

1 **Geographic and temporal patterns of non-lethal attacks on humpback whales by**
2 **killer whales in the eastern South Pacific and the Antarctic Peninsula**

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4 Killer whale attacks on humpbacks

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21 **ABSTRACT:** The role and impact of killer whales (*Orcinus orca*) as predators of
22 baleen whales has been emphasized by studies of humpback whales (*Megaptera*
23 *novaeangliae*). In this study, rake marks on the fluke were used as a proxy for predatory
24 attacks in a sample of 2909 adults humpback whales and 133 calves from five breeding
25 and two feeding locations in the eastern South Pacific and the Antarctic Peninsula. The
26 goal of this study was to evaluate how often, at what age, where and when humpback
27 whales were more susceptible to attacks. Overall, 11.5% of adults and 19.5% of calves
28 had rake marks on their flukes. Significant differences were found in the prevalence of
29 scars in calves when comparing breeding (9%) vs. feeding areas (34%) ($\chi^2 = 10.23$, $P <$
30 0.01). Multi-year sighting analysis of scar acquisition in 120 adults (82% site fidelity)
31 and 37 calves at Magellan Strait showed no new marks after the initial sighting for the
32 subsequent 15 years. This finding indicates that rake marks most probably were
33 acquired when whales were calves, which support the belief that scar acquisition is a
34 once in a lifetime event. The odds of having rake marks increased with time but with a
35 significantly higher rate in calves ($\chi^2 = 5.04$, $P < 0.05$), which suggests an increase of
36 predation pressure over time. Our results support the earlier hypothesis that killer whale
37 attacks occur mostly on calves, near breeding sites and during the first migration to
38 feeding areas.

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40 **KEY WORDS:** Non-lethal attacks, eastern South Pacific, migration, humpback whale,
41 killer whale, rake scars

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43 **INTRODUCTION**

44
45 Killer whales (*Orcinus orca*) are apex predators of marine megafauna, including
46 large marine mammals (Morisaka & Connor 2007). More than 20 species of cetaceans
47 have been reported to be part of the killer whale's diet (Jefferson et al. 1991, Durban &

48 Pitman 2012, Pitman & Durban 2012). As regular prey of killer whales, cetaceans likely
49 have developed behavioral strategies to reduce predation risk such as becoming silent,
50 moving to shallow waters, hiding behind boats or escaping by fleeing (Jefferson et al.
51 1991). In an evolutionary context, the annual migration undertaken by most baleen
52 whale species from high latitude summer grounds to low-latitude wintering grounds,
53 where killer whales are less abundant, could be also a strategy to reduce predation risk
54 (Corkeron & Connor 1999).

55 The ecological role of the killer whale as a predator of baleen whales has been
56 debated for a long time as predatory attacks have rarely been observed (Clapham 2001,
57 Connor & Corkeron 2001, Springer et al. 2003, Reeves et al. 2006). It seems that even
58 those killer whales specialized on eating marine mammals do not regularly prey on
59 baleen whales, as occurs with transient killer whales from the northeast Pacific that prey
60 mainly on pinnipeds and small cetaceans and only occasionally on baleen whales (Ford
61 et al. 2005). Another explanation for the scarcity of records of killer whales attacks on
62 baleen whales could be a shift of killer whale prey preferences due to depletion of larger
63 whale stocks caused by commercial whaling (e.g., Springer et al. 2003, DeMaster et al.
64 2006, Mizroch & Rice 2006, Trites et al. 2007, but also see Wade et al. 2007).
65 However, recent records of attacks on humpback whales (*Megaptera novaeangliae*)
66 observed off Western Australia (see Pitman et al. 2015) have contributed new insights
67 about the importance of predation pressure by killer whales on baleen whales at
68 breeding grounds. Either in a direct or opportunistic way, the predictability of baleen
69 whales migration made them more susceptible to killer whales predation (Pitman et al.,
70 2015).

71 Rake marks have been used as indirect evidence of predation attempts by killer
72 whales on baleen whales, particularly in humpback whales (e.g. Mehta et al. 2007,
73 Steiger et al. 2008). Scars can be observed on the flukes in this species when the whales
74 raise the tail before a long dive. Although other less exposed parts of the body might
75 also be scarred, they are less visible and harder to evaluate. Rake marks on humpback
76 whale flukes and on other baleen whales caused by killer whale attacks have been
77 confirmed in different parts of the world (Mehta et al. 2007, Steiger et al. 2008,
78 Reinhart et al. 2013) and are considered to be evidence of unsuccessful or non-lethal
79 attacks (Dolphin 1987, Clapham 2001, Naessig & Lanyon 2004, Mehta et al. 2007,
80 Steiger et al. 2008, McCordic et al. 2014). It is not possible to establish the impact of
81 killer whale predation on humpback whale populations based on such scars because
82 scarred whales are survivors of unsuccessful attacks. However, the presence of killer
83 whale rake marks on humpback whale flukes has been reported to be as high as 40% in
84 some populations (Mehta et al. 2007, Steiger et al. 2008), indicating that important
85 interactions occur between killer and humpback whales.

86 Humpback whale calves and yearlings seem to be more susceptible to killer whale
87 attacks than larger, older cohorts (Reeves et al. 2006, Pitman et al. 2015). The
88 likelihood of attack also seems to be higher during a whale's first migration from low
89 latitude breeding grounds to high latitude feeding areas, suggesting that the marks are a
90 once in a lifetime event resulting from an encounter with a killer whale (Clapham 1996,
91 2001, Mehta et al. 2007). However, this hypothesis is based on re-sightings of adult
92 whales and not on multi-year sightings of individuals at different life history stages
93 since were calves (e.g., Mehta et al. 2007, Steiger et al. 2008).

94 Most accounts of interactions between killer and humpback whales are from the
95 North Atlantic or North Pacific (e.g., Mehta et al. 2007, Steiger et al. 2008, McCordic
96 et al. 2014). Data for the Southern Hemisphere populations are scarce (e.g., Naessig &

97 Lanyon 2004, Pitman et al. 2015), particularly for the eastern South Pacific (ESP)
98 (Flórez-González et al. 1994, Scheidat et al. 2000, Félix & Haase 2001, Mehta et al.
99 2007, Capella et al. 2014).

100 In this study we examined the incidence of rake marks on flukes of humpback
101 whales belonging to Breeding Stock G, as referred to by the International Whaling
102 Commission (IWC 2006). This population was estimated to be 6,504 (95% CI: 4270-
103 9907) animals in 2006 (Félix et al. 2011). We considered the presence of rake marks to
104 be indicative of non-lethal attacks and used the data to evaluate potential predation on
105 humpback whales by killer whales. Our data come from several locations at feeding and
106 breeding grounds along the ESP and the Antarctic Peninsula. Our goals were to
107 determine how often, at what age, where and when humpback whales were more
108 susceptible to killer whale attacks.

111 METHODS

113 Study area

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115 The Breeding Stock G has the largest distribution of all humpback whale stocks in
116 the world (Fig. 1). The breeding area extends from north of Peru (6°S) to southern Costa
117 Rica (12°N) (Acevedo et al. 2007, Rasmussen et al. 2007, Pacheco et al. 2009) and the
118 feeding area from the Antarctic Peninsula to sub-Antarctic waters at the Chilean fjords
119 (Gibbons et al. 2003, Stevick et al. 2004). We included fluke data from animals
120 photographed in five breeding and two feeding locations, collected by research groups
121 led by the authors using different platforms, including research-dedicated surveys and
122 opportunistic whale-watching vessels (see details in Félix and Haase 2011; Flórez-
123 González 1991; Capella et al., 2012; Guzmán et al. 2015). Data from the Antarctic
124 Peninsula were obtained from research vessels. Monitored sites at breeding grounds
125 included Las Perlas Archipelago (8°22.414'N, 79°1.987'W) in Panama; Gorgona Island
126 (2°58.244'N, 78°11.028'W) and Málaga Bay (3°56.274'N, 77°19.905'W) in Colombia;
127 and Salinas (2°11.67'S, 80°58.3'W) and Machalilla (1°32.06'S, 80°49.9'W) in Ecuador.
128 Feeding locations included the Magellan Strait (53°40.754'S, 72°14.354'W) off
129 southern Chile and the Gerlache Strait (64°30'S, 62°20'W) in the western Antarctic
130 Peninsula.

132 Assessment of rake marks

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134 Individual whales used in this study were selected from institutional ID catalogs
135 compiled in the period 1986–2015 (Table 1), based on the best-quality photographs with
136 appropriate focus, definition, and perspective of the ventral surface of the flukes
137 (Katona & Whitehead 1981). Rake marks were defined as a set of three or more parallel
138 and equidistant linear scars on the ventral surface of the flukes (*sensu* Mehta et al.
139 2007). Analyzed images included only individuals for which images of both lobes of the
140 tail were available to reduce bias by overestimating rates. Thereby, estimated rates
141 should be considered as minimum values. Rake marks were solely attributed to
142 encounters with killer whales and not to any other source (e.g., false killer whales,
143 *Pseudorca crassidens*) based on the length, width and separation distance between the
144 line scars (Mehta et al. 2007) as well as due to the lack of evidence of the presence of
145 other potential predators of humpback whales in the region. Although, scars on flukes

146 could also be produced when humpback whales interfered with attacks of killer whales
147 (Pitman et al., 2007) there are not sufficient data to evaluate this issue.

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Age/class categories

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151 During fieldwork, individuals were assigned to one of three age classes based on the
152 relative size of the animals: 1) adult: length > 12 m (visual estimation) or older than 4.5
153 years (when age was known); 2) calf: individuals < 9 months old and 8 m in length that
154 maintained a constant/close relationship with an adult (presumably the mother); or 3)
155 juvenile: whales of known age (1.5–4.5 years). The latter category was established with
156 certainty only for the Magellan Strait due to availability of long-term individual data. In
157 the case of data from breeding grounds, as not all research groups distinguished in the
158 field the category juveniles, all non-calf individuals were considered as adults for the
159 purpose of this study.

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Intensity of rake marks

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164 Rake marks were categorized according to the intensity of the injury as follows: 1)
165 no rake marks on flukes (unmarked); 2) low: a single set of rake marks on one lobe or
166 two sets of marks affecting < 10% of the lobe; 3) medium: at least one set of rake marks
167 per lobe or more than two rake marks on one side covering up to 50% of the lobe; and
168 4) high: numerous marks covering more than half of the fluke and/or with missing
169 sections on fluke tips or border (Fig. 2).

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Prevalence of rake marks

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173 Photographs of flukes of 3613 individuals (3443 adults and 170 calves) were
174 examined, but only 2909 adults and 133 calves (a total of 3042) were selected and used
175 for further analyses based on the defined quality criteria. All selected individuals
176 identified from each site were included in the analyses based on the best photograph
177 available for each individual. If an individual moved between sites, it was assigned to
178 the location at which it was first sighted.

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Acquisition rate of rake marks

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182 The acquisition rate of rake marks as a function of sex and age was estimated by
183 analyzing multi-year individual sighting data, which were only available for the
184 Magellan Strait. The dataset contained 157 individuals, of which 94 (59.8%) were sexed
185 using molecular techniques (Sabaj et al. 2004) or considered female when an adult was
186 closely and consistently accompanied by a calf. Overall, 120 individuals were sighted
187 for the first time as adults and 37 as calves during the period 1999–2015. A subset of 28
188 adult females, which calved from 1 to 5 offspring during this period, were used to
189 determine whether the presence of a new calf influenced the acquisition of new fluke
190 rake marks and to identify any possible bias related to breeding conditions. At this site
191 individuals exhibited up to 80% interannual return (SD = 10, range 66.7–92.5%), with
192 75 whales returning annually for 5 or more years (Capella et al. 2012, Acevedo et al.
193 2014). This analysis was not possible for breeding sites due to the low interannual re-

194 sighting rate, which usually was lower than 20% (Flórez-González 1991, Capella et al.
195 2008, Felix et al. 2011, Guzman et al. 2015).

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Data modeling

198 A series of additive and interactive Generalized Linear Models (McCullagh &
199 Nelder 1989) were used to tests whether the presence or absence of rakes (response
200 variable) in humpback whales (n=3042) was a factor of the following three explanatory
201 variables: ground (breeding, feeding), age (calf, adult-juvenile) and year (1986–2015).
202 Five models were fitted and compared using the Akaike Information Criterion (AIC):
203 one with a three-way interaction (rake~year*age*ground,family=binomial); two with a
204 two-way interaction (rake~year*age, family=binomial) and (rakes~year*ground,
205 family=binomial); one with ground as additive term (rake~year+ground,
206 family=binomial); and one with age as interactive term and ground as additive
207 (rake~year*age+ground, family=binomial). The models were fit with the function *glm*
208 in R software environment version 3.2.2 (R Core Team 2015) with binomial family and
209 logit link. Model significance was tested with Analysis of Variance and Chi-square
210 tests, and predicted odds were estimated with the *predict* function.

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Sighting Data – species distribution

213 Georeferenced sighting data on humpback and killer whales off the west coast of South
214 America from the Regional System on Marine Biodiversity and Protected Areas of the
215 Southeast Pacific (SIBIMAP), compiled by the Permanent Commission for the South
216 Pacific (www.sibimap.net), were used for an additional analysis on the spatial
217 distribution of both species. Data from SIBIMAP includes both published and
218 unpublished information from oceanographic cruises, seismic prospection surveys and
219 the Cetacean Sighting Network of the Chilean Navy. The dataset included 194 killer
220 whale and 2214 humpback whale sighting records, containing a total of 949 and 5018
221 individuals, respectively. In addition, data from satellite transmissions on humpback
222 whales were also included in this analysis (see Guzman and Félix, 2017). Distribution
223 ranges were calculated for both species using the kernel density estimator to generate
224 surface values indicating higher or lower utilization of the space with the Spatial
225 Analyst tool in ArcGis, Version 10.2.2.

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RESULTS

Rake mark prevalence

230 Rake marks were found in 361 of the 3042 individuals assessed (11.86%) (Table 1).
231 The sample size was highly variable between locations and between feeding and
232 breeding areas. The largest photograph datasets were from Ecuador (60.5%) and
233 Colombia (25.7%). The feeding grounds photograph dataset represented 9.2% of the
234 total sample.

235 Overall rake prevalence rates of 0.115 for adult whales (335 of 2909) and 0.195 for
236 calves (26 of 133) were found (Table 1). The prevalence of rake marks on flukes ranged
237 from 0.088 to 0.159 in adults and from 0.065 to 0.339 in calves (Table 1). The
238 proportion of rake marks in adults from breeding (mean = 0.11, SD = 0.02) and feeding
239 areas (mean = 0.14, SD = 0.03) was not significantly different ($X^2 = 2.02$, $P > 0.05$), but
240 the proportion of rake marks in calves between breeding and feeding areas (mean = 0.11

241 vs. 0.34, respectively) was highly significant ($X^2 = 10.23$, $P < 0.01$), representing a 3.1
 242 time increase. No data on calves from the Antarctic were available for this comparison.

243 The intensity of rake marks on flukes was assessed in adult whales for each site
 244 except Gerlache Strait at Antarctic Peninsula (because of its small sample size, $n = 8$).
 245 The most frequent category was unmarked, with an average of 87.7% (SD = 2.8, range
 246 84.1 – 91.2, $n = 2513$) (Fig. 3). Regarding marked whales, the most frequent category
 247 was low intensity, with an average of 57.4% (SD = 5.8, $n = 171$) of all scarred whales
 248 (ranging from 47.8% in Salinas-Machalilla, to 61.5% in Malaga Bay. The medium
 249 intensity category averaged 27.8% (SD = 6.8, $n = 79$) of scarred whales (ranging from
 250 21.5% in Salinas-Machalilla to 38.5% in Malaga Bay). The high intensity category
 251 averaged 14.8% (SD = 11.1, $n=77$) of scarred whales (ranging from 0% in Malaga Bay
 252 to 30.7% in Salinas-Machalilla). This last category was the most variable among the
 253 three categories and was significantly higher in Salinas-Machalilla and significantly
 254 lower in Malaga Bay ($\chi^2_8 = 28.43$, $P < 0.01$).

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Acquisition of rake marks

257 No acquisition of rakes in unmarked individuals nor new rakes in individuals first
 258 time identified with rake marks as adults was found at breeding areas throughout the
 259 study period ($n = 391$). Multi-year sighting data from the Magellan Strait dataset also
 260 revealed no new marks in subsequent observations of animals first observed with scars
 261 ($n = 32$; 22 adults and 10 calves) or first observed unmarked ($n = 108$; 81 adults and 27
 262 calves). None of 27 unmarked calves with return histories to Magellan Strait (average 5
 263 different years, SD = 3, range 2 – 11) acquired new rake marks either as juveniles or
 264 adults (maximum 11.5 years old) (see Table 2).

265 Of 25 whales with rake marks at the Magellan Strait, 7 were males (28%), 8 were
 266 females (32 %), and 10 were of undetermined sex (40%). Of the 132 whales without
 267 rake marks, 39 were males (29.5%), 44 were females (33.3%), and 49 were of
 268 undetermined sex (37.1%). No sex bias was found regarding rake marks, as the
 269 proportion between sexes was not significantly different ($\chi^2 = 0.144$, $P > 0.05$). The
 270 acquisition of new rake marks in either unmarked or marked adult females that calved
 271 during the study period at Magellan Strait (1999–2015) was assessed. Mothers with
 272 initial fluke rake marks ($n = 5$) produced 16 calves: 5 (31%) acquired rake marks, 6
 273 (38%) did not, and presences/absence could not be determined in the other 5 calves
 274 (31%) as calves did not expose their flukes. Initial unmarked mothers ($n = 29$) produced
 275 64 calves: 14 (22%) acquired rake marks, 31 (48%) did not, and presences/absence
 276 could not be determined in the other 19 (30%). No significant differences were found in
 277 the proportion of marked, unmarked, and undetermined calves between marked and
 278 unmarked mothers ($\chi^2 = 0.84$, $P > 0.05$). In addition, mothers that experienced a killer
 279 whale attack prior to calving had a higher calving rate than unmarked mothers (3.2 and
 280 2.2 calves per female, respectively).

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Long-term dynamics

284 The model with the lower AIC value showing the interaction (age x location) of the
 285 four competing models was used to examine the presence or absence of rake marks
 286 (Table 3). The results of the generalized linear model of the complete three-way
 287 interaction between whale age, site, and year was not significant ($\chi^2 = 1.22$ $P > 0.05$).
 288 However, when the model was reduced to the interaction between age and year (and
 289 ground as an additive term), a significant relationship was found ($\chi^2 = 5.04$, $P < 0.05$).

290 Thus, there was a different relationship between the presence of rake marks and year
291 than between calf and adult whales and ground (Fig. 4). The odds of having rake marks
292 increased with time from 1986 to 2015 and this increase was remarkable higher in
293 calves in both breeding and feeding grounds.

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Sighting distribution analysis

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297 Available information from the SIBIMAP dataset on humpback and killer whales show
298 that both species are found along the ESP region, including breeding, feeding and
299 migratory routes for humpback whales (Fig. 1). Distribution overlapping includes both
300 coastal and offshore waters, but is particularly more pronounced at breeding grounds
301 around the Galapagos Archipelago, the southern Ecuador, off Peru, as well as along
302 most of the coast of Chile. Humpback whale dataset at breeding grounds is likely biased
303 towards the coast because research effort was concentrated in coastal areas. On the other
304 hand, most data from killer whales are from oceanographic cruises and therefore less
305 unbiased.

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DISCUSSION

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309 This is the first study on non-lethal predatory encounters between humpback and
310 killer whales inhabiting the ESP and the Antarctic Peninsula using rake marks as
311 indirect evidence of predation. We confirm that in the southeast Pacific humpback
312 whale population predation by killer whales mainly occurs at breeding grounds or
313 during the first migration to feeding grounds, in similar way as proposed for other
314 populations (Clapham 1996, 2001, Mehta et al. 2007). This belief is supported by
315 detected differences in the proportion of rake marks in calves between breeding and
316 feeding sites in the ESP (9% at breeding grounds and 34% at the Magellan Strait
317 feeding site) and the lack of acquisition of new marks after the first year of life.
318 Additionally, despite numerous sightings of killer whales ($n = 63$) during the summers
319 of 2004 to 2012 in the Magellan Strait, no attacks on humpback whales were observed
320 while feeding on sea lions, fish and sea birds were recorded (Capella et al. 2014). Killer
321 whale chasing behavior on sei whales (*Balaenoptera borealis*) (but not on humpbacks)
322 was once observed 1000 km northward from the Magellan Strait at North Patagonian
323 fjords, a secondary humpback feeding ground (Hucke-Gaete et al. 2013) and also in the
324 Beagle channel, 200 km south of the Magellan Strait (RNP Goodall com pers). The diet
325 of killer whales in northern fjords is also composed mainly by sea lions, fur seals and
326 sea birds (Haussermann et al. 2013).

327

328 We consider our sample size to be representative of Breeding Stock G at two feeding
329 locations (the Magellan Strait and Gerlache Strait) and five breeding locations along
330 three countries (Panama, Colombia, and Ecuador) (Stevick et al. 2004, Acevedo et al.
331 2007, Guzman et al. 2015). The conclusions of this study benefit from the analysis of
332 large datasets (2909 adult and 133 calves selected) that encompass a large proportion of
333 individuals belonging to Breeding Stock G (see Félix et al. 2011).

334

335 Overall, rake marks on adult humpback whales in both feeding and breeding areas
336 (11.5%, range 8.8–15.9%) was in the range of that reported for other populations
337 elsewhere (globally 1.2–40.1, Mehta et al. 2007; 5–31% for the North Pacific, Steiger et
338 al. 2008; 2.7–17.4% for the North Atlantic, McCordic et al. 2014; 15.9–31.3% off
western and eastern Australia, Tonga, and New Caledonia, Mehta et al. 2007; Naessig
& Lanyon 2004). Our results also are consistent with those of Steiger et al. (2008)

339 regarding the lack of differences in the proportion of scarring in adults between
340 breeding and feeding areas. However, the data from the Antarctic Peninsula contrast
341 with those of Mehta et al. (2007), for the same area, who estimated a rake marks
342 prevalence of 1.2% based on 164 individuals assumed to be adults. This value seems to
343 be underestimated compared with our findings from the Gerlache Strait, Antarctic
344 Peninsula (11.6%), and from the Magellan Strait (15.9%), a secondary feeding location
345 in the South of Chile.

346 We found that both male and female were scarred to comparable extents in the
347 Magellan Strait, where almost equal overall sex ratio exists (Capella et al. 2012;
348 Acevedo et al. 2014), something that is expected at feeding grounds (Clapham et al.
349 1995). The absence of additional scars in multi-year sighting adults and in multi-calving
350 females, even those with already scarred calves, could be explained by killer whales
351 avoiding the tail of adults and mothers during attacks, either by attacking other body
352 parts as reported by Flórez-González et al. (1994) and Pitman et al. (2015) or by just
353 focusing on the calf. Anti-predator behaviors by humpback whales involve the presence
354 of escorts to defend the mother-calf pair as well as approaching shallow areas where
355 killer whales would have less maneuverability (Jefferson et al, 1991; Pitman et al.
356 2015). Humpback whales have been reported interfering attacks by mammal-eating
357 killer whales not only on conspecific mother/calf pairs but also on other aquatic species
358 (Pitman et al., 2017). Preferences on nearshore waters, especially for mother-calf pairs
359 (Erts & Rosenbaum 2003, Felix & Botero 2011, Craig et al. 2014) has been mentioned
360 as a strategy for protection from killer whale predation (Pitman et al. 2015), which
361 would extend during the migration. Female humpback whales and their calves take a
362 coastal migratory route than other adults towards feeding grounds, which has been
363 shown with satellite tracking data in the ESP (Félix & Guzman, 2014), and also
364 observed along eastern Australia (Franklin et al. 2017). Additionally, our data from the
365 Magellan Strait indicated that females that were attacked as calves (scarred whales that
366 survived the attack) arrived to feeding area with higher number of calves that survived
367 the first migration (3.2 per female) than non-attacked (non-scarred) females (2.2).
368 However, no data is available about calf mortality during breeding season and
369 migration. Even though, this apparent higher survival of calves at the first migration
370 suggests that females attacked when young may develop anti-predator tactics to avoid
371 killer whale predation on their own calves as a result of her individual experience.

372
373 The spatiotemporal patterns of attacks of killer whales seem to be dependent of
374 species and geographic location. Our results for ESP humpback whales, therefore, are
375 not necessarily comparable with information for other baleen whales. For example,
376 incidence of attacks on Bowhead whales is higher for old adults than for sub-adults and
377 juveniles, as rake marks are cumulative in time for each individual (Reinhart et al.
378 2013).

379 On the other hand, the hypothesis of predation risk reduction as a major selective
380 advantage for baleen whales to explain their annual migration towards lower latitudes to
381 breed (Corkeron & Connor 1999, Connor & Corkeron 2001) is not supported by our
382 study (see also Steiger et al. 2008) at least for humpback whales. The fact that other
383 baleen species such as the bowhead whales (*Balaena mysticetus*) and the pygmy right
384 whale (*Caperea marginata*), do not migrate for breeding in the tropics also suggest that
385 several factors are associated to whale migration. The result of this study regarding the
386 timing of scar acquisition, based on data on rake marks in calves and adults/juveniles,
387 and multi-year sighting history (including the transition from calf to adult) from the

388 Magellan Strait, strongly support the hypothesis that killer whale attacks occur
389 specifically on calves (Clapham 1996, 2001). Available data on the distribution of both
390 humpback whales and killer whales along the ESP shows a clear overlap and supports
391 the hypothesis that predation occurs either at the breeding site or during the migration.
392 Similar predation patterns by transient killer whales on gray whales' calves
393 (*Eschrichtius robustus*) during the migration to feeding grounds have also been reported
394 along the northeast Pacific (Barrett-Lennard et al. 2011, Pittman et al. 2014).

395 Modelling results show a significant higher increase in odds of having rake marks in
396 calves during the study period (1985 to 2015) at both breeding and feeding grounds
397 respect to adults. This may be because killer whale populations preying on baleen
398 whales increased as baleen whale populations rebounded after the whaling moratorium
399 or because there was a shift (return) in killer whale predation on baleen whales because
400 of baleen whale increased availability. Killer whale sightings seem to have increased in
401 tropical areas from Costa Rica to Peru. For example, there were 50 sightings near
402 Machalilla, Ecuador between 1997 and 2004, with 8 cases charging and attacking
403 humpbacks (Castro et al. 2005), and 5 sightings between 2013 and 2016, resulting in 3
404 calves killed (C Castro pers. comm.). At least 33 sightings were reported during several
405 pelagic surveys in Peru (Garcia-Godos 2004, summarized in Guerrero-Ruiz et al. 2005),
406 and there were 5 sightings between 2011 and 2017 in Panama (HM Guzman
407 unpublished data). Consequently, an increase in attacks can be expected (*sensu* Pitman
408 et al. 2017). Although in some cases increased killer whale sightings may be the result
409 of increased effort, in others such as in Ecuador the effort has been more uniform, and
410 therefore the trend seems real.

411 Almost 3/4 of flukes with rake marks in ESP humpback whales (11.86% of the total
412 dataset) had low to moderate scarring. Previous studies have reported that two-thirds or
413 more of the humpback whales studied had rake marks at the mid-to-moderate scarring
414 level, and less than 10% had severe scarring (Naessig & Lanyon 2004, Mehta et al.
415 2007, Steiger et al. 2008). We interpret these results as follows: 1) attacks resulting in
416 severe damage (as defined here) are rare, and/or (2) attacks resulting in severe damage
417 are often lethal. The significantly higher proportion of whales with severe scarring
418 observed in Salinas-Machalilla (Ecuador) with respect to other breeding locations may
419 be related to different predation pressure at the sampled locations and the fact that this
420 population shows a high level of stratification at breeding grounds (Guzman & Félix
421 2017). Further research of killer whale distribution and movements are required in this
422 part of the ESP.

423

424

CONCLUSIONS

425

426 We set out to determine how often, at what age, where and when humpback whales
427 were most susceptible to attack and/or acquisition of rake scars from killer whales in the
428 ESP. We conclude the following:

429

- 430 1. The frequency of rake marks on flukes of adult humpbacks in feeding and breeding
431 sites in the ESP and the Antarctic was like those reported elsewhere.
- 432 2. The incidence of rake marks on calves was significantly higher at feeding than at
433 breeding grounds. Therefore, calves acquired rake marks at breeding sites and
434 during the first migration to feeding areas.

- 435 3. Multi-year sightings of 103 adults and 37 calves from the Magellan Strait revealed
436 no new marks on flukes after the initial sighting. No whales acquired rake marks
437 either as juveniles or adults.
- 438 4. Calf presence did not cause the acquisition of new rake marks in either unmarked or
439 marked mothers. None of the mothers gained scars or new marks during calving.
440 Calves from both types of mothers were comparably susceptible to acquiring rake
441 marks.
- 442 5. An attack with non-lethal consequence on a female calf seemed to have a positive
443 impact *a posteriori* increasing their own offspring's survival.
- 444 6. Calves showed a significant increase in the probability of having rake marks along
445 the study period respect to adults, which suggests an increase of predation pressure
446 over the time.

447
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470

471

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721

722 Table 1. Percentage of rake marks in the flukes of 2909 adult and 133 calf humpbacks whales
 723 photo quality-selected from the eastern South Pacific and the Antarctic Peninsula. Total
 724 analyzed = includes all individuals initially screened from catalogs, including discarded
 725 individuals with one lobe or limited definition of the fluke's picture.

726

Location	Sampling period	Total analyzed		Total selected		Rakes in Adults		Rakes in Calves	
		Adult	Calf	Adult	Calf	N	Rate	N	Rate
Las Perlas (Panama)	2003–2009	133	9	128	8	18	0.140	1	0.125
Malaga Bay (Colombia)	1993–2001	170	63	147	46	13	0.088	3	0.065
Gorgona Is. (Colombia)	1986–2004	762	20	581	8	66	0.113	1	0.125
Salinas-Machalilla (Ecuador)	1991–2013	2,151	15	1,827	15	205	0.112	2	0.133
Magellan Strait (Chile)	1999–2015	158	63	157	56	25	0.159	19	0.339
Gerlache Strait (Antarctic)	2012-2015	69	0	69	0	8	0.116	*	*
Total	1986–2015	3,443	170	2,909	133	335	0.115	26	0.195

727 *Values not available.

728

729

730

731

732 Table 2. Multi-year sighting history of 37 returned calves identified by fluke to the Magellan
 733 Strait feeding area. Empty space indicates no available data. A= Flukes without rake marks. P=
 734 flukes with rake marks. NP= Flukes without new rake marks. M= Male. F= Female. UN= Sex
 735 undetermined.

736

SEX	ID	Age											
		< 1	1.5	2.5	3.5	4.5	5.5	6.5	7.5	8.5	9.5	10.5	11.5
M	59	A		A	A					A			A
F	65	A	A	A		A	A	A	A	A	A	A	A
F	78	A	A	A	A	A	A	A	A	A	A	A	
F	79	A	A										
F	80	P		NP	NP	NP	NP	NP	NP	NP	NP		
F	91	A	A	A	A	A	A	A	A	A	A	A	
M	97	A	A	A	A	A	A	A	A	A	A		
F	99	P			NP	NP							
F	101	P	NP		NP			NP					
UN	103	P		NP									
F	105	A		A	A	A	A	A	A	A	A		
F	109	A			A	A	A		A	A	A	A	
F	115	A	A	A	A	A	A	A	A				
UN	117	A			A	A	A						
UN	118	A	A		A								
UN	119	P			NP	NP	NP	NP	NP	NP	NP		
UN	120	A		A		A	A	A	A				
UN	121	A		A									
UN	122	A	A	A	A	A	A	A	A				
UN	127	A	A			A	A						
UN	128	A				A	A						
UN	129	P			NP			NP					
UN	130	A	A	A	A								
UN	134	A		A									
M	141	A					A						
UN	142	A			A	A	A	A					
UN	143	A					A			A			
UN	144	A						A					
UN	145	A		A	A	A	A						
UN	146	A						A	A				
UN	152	A		A	A	A							
UN	153	P			NP	NP							
UN	156	P			NP	NP							
UN	157	A				A							
UN	158	A			A								
UN	163	P			NP								
UN	165	P		NP									

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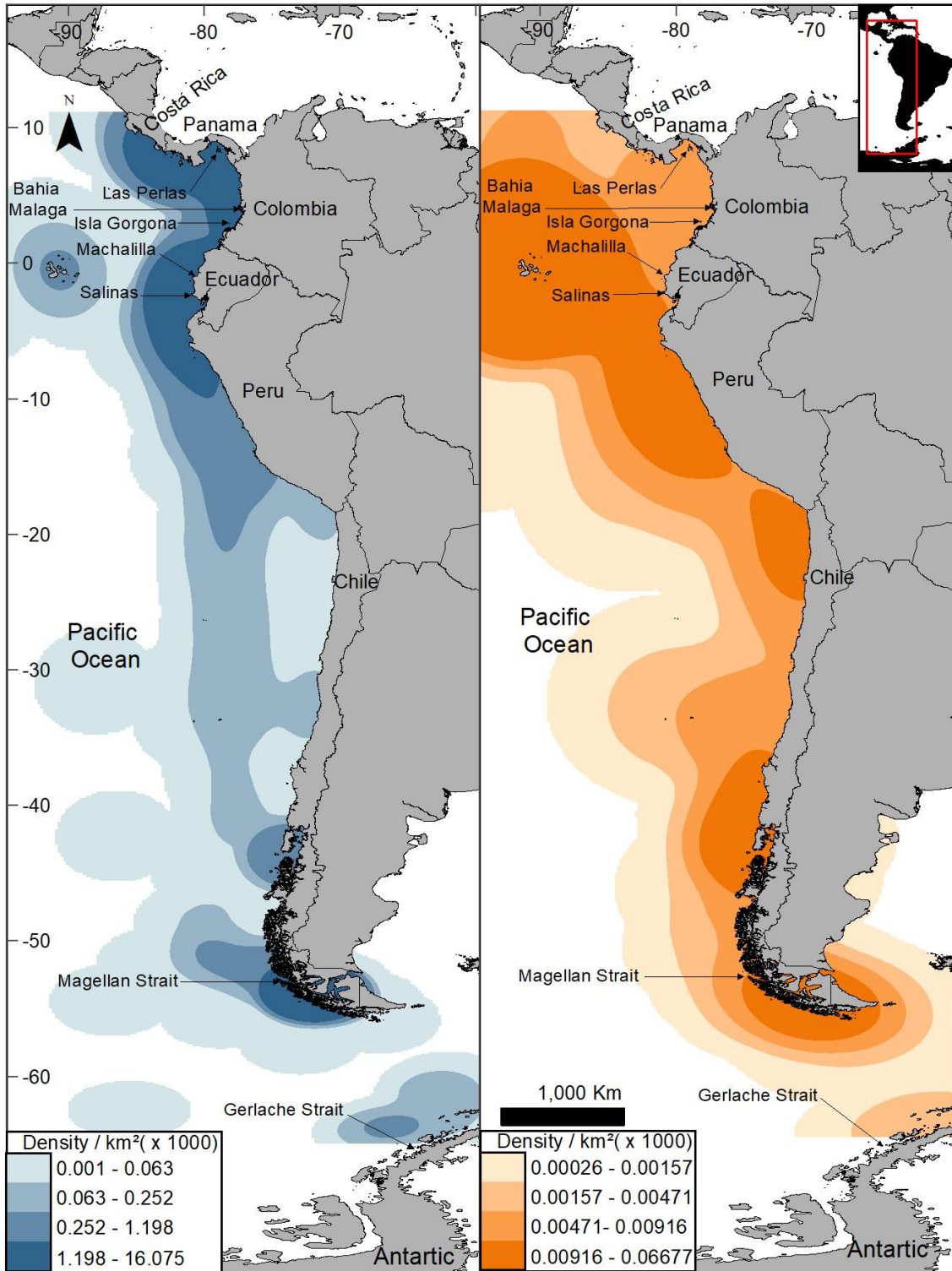
740 Table 3. Results of AIC analysis for the four competing models used to examine the presence or
 741 absence (response variable) of rake marks on Humpback Whale flukes.

742

Explanatory variable	p-value	AIC
Location (breeding or feeding ground)	0.0007 ***	2208.8
Age (calf or adult/Juvenile)	0.00919 **	2213.4
Age + Location	Age: 0.072390 Location: 0.005118**	2207.6
Age x Location	Interaction: 0.007800**	2202.5

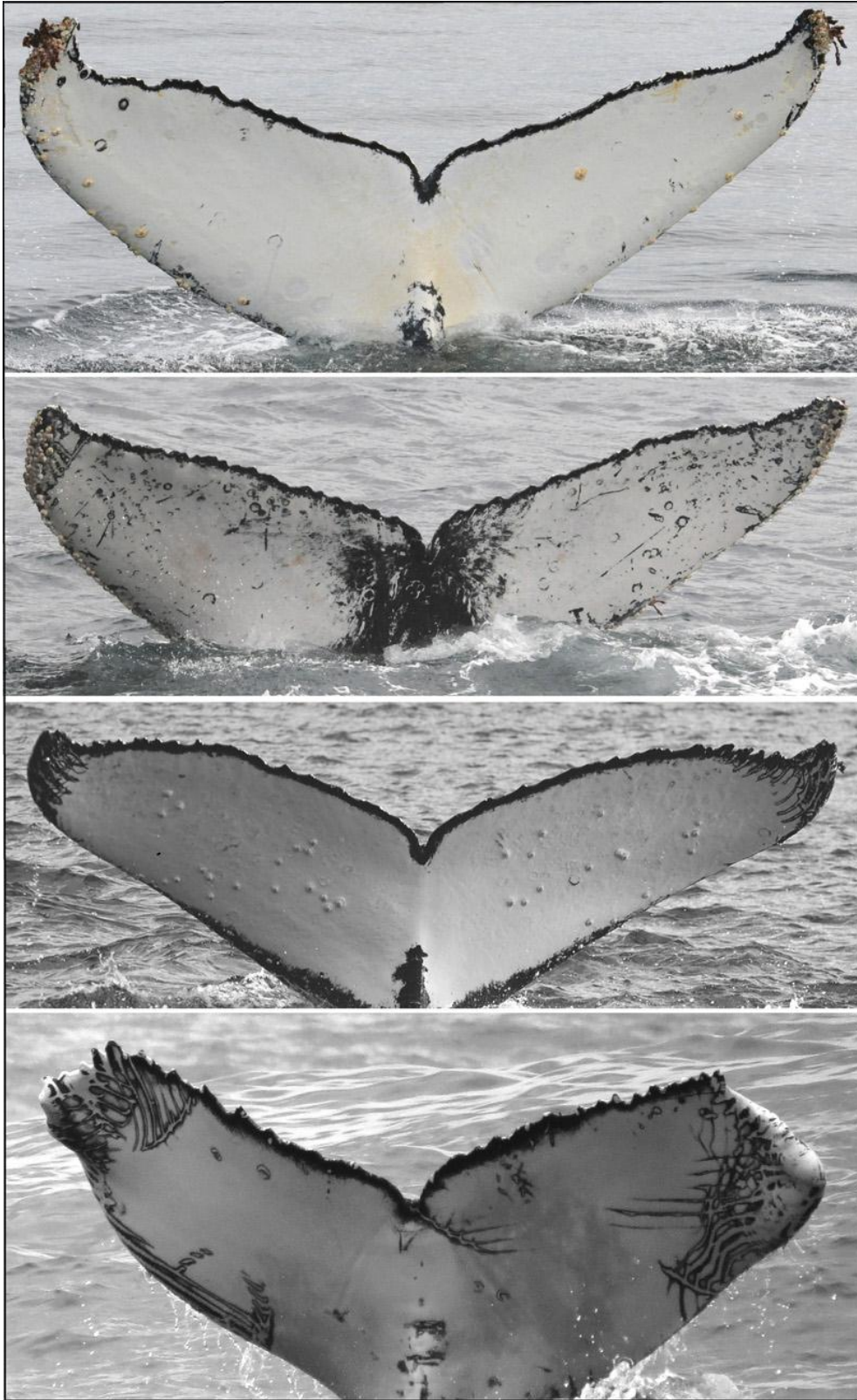
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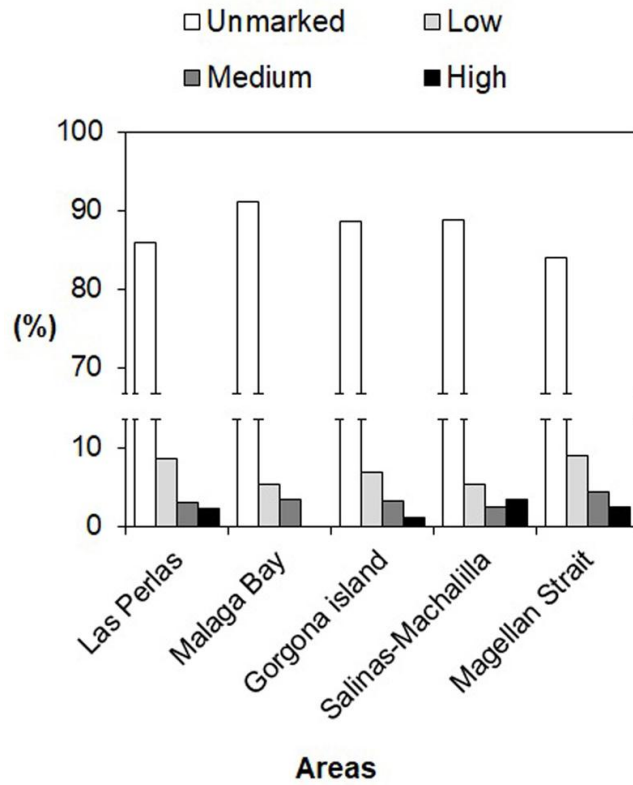


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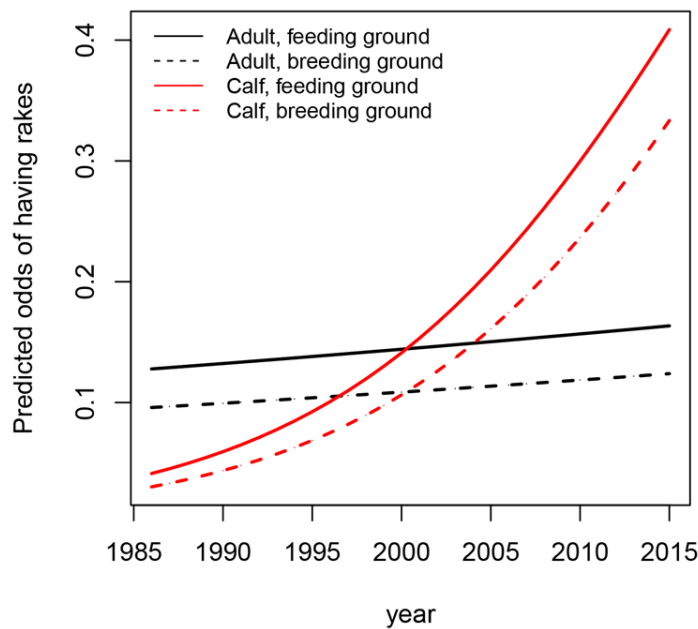
Fig. 1. Map of the eastern South Pacific showing the location of breeding and feeding (black arrows with site names) areas evaluated in this study as well as the density kernel distribution of satellite tracked from Guzman & Felix (2017). Reported sightings data of humpback whales (left map) and killer whales (right map) along the region from SIBIMAP.



750
751 Fig. 2. Humpback whale flukes unmarked and with rake marks of different intensity. From top
752 to bottom: unmarked, low, medium and high intensity.



753
 754 Fig. 3. Percentage of four level intensity of rake marks (as defined in text) on humpback whale
 755 flukes of adult and juveniles from whales inhabiting the eastern South Pacific (n = 327).



756
 757 Fig. 4. The odds of having rake marks with time (years) for calves and adults at both breeding
 758 (Panama, Colombia and Ecuador) and feeding grounds (eastern South Pacific and Antarctic
 759 Peninsula). Data included the period 1986–2015.
 760