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Part III

Statement of Program Service Accomplishments

1

Briefly describe the organization’s mission

NAWC is the trade association for the private water industry As such, it provides educational and informational support to its members, and to those that work within the industry

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 exempt purpose achievements for each of the organization’s three largest program services by expenses

Section 501(c)(3) and 501(c)(4) organizations and section 4947(a)(1) trusts 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 \$ including grants of \$ ) (Revenue \$ )   |
|    | Government Relations- Work to insure that the needs of the private water industry and its customers are communicated to federal agency officials and legislators                            |
| 4b | (Code ) (Expenses \$ including grants of \$ ) (Revenue \$ )   |
|    | Regulatory Relations- Provide input to state public utility commissions about relevant aspects of the private water industry  |
| 4c | (Code ) (Expenses \$ including grants of \$ ) (Revenue \$ )   |
|    | Government affairs activities provide legislative liasion, monitor important legislation and report to member companies, provide technical expertise at hearings and to regulatory agencies |
| 4d | Other program services (Describe in Schedule O ) <b>See also Additional Data for Description</b>  |
|    | (Expenses \$ including grants of \$ ) (Revenue \$ )   |
| 4e | <b>Total program service expenses</b> ▶ \$  |

Part IV

Checklist of Required Schedules

|     |   |     |     |
|-----|---|-----|-----|
|     |   | Yes | No  |
| 1   | Is the organization described in section 501(c)(3) or 4947(a)(1) (other than a private foundation)? If "Yes," complete Schedule A . . . . .   | 1   | No  |
| 2   | Is the organization required to complete Schedule B, Schedule of Contributors? . . . . .  | 2   | No  |
| 3   | Did the organization engage in direct or indirect political campaign activities on behalf of or in opposition to candidates for public office? If "Yes," complete Schedule C, Part I  | 3   | No  |
| 4   | Section 501(c)(3) organizations. Did the organization engage in lobbying activities? If "Yes," complete Schedule C, Part II . . . . .   | 4   |     |
| 5   | Section 501(c)(4), 501(c)(5), and 501(c)(6) organizations. Is the organization subject to the section 6033(e) notice and reporting requirement and proxy tax? If "Yes," complete Schedule C, Part III   | 5   | Yes |
| 6   | Did the organization maintain any donor advised funds or any similar funds or accounts where donors have the right to provide advice on the distribution or investment of amounts in such funds or accounts? If "Yes," complete Schedule D, Part I  | 6   | No  |
| 7   | Did the organization receive or hold a conservation easement, including easements to preserve open space, the environment, historic land areas or historic structures? If "Yes," complete Schedule D, Part II                                       | 7   | No  |
| 8   | Did the organization maintain collections of works of art, historical treasures, or other similar assets? If "Yes," complete Schedule D, Part III   | 8   | No  |
| 9   | Did the organization report an amount in Part X, line 21, serve as a custodian for amounts not listed in Part X, or provide credit counseling, debt management, credit repair, or debt negotiation services? If "Yes," complete Schedule D, Part IV | 9   | No  |
| 10  | Did the organization, directly or through a related organization, hold assets in term, permanent,or quasi-endowments? If "Yes," complete Schedule D, Part V   | 10  | No  |
| 11  | Is the organization's answer to any of the following questions "Yes"? If so,complete Schedule D, Parts VI, VII, VIII, IX, or X as applicable. . . . .   | 11  | Yes |
|     | Did the organization report an amount for land, buildings, and equipment in Part X, line10? If "Yes," complete Schedule D, Part VI.   |     |     |
|     | 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? If "Yes," complete Schedule D, Part VII.  |     |     |
|     | 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? If "Yes," complete Schedule D, Part VIII.  |     |     |
|     | 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? If "Yes," complete Schedule D, Part IX.   |     |     |
|     | Did the organization report an amount for other liabilities in Part X, line 25? If "Yes," complete Schedule D, Part X.  |     |     |
|     | 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? If "Yes," complete Schedule D, Part X.               |     |     |
| 12  | Did the organization obtain separate, independent audited financial statements for the tax year? If "Yes," complete Schedule D, Parts XI, XII, and XIII   | 12  | Yes |
| 12A | Was the organization included in consolidated, independent audited financial statements for the tax year?   | Yes | No  |
|     | If "Yes," completing Schedule D, Parts XI, XII, and XIII is optional . . . . .  | 12A | Yes |
| 13  | Is the organization a school described in section 170(b)(1)(A)(ii)? If "Yes," complete Schedule E   | 13  | No  |
| 14a | Did the organization maintain an office, employees, or agents outside of the United States? . . . . .   | 14a | No  |
| b   | Did the organization have aggregate revenues or expenses of more than \$10,000 from grantmaking, fundraising, business, and program service activities outside the United States? If "Yes," complete Schedule F, Part I . . . . .                   | 14b | No  |
| 15  | Did the organization report on Part IX, column (A), line 3, more than \$5,000 of grants or assistance to any organization or entity located outside the U S ? If "Yes," complete Schedule F, Part II . . . . .                                      | 15  | No  |
| 16  | Did the organization report on Part IX, column (A), line 3, more than \$5,000 of aggregate grants or assistance to individuals located outside the U S ? If "Yes," complete Schedule F, Part III . . . . .  | 16  | No  |
| 17  | Did the organization report a total of more than \$15,000, of expenses for professional fundraising services on Part IX, column (A), lines 6 and 11e? If "Yes," complete Schedule G, Part I   | 17  | No  |
| 18  | Did the organization report more than \$15,000 total of fundraising event gross income and contributions on Part VIII, lines 1c and 8a? If "Yes," complete Schedule G, Part II . . . . .  | 18  | No  |
| 19  | Did the organization report more than \$15,000 of gross income from gaming activities on Part VIII, line 9a? If "Yes," complete Schedule G, Part III . . . . .  | 19  | No  |
| 20  | Did the organization operate one or more hospitals? If "Yes," complete Schedule H . . . . .   | 20  | No  |

Part IV

Checklist of Required Schedules (continued)

|     |  |     |     |    |
|-----|--|-----|-----|----|
| 21  | Did the organization report more than \$5,000 of grants and other assistance to governments and organizations in the United States on Part IX, column (A), line 1? <i>If "Yes," complete Schedule I, Parts I and II . . . .</i>  | 21  |     | No |
| 22  | Did the organization report more than \$5,000 of grants and other assistance to individuals in the United States on Part IX, column (A), line 2? <i>If "Yes," complete Schedule I, Parts I and III . . . .</i>   | 22  |     | No |
| 23  | Did the organization answer "Yes" to Part VII, Section A, questions 3, 4, or 5, about compensation of the organization's current and former officers, directors, trustees, key employees, and highest compensated employees? <i>If "Yes," complete Schedule J . . . .</i>                | 23  | Yes |    |
| 24a | Did the organization have a tax-exempt bond issue with an outstanding principal amount of more than \$100,000 as of the last day of the year, that was issued after December 31, 2002? <i>If "Yes," answer questions 24b–24d and complete Schedule K. If "No," go to line 25 . . . .</i> | 24a |     | No |
| b   | Did the organization invest any proceeds of tax-exempt bonds beyond a temporary period exception? . . . .  | 24b |     |    |
| c   | Did the organization maintain an escrow account other than a refunding escrow at any time during the year to defease any tax-exempt bonds? . . . .   | 24c |     |    |
| d   | Did the organization act as an "on behalf of" issuer for bonds outstanding at any time during the year? . . . .  | 24d |     |    |
| 25a | <b>Section 501(c)(3) and 501(c)(4) 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>  | 25a |     |    |
| b   | Is the organization aware that it engaged in an excess benefit transaction with a disqualified person in a prior year, and that the transaction has not been reported on any of the organization's prior Forms 990 or 990-EZ? <i>If "Yes," complete Schedule L, Part I . . . .</i>       | 25b |     |    |
| 26  | Was a loan to or by a current or former officer, director, trustee, key employee, highly compensated employee, or disqualified person outstanding as of the end of the organization's tax year? <i>If "Yes," complete Schedule L, Part II . . . .</i>                                    | 26  |     | No |
| 27  | Did the organization provide a grant or other assistance to an officer, director, trustee, key employee, substantial contributor, or a grant selection committee member, or to a person related to such an individual? <i>If "Yes," complete Schedule L, Part III . . . .</i>            | 27  |     | No |
| 28  | Was the organization a party to a business transaction with one of the following parties? (see Schedule L, Part IV instructions for applicable filing thresholds, conditions, and exceptions)  |     |     |    |
| a   | A current or former officer, director, trustee, or key employee? <i>If "Yes," complete Schedule L, Part IV . . . .</i>   | 28a |     | No |
| b   | A family member of a current or former officer, director, trustee, or key employee? <i>If "Yes," complete Schedule L, Part IV . . . .</i>  | 28b |     | No |
| c   | An entity of which a current or former officer, director, trustee, or key employee of the organization (or a family member) was an officer, director, trustee, or owner? <i>If "Yes," complete Schedule L, Part IV . . . .</i>   | 28c |     | No |
| 29  | Did the organization receive more than \$25,000 in non-cash contributions? <i>If "Yes," complete Schedule M . . . .</i>  | 29  |     | No |
| 30  | Did the organization receive contributions of art, historical treasures, or other similar assets, or qualified conservation contributions? <i>If "Yes," complete Schedule M . . . .</i>  | 30  |     | No |
| 31  | Did the organization liquidate, terminate, or dissolve and cease operations? <i>If "Yes," complete Schedule N, Part I . . . .</i>  | 31  |     | No |
| 32  | Did the organization sell, exchange, dispose of, or transfer more than 25% of its net assets? <i>If "Yes," complete Schedule N, Part II . . . .</i>  | 32  |     | No |
| 33  | Did the organization own 100% of an entity disregarded as separate from the organization under Regulations sections 301.7701-2 and 301.7701-3? <i>If "Yes," complete Schedule R, Part I . . . .</i>  | 33  |     | No |
| 34  | Was the organization related to any tax-exempt or taxable entity? <i>If "Yes," complete Schedule R, Parts II, III, IV, and V, line 1 . . . .</i>   | 34  |     | No |
| 35  | Is any related organization a controlled entity within the meaning of section 512(b)(13)? <i>If "Yes," complete Schedule R, Part V, line 2 . . . .</i>   | 35  |     | No |
| 36  | <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>   | 36  |     |    |
| 37  | Did the organization conduct more than 5% of its activities through an entity that is not a related organization and that is treated as a partnership for federal income tax purposes? <i>If "Yes," complete Schedule R, Part VI . . . .</i>   | 37  |     | No |
| 38  | Did the organization complete Schedule O and provide explanations in Schedule O for Part VI, lines 11 and 19? <b>Note.</b> All Form 990 filers are required to complete Schedule O . . . .   | 38  | Yes |    |

Part V

Statements Regarding Other IRS Filings and Tax Compliance

|   |  |  | Yes | No |    |
|---|--|--|-----|----|----|
| 1a  | Enter the number reported in Box 3 of Form 1096, <i>Annual Summary and Transmittal of U.S. Information Returns</i> . Enter -0- if not applicable . . . . .   |  | 14  |    |    |
|   | 1a   |  |     |    |    |
| b   | Enter the number of Forms W-2G included in line 1a. Enter -0- if not applicable . . . . .  |  | 0   |    |    |
| 1b  |  |  |     |    |    |
| c Did the organization comply with backup withholding rules for reportable payments to vendors and reportable gaming (gambling) winnings to prize winners? . . . . .  |  |  | 1c  |    |    |
| 2a  | Enter the number of employees reported on Form W-3, <i>Transmittal of Wage and Tax Statements</i> filed for the calendar year ending with or within the year covered by this return . . . . .  |  | 8   |    |    |
|   | 2a   |  |     |    |    |
| b If at least one is reported on line 2a, did the organization file all required federal employment tax returns?<br><b>Note:</b> If the sum of lines 1a and 2a is greater than 250, you may be required to e-file this return (see instructions) . . . . .                        |  |  | 2b  |    | No |
| 3a Did the organization have unrelated business gross income of \$1,000 or more during the year covered by this return? . . . . .   |  |  | 3a  |    | No |
| b If "Yes," has it filed a Form 990-T for this year? If "No," provide an explanation in Schedule O . . . . .  |  |  | 3b  |    |    |
| 4a  | At any time during the calendar year, did the organization have an interest in, or a signature or other authority over, a financial account in a foreign country (such as a bank account, securities account, or other financial account)? . . . . . |  | 4a  |    | No |
|   | b If "Yes," enter the name of the foreign country: _____<br>See the instructions for exceptions and filing requirements for Form TD F 90-22.1, Report of Foreign Bank and Financial Accounts . . . . .   |  |     |    |    |
| 5a Was the organization a party to a prohibited tax shelter transaction at any time during the tax year? . . . . .  |  |  | 5a  |    | No |
| b Did any taxable party notify the organization that it was or is a party to a prohibited tax shelter transaction? . . . . .  |  |  | 5b  |    | No |
| c If "Yes" to line 5a or 5b, did the organization file Form 8886-T, Disclosure by Tax-Exempt Entity Regarding Prohibited Tax Shelter Transaction? . . . . .   |  |  | 5c  |    |    |
| 6a  | Does the organization have annual gross receipts that are normally greater than \$100,000, and did the organization solicit any contributions that were not tax deductible? . . . . .  |  | 6a  |    | No |
|   | b If "Yes," did the organization include with every solicitation an express statement that such contributions or gifts were not tax deductible? . . . . .  |  |     |    |    |
| 7 Organizations that may receive deductible contributions under section 170(c).   |  |  |     |    |    |
| a Did the organization receive a payment in excess of \$75 made partly as a contribution and partly for goods and services provided to the payor? . . . . .   |  |  | 7a  |    |    |
| b If "Yes," did the organization notify the donor of the value of the goods or services provided? . . . . .   |  |  | 7b  |    |    |
| c Did the organization sell, exchange, or otherwise dispose of tangible personal property for which it was required to file Form 8282? . . . . .  |  |  | 7c  |    |    |
| d If "Yes," indicate the number of Forms 8282 filed during the year . . . . .   |  |  | 7d  |    |    |
| e Did the organization, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? . . . . .   |  |  | 7e  |    |    |
| f Did the organization, during the year, pay premiums, directly or indirectly, on a personal benefit contract? . . . . .  |  |  | 7f  |    |    |
| g For all contributions of qualified intellectual property, did the organization file Form 8899 as required? . . . . .  |  |  | 7g  |    |    |
| h For contributions of cars, boats, airplanes, and other vehicles, did the organization file a Form 1098-C as required? . . . . .   |  |  | 7h  |    |    |
| 8 Sponsoring organizations maintaining donor advised funds and section 509(a)(3) supporting organizations. Did the supporting organization, or a donor advised fund maintained by a sponsoring organization, have excess business holdings at any time during the year? . . . . . |  |  | 8   |    |    |
| 9 Sponsoring organizations maintaining donor advised funds.   |  |  |     |    |    |
| a Did the organization make any taxable distributions under section 4966? . . . . .   |  |  | 9a  |    |    |
| b Did the organization make a distribution to a donor, donor advisor, or related person? . . . . .  |  |  | 9b  |    |    |
| 10 Section 501(c)(7) organizations. Enter   |  |  |     |    |    |
| a Initiation fees and capital contributions included on Part VIII, line 12 . . . . .  |  |  | 10a |    |    |
| b Gross receipts, included on Form 990, Part VIII, line 12, for public use of club facilities . . . . .   |  |  | 10b |    |    |
| 11 Section 501(c)(12) organizations. Enter  |  |  |     |    |    |
| a Gross income from members or shareholders . . . . .   |  |  | 11a |    |    |
| b Gross income from other sources (Do not net amounts due or paid to other sources against amounts due or received from them) . . . . .   |  |  | 11b |    |    |
| 12a Section 4947(a)(1) non-exempt charitable trusts. Is the organization filing Form 990 in lieu of Form 1041? . . . . .  |  |  | 12a |    |    |
| b If "Yes," enter the amount of tax-exempt interest received or accrued during the year . . . . .   |  |  | 12b |    |    |

Part VI

Governance, Management, and Disclosure

For each "Yes" response to lines 2 through 7b below, and for a "No" response to lines 8a, 8b, or 10b below, describe the circumstances, processes, or changes in Schedule O. See instructions.

Section A. Governing Body and Management

|    |   |    |     |    |
|----|---|----|-----|----|
|    |   |    | Yes | No |
| 1a | Enter the number of voting members of the governing body . . . . .  | 1a | 20  |    |
| b  | Enter the number of voting members that are independent . . . . .   | 1b | 20  |    |
| 2  | Did any officer, director, trustee, or key employee have a family relationship or a business relationship with any other officer, director, trustee, or key employee? . . . . .   | 2  |     | No |
| 3  | Did the organization delegate control over management duties customarily performed by or under the direct supervision of officers, directors or trustees, or key employees to a management company or other person? . . . . . | 3  |     | No |
| 4  | Did the organization make any significant changes to its organizational documents since the prior Form 990 was filed?   | 4  |     | No |
| 5  | Did the organization become aware during the year of a material diversion of the organization's assets? . . . . .   | 5  |     | No |
| 6  | Does the organization have members or stockholders? . . . . .   | 6  | Yes |    |
| 7a | Does the organization have members, stockholders, or other persons who may elect one or more members of the governing body? . . . . .   | 7a | Yes |    |
| b  | Are any decisions of the governing body subject to approval by members, stockholders, or other persons? . . . . .   | 7b | Yes |    |
| 8  | Did the organization contemporaneously document the meetings held or written actions undertaken during the year by the following  |    |     |    |
| a  | The governing body? . . . . .   | 8a | Yes |    |
| b  | Each committee with authority to act on behalf of the governing body? . . . . .   | 8b | Yes |    |
| 9  | Is there any officer, director, trustee, or key employee listed in Part VII, Section A, who cannot be reached at the organization's mailing address? If "Yes," provide the names and addresses in Schedule O . . . . .        | 9  |     | No |

Section B. Policies

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

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

Section C. Disclosure

|    |  |
|----|--|
| 17 | List the States with which a copy of this Form 990 is required to be filed▶DC  |
| 18 | Section 6104 requires an organization to make its Form 1023 (or 1024 if applicable), 990, and 990-T (501(c) (3)s only) available for public inspection. Indicate how you make these available. Check all that apply.<br><input type="checkbox"/> Own website <input type="checkbox"/> Another's website <input checked="" type="checkbox"/> Upon request |
| 19 | Describe in Schedule O whether (and if so, how), the organization makes its governing documents, conflict of interest policy, and financial statements available to the public. See Additional Data Table.   |
| 20 | State the name, physical address, and telephone number of the person who possesses the books and records of the organization ▶<br>The Organization<br>2001 L Street NW No 850<br>Washington, DC 20036<br>(202) 833-2181  |

## Section A. Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees

☐ Check this box if the organization did not compensate any current or former officer, director, trustee or key employee

Form 990 (2009)



|                           |         |   |   |
|---------------------------|---------|---|---|
| <b>1b Total</b> . . . . . | 723,009 | 0 | 0 |
|---------------------------|---------|---|---|

**2** Total number of individuals (including but not limited to those listed above) who received more than \$100,000 in reportable compensation from the organization **5**

|  |          |            |           |
|--|----------|------------|-----------|
|  |          | <b>Yes</b> | <b>No</b> |
| <b>3</b> Did the organization list any <b>former</b> officer, director or trustee, key employee, or highest compensated employee on line 1a? <i>If "Yes," complete Schedule J for such individual</i> . . . . .  | <b>3</b> | Yes        |           |
| <b>4</b> 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? <i>If "Yes," complete Schedule J for such individual</i> . . . . . | <b>4</b> | Yes        |           |
| <b>5</b> Did any person listed on line 1a receive or accrue compensation from any unrelated organization for services rendered to the organization? <i>If "Yes," complete Schedule J for such person</i> . . . . .                                     | <b>5</b> |            | No        |

**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

| (A)<br>Name and business address | (B)<br>Description of services | (C)<br>Compensation |
|----------------------------------|--------------------------------|---------------------|
|                                  |                                |                     |
|                                  |                                |                     |
|                                  |                                |                     |
|                                  |                                |                     |
|                                  |                                |                     |

**2** Total number of independent contractors (including but not limited to those listed above) who received more than \$100,000 in compensation from the organization **0**

Part VIII

Statement of Revenue

|   |  |   |  | (A)<br>Total revenue | (B)<br>Related or<br>exempt<br>function<br>revenue | (C)<br>Unrelated<br>business<br>revenue | (D)<br>Revenue<br>excluded from<br>tax under<br>sections<br>512, 513, or<br>514 |
|---|--|---|--|----------------------|--|---|---|
| Contributions, gifts, grants<br>and other similar amounts | 1a   | Federated campaigns . . .   | 1a   |                      |  |   |   |
|   | b  | Membership dues . . . . .   | 1b   |                      |  |   |   |
|   | c  | Fundraising events . . . . .  | 1c   |                      |  |   |   |
|   | d  | Related organizations . . . .   | 1d   |                      |  |   |   |
|   | e  | Government grants (contributions)   | 1e   |                      |  |   |   |
|   | f  | All other contributions, gifts, grants, and<br>similar amounts not included above   | 1f   |                      |  |   |   |
|   | g  | Noncash contributions included in<br>lines 1a-1f \$ _____   |  |                      |  |   |   |
|   | h  | Total. Add lines 1a-1f . . . . .  |  |                      |  |   |   |
| Program Service Revenue                                   | 2a   | MEMBERSHIP DUES   | Business Code<br>900,099   | 3,161,079            |  |   | 3,161,079   |
|   | b  | Annual Conference Fee   | 900,099  | 200,746              |  |   | 200,746   |
|   | c  | Other Seminars  | 900,099  | 32,289               |  |   | 32,289  |
|   | d  |   |  |                      |  |   |   |
|   | e  |   |  |                      |  |   |   |
|   | f  | All other program service revenue   |  |                      |  |   |   |
|   | g  | Total. Add lines 2a-2f . . . . .  |  | 3,394,114            |  |   |   |
|   | Other Revenue  | 3   | Investment income (including dividends, interest<br>and other similar amounts) . . . . . |                      | 146,294  |   |   |
| 4   |  | Income from investment of tax-exempt bond proceeds . . .  |  |                      |  |   |   |
| 5   |  | Royalties . . . . .   |  |                      |  |   |   |
| 6a  |  | Gross Rents   | (i) Real (ii) Personal   |                      |  |   |   |
| b   |  | Less rental<br>expenses   |  |                      |  |   |   |
| c   |  | Rental income<br>or (loss)  |  |                      |  |   |   |
| d   |  | Net rental income or (loss) . . . . .   |  |                      |  |   |   |
| 7a  |  | Gross amount<br>from sales of<br>assets other<br>than inventory   | (i) Securities (ii) Other<br>1,261,000   |                      |  |   |   |
| b   |  | Less cost or<br>other basis and<br>sales expenses   | 1,258,400  |                      |  |   |   |
| c   |  | Gain or (loss)  | 2,600  |                      |  |   |   |
| d   |  | Net gain or (loss) . . . . .  |  | 2,600                | 2,600  |   |   |
| 8a  |  | Gross income from fundraising<br>events (not including<br>\$ _____<br>of contributions reported on line 1c)<br>See Part IV, line 18 . . . . . | a  |                      |  |   |   |
| b   |  | Less direct expenses . . . . .  | b  |                      |  |   |   |
| c   |  | Net income or (loss) from fundraising events . . .  |  |                      |  |   |   |
| 9a  |  | Gross income from gaming activities<br>See Part IV, line 19 . . . . .   | a  |                      |  |   |   |
| b   |  | Less direct expenses . . . . .  | b  |                      |  |   |   |
| c   | Net income or (loss) from gaming activities . . .                  |   |  |                      |  |   |   |
| 10a   | Gross sales of inventory, less<br>returns and allowances . . . . . | a   |  |                      |  |   |   |
| b   | Less cost of goods sold . . . . .                                  | b   |  |                      |  |   |   |
| c   | Net income or (loss) from sales of inventory . . .                 |   |  |                      |  |   |   |
|   | Miscellaneous Revenue  | Business Code   |  |                      |  |   |   |
| 11a   | MISCELLANEOUS INCOME   | 900,099   | 1,128  |                      |  | 1,128                                   |   |
| b   |  |   |  |                      |  |   |   |
| c   |  |   |  |                      |  |   |   |
| d   | All other revenue . . . . .  |   |  |                      |  |   |   |
| e   | Total. Add lines 11a-11d . . . . .                                 |   | 1,128  |                      |  |   |   |
| 12  | Total revenue. See Instructions . . . . .                          |   | 3,544,136  | 2,600                | 0  | 3,541,536                               |   |

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) but are not required to complete columns (B), (C), and (D).

| Do not include amounts reported on lines 6b, 7b, 8b, 9b, and 10b of Part VIII. |   | (A)<br>Total expenses | (B)<br>Program service expenses | (C)<br>Management and general expenses | (D)<br>Fundraising expenses |
|--|---|-----------------------|---------------------------------|--|-----------------------------|
| 1  | Grants and other assistance to governments and organizations in the U S See Part IV, line 21  |                       |                                 |  |                             |
| 2  | Grants and other assistance to individuals in the U S See Part IV, line 22  |                       |                                 |  |                             |
| 3  | Grants and other assistance to governments, organizations, and individuals outside the U S See Part IV, lines 15 and 16   |                       |                                 |  |                             |
| 4  | Benefits paid to or for members   |                       |                                 |  |                             |
| 5  | Compensation of current officers, directors, trustees, and key employees . . . . .  | 471,925               |                                 |  |                             |
| 6  | Compensation not included above, to disqualified persons (as defined under section 4958(f)(1)) and persons described in section 4958(c)(3)(B) . . . . .   |                       |                                 |  |                             |
| 7  | Other salaries and wages  | 477,233               |                                 |  |                             |
| 8  | Pension plan contributions (include section 401(k) and section 403(b) employer contributions) . . . . .   | -62,883               |                                 |  |                             |
| 9  | Other employee benefits . . . . .   | 54,256                |                                 |  |                             |
| 10   | Payroll taxes . . . . .   | 64,783                |                                 |  |                             |
| 11   | Fees for services (non-employees)   |                       |                                 |  |                             |
| a  | Management . . . . .  |                       |                                 |  |                             |
| b  | Legal . . . . .   | 21,127                |                                 |  |                             |
| c  | Accounting . . . . .  | 79,850                |                                 |  |                             |
| d  | Lobbying . . . . .  | 163,569               |                                 |  |                             |
| e  | Professional fundraising See Part IV, line 17 . . . . .   |                       |                                 |  |                             |
| f  | Investment management fees . . . . .  |                       |                                 |  |                             |
| g  | Other . . . . .   | 247,440               |                                 |  |                             |
| 12   | Advertising and promotion . . . . .   |                       |                                 |  |                             |
| 13   | Office expenses . . . . .   | 98,266                |                                 |  |                             |
| 14   | Information technology . . . . .  | 141,888               |                                 |  |                             |
| 15   | Royalties . . . . .   |                       |                                 |  |                             |
| 16   | Occupancy . . . . .   | 188,770               |                                 |  |                             |
| 17   | Travel . . . . .  | 183,343               |                                 |  |                             |
| 18   | Payments of travel or entertainment expenses for any federal, state, or local public officials . . . . .  |                       |                                 |  |                             |
| 19   | Conferences, conventions, and meetings . . . . .  | 768,575               |                                 |  |                             |
| 20   | Interest . . . . .  |                       |                                 |  |                             |
| 21   | Payments to affiliates . . . . .  |                       |                                 |  |                             |
| 22   | Depreciation, depletion, and amortization . . . . .   | 74,320                |                                 |  |                             |
| 23   | Insurance . . . . .   | 16,654                |                                 |  |                             |
| 24   | Other expenses Itemize expenses not covered above (Expenses grouped together and labeled miscellaneous may not exceed 5% of total expenses shown on line 25 below )   |                       |                                 |  |                             |
| a  | Dues & Subscriptions  | 64,816                |                                 |  |                             |
| b  | Miscellaneous Expense   | 15,682                |                                 |  |                             |
| c  | F&O Data report   | 14,834                |                                 |  |                             |
| d  | Contribution Expense  | 10,800                |                                 |  |                             |
| e  | PAC Administration  | 207                   |                                 |  |                             |
| f  | All other expenses  |                       |                                 |  |                             |
| 25   | Total functional expenses. Add lines 1 through 24f  | 3,095,455             |                                 |  |                             |
| 26   | Joint costs. Check here <input type="checkbox"/> if following SOP 98-2 Complete this line only if the organization reported in column (B) joint costs from a combined educational campaign and fundraising solicitation |                       |                                 |  |                             |

Part X

Balance Sheet

|                             |   |  |     |         | (A)               |     | (B)         |
|-----------------------------|---|--|-----|---------|-------------------|-----|-------------|
|                             |   |  |     |         | Beginning of year |     | End of year |
| Assets                      | 1   | Cash—non-interest-bearing . . . . .  |     |         | 366,306           | 1   | 526,589     |
|                             | 2   | Savings and temporary cash investments . . . . .   |     |         |                   | 2   |             |
|                             | 3   | Pledges and grants receivable, net . . . . .   |     |         |                   | 3   |             |
|                             | 4   | Accounts receivable, net . . . . .   |     |         | 19,993            | 4   | 10,851      |
|                             | 5   | Receivables from current and former officers, directors, trustees, key employees, and highest compensated employees. Complete Part II of Schedule L . . . . .                  |     |         |                   | 5   |             |
|                             | 6   | Receivables from other disqualified persons (as defined under section 4958(f)(1)) and persons described in section 4958(c)(3)(B). Complete Part II of Schedule L . . . . .     |     |         |                   | 6   |             |
|                             | 7   | Notes and loans receivable, net . . . . .  |     |         |                   | 7   |             |
|                             | 8   | Inventories for sale or use . . . . .  |     |         |                   | 8   |             |
|                             | 9   | Prepaid expenses and deferred charges . . . . .  |     |         | 88,264            | 9   | 79,349      |
|                             | 10a   | Land, buildings, and equipment, cost or other basis. Complete Part VI of Schedule D . . . . .  | 10a | 515,570 |                   |     |             |
|                             | b   | Less accumulated depreciation . . . . .  | 10b | 224,319 | 313,487           | 10c | 291,251     |
|                             | 11  | Investments—publicly traded securities . . . . .   |     |         | 3,617,773         | 11  | 3,976,479   |
|                             | 12  | Investments—other securities. See Part IV, line 11 . . . . .   |     |         |                   | 12  |             |
|                             | 13  | Investments—program-related. See Part IV, line 11 . . . . .  |     |         |                   | 13  |             |
|                             | 14  | Intangible assets . . . . .  |     |         |                   | 14  |             |
|                             | 15  | Other assets. See Part IV, line 11 . . . . .   |     |         | 24,689            | 15  | 12,523      |
|                             | 16  | Total assets. Add lines 1 through 15 (must equal line 34) . . . . .  |     |         | 4,430,512         | 16  | 4,897,042   |
| Liabilities                 | 17  | Accounts payable and accrued expenses . . . . .  |     |         | 160,142           | 17  | 250,693     |
|                             | 18  | Grants payable . . . . .   |     |         |                   | 18  |             |
|                             | 19  | Deferred revenue . . . . .   |     |         |                   | 19  | 105,021     |
|                             | 20  | Tax-exempt bond liabilities . . . . .  |     |         |                   | 20  |             |
|                             | 21  | Escrow or custodial account liability. Complete Part IV of Schedule D . . . . .  |     |         |                   | 21  |             |
|                             | 22  | Payables to current and former officers, directors, trustees, key employees, highest compensated employees, and disqualified persons. Complete Part II of Schedule L . . . . . |     |         |                   | 22  |             |
|                             | 23  | Secured mortgages and notes payable to unrelated third parties . . . . .   |     |         |                   | 23  |             |
|                             | 24  | Unsecured notes and loans payable to unrelated third parties . . . . .   |     |         |                   | 24  |             |
|                             | 25  | Other liabilities. Complete Part X of Schedule D . . . . .   |     |         | 796,714           | 25  | 588,213     |
|                             | 26  | Total liabilities. Add lines 17 through 25 . . . . .   |     |         | 956,856           | 26  | 943,927     |
| Net Assets or Fund Balances | Organizations that follow SFAS 117, check here <input checked="" type="checkbox"/> and complete lines 27 through 29, and lines 33 and 34. |  |     |         |                   |     |             |
|                             | 27  | Unrestricted net assets . . . . .  |     |         | 3,473,656         | 27  | 3,953,115   |
|                             | 28  | Temporarily restricted net assets . . . . .  |     |         |                   | 28  |             |
|                             | 29  | Permanently restricted net assets . . . . .  |     |         |                   | 29  |             |
|                             | Organizations that do not follow SFAS 117, check here <input type="checkbox"/> and complete lines 30 through 34.                          |  |     |         |                   |     |             |
|                             | 30  | Capital stock or trust principal, or current funds . . . . .   |     |         |                   | 30  |             |
|                             | 31  | Paid-in or capital surplus, or land, building or equipment fund . . . . .  |     |         |                   | 31  |             |
|                             | 32  | Retained earnings, endowment, accumulated income, or other funds . . . . .   |     |         |                   | 32  |             |
|                             | 33  | Total net assets or fund balances . . . . .  |     |         | 3,473,656         | 33  | 3,953,115   |
|                             | 34  | Total liabilities and net assets/fund balances . . . . .   |     |         | 4,430,512         | 34  | 4,897,042   |

**Part XI Financial Statements and Reporting**

|   | 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 _____<br>If the organization changed its method of accounting from a prior year or checked "Other," explain in Schedule O  |     |    |
| <b>2a</b> Were the organization's financial statements compiled or reviewed by an independent accountant? . . .   |     | No |
| <b>b</b> Were the organization's financial statements audited by an independent accountant? . . . . .   | Yes |    |
| <b>c</b> If "Yes," to 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?<br>If the organization changed either its oversight process or selection process during the tax year, explain in Schedule O . . . . | Yes |    |
| <b>d</b> If "Yes" to line 2a or 2b, check a box below to indicate whether the financial statements for the year were issued on a consolidated basis, separate basis, or both<br><input type="checkbox"/> Separate basis <input checked="" type="checkbox"/> Consolidated basis <input type="checkbox"/> Both consolidated and separated basis                     |     |    |
| <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? . . . . .  |     | No |
| <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 in Schedule O and describe any steps taken to undergo such audits . . .   |     |    |

SCHEDULE C

(Form 990 or 990-EZ)

Department of the Treasury  
Internal Revenue Service

Political Campaign and Lobbying Activities

For Organizations Exempt From Income Tax Under section 501(c) and section 527

▶ **Complete if the organization is described below.**  
▶ **Attach to Form 990 or Form 990-EZ. ▶ See separate instructions.**

OMB No 1545-0047

2009

Open to Public  
Inspection

If the organization answered “Yes,” to Form 990, Part IV, Line 3, or Form 990-EZ, Part VI, 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,” to 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,” to Form 990, Part IV, Line 5 (Proxy Tax) or Form 990-EZ, line 35a (regarding proxy tax), then

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

|   |  |
|---|--|
| Name of the organization<br>national association of water companies | Employer identification number<br><br>25-1064082 |
|---|--|

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 expenditures ▶ \$
- 3

Volunteer hours

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 funtion 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

State the names, addresses and employer identification number (EIN) of all section 527 political organizations to which payments were made 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- |
|----------|-------------|---------|---|--|
|          |             |         |   |  |
|          |             |         |   |  |

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

B

Check

☐

if the filing organization checked box A and "limited control" provisions apply

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

4-Year Averaging Period Under Section 501(h)  
(Some organizations that made a section 501(h) election do not have to complete all of the five columns below. See the instructions for lines 2a through 2f on page 4.)

| Lobbying Expenditures During 4-Year Averaging Period         |          |          |          |          |           |
|--|----------|----------|----------|----------|-----------|
| Calendar year (or fiscal year beginning in)                  | (a) 2006 | (b) 2007 | (c) 2008 | (d) 2009 | (e) Total |
| 2a Lobbying non-taxable amount                               |          |          |          |          |           |
| b Lobbying ceiling amount<br>(150% of line 2a, column(e))    |          |          |          |          |           |
| c Total lobbying expenditures                                |          |          |          |          |           |
| d Grassroots non-taxable amount                              |          |          |          |          |           |
| e Grassroots ceiling amount<br>(150% of line 2d, column (e)) |          |          |          |          |           |
| f Grassroots lobbying expenditures                           |          |          |          |          |           |

Part II-B

Complete if the organization is exempt under section 501(c)(3) and has NOT filed Form 5768 (election under section 501(h)).

|           |  | (a) |    | (b)    |
|-----------|--|-----|----|--------|
|           |  | Yes | No | Amount |
| <b>1</b>  | During the year, did the filing organization attempt to influence foreign, national, state or local legislation, including any attempt to influence public opinion on a legislative matter or referendum, through the use of |     |    |        |
|           | <b>a</b> Volunteers?   |     |    |        |
|           | <b>b</b> Paid staff or management (include compensation in expenses reported on lines 1c through 1i)?  |     |    |        |
|           | <b>c</b> Media advertisements?   |     |    |        |
|           | <b>d</b> Mailings to members, legislators, or the public?  |     |    |        |
|           | <b>e</b> Publications, or published or broadcast statements?   |     |    |        |
|           | <b>f</b> Grants to other organizations for lobbying purposes?  |     |    |        |
|           | <b>g</b> Direct contact with legislators, their staffs, government officials, or a legislative body?   |     |    |        |
|           | <b>h</b> Rallies, demonstrations, seminars, conventions, speeches, lectures, or any similar means?   |     |    |        |
|           | <b>i</b> Other activities? If "Yes," describe in Part IV   |     |    |        |
|           | <b>j</b> Total lines 1c through 1i   |     |    |        |
| <b>2a</b> | Did the activities in line 1 cause the organization to be not described in section 501(c)(3)?  |     |    |        |
| <b>b</b>  | If "Yes," enter the amount of any tax incurred under section 4912  |     |    |        |
| <b>c</b>  | If "Yes," enter the amount of any tax incurred by organization managers under section 4912   |     |    |        |
| <b>d</b>  | If the filing organization incurred a section 4912 tax, did it file Form 4720 for this year?   |     |    |        |

Part III-A

Complete if the organization is exempt under section 501(c)(4), section 501(c)(5), or section 501(c)(6).

|   |  | Yes | No |
|---|--|-----|----|
| 1 | Were substantially all (90% or more) dues received nondeductible by members?                     | 1   | No |
| 2 | Did the organization make only in-house lobbying expenditures of \$2,000 or less?                | 2   | No |
| 3 | Did the organization agree to carryover lobbying and political expenditures from the prior year? | 3   | No |

Part III-B

Complete if the organization is exempt under section 501(c)(4), section 501(c)(5), or section 501(c)(6) if BOTH Part III-A, lines 1 and 2 are answered "No" OR if Part III-A, line 3 is answered "Yes".

|   |  |    |           |
|---|--|----|-----------|
| 1 | Dues, assessments and similar amounts from members   | 1  | 3,161,079 |
| 2 | Section 162(e) non-deductible lobbying and political expenditures (do not include amounts of political expenses for which the section 527(f) tax was paid).  |    |           |
| a | Current year   | 2a | 381,941   |
| b | Carryover from last year   | 2b |           |
| c | Total  | 2c | 381,941   |
| 3 | Aggregate amount reported in section 6033(e)(1)(A) notices of nondeductible section 162(e) dues  | 3  | 537,383   |
| 4 | If notices were sent and the amount on line 2c exceeds the amount on line 3, what portion of the excess does the organization agree to carryover to the reasonable estimate of nondeductible lobbying and political expenditure next year? | 4  |           |
| 5 | Taxable amount of lobbying and political expenditures (see instructions)   | 5  | -155,442  |

Part IV

Supplemental Information

Complete this part to provide the descriptions required for Part I-A, line 1, Part I-B, line 4, Part I-C, line 5, and Part II-B, line 1i. Also, complete this part for any additional information.

| Identifier | Return Reference | Explanation |
|------------|------------------|-------------|
|            |                  |             |



SCHEDULE D  
(Form 990)

Department of the Treasury  
Internal Revenue Service

Supplemental Financial Statements

▶ **Complete if the organization answered "Yes," to Form 990, Part IV, line 6, 7, 8, 9, 10, 11, or 12.**  
▶ **Attach to Form 990. ▶ See separate instructions.**

OMB No 1545-0047

2009

Open to Public Inspection

|  |   |
|--|---|
| <b>Name of the organization</b><br>national association of water companies | <b>Employer identification number</b><br>25-1064082 |
|--|---|

Part I

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

|   |  |                              |
|---|--|------------------------------|
|   | (a) Donor advised funds  | (b) Funds and other accounts |
| 1 | Total number at end of year  |                              |
| 2 | Aggregate contributions to (during year)   |                              |
| 3 | Aggregate 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? <div><input type="checkbox"/> Yes <input type="checkbox"/> No</div>   |                              |
| 6 | Did the organization inform all grantees, donors, and donor advisors in writing that grant funds may 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 <div><input type="checkbox"/> Yes <input type="checkbox"/> No</div> |                              |

Part II

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

|   |   |  |  |                             |   |  |   |  |   |  |   |   |
|---|---|--|--|-----------------------------|---|--|---|--|---|--|---|---|
| 1 | Purpose(s) of conservation easements held by the organization (check all that apply) <div><input type="checkbox"/> Preservation of land for public use (e g , recreation or pleasure) <input type="checkbox"/> Preservation of an historically importantly land area</div> <div><input type="checkbox"/> Protection of natural habitat <input type="checkbox"/> Preservation of a certified historic structure</div> <div><input type="checkbox"/> Preservation of open space</div> |  |  |                             |   |  |   |  |   |  |   |   |
| 2 | Complete lines 2a–2d if the organization held a qualified conservation contribution in the form of a conservation easement on the last day of the tax year  |  |  |                             |   |  |   |  |   |  |   |   |
|   |   | <table><tr><td></td><td>Held at the End of the Year</td></tr><tr><td>a</td><td>Total number of conservation easements</td></tr><tr><td>b</td><td>Total acreage restricted by conservation easements</td></tr><tr><td>c</td><td>Number of conservation easements on a certified historic structure included in (a)</td></tr><tr><td>d</td><td>Number of conservation easements included in (c) acquired after 8/17/06</td></tr></table> |  | Held at the End of the Year | a | Total number of conservation easements | b | Total acreage restricted by conservation easements | c | Number of conservation easements on a certified historic structure included in (a) | d | Number of conservation easements included in (c) acquired after 8/17/06 |
|   | Held at the End of the Year   |  |  |                             |   |  |   |  |   |  |   |   |
| a | Total number of conservation easements  |  |  |                             |   |  |   |  |   |  |   |   |
| b | Total acreage restricted by conservation easements  |  |  |                             |   |  |   |  |   |  |   |   |
| c | Number of conservation easements on a certified historic structure included in (a)  |  |  |                             |   |  |   |  |   |  |   |   |
| d | Number of conservation easements included in (c) acquired after 8/17/06   |  |  |                             |   |  |   |  |   |  |   |   |
| 3 | Number of conservation easements modified, transferred, released, extinguished, or terminated by the organization during the taxable 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? <div><input type="checkbox"/> Yes <input type="checkbox"/> No</div>  |  |  |                             |   |  |   |  |   |  |   |   |
| 6 | Staff and volunteer hours devoted to monitoring, inspecting and enforcing conservation easements during the year ▶ _____  |  |  |                             |   |  |   |  |   |  |   |   |
| 7 | Amount of expenses incurred in monitoring, inspecting, 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 170(h)(4)(B)(ii)? <div><input type="checkbox"/> Yes <input type="checkbox"/> No</div>   |  |  |                             |   |  |   |  |   |  |   |   |
| 9 | In Part XIV, 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" to Form 990, Part IV, line 8.

|    |  |            |
|----|--|------------|
| 1a | If the organization elected, as permitted under SFAS 116, 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 XIV, the text of the footnote to its financial statements that describes these items |            |
| b  | If the organization elected, as permitted under SFAS 116, 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) Revenues included in 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 SFAS 116 relating to these items  |            |
| a  | Revenues included in Form 990, Part VIII, line 1   | ▶ \$ _____ |
| b  | Assets included in Form 990, Part X  | ▶ \$ _____ |

Part III

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

3

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

a

☐

Public exhibition

b

☐

Scholarly research

c

☐

Preservation for future generations

d

☐

Loan or exchange programs

e

☐

Other

4

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

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" to 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 XIV and complete the following table

c

Beginning balance

d

Additions during the year

e

Distributions during the year

f

Ending balance

|    |        |
|----|--------|
|    | Amount |
| 1c |        |
| 1d |        |
| 1e |        |
| 1f |        |

2a

Did the organization include an amount on Form 990, Part X, line 21?

☐ Yes

☐ No

b

If "Yes," explain the arrangement in Part XIV

Part V

Endowment Funds. Complete if the organization answered "Yes" to 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  | Investment earnings or 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 year end balance held as

a

Board designated or quasi-endowment ▶ %

b

Permanent endowment ▶ %

c

Term endowment ▶ %

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" to 3a(ii), are the related organizations listed as required on Schedule R?

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

4

Describe in Part XIV the intended uses of the organization's endowment funds

Part VI

Investments—Land, Buildings, and Equipment. See Form 990, Part X, line 10.

| Description of investment  | (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 . . . . .   |                                      | 214,142                        | 47,579                       | 166,563        |
| d Equipment . . . . .  |                                      | 301,428                        | 176,740                      | 124,688        |
| e Other . . . . .  |                                      |                                |                              |                |
| Total. Add lines 1a-1e (Column (d) should equal Form 990, Part X, column (B), line 10(c).) |                                      |                                |                              | 291,251        |



Part XI

Reconciliation of Change in Net Assets from Form 990 to Financial Statements

|    |   |    |           |
|----|---|----|-----------|
| 1  | Total revenue (Form 990, Part VIII, column (A), line 12)                        | 1  | 3,544,136 |
| 2  | Total expenses (Form 990, Part IX, column (A), line 25)                         | 2  | 3,095,455 |
| 3  | Excess or (deficit) for the year Subtract line 2 from line 1                    | 3  | 448,681   |
| 4  | Net unrealized gains (losses) on investments                                    | 4  | 30,778    |
| 5  | Donated services and use of facilities  | 5  |           |
| 6  | Investment expenses   | 6  |           |
| 7  | Prior period adjustments  | 7  |           |
| 8  | Other (Describe in Part XIV)  | 8  |           |
| 9  | Total adjustments (net) Add lines 4 - 8   | 9  | 30,778    |
| 10 | Excess or (deficit) for the year per financial statements Combine lines 3 and 9 | 10 | 479,459   |

Part XII

Reconciliation of Revenue per Audited Financial Statements With Revenue per Return

|   |  |    |           |
|---|--|----|-----------|
| 1 | Total revenue, gains, and other support per audited financial statements . . . . .         | 1  | 3,590,465 |
| 2 | Amounts included on line 1 but not on Form 990, Part VIII, line 12                         |    |           |
| a | Net unrealized gains on investments . . . . .  | 2a | 30,778    |
| b | Donated services and use of facilities . . . . .   | 2b |           |
| c | Recoveries of prior year grants . . . . .  | 2c |           |
| d | Other (Describe in Part XIV) . . . . .   | 2d | 15,550    |
| e | Add lines 2a through 2d . . . . .  | 2e | 46,328    |
| 3 | Subtract line 2e from line 1 . . . . .   | 3  | 3,544,137 |
| 4 | Amounts included on Form 990, Part VIII, line 12, but not on line 1                        |    |           |
| a | Investment expenses not included on Form 990, Part VIII, line 7b . . . . .                 | 4a |           |
| b | Other (Describe in Part XIV) . . . . .   | 4b |           |
| c | Add lines 4a and 4b . . . . .  | 4c | 0         |
| 5 | Total Revenue Add lines 3 and 4c. (This should equal Form 990, Part I, line 12 ) . . . . . | 5  | 3,544,137 |

Part XIII

Reconciliation of Expenses per Audited Financial Statements With Expenses per Return

|   |   |    |           |
|---|---|----|-----------|
| 1 | Total expenses and losses per audited financial statements . . . . .                        | 1  | 3,110,455 |
| 2 | Amounts included on line 1 but not on Form 990, Part IX, line 25                            |    |           |
| a | Donated services and use of facilities . . . . .  | 2a |           |
| b | Prior year adjustments . . . . .  | 2b |           |
| c | Other losses . . . . .  | 2c |           |
| d | Other (Describe in Part XIV) . . . . .  | 2d | 15,000    |
| e | Add lines 2a through 2d . . . . .   | 2e | 15,000    |
| 3 | Subtract line 2e from line 1 . . . . .  | 3  | 3,095,455 |
| 4 | Amounts included on Form 990, Part IX, line 25, but not on line 1:                          |    |           |
| a | Investment expenses not included on Form 990, Part VIII, line 7b . . . . .                  | 4a |           |
| b | Other (Describe in Part XIV) . . . . .  | 4b |           |
| c | Add lines 4a and 4b . . . . .   | 4c | 0         |
| 5 | Total expenses Add lines 3 and 4c. (This should equal Form 990, Part I, line 18 ) . . . . . | 5  | 3,095,455 |

Part XIV

Supplemental Information

Complete this part to 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, Part XI, line 8, Part XII, lines 2d and 4b, and Part XIII, lines 2d and 4b. Also complete this part to provide any additional information.

| Identifier                             | Return Reference | Explanation                              |
|--|------------------|--|
| Part XII, Line 2d - Other Adjustments  |                  | Political Action Committee contributions |
| Part XIII, Line 2d - Other Adjustments |                  | Political Action Committee Expense       |

Schedule J  
(Form 990)

Compensation Information

OMB No 1545-0047

2009

Open to Public Inspection

For certain Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees

▶ Complete if the organization answered "Yes" to Form 990, Part IV, question 23.

▶ Attach to Form 990. ▶ See separate instructions.

Name of the organization

national association of water companies

Employer identification number

25-1064082

Part I

Questions Regarding Compensation

|    |   |     |    |
|----|---|-----|----|
|    |   | Yes | No |
| 1a | Check the appropriate box(es) if the organization provided any of the following to or for a person listed in Form 990, Part VII, Section A, line 1a Complete Part III to provide any relevant information regarding these items   |     |    |
|    | <div><div><input type="checkbox"/> First-class or charter travel</div><div><input type="checkbox"/> Housing allowance or residence for personal use</div></div> <div><div><input type="checkbox"/> Travel for companions</div><div><input type="checkbox"/> Payments for business use of personal residence</div></div> <div><div><input type="checkbox"/> Tax idemnification and gross-up payments</div><div><input type="checkbox"/> Health or social club dues or initiation fees</div></div> <div><div><input type="checkbox"/> Discretionary spending account</div><div><input type="checkbox"/> Personal services (e g , maid, chauffeur, chef)</div></div> |     |    |
| b  | If any of the boxes in line 1a are checked, did the organization follow a written policy regarding payment or reimbursement or provision of all 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 officers, directors, trustees, and the CEO/Executive Director, regarding the items checked in line 1a?  | Yes |    |
| 3  | Indicate which, if any, of the following the organization uses to establish the compensation of the organization's CEO/Executive Director Check all that apply  |     |    |
|    | <div><div><input type="checkbox"/> Compensation committee</div><div><input type="checkbox"/> Written employment contract</div></div> <div><div><input type="checkbox"/> Independent compensation consultant</div><div><input checked="" type="checkbox"/> Compensation survey or study</div></div> <div><div><input type="checkbox"/> Form 990 of other organizations</div><div><input checked="" type="checkbox"/> Approval by the board or compensation committee</div></div>   |     |    |
| 4  | During the year, did any person listed in 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?   | Yes |    |
| b  | Participate in, or receive payment from, a supplemental nonqualified retirement plan?   |     | No |
| c  | Participate in, or receive payment from, an equity-based compensation arrangement?  |     | No |
|    | If "Yes" to any of lines 4a-c, list the persons and provide the applicable amounts for each item in Part III  |     |    |
|    | Only 501(c)(3) and 501(c)(4) organizations only must complete lines 5-9.  |     |    |
| 5  | For persons listed in 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," to line 5a or 5b, describe in Part III  |     |    |
| 6  | For persons listed in 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," to line 6a or 6b, describe in Part III  |     |    |
| 7  | For persons listed in Form 990, Part VII, Section A, line 1a, did the organization provide any non-fixed payments not described in lines 5 and 6? If "Yes," describe in Part III  |     |    |
| 8  | Were any amounts reported in Form 990, Part VII, paid or accrued pursuant to a contract that was subject to the initial contract exception described in Regs section 53 4958-4(a)(3)? If "Yes," describe in Part III  |     |    |
| 9  | If "Yes" to line 8, did the organization also follow the rebuttable presumption procedure described in Regulations section 53 4958-6(c)?  |     |    |

**Part II** **Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees.** Use Schedule J-1 if additional space needed.

For each individual whose compensation must be reported in 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 are not listed on Form 990, Part VII.

**Note.** The sum of columns (B)(i)-(iii) must equal the applicable column (D) or column (E) amounts on Form 990, Part VII, line 1a.

| (A) Name      |      | (B) Breakdown of W-2 and/or 1099-MISC compensation |                                     |                                     | (C) Retirement and other deferred compensation | (D) Nontaxable benefits | (E) Total of columns (B)(i)-(D) | (F) Compensation reported in prior Form 990 or Form 990-EZ |
|---------------|------|--|-------------------------------------|-------------------------------------|--|-------------------------|---------------------------------|--|
|               |      | (i) Base compensation                              | (ii) Bonus & incentive compensation | (iii) Other reportable compensation |  |                         |                                 |  |
| Sharon Gascon | (i)  | 139,024  | 13,490                              | 34,264                              | 0  | 0                       | 186,778                         | 0  |
|               | (ii) | 0  | 0                                   | 0                                   | 0  | 0                       | 0                               | 0  |
| Michael Deane | (i)  | 139,666  | 0                                   | 19,416                              | 0  | 0                       | 159,082                         | 0  |
|               | (ii) | 0  | 0                                   | 0                                   | 0  | 0                       | 0                               | 0  |
| Peter Cook    | (i)  | 87,246   | 21,734                              | 17,085                              | 0  | 0                       | 126,065                         | 0  |
|               | (ii) | 0  | 0                                   | 0                                   | 0  | 0                       | 0                               | 0  |
|               | (i)  |  |                                     |                                     |  |                         |                                 |  |
|               | (ii) |  |                                     |                                     |  |                         |                                 |  |
|               | (i)  |  |                                     |                                     |  |                         |                                 |  |
|               | (ii) |  |                                     |                                     |  |                         |                                 |  |
|               | (i)  |  |                                     |                                     |  |                         |                                 |  |
|               | (ii) |  |                                     |                                     |  |                         |                                 |  |
|               | (i)  |  |                                     |                                     |  |                         |                                 |  |
|               | (ii) |  |                                     |                                     |  |                         |                                 |  |
|               | (i)  |  |                                     |                                     |  |                         |                                 |  |
|               | (ii) |  |                                     |                                     |  |                         |                                 |  |
|               | (i)  |  |                                     |                                     |  |                         |                                 |  |
|               | (ii) |  |                                     |                                     |  |                         |                                 |  |
|               | (i)  |  |                                     |                                     |  |                         |                                 |  |
|               | (ii) |  |                                     |                                     |  |                         |                                 |  |
|               | (i)  |  |                                     |                                     |  |                         |                                 |  |
|               | (ii) |  |                                     |                                     |  |                         |                                 |  |
|               | (i)  |  |                                     |                                     |  |                         |                                 |  |
|               | (ii) |  |                                     |                                     |  |                         |                                 |  |
|               | (i)  |  |                                     |                                     |  |                         |                                 |  |
|               | (ii) |  |                                     |                                     |  |                         |                                 |  |

Part III

Supplemental Information

Complete this part to provide the information, explanation, or descriptions required for Part I, lines 1a, 1b, 4c, 5a, 5b, 6a, 6b, 7, and 8. Also complete this part for any additional information.

| Identifier | Return Reference | Explanation |
|------------|------------------|-------------|
|------------|------------------|-------------|

**SCHEDULE O**  
**(Form 990)**

Department of the Treasury  
Internal Revenue Service

**Supplemental Information to Form 990**

**Complete to provide information for responses to specific questions on  
Form 990 or to provide any additional information.**  
**▶ Attach to Form 990.**

OMB No 1545-0047

**2009**

**Open to Public  
Inspection**

**Name of the organization**

national association of water companies

**Employer identification number**

25-1064082

| Identifier                             | Return Reference     | Explanation  |
|--|----------------------|--|
| Form 990, Part III, line 2             | New Program Services | NAWC experienced growth by adding as new members several companies who are very active in the drinking water industry through contract operations          |
| Form 990, Part VI, Section A, line 6   |                      | active members and associate members   |
| Form 990, Part VI, Section A, line 7a  |                      | MEMBERS ELECT THE GOVERNING BODY BY VOTE   |
| Form 990, Part VI, Section A, line 7b  |                      | The Board of Directors and Executive Committee votes are by the whole association Other than that, there is no approval of votes by the Board of Directors |
| Form 990, Part VI, Section B, line 11  |                      | The form 990 will be circulated to the Executive Committee of the Board by email for information before filing with the Internal Revenue Service           |
| Form 990, Part VI, Section B, line 15a |                      | The organization works with an outside consultant to consult on salaries The consultant uses comparability data to determine reasonable compensation       |
| Form 990, Part VI, Section C, line 19  |                      | The governing documents, financial statements and conflict of interest policy are made available to the public upon request                                |



Additional Data

Software ID:  
Software Version:  
EIN: 25-1064082  
Name: national association of water companies

Form 990, Part III - 4 Program Service Accomplishments (See the Instructions)

|   |                |                        |               |
|---|----------------|------------------------|---------------|
| 4d. Other program services  |                |                        |               |
| (Code   | ) (Expenses \$ | including grants of \$ | ) (Revenue \$ |
| Regulatory affairs provide liaison and information of interest to member companies from state regulatory agencies Provide regular updates of regulatory decisions in each state to 150 member companies |                |                        |               |

Form 990, Part VII - Compensation of Officers, Directors, Trustees, Key Employees, Highest Compensated Employees, and Independent Contractors

| (A)<br>Name and Title                     | (B)<br>Average hours per week | (C)<br>Position (check all that apply) |                       |         |              |                              |        | (D)<br>Reportable compensation from the organization (W-2/1099-MISC) | (E)<br>Reportable compensation from related organizations (W-2/1099-MISC) | (F)<br>Estimated amount of other compensation from the organization and related organizations |
|---|-------------------------------|--|-----------------------|---------|--------------|------------------------------|--------|--|---|---|
|   |                               | Individual trustee or director         | Institutional Trustee | Officer | Key employee | Highest compensated employee | Former |  |   |   |
| ERIC W THornburg<br>President             | 1 00                          | X                                      |                       |         |              |                              |        | 0  | 0   | 0   |
| Laurent Auguste<br>Board Member           | 1 00                          | X                                      |                       |         |              |                              |        | 0  | 0   | 0   |
| Richard M D'Amato II<br>Board Member      | 1 00                          | X                                      |                       |         |              |                              |        | 0  | 0   | 0   |
| Nicholas DeBenedictis<br>Board Member     | 1 00                          | X                                      |                       |         |              |                              |        | 0  | 0   | 0   |
| Dennis Doll<br>Board Member               | 1 00                          | X                                      |                       |         |              |                              |        | 0  | 0   | 0   |
| Charles V Firlotte<br>Board Member        | 1 00                          | X                                      |                       |         |              |                              |        | 0  | 0   | 0   |
| Leonard F Graziano<br>Board Member        | 1 00                          | X                                      |                       |         |              |                              |        | 0  | 0   | 0   |
| Jeffrey Hines<br>Board Member             | 1 00                          | X                                      |                       |         |              |                              |        | 0  | 0   | 0   |
| John Hoy<br>Board Member                  | 1 00                          | X                                      |                       |         |              |                              |        | 0  | 0   | 0   |
| Robert J Iacullo<br>Board Member          | 1 00                          | X                                      |                       |         |              |                              |        | 0  | 0   | 0   |
| Palle Jensen<br>Board Member              | 1 00                          | X                                      |                       |         |              |                              |        | 0  | 0   | 0   |
| Patrick J Kerr<br>Board Member            | 1 00                          | X                                      |                       |         |              |                              |        | 0  | 0   | 0   |
| Marty Kropelnicki<br>Board Member         | 1 00                          | X                                      |                       |         |              |                              |        | 0  | 0   | 0   |
| Walter Lynch<br>Board Member              | 1 00                          | X                                      |                       |         |              |                              |        | 0  | 0   | 0   |
| Donald Morrissey<br>Board Member          | 1 00                          | X                                      |                       |         |              |                              |        | 0  | 0   | 0   |
| Charles W Profilet<br>Board Member        | 1 00                          | X                                      |                       |         |              |                              |        | 0  | 0   | 0   |
| Lisa Sparrow<br>Board Member              | 1 00                          | X                                      |                       |         |              |                              |        | 0  | 0   | 0   |
| Robert J Sprowls<br>Board Member          | 1 00                          | X                                      |                       |         |              |                              |        | 0  | 0   | 0   |
| Mark Strauss<br>Board Member              | 1 00                          | X                                      |                       |         |              |                              |        | 0  | 0   | 0   |
| Susan Suhanovsky<br>Board Member          | 1 00                          | X                                      |                       |         |              |                              |        | 0  | 0   | 0   |
| Sandra C Sullivan<br>Board Member         | 1 00                          | X                                      |                       |         |              |                              |        | 0  | 0   | 0   |
| Dian C Taylor<br>Board Member             | 1 00                          | X                                      |                       |         |              |                              |        | 0  | 0   | 0   |
| Maureen P Westbrook<br>Board Member       | 1 00                          | X                                      |                       |         |              |                              |        | 0  | 0   | 0   |
| Michael L Whitehead<br>Board Member       | 1 00                          | X                                      |                       |         |              |                              |        | 0  | 0   | 0   |
| Sharon Gascon<br>Deputy Executive Directo | 37 00                         |  |                       | X       |              |                              |        | 186,778  | 0   | 0   |

| (A)<br>Name and Title                        | (B)<br>Average<br>hours<br>per<br>week | (C)<br>Position (check all<br>that apply) |                       |         |              |                                 |        | (D)<br>Reportable<br>compensation<br>from the<br>organization (W-<br>2/1099-MISC) | (E)<br>Reportable<br>compensation<br>from related<br>organizations<br>(W- 2/1099-<br>MISC) | (F)<br>Estimated<br>amount of other<br>compensation<br>from the<br>organization and<br>related<br>organizations |
|--|--|---|-----------------------|---------|--------------|---------------------------------|--------|---|--|---|
|  |  | Individual trustee<br>or director         | Institutional Trustee | Officer | Key employee | Highest compensated<br>employee | Former |   |  |   |
| Mike Horner<br>Director of Administration    | 37.00                                  |   |                       | X       |              |                                 |        | 126,137   | 0  | 0   |
| Louis Jenny<br>Director of Federal Relations | 37.00                                  |   |                       | X       |              |                                 |        | 124,947   | 0  | 0   |
| Michael Deane<br>Executive Director          | 37.00                                  |   |                       | X       |              |                                 |        | 159,082   | 0  | 0   |
| Peter Cook<br>Executive Director             | 37.00                                  |   |                       |         |              |                                 | X      | 126,065   | 0  | 0   |

Form 990, Part IX - Statement of Functional Expenses - 24a - 24e Other Expenses

| <i>Do not include amounts reported on line 6b, 8b, 9b, and 10b of Part VIII.</i> | (A)<br>Total expenses | (B)<br>Program service expenses | (C)<br>Management and general expenses | (D)<br>Fundraising expenses |
|--|-----------------------|---------------------------------|--|-----------------------------|
| Dues & Subscriptions   | 64,816                |                                 |  |                             |
| Miscellaneous Expense  | 15,682                |                                 |  |                             |
| F&O Data report  | 14,834                |                                 |  |                             |
| Contribution Expense   | 10,800                |                                 |  |                             |
| PAC Administration   | 207                   |                                 |  |                             |