



FISHERY ASSESSMENT REPORT

IFFO GLOBAL STANDARD FOR RESPONSIBLE SUPPLY OF FISHMEAL AND FISH OIL



FISHERY:	Chilean Anchovy (<i>Engraulis ringens</i>) Regions V-X
LOCATION:	Chile
DATE OF REPORT:	7th May 2013
ASSESSOR:	Sam Peacock

Global Trust Certification Ltd, Quayside Business Centre, Dundalk, Co. Louth, Ireland Tel: 042 932 0912 Fax 042 938 6864

Issue No; 2; Issue Date; Nov 09

Report Ref: Chile Anchovy 5 -10 1st re-approval

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1. Application Details and Summary of the Assessment Outcome			
Name: Corpesca S.A; Camanchaca; Orizon S.A; Lota Protein S.A.; Blumar Seafoods			
Address:			
Country: Chile	Zip:		
Tel. No.	Fax. No.		
Email address:	Applicant Code	IFFO 125; IFFO 126; IFFO 128; IFFO 130; IFFO 132	
Key Contact:	Title:		
Certification Body Details			
Name of Certification Body: Global Trust Certification UK			
Assessor Name: Sam Peacock	Peer Reviewer: Mike Platt	Assessment Days: 8	Initial/Surveillance/Re-approval: Re-approval
Assessment Period	May 2013		
Scope Details			
1. Scope of Assessment:	IFFO Global Standard for Responsible Supply – Issue 1		
2. Fishery	Chilean Anchovy (<i>Engraulis ringens</i>)		
3. Fishery Location	Chile (Chilean management areas V-X)		
4. Fishery Method	Purse seine		
Outcome of Assessment			
5. Overall Fishery Compliance Rating	Medium		
6. Sub Components of Low Compliance	None		
7. Information deficiency	None		
8. Peer Review Evaluation	Agree that the new conditions imposed must be complied before this fishery can be re-approval up until 2016		
9. Recommendation	Maintain approval status until conditions are complied with.		

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2. Quality of Information

Good, primarily government websites & email communications

3. Compliance Level Achieved

Medium

Recommendation

Maintain approval with original conditions plus these additional requirements that will need be complied with before the fishery can have its approval extended until 2016:

- 1. If the artisanal share of the anchovy quota is exceeded in 2013, causing the total TAC to also be exceeded, then approval of this fishery should be removed.**
- 2. At the time of the re-assessment of this fishery, a full review of the new fisheries management law and its implementation in the 2013 season should be conducted.**

A final decision on this extended approval will be made after a further surveillance assessment has been completed in September 2013 to ensure that this new government regulation, that will prevent artisanal fisheries from being able to exceed their quote, are fully enforced and documented evidence can be assessed.

4. Guidance for On-site Assessment
Based on High Compliance Findings
Based on Medium Compliance Findings
Key Stakeholders of the Fishery

5. Assessment Determination
<p>Chile has a robust legal and administrative framework for fisheries, where decisions are informed by annual surveys and fishery-dependent data. The available evidence continues to suggest that the fishery is well monitored and management actions are largely based on best available scientific advice. However, as at the time of the initial assessment, limited data are collected on levels of bycatch in the fishery, and there is a lack of transparency in the way that quota recommendations, both initial and mid-year, are calculated.</p> <p>In both 2011 and 2012, the artisanal share of the annual quota was exceeded, and in 2011 this led to the TAC being exceeded by a substantial margin. A substantial piece of new fisheries legislation, components of which have been reviewed specifically for the purpose of this assessment, aims in part to prevent this from occurring in future. For this reason, the assessment team considers that a rating of medium compliance remains appropriate under clause D1 as managers have taken action in response to quotas being exceeded. However, the maintained approval of the fishery is under the condition, set out above, that the 2013 TAC not be exceeded. Additionally, the full implications of the new fishery legislation, and the extent to which it is implemented in the 2013 season, will be reviewed for the 2014 re-assessment of this fishery.</p> <p>Section D1 has been downgraded from high to medium compliance to better reflect the lack of transparency in the quota setting process, and to improve consistency with other IFFO RS fishery assessments.</p>
HIGH COMPLIANCE
A1, A2, B2, D2, E1, E2
MEDIUM COMPLIANCE
A3, B1, C1, D1, D3

SUMMARY OF LEVEL OF COMPLIANCE					
	The Management Framework and Procedures	Stock assessment procedures and management advice	Precautionary approach	Management measures	Implementation
legal and administrative basis	High Compliance	Medium Compliance	Medium Compliance	Medium Compliance	Medium Compliance
Fisheries management should be concerned with the whole stock unit	Medium Compliance	Medium Compliance	Medium Compliance	Medium Compliance	Medium Compliance
Management actions should be scientifically based	High Compliance	Medium Compliance	Medium Compliance	Medium Compliance	Medium Compliance
Research in support of fisheries conservation and management should exist	Medium Compliance	Medium Compliance	Medium Compliance	Medium Compliance	Medium Compliance
Best scientific evidence available should be taken into account when designing conservation and management measures	Medium Compliance	High Compliance	Medium Compliance	Medium Compliance	Medium Compliance
The precautionary approach is applied in the formulation of management plans	Medium Compliance	Medium Compliance	Medium Compliance	Medium Compliance	Medium Compliance
The level of fishing permitted should be set according to management advice given by research organisations	Medium Compliance	Medium Compliance	Medium Compliance	Medium Compliance	Medium Compliance
Where excess fishing capacity exist, mechanisms should be in established to reduced capacity	Medium Compliance	Medium Compliance	Medium Compliance	High Compliance	Medium Compliance
Management measures should ensure that fishing gear and fishing practices do not have a significant impact on non-target species and the physical environment	Medium Compliance	Medium Compliance	Medium Compliance	Medium Compliance	Medium Compliance
A management system for fisheries control and enforcement should be established	Medium Compliance	Medium Compliance	Medium Compliance	Medium Compliance	High Compliance
A framework for sanctions of violation of laws and regulations should be efficiently exists	Medium Compliance	Medium Compliance	Medium Compliance	Medium Compliance	High Compliance

KEY: Low Compliance [Red Box] Medium Compliance [Yellow Box] High Compliance: [Green Box]

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6. Rationale of the Assessment Outcome

a. The Management Framework and Procedure

LEVEL OF COMPLIANCE	a.i. The management of the fishery must include a legal and administrative basis for the implementation of measures and controls to support the conservation of the fishery.	References	Rating
LOW	<p>Determination: <i>The initial fishery assessment described a robust legal and administrative framework for the management of the fishery, and awarded a high compliance rating for this clause. There have been no significant changes in the framework or fishery management organisations in Chile since that time.</i></p> <p>The Chilean institutional structure governing the fisheries and aquaculture sector centers around three key organizations: The Subsecretariat de Pesca (Undersecretariat of Fisheries, SUBPESCA or SSP) within the Chilean Ministry of Economy, which manages policy and the regulatory framework; the Servicio Nacional de Pesca (National Fisheries Service, SERNAPESCA), also within the Ministry of Economy, responsible for executing policy and ensuring enforcement; and the Instituto de Fomento Pesquero (Fisheries Development Institute, IFOP), the research arm of the institutional framework which acts as the primary source of scientific advice to the SSP on fisheries and aquaculture agreement issues.</p> <p>For more details on these three main components of fisheries management in Chile, and information on other relevant fishery management organisations, please refer to the initial fishery assessment.</p>	R1	HIGH
MEDIUM			HIGH
HIGH			HIGH

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	a.ii. Fisheries management should be concerned with the whole stock unit over its entire area of distribution and take into account fishery removals and the biology of the species	References	Rating
LOW	<p>Determination: Chilean anchovy fisheries continue to be managed using the approach described in the initial fishery assessment. As there have been no significant changes in the approach, including no improvement in bycatch assessment, the fishery retains a medium compliance level under this clause.</p> <p>Anchovy off the South Eastern Pacific margin is managed as four stocks, of which anchovy in regions V-X is one. These stocks are based on best available scientific understanding of the biological population units, although as noted in the initial assessment there is some assumption involved in the definitions. Stock assessments are conducted for each of the stocks, and quotas assigned at the regional level. There is a no discard policy in place for Chilean fisheries, meaning all by-catch is landed, but only target species appear to be sampled by SERNAPESCA. Information on the species composition and volume of by-catch is therefore likely to be unavailable for management and research organisations, preventing the ecosystem-wide impacts of fisheries from being factored into management regimes.</p> <p>For more information on the stock unit, please refer to the initial assessment.</p>	R1	MEDIUM
MEDIUM			
HIGH			

		a.iii .Management actions should be based on long-term conservation objectives	References	Rating
LOW		<p>Determination: <i>There have been no significant changes to the management objectives of the Chilean anchovy fisheries specifically, nor Chilean fisheries in general, since the initial assessment. A high compliance rating remains appropriate.</i></p> <p>Management actions generally aim at keeping spawning biomass at 60% of unfished levels to sustain the reproductive viability of the stock, according to SUBPESCA technical reports. Under the Chilean General Law for Fisheries and Aquaculture, “the provisions of the Act shall subject the preservation of aquatic resources, and all extractive fishing, aquaculture, research and sport activities, which takes place in inland waters, internal waters, territorial sea or exclusive economic zone of Chile in accordance to Chilean laws and its signed international treaties”. The Fisheries Research Fund under the Ministry of Economy is to finance research projects in aquaculture and fisheries, providing for the adoption of management measures of fisheries and aquaculture activities, which aim at the conservation of aquatic resources, considering both the biological and socio-economic aspects of fisheries.</p> <p>For more information on the long-term management objectives for this and other Chilean fisheries, please refer to the initial assessment.</p>	R1	HIGH
MEDIUM				
HIGH				

b. Stock Assessment Procedures and Management Advice

LEVEL OF COMPLIANCE		bi. Research in support of fisheries conservation and management should exist.	References	Rating
LOW		<p>Determination: <i>Research continues to be conducted in support of the management of the fishery, but data on the impacts of the fishery on non-target species is still lacking.</i></p> <p>Anchovy in regions V-X is subject to an annual hydro-acoustic research cruise, which was carried out as usual in 2011. The stock assessment for the stock uses the results of the cruise in conjunction with fishery-dependent data to carry out an analysis using a statistical model of catch by age. As at the time of the initial assessment, this approach is considered by scientists to be adequate for the long-term conservation of the anchovy stock; however, data on the non-target impacts of the fishery, particularly bycatch, is lacking, and the assessment team considers that maintaining a medium compliance rating in this clause to be appropriate.</p>	R1, R2	MEDIUM
MEDIUM				
HIGH				

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	<p style="text-align: center;"> Abundancia (mil millones de ejemplares) Biomasa (t. x millones) Año </p> <p style="text-align: center;"> ■ Abundancia total ■ Reclutamiento (N°) — Biomasa total </p>		
	<p style="text-align: center;"> Total abundance ('Abundancia'), total biomass ('Biomasa total') and recruitment ('Reclutamiento') of anchovy in regions V-X. Estimates from direct evaluations (i.e. acoustic surveys), years 1999-2011. From the SUBPESCA technical report, Nov 2011 (R2). </p>		
LEVEL OF COMPLIANCE	b.ii Best scientific evidence available should be taken into account when designing conservation and management measures	References	Rating
LOW	<p>Determination: <i>The administrative processes by which conservation and management measures are informed by scientific evidence, and the feedback loop by which future research is informed by the requirements of fishery managers, remain in place.</i></p> <p>Fisheries research is largely funded by the Fishery Research Fund (FIP), although money is also available from other non-specific Government funds. Research results from the FIP form the basis of regulations developed by the administration. Also involved in the process are the National Fisheries</p>	R1	HIGH
MEDIUM			
HIGH			

	<p>Council, the National Oceanographic Council, experts in the fishing field (including 2 from the university sector), and representatives of producers' associations.</p> <p>Each year, the Zonal and Regional Fisheries Councils give their suggestions for the annual programme of fishery and aquaculture research, including their priorities. With this information SUBPESCA proposes the annual programme of Fishery Research to the National Fisheries Council which gives the final approval.</p> <p>Research is sometimes constrained by funding. Importance is given to economic utility when competing research proposals are evaluated. It is not considered desirable for the State to maintain large and expensive research infrastructure, so joint public-private co-operation in research is very important.</p>	
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c. The Precautionary Approach

LEVEL OF COMPLIANCE	c.i The precautionary approach is applied in the formulation of management plans.	References	Rating
LOW	<p>Determination: <i>Management of the stock has not substantially changed since the time of the initial assessment, meaning that the precautionary approach is still applied in management plans but that not all uncertainties are taken into account.</i></p> <p>The stated management objective for Chilean pelagic fisheries is to ensure the spawning biomass levels remain above the critical and / or precautionary level, so as to allow the generation of new age classes and consequently ensure annual average yields are adequate and sustained over time. The initial assessment found that the biological equilibrium reference point for the fishery has been set at a level that prevents the spawning stock from decreasing to less than 60% of that which would exist in the absence of fishing, and concluded that the precautionary approach was applied in the</p>	R1	MEDIUM
MEDIUM			
HIGH			

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		development and implementation of management plans for this stock. However, not all potential sources of error were taken into account, a situation which remains the case.		
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d. Management Measures

LEVEL OF COMPLIANCE	d.i The level of fishing permitted should be set according to management advice given by research organisations.	References	Rating
LOW	<p>Determination: As at the time of the initial report, the management advice provided by the primary scientific advisory organisation, IFOP, does not appear to be publically available. In recent years the artisanal sector has significantly exceeded its share of the TAC; however recent changes to the management mechanisms in relation to the sector should prevent this in future. The assessment team recommends awarding a medium compliance rating, on the conditions that (i). a full review of the new fishery law be conducted in the re-assessment due next year and (ii). If the artisanal sector exceeds its share of the TAC in 2013, this rating will be downgraded to low compliance.</p> <p>Once SUBPESCA receives IFOP’s scientific reports, it writes its own technical report, summarising the status of the fishery and issuing its own TAC recommendation to the National Fisheries Council, along with a recommendation for the distribution of the quota. SUBPESCA’s reports, along with economic and social considerations, are discussed by the National Fisheries Council, where a final decision is made regarding the quota level and its distribution. Finally, the Minister of Economy, Development and Reconstruction proceeds to sign the TACs for each fishery unit and its distribution, in accordance with the Fisheries and Aquaculture Law.</p> <p>The final 2011 TAC of 66,698t was exceeded by a large margin, with total landings of 103,412t. At the time, the artisanal small pelagic fishery was managed without distinguishing between sardine</p>	R1, R3, R4, R5	MEDIUM
MEDIUM			
HIGH			

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	<p>and anchovy landings, leading to the artisanal sector significantly exceeding its share of the anchovy TAC. A similar issue arose in 2012, when although the total anchovy TAC was not exceeded (final 2012 TAC = 77,298t; total 2012 landings = 73,155t) the artisanal sector once again caught substantially more than its share.</p> <p>In recent months a substantial new fisheries law has been introduced in Chile. The assessment team, seeking assurance that mechanisms had been put in place to prevent the 2013 TAC being similarly exceeded, has considered the most relevant components of the law in relation to the artisanal issue. The law sets out new powers for the control and enforcement of artisanal fisheries, including the potential for fishery closure if the TAC is exceeded, and also fully redefines the small pelagic fishery as two independent stocks. A full review of the new fishery law will be conducted at the time of the re-assessment of this stock, which will also allow the assessment team to consider evidence of the implementation of the law during the 2013 season.</p>		
LEVEL OF COMPLIANCE	d.ii Where excess fishing capacity exist, mechanisms should be in established to reduced capacity to allow for the recovery of the stock to sustainable levels.	References	Rating
LOW	<p>Determination: <i>Mechanisms to reduce excess fishing capacity are in place and have been utilised in the fishery, and have not changed significantly since the time of the initial assessment.</i></p> <p>In 1985, all pelagic fisheries were declared to be fully exploited, and applications for new fishing permits were refused. In 2001 a new management scheme named Maximum Catch Limit per Firm (MCLF) was established, under which a high proportion of the most important Chilean fisheries became subject to a form of Individual Transferable Quota (ITQ) system. The MCLF regime caused a major reduction in fishing capacity in all regulated fisheries (without State intervention) and increased the profitability of the industrial sector.</p> <p>The initial assessment identified the lack of effective artisanal effort controls as a potential future issue for the fishery; however the assessment team did not consider the issue to be significant</p>	R1	HIGH
MEDIUM			
HIGH			

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		enough to warrant anything less than high compliance in this clause, and so as there have been no significant changes since that time the rating remains unchanged.		
LEVEL OF COMPLIANCE		d.iii Management measures should ensure that fishing gear and fishing practices do not have a significant impact on non-target species and the physical environment.	References	Rating
LOW		<p>Determination: <i>The initial assessment awarded the fishery medium compliance under this clause due to a lack of bycatch data, the improvement of which formed a condition of the original approval. At this time there have been no significant changes and so the scoring remains appropriate; however at the next full assessment of the fishery the assessment team will require demonstrated compliance with the condition.</i></p> <p>Usually deployed in the upper levels of the water column, purse seine gear has virtually no impact on the benthic habitat.</p> <p>The National Action Plan for the Conservation of Sharks, approved by the Government of Chile in 2006, includes among its objectives to seek full utilization of sharks caught and detained. For compliance with that order, Chile set a target to abolish the "finning" of sharks, leading to the landing of the entire animal. A 1993 Regulation protects sea turtles, and reports suggest that marine mammals are rarely caught in Chilean nets.</p> <p>SERNAPESCA holds the landing records of each fishing vessel but these reports are not publicly available, and so it is difficult to verify how frequently large marine animals are captured. As previously noted, the lack of information on by-catch represents a considerable gap in knowledge, and severely limits what conclusions can be reached about the impact of this fishery on the marine ecosystem as a whole.</p>	R1, R2	MEDIUM
MEDIUM				
HIGH				

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e. Implementation

LEVEL OF COMPLIANCE		e.i There should be a framework for sanctions of violation of Laws and regulations.	References	Rating
LOW		<p>Determination: <i>The initial fishery assessment found an effective framework for sanctions and there have been no major changes since that time.</i></p> <p>Fishery sanctions, crimes and expirations were codified in December 1989. The law resulted in the creation of the dual structure of SUBPESCA and SERNAPESCA. Formerly, sanctions were dealt with by local Police judges at a communal level. Under the new law, these matters go before Civil Judges in normal Civil courts, a fact that assigns higher importance to these issues.</p> <p>In regards to discards and overfishing the assigned quotas, Law 19.713 states that any owner or group of owners who land and do not report their catches will be subjected to a 30% reduction on their maximum catch limit during that fishery calendar year. If the owner or group of owners has exhausted their maximum catch limit for that year, they will be deducted the following year. Owners of vessels which fish without a license, or fish in unauthorised areas, are subject to a quota reduction of 10%.</p> <p>Crimes are penalized with proportional pecuniary payments and can be imposed by Police, Marine personnel and SERNAPESCA. In 2005 a national action plan was approved with the aim of preventing, deterring and eliminating illegal, unreported and unregulated fishing.</p>	R1	HIGH
MEDIUM				
HIGH				
LEVEL OF COMPLIANCE		e.ii A management system for fisheries control and enforcement should be established.	References	Rating
LOW		<p>Determination: <i>The management system for fishery control and enforcement remains in place and effective.</i></p> <p>Fisheries control and enforcement in Chile is the responsibility of SERNAPESCA, and in practice compliance is monitored by Intertek Caleb Brett Chile SA on SERNAPESCA’s behalf. Control and enforcement measures include 100% vessel monitoring in the industrial fleet, plus data on landings</p>	R1	HIGH
MEDIUM				
HIGH				

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		per vessel, species and fishing ground. SERNAPESCA recruited 250 staff in 2009 to further improve monitoring and surveillance of catches, accompanied by a 22% budget increase.		
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References

R1 – IFFO RS scheme initial assessment: Chile, Anchovy V-X, July 2011:

http://www.iffo.net/downloads/IFFO%20RS/Whole%20Fish/IFFO_Chilean_Anchovy_Fishery_Assess.pdf

R2 – SUBPESCA technical report on Anchovy and Common Sardine in regions V-X, Nov 2011:

http://www.subpesca.cl/transparencia/documentos/RPESQ_115-2011.pdf

R3 – IFOP report on small pelagic landings to mid-October 2012: [http://www.ifop.cl/wp-](http://www.ifop.cl/wp-content/uploads/BOLETIN-QUINCENA-OCTUBRE-2012-N%C2%B019.pdf)

[content/uploads/BOLETIN-QUINCENA-OCTUBRE-2012-N%C2%B019.pdf](http://www.ifop.cl/wp-content/uploads/BOLETIN-QUINCENA-OCTUBRE-2012-N%C2%B019.pdf)

R4 – 2013 Chilean TACs: [http://www.fis.com/fis/worldnews/worldnews.asp?monthyear=12-](http://www.fis.com/fis/worldnews/worldnews.asp?monthyear=12-2012&day=17&id=57628&l=e&country=&special=&ndb=1&df=1)

[2012&day=17&id=57628&l=e&country=&special=&ndb=1&df=1](http://www.fis.com/fis/worldnews/worldnews.asp?monthyear=12-2012&day=17&id=57628&l=e&country=&special=&ndb=1&df=1)

R5 – Additional information from email communications with SUBPESCA & IFOP.

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