021, THEY IMPOSED A STATEWIDE CLOSURE OF THE COMMERCIAL DUNGENESS CRAB FISHERY TO PREVENT WHALE ENTANGLEMENTS. THESE TIME AND AREA

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CLOSURES ACHIEVE AN IMPORTANT PIECE OF OUR WHALE ENTANGLEMENT CAMPAIGN.

FURTHERMORE, IN PARTNERSHIP WITH THE SANCTUARY FOUNDATION AND

SUSTAINABLE SEAS TECHNOLOGY, OCEANA HELPED DEPLOY FOUR DIFFERENT

ROPELESS FISHING TECHNOLOGIES. OCEANA FACILITATED TWO DEMONSTRATION

EVENTS IN MONTEREY BAY, AND AT-SEA DEMONSTRATIONS AND TRAINING OF THREE

STATE GAME WARDENS AS WELL AS THE LEAD STATE STAFFER ON WHALE

ENTANGLEMENTS. WE ALSO INITIATED COLLABORATION WITH THE LEADERSHIP AND

LEGAL TEAM OF THE CALIFORNIA DEPARTMENT OF FISH AND WILDLIFE REGARDING

A ROADMAP FOR ROPELESS GEAR AUTHORIZATION IN EARLY 2022.

REDUCE SINGLE-USE PLASTICS

TOGETHER WITH MORE THAN 30 NATIONAL, STATE, AND LOCAL ORGANIZATIONS,

INCLUDING SURFRIDER, U.S. PUBLIC INTEREST RESEARCH GROUPS (PIRGs), THE

CENTER FOR INTERNATIONAL ENVIRONMENTAL LAW, AND BEYOND PLASTICS, OCEANA

IS USING A COMBINATION OF GRASSROOTS ORGANIZING, STAKEHOLDER OUTREACH,

AND TARGETED FEDERAL ADVOCACY TO PUSH FOR NATIONAL LEGISLATION THAT

WOULD LIMIT SINGLE-USE PLASTICS IN THE U.S., LIKE THE BREAK FREE FROM

PLASTIC POLLUTION ACT. TO PASS NATIONAL LEGISLATION AGAINST PLASTIC

POLLUTION, OCEANA AND OUR ALLIES ARE DEMONSTRATING TO MEMBERS OF

CONGRESS THAT THEIR CONSTITUENTS WANT THIS AND THAT LARGE COMPANIES CAN

INCORPORATE REDUCTION OF PLASTICS INTO THEIR BUSINESS MODEL. OUR LOCAL

(MUNICIPAL AND STATE) AND CORPORATE CAMPAIGNS, THEREFORE, NOT ONLY

REDUCE PLASTIC POLLUTION IN THEMSELVES, BUT ALSO CONSTITUTE KEY

COMPONENTS OF OBTAINING NATIONAL POLICY CHANGE.

AT THE LOCAL LEVEL, OCEANA HAS SECURED SIX STATE LAWS IN VIRGINIA,

MARYLAND, WASHINGTON, AND NEW YORK THAT LIMIT PLASTIC POLLUTION, AND

SUCCESSFULLY DEFEATED AN ATTEMPT IN GEORGIA TO PASS A LAW THAT WOULD



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PREVENT CITIES AND TOWNS FROM TAKING ACTION TO LIMIT PLASTIC. IN VIRGINIA, WE SUCCEEDED IN PASSING TWO BILLS INTO LAW IN FEBRUARY 2021. THE FIRST OF THESE LAWS BANS EXPANDED POLYSTYRENE FOAM FOOD WARE, INCLUDING FOAM CARRYOUT BOXES AND CUPS, WHILE THE SECOND BANS THE INTENTIONAL RELEASE OF BALLOONS. WE ALSO SECURED TWO STATE LAWS IN WASHINGTON THAT BAN SINGLE-USE PLASTIC BAGS, REGULATE RECYCLING REQUIREMENTS FOR REUSABLE BAGS, BAN POLYSTYRENE FOAM, AND PROHIBIT PLASTIC UTENSILS AND STRAWS EXCEPT ON REQUEST. IN NEW YORK, WE SECURED A LAW THAT BANS PLASTIC FOAM FOOD AND BEVERAGE CONTAINERS IN RESTAURANTS, GROCERY STORES, AND OTHER VENUES AND THE USE OF PLASTIC FOAM PEANUTS FOR PACKAGING, WHILE IN MARYLAND WE HELPED TO BAN INTENTIONAL BALLOON RELEASES. OCEANA HAS ALSO SECURED LOCAL ORDINANCES AND RESOLUTIONS AGAINST PLASTIC POLLUTION IN CITIES THROUGHOUT THE U.S., INCLUDING LARGE CITIES LIKE NEW YORK CITY, WASHINGTON D.C., AND LOS ANGELES. MANY OF THESE POLICIES SPECIFICALLY PROHIBIT UNNECESSARY THROWAWAY PLASTIC LIKE POLYSTYRENE FOAM, PLASTIC BAGS, STRAWS, UTENSILS, AND OTHER SIMILAR ITEMS. OTHERS FORMALLY VOICE SUPPORT FOR ELIMINATING STATE PREEMPTION LAWS, WHICH PREVENT CITIES AND TOWNS FROM TAKING ACTION AGAINST PLASTIC POLLUTION.

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

MARINE SCIENCE

EXPENSES \$ 1,425,688. INCLUDING GRANTS OF \$ 27,514. REVENUE \$ 0.

LAW

EXPENSES \$ 850,894. INCLUDING GRANTS OF \$ 0. REVENUE \$ 0.

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

BELGIUM, BELIZE, CHILE, SPAIN,

UNITED KINGDOM, DENMARK, PHILIPPINES, BRAZIL,

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

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EMPLOYEES, AS WELL AS ANY FINANCIAL CONFLICTS OF INTEREST THEY MAY HAVE.

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

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MAKE APPROPRIATE DETERMINATIONS IN ACCORDANCE WITH THE ORGANIZATION'S  
GLOBAL CODE OF ETHICS.

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).

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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.

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 SENIOR 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

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REMAIN CONFIDENTIAL TO THE EXTENT CONSISTENT WITH EFFECTIVELY UNDERSTANDING THE FACTS AND TAKING CORRECTIVE MEASURES.

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

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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 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 SEPTEMBER 2021.

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

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

OCEANA'S ARTICLES OF INCORPORATION AND BY-LAWS 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](http://www.irs.gov/Form990) for instructions and the latest information.

OMB No. 1545-0047

**2021**

**Open to Public  
Inspection**

Name of the organization

**OCEANA, INC.**

Employer identification number

**51-0401308**

**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	PROTECTING THE WORLD'S OCEANS TO SUSTAIN THE CIRCLE OF LIFE.	DISTRICT OF COLUMBIA	501(C)(4)	N/A	OCEANA, INC.	X	
FUNDACION OCEANA GRAN VIA 62, 7 IZDA MADRID, SPAIN 28013	PROTECTING THE WORLD'S OCEANS TO SUSTAIN THE CIRCLE OF LIFE.	SPAIN	N/A	N/A	OCEANA, INC.	X	
OCEANA UK 10 QUEEN ST PLACE LONDON, UNITED KINGDOM EC4R 1BE	PROTECTING THE WORLD'S OCEANS TO SUSTAIN THE CIRCLE OF LIFE.	UNITED KINGDOM	N/A	N/A	OCEANA, INC.	X	
OCEANA IN BELIZE P.O. BOX 731 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) 2021

SEE PART VII FOR CONTINUATIONS

**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
<b>1</b> During the tax year, did the organization engage in any of the following transactions with one or more related organizations listed in Parts II-IV?		
<b>a</b> Receipt of (i) interest, (ii) annuities, (iii) royalties, or (iv) rent from a controlled entity .....	<b>1a</b>	X
<b>b</b> Gift, grant, or capital contribution to related organization(s) .....	<b>1b</b>	X
<b>c</b> Gift, grant, or capital contribution from related organization(s) .....	<b>1c</b>	X
<b>d</b> Loans or loan guarantees to or for related organization(s) .....	<b>1d</b>	X
<b>e</b> Loans or loan guarantees by related organization(s) .....	<b>1e</b>	X
<b>f</b> Dividends from related organization(s) .....	<b>1f</b>	X
<b>g</b> Sale of assets to related organization(s) .....	<b>1g</b>	X
<b>h</b> Purchase of assets from related organization(s) .....	<b>1h</b>	X
<b>i</b> Exchange of assets with related organization(s) .....	<b>1i</b>	X
<b>j</b> Lease of facilities, equipment, or other assets to related organization(s) .....	<b>1j</b>	X
<b>k</b> Lease of facilities, equipment, or other assets from related organization(s) .....	<b>1k</b>	X
<b>l</b> Performance of services or membership or fundraising solicitations for related organization(s) .....	<b>1l</b>	X
<b>m</b> Performance of services or membership or fundraising solicitations by related organization(s) .....	<b>1m</b>	X
<b>n</b> Sharing of facilities, equipment, mailing lists, or other assets with related organization(s) .....	<b>1n</b>	X
<b>o</b> Sharing of paid employees with related organization(s) .....	<b>1o</b>	X
<b>p</b> Reimbursement paid to related organization(s) for expenses .....	<b>1p</b>	X
<b>q</b> Reimbursement paid by related organization(s) for expenses .....	<b>1q</b>	X
<b>r</b> Other transfer of cash or property to related organization(s) .....	<b>1r</b>	X
<b>s</b> Other transfer of cash or property from related organization(s) .....	<b>1s</b>	X
<b>2</b> If the answer to any of the above is "Yes," see the instructions for information on who must complete this line, including covered relationships and transaction thresholds.		

(a) Name of related organization	(b) Transaction type (a-s)	(c) Amount involved	(d) Method of determining amount involved
(1) FUNDACION OCEANA	B	1,827,619.	COST
(2) OCEANA BRASIL	B	1,259,948.	COST
(3) OCEANA IN BELIZE	B	633,588.	COST
(4) OCEANA MEXICO	B	1,559,317.	COST
(5) OCEANA ACTION, INC.	Q	295,703.	COST
(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]

**Part VII** Supplemental Information

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

**PART II, IDENTIFICATION OF RELATED TAX-EXEMPT ORGANIZATIONS:****NAME AND ADDRESS OF RELATED ORGANIZATION:**

OCEANA BRASIL

SIG QUADRA 1, LOTE 985, SALA 251

CENTRO EMPRESARIAL PARQUE, BRASILIA, BRAZIL 70610-410