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Form **990**Department of the Treasury
Internal Revenue Service**Return of Organization Exempt From Income Tax**Under section 501(c), 527, or 4947(a)(1) of the Internal Revenue Code (except black lung
benefit trust or private foundation)

▶ The organization may have to use a copy of this return to satisfy state reporting requirements

OMB No 1545-0047

2009Open to Public
Inspection**A For the 2009 calendar year, or tax year beginning****and ending****B** Check if
applicable

- ☐ Address
change
- ☐ Name
change
- ☐ Initial
return
- ☐ Termin-
ated
- ☐ Amend-
ed return
- ☐ Applica-
tion
pending

Please
use IRS
label or
print or
typeSee
Specific
Instruc-
tions**C Name of organization****NORTH AMERICAN SECURITIES ADMINISTRATORS
ASSOCIATION, INC.**

Doing Business As

Number and street (or P.O. box if mail is not delivered to street address)

Room/suite

City or town, state or country, and ZIP + 4

750 FIRST STREET, N.E.
WASHINGTON, DC 20002**F Name and address of principal officer: DENISE VOIGT CRAWFORD****208 EAST 10TH ST 5TH FLOOR, AUSTIN, TX 7870****D Employer identification number****47-0730228****E Telephone number****202-737-0900****G Gross receipts \$****4,382,361.****H(a) Is this a group return**

for affiliates?

☐ Yes ☒ No**H(b) Are all affiliates included?**☐ Yes ☐ No

If "No," attach a list. (see instructions)

H(c) Group exemption number ▶**I Tax-exempt status:** ☒ 501(c) (3) ◀ (insert no.) ☐ 4947(a)(1) or ☐ 527**J Website:** **WWW.NASAA.ORG****K Form of organization:** ☒ Corporation ☐ Trust ☐ Association ☐ Other ▶**L Year of formation:** **1919** **M State of legal domicile:** **DC****Part I Summary**

		Prior Year	Current Year
Activities & Governance	1 Briefly describe the organization's mission or most significant activities. NASAA REPRESENTS AND SERVES ITS MEMBERS THROUGH ADVOCACY, EDUCATION, SUBJECT MATTER EXPERTISE,		
	2 Check this box <input type="checkbox"/> if the organization discontinued its operations or disposed of more than 25% of its net assets.		
	3 Number of voting members of the governing body (Part VI, line 1a)	3	9
	4 Number of independent voting members of the governing body (Part VI, line 1b)	4	9
	5 Total number of employees (Part V, line 2a)	5	21
	6 Total number of volunteers (estimate if necessary)	6	0
Revenue	7a Total gross unrelated business revenue from Part VIII, column (C), line 12	7a	0.
	b Net unrelated business taxable income from Form 990-T, line 34	7b	0.
Expenses	8 Contributions and grants (Part VIII, line 1h)		
	9 Program service revenue (Part VIII, line 2g)	4,907,229.	4,047,985.
	10 Investment income (Part VIII, column (A), lines 3, 4, and 7d)	307,362.	159,515.
	11 Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e)	228,453.	174,861.
	12 Total revenue - add lines 8 through 11 (must equal Part VIII, column (A), line 12)	5,443,044.	4,382,361.
	13 Grants and similar amounts paid (Part IX, column (A), lines 1-3)		
	14 Benefits paid to or for members (Part IX, column (A), line 4)		
Net Assets or Fund Balances	15 Salaries, other compensation, employee benefits (Part IX, column (A), lines 5-10)	2,108,231.	2,314,496.
	16a Professional fundraising fees (Part IX, column (A), line 11e)		
	b Total fundraising expenses (Part IX, column (A), line 25) ▶		
	17 Other expenses (Part IX, column (A), lines 11a-11d, 11f-24f)	4,287,907.	3,081,823.
	18 Total expenses Add lines 13-17 (must equal Part IX, column (A), line 25)	6,396,138.	5,396,319.
19 Revenue less expenses Subtract line 18 from line 12	<953,094.>	<1,013,958.>	
Net Assets or Fund Balances	20 Total assets (Part X, line 1b)	Beginning of Current Year	End of Year
	21 Total liabilities (Part X, line 26)	8,132,291.	6,875,688.
	22 Net assets or fund balances. Subtract line 21 from line 20	680,047.	558,436.
		7,452,244.	6,317,252.

Part II Signature Block

Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete. Declaration of preparer (other than officer) is based on all information of which preparer has any knowledge.

Sign Here ▶ *John H. Lynch* Signature of officer Date **11/10/2010**

▶ **JOHN H. LYNCH, DEPUTY EXECUTIVE DIRECTOR** Type or print name and title

Paid Preparer's Use Only

Preparer's signature ▶ **ROMANO & MITCHELL, CHARTERED** Date
Firm's name (or yours if self-employed), address, and ZIP + 4 ▶ **7910 WOODMONT AVE. SUITE 1110**
BETHESDA, MARYLAND 20814

Check if self-employed ☐ Preparer's identifying number (see instructions) ▶ **EIN ▶ 3016525040**

Phone no. ▶ **3016525040**

May the IRS discuss this return with the preparer shown above? (see instructions)

☒ Yes ☐ No

932001 02-04-10

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

Form **990** (2009)**SEE SCHEDULE O FOR ORGANIZATION MISSION STATEMENT CONTINUATION**

SCANNED DEC 03 2010

Part III Statement of Program Service Accomplishments

1. Briefly describe the organization's mission:

NASAA REPRESENTS AND SERVES ITS MEMBERS THROUGH ADVOCACY, EDUCATION,
SUBJECT MATTER EXPERTISE, COMMUNICATION, AND COORDINATION.

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 \$ 372,267. including grants of \$) (Revenue \$ 108,500.)

AN ANNUAL FALL CONFERENCE IS HELD EACH YEAR IN A DIFFERENT CITY TO
ATTRACT WORLD-WIDE PARTICIPANTS IN THE EDUCATIONAL PANELS.

4b (Code:) (Expenses \$ 148,502. including grants of \$) (Revenue \$ 13,400.)

AN ANNUAL SPRING CONFERENCE IS HELD EACH YEAR IN WASHINGTON, DC IN
CONJUNCTION WITH A FULL MEMBERSHIP MEETING. BOTH SERVE TO UPDATE
PARTICIPANTS AND MEMBERS ON CURRENT EVENTS PERTAINING TO SECURITIES
ADMINISTRATION.

4c (Code:) (Expenses \$ 1,650,595. including grants of \$) (Revenue \$ 3,926,085.)

OTHER CONFERENCES, PROGRAMS AND ACTIVITIES ARE ORCHESTRATED THROUGHOUT
THE YEAR TO PROVIDE TRAINING AND EDUCATION TO MEMBERS WHO DEAL WITH
SECURITIES REGULATION AND ENFORCEMENT MATTERS.

4d Other program services. (Describe in Schedule O.)

(Expenses \$ including grants of \$) (Revenue \$)

4e Total program service expenses ► \$ 2,171,364.

Part IV Checklist of Required Schedules

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

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Part IV Checklist of Required Schedules (continued)

	Yes	No
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>		X
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>		X
23 Did the organization answer "Yes" to Part VII, Section A, line 3, 4, or 5 about compensation of the organization's current and former officers, directors, trustees, key employees, and highest compensated employees? <i>If "Yes," complete Schedule J</i>	X	
24a Did the organization have a tax-exempt bond issue with an outstanding principal amount of more than \$100,000 as of the last day of the year, that was issued after December 31, 2002? <i>If "Yes," answer lines 24b through 24d and complete Schedule K. If "No," go to line 25</i>		X
24b Did the organization invest any proceeds of tax-exempt bonds beyond a temporary period exception?		
24c Did the organization maintain an escrow account other than a refunding escrow at any time during the year to defease any tax-exempt bonds?		
24d Did the organization act as an "on behalf of" issuer for bonds outstanding at any time during the year?		
25a Section 501(c)(3) and 501(c)(4) organizations. Did the organization engage in an excess benefit transaction with a disqualified person during the year? <i>If "Yes," complete Schedule L, Part I</i>		X
25b 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>		X
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>		X
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>		X
28 Was the organization a party to a business transaction with one of the following parties, (see Schedule L, Part IV instructions for applicable filing thresholds, conditions, and exceptions):		
28a A current or former officer, director, trustee, or key employee? <i>If "Yes," complete Schedule L, Part IV</i>		X
28b A family member of a current or former officer, director, trustee, or key employee? <i>If "Yes," complete Schedule L, Part IV</i>		X
28c 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 direct or indirect owner? <i>If "Yes," complete Schedule L, Part IV</i>		X
29 Did the organization receive more than \$25,000 in non-cash contributions? <i>If "Yes," complete Schedule M</i>		X
30 Did the organization receive contributions of art, historical treasures, or other similar assets, or qualified conservation contributions? <i>If "Yes," complete Schedule M</i>		X
31 Did the organization liquidate, terminate, or dissolve and cease operations? <i>If "Yes," complete Schedule N, Part I</i>		X
32 Did the organization sell, exchange, dispose of, or transfer more than 25% of its net assets? <i>If "Yes," complete Schedule N, Part II</i>		X
33 Did the organization own 100% of an entity disregarded as separate from the organization under Regulations sections 301.7701-2 and 301.7701-3? <i>If "Yes," complete Schedule R, Part I</i>		X
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>		X
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>		X
36 Section 501(c)(3) organizations. Did the organization make any transfers to an exempt non-charitable related organization? <i>If "Yes," complete Schedule R, Part V, line 2</i>		X
37 Did the organization conduct more than 5% of its activities through an entity that is not a related organization and that is treated as a partnership for federal income tax purposes? <i>If "Yes," complete Schedule R, Part VI</i>		X
38 Did the organization complete Schedule O and provide explanations in Schedule O for Part VI, lines 11 and 19?	X	

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

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Part V Statements Regarding Other IRS Filings and Tax Compliance

		Yes	No
1a	Enter the number reported in Box 3 of Form 1096, Annual Summary and Transmittal of U.S. Information Returns. Enter -0- if not applicable.		
1b	Enter the number of Forms W-2G included in line 1a. Enter -0- if not applicable.		
c	Did the organization comply with backup withholding rules for reportable payments to vendors and reportable gaming (gambling) winnings to prize winners?	X	
2a	Enter the number of employees reported on Form W-3, Transmittal of Wage and Tax Statements, filed for the calendar year ending with or within the year covered by this return.		
b	If at least one is reported on line 2a, did the organization file all required federal employment tax returns? Note. If the sum of lines 1a and 2a is greater than 250, you may be required to e-file this return (see instructions).	X	
3a	Did the organization have unrelated business gross income of \$1,000 or more during the year covered by this return?		X
b	If "Yes," has it filed a Form 990-T for this year? If "No," provide an explanation in Schedule O.		
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)?		X
b	If "Yes," enter the name of the foreign country. 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?		X
b	Did any taxable party notify the organization that it was or is a party to a prohibited tax shelter transaction?		X
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?		
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?		X
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?		X
b	If "Yes," did the organization notify the donor of the value of the goods or services provided?		
c	Did the organization sell, exchange, or otherwise dispose of tangible personal property for which it was required to file Form 8282?		X
d	If "Yes," indicate the number of Forms 8282 filed during the year.		
e	Did the organization, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?		
f	Did the organization, during the year, pay premiums, directly or indirectly, on a personal benefit contract?		
g	For all contributions of qualified intellectual property, did the organization file Form 8899 as required?		
h	For contributions of cars, boats, airplanes, and other vehicles, did the organization file a Form 1098-C as required?		
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?		
9	Sponsoring organizations maintaining donor advised funds.		
a	Did the organization make any taxable distributions under section 4966?		
b	Did the organization make a distribution to a donor, donor advisor, or related person?		
10	Section 501(c)(7) organizations. Enter:		
a	Initiation fees and capital contributions included on Part VIII, line 12.		
b	Gross receipts, included on Form 990, Part VIII, line 12, for public use of club facilities.		
11	Section 501(c)(12) organizations. Enter:		
a	Gross income from members or shareholders.		
b	Gross income from other sources (Do not net amounts due or paid to other sources against amounts due or received from them.)		
12a	Section 4947(a)(1) non-exempt charitable trusts. Is the organization filing Form 990 in lieu of Form 1041?		
b	If "Yes," enter the amount of tax-exempt interest received or accrued during the year.		

Form 990 (2009)

Part VI Governance, Management, and Disclosure For each "Yes" response to lines 2 through 7b below, and for a "No" response to line 8a, 8b, or 10b below, describe the circumstances, processes, or changes in Schedule O. See instructions.**Section A. Governing Body and Management**

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

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?		X
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?		
11 Has the organization provided a copy of this Form 990 to all members of its governing body before filing the form?	X	
11A Describe in Schedule O the process, if any, used by the organization to review this Form 990.		
12a Does the organization have a written conflict of interest policy? If "No," go to line 13	X	
b Are officers, directors or trustees, and key employees required to disclose annually interests that could give rise to conflicts?	X	
c Does the organization regularly and consistently monitor and enforce compliance with the policy? If "Yes," describe in Schedule O how this is done	X	
13 Does the organization have a written whistleblower policy?	X	
14 Does the organization have a written document retention and destruction policy?	X	
15 Did the process for determining compensation of the following persons include a review and approval by independent persons, comparability data, and contemporaneous substantiation of the deliberation and decision?		
a The organization's CEO, Executive Director, or top management official	X	
b Other officers or key employees of the organization		X
If "Yes" to line 15a or 15b, describe the process in Schedule O. (See instructions.)		
16a Did the organization invest in, contribute assets to, or participate in a joint venture or similar arrangement with a taxable entity during the year?		X
b If "Yes," 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?		

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 Forms 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.
☐ Own website ☐ Another's website ☒ 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

20 State the name, physical address, and telephone number of the person who possesses the books and records of the organization: **▶**
JOHN LYNCH - (202) 737-0900
750 FIRST ST., NE, #1140, WASHINGTON, DC 20002

Part VII Compensation of Officers, Directors, Trustees, Key Employees, Highest Compensated Employees, and Independent Contractors**Section A. Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees**

1a Complete this table for all persons required to be listed. Report compensation for the calendar year ending with or within the organization's tax year. Use Schedule J-2 if additional space is needed.

• List all of the organization's **current** officers, directors, trustees (whether individuals or organizations), regardless of amount of compensation. Enter -0- in columns (D), (E), and (F) if no compensation was paid.

• List all of the organization's **current** key employees. See instructions for definition of "key employee."

• List the organization's five **current** highest compensated employees (other than an officer, director, trustee, or key employee) who received reportable compensation (Box 5 of Form W-2 and/or Box 7 of Form 1099-MISC) of more than \$100,000 from the organization and any related organizations.

• List all of the organization's **former** officers, key employees, and highest compensated employees who received more than \$100,000 of reportable compensation from the organization and any related organizations.

• List all of the organization's **former** directors or trustees that received, in the capacity as a former director or trustee of the organization, more than \$10,000 of reportable compensation from the organization and any related organizations.

List persons in the following order: individual trustees or directors; institutional trustees; officers; key employees; highest compensated employees; and former such persons.

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

(A) Name and Title	(B) Average hours per week	(C) Position (check all that apply)						(D) Reportable compensation from the organization (W-2/1099-MISC)	(E) Reportable compensation from related organizations (W-2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Institutional trustee	Officer	Key employee	Highest compensated employee	Former			
DAVID MASSEY PRESIDENT-ELECT/DIRECTOR	8.00	X						0.	0.	0.
JOSEPH P. BORG DIRECTOR	8.00	X						0.	0.	0.
DENISE VOIGT CRAWFORD PRESIDENT/DIRECTOR	8.00	X		X				0.	0.	0.
CHRISTOPHER BIGGS DIRECTOR	8.00	X						0.	0.	0.
MELANIE LUBIN DIRECTOR	8.00	X						0.	0.	0.
FRED J. JOSEPH PAST PRESIDENT/DIRECTOR	8.00	X						0.	0.	0.
MARK CONNOLLY TREASURER/DIRECTOR	8.00	X		X				0.	0.	0.
RICK HANCOX SECRETARY/DIRECTOR	8.00	X		X				0.	0.	0.
BRUCE KOHL DIRECTOR	8.00	X						0.	0.	0.
JOHN H. LYNCH DEPUTY EXEC. DIRECTOR	40.00			X				191,078.	0.	36,115.
RUSS IUCULANO EXECUTIVE DIRECTOR	40.00			X				215,696.	0.	40,009.
TINA STAVROU ASSISTANT GENERAL COUNSEL	40.00					X		117,251.	0.	18,166.
REX STAPLES GENERAL COUNSEL	40.00					X		167,828.	0.	26,433.
ROBERT WEBSTER COMMUNICATIONS DIRECTOR	40.00					X		137,828.	0.	29,753.
DEBORAH FISCHIONE-HOUSE POLICY DIRECTOR	40.00					X		162,828.	0.	25,638.
STEPHEN HALL DEPUTY GENERAL COUNSEL	40.00					X		167,954.	0.	10,773.

Part VII	Section A. Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees (continued)
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[illegible]

1b Total	▶	1,160,463.	0.	186,887.
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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 ►

8

3 Did the organization list any **former** officer, director or trustee, key employee, or highest compensated employee on line 1a? If "Yes," complete Schedule J for such individual

4 For any individual listed on line 1a, is the sum of reportable compensation and other compensation from the organization and related organizations greater than \$150,000? If "Yes," complete Schedule J for such individual

5 Did any person listed on line 1a receive or accrue compensation from any unrelated organization for services rendered to the organization? If "Yes," complete Schedule J for such person

	Yes	No
3		X
4	X	
5		X

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) Name and business address	(B) Description of services	(C) Compensation
SOFTWARE CONSULTING SERVICES, LLC 629 LAKELAND EAST DRIVE, FLOWOOD, MS 39232	CONSULTANT-SOFTWARE R&D AND DESIGN	266,667.
GERARD F. FOLEY 13508 DARNESTOWN ROAD, DARNESTOWN, MD 20878	CONSULTANT-REGISTRAR ION DEPOSITORY	140,004.
PROMETRIC, INC., 1501 SOUTH CLINTON STREET, BALTIMORE, MD 21224	CONSULTANT-EXAMS	138,110.

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 ▶ 3

3

**NORTH AMERICAN SECURITIES ADMINISTRATORS
ASSOCIATION, INC.**

Part VII Statement of Revenue

			(A) Total revenue	(B) Related or exempt function revenue	(C) Unrelated business revenue	(D) Revenue excluded from tax under sections 512, 513, or 514
Contributions, gifts, grants and other similar amounts	1 a 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 similar amounts not included above	1f				
	g Noncash contributions included in lines 1a-1f \$					
	h Total. Add lines 1a-1f					
Program Service Revenue	2 a EXAM FEES & GUIDES	Business Code 900099	3,844,885.	3,844,885.		
	b CONFERENCES	900099	125,825.	125,825.		
	c TRAINING EVENTS	900099	16,975.	16,975.		
	d					
	e					
	f All other program service revenue	900099	60,300.	60,300.		
	g Total. Add lines 2a-2f		4,047,985.			
	Other Revenue	3 Investment income (including dividends, interest, and other similar amounts)		159,515.		
4 Income from investment of tax-exempt bond proceeds						
5 Royalties						
6 a Gross Rents		(i) Real (ii) Personal				
b Less: rental expenses						
c Rental income or (loss)						
d Net rental income or (loss)						
7 a Gross amount from sales of assets other than inventory		(i) Securities (ii) Other				
b Less: cost or other basis and sales expenses						
c Gain or (loss)						
d Net gain or (loss)						
8 a Gross income from fundraising events (not including \$ _____ of contributions reported on line 1c). See Part IV, line 18		a				
b Less: direct expenses		b				
c Net income or (loss) from fundraising events						
9 a Gross income from gaming activities. See Part IV, line 19		a				
b Less: direct expenses		b				
c Net income or (loss) from gaming activities						
10 a Gross sales of inventory, less returns and allowances		a				
b Less: cost of goods sold		b				
c Net income or (loss) from sales of inventory						
Miscellaneous Revenue		Business Code				
11 a SETTLEMENT INCOME	900099	115,200.			115,200.	
b ROYALTIES	900099	59,251.			59,251.	
c MISCELLANEOUS	900099	410.			410.	
d All other revenue						
e Total. Add lines 11a-11d		174,861.				
12 Total revenue. See instructions.		4,382,361.	4,047,985.	0.	334,376.	

**NORTH AMERICAN SECURITIES ADMINISTRATORS
ASSOCIATION, INC.**

Form 990 (2009)

47-0730228 Page 10

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) Total expenses	(B) Program service expenses	(C) Management and general expenses	(D) 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	485,706.		485,706.	
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	1,474,232.		1,474,232.	
8 Pension plan contributions (include section 401(k) and section 403(b) employer contributions)	122,222.		122,222.	
9 Other employee benefits	111,653.		111,653.	
10 Payroll taxes	120,683.		120,683.	
11 Fees for services (non-employees):				
a Management				
b Legal	9,890.	9,890.		
c Accounting	18,409.		18,409.	
d Lobbying				
e Professional fundraising services. See Part IV, line 17				
f Investment management fees				
g Other	393,068.	393,068.		
12 Advertising and promotion				
13 Office expenses	3,823.	3,823.		
14 Information technology	25,163.		25,163.	
15 Royalties				
16 Occupancy	318,259.		318,259.	
17 Travel	1,508,866.	1,212,204.	296,662.	
18 Payments of travel or entertainment expenses for any federal, state, or local public officials				
19 Conferences, conventions, and meetings	501,800.	501,800.		
20 Interest				
21 Payments to affiliates				
22 Depreciation, depletion, and amortization	16,341.		16,341.	
23 Insurance	5,979.		5,979.	
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 PRINTING AND PUBLICATIONS	109,037.	11,182.	97,855.	
b EQUIPMENT RENTAL AND MAINTENANCE	81,529.	39,397.	42,132.	
c SUPPLIES	22,526.		22,526.	
d MEDIA EVENTS	20,139.		20,139.	
e TELEPHONE	17,545.		17,545.	
f All other expenses	29,449.		29,449.	
25 Total functional expenses. Add lines 1 through 24f	5,396,319.	2,171,364.	3,224,955.	0.
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) Beginning of year		(B) End of year
Assets	1 Cash - non-interest-bearing		1	
	2 Savings and temporary cash investments	357,343.	2	400,351.
	3 Pledges and grants receivable, net		3	
	4 Accounts receivable, net	307,736.	4	308,144.
	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	103,655.	9	82,472.
	10a Land, buildings, and equipment. cost or other basis. Complete Part VI of Schedule D	10a 570,723.		
	b Less accumulated depreciation	10b 248,270.	10c 42,749.	322,453.
	11 Investments - publicly traded securities	7,249,571.	11	5,725,072.
	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	71,237.	15	37,196.
16 Total assets. Add lines 1 through 15 (must equal line 34)	8,132,291.	16	6,875,688.	
Liabilities	17 Accounts payable and accrued expenses	677,952.	17	555,716.
	18 Grants payable		18	
	19 Deferred revenue		19	
	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	2,095.	25	2,720.
	26 Total liabilities. Add lines 17 through 25	680,047.	26	558,436.
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	7,452,244.	27	6,317,252.
	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	7,452,244.	33	6,317,252.
	34 Total liabilities and net assets/fund balances	8,132,291.	34	6,875,688.

Form 990 (2009)

Part XI Financial Statements and Reporting

1 Accounting method used to prepare the Form 990. ☐ Cash ☒ Accrual ☐ Other _____
If the organization changed its method of accounting from a prior year or checked "Other," explain in Schedule O

2a Were the organization's financial statements compiled or reviewed by an independent accountant?

b Were the organization's financial statements audited by an independent accountant?

c If "Yes" to line 2a or 2b, does the organization have a committee that assumes responsibility for oversight of the audit, review, or compilation of its financial statements and selection of an independent accountant?

If the organization changed either its oversight process or selection process during the tax year, explain in Schedule O.

d 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:

☒ Separate basis ☐ Consolidated basis ☐ Both consolidated and separate basis

3a As a result of a federal award, was the organization required to undergo an audit or audits as set forth in the Single Audit Act and OMB Circular A-133?

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

	Yes	No
2a		X
2b	X	
2c	X	
3a		X
3b		

Form 990 (2009)

Department of the Treasury
Internal Revenue Service

Complete if the organization is a section 501(c)(3) organization or a section 4947(a)(1) nonexempt charitable trust.

OMB No 1545-0047

2009

**Open to Public
Inspection**

Employer identification number
47-0730228

The organization is not a private foundation because it is: (For lines 1 through 11, check only one box.)

- 1 ☐ A church, convention of churches, or association of churches described in **section 170(b)(1)(A)(i).**

2 ☐ A school described in **section 170(b)(1)(A)(ii).** (Attach Schedule E.)

3 ☐ A hospital or a cooperative hospital service organization described in **section 170(b)(1)(A)(iii).**

4 ☐ A medical research organization operated in conjunction with a hospital described in **section 170(b)(1)(A)(iii).** Enter the hospital's name, city, and state: _____

5 ☐ An organization operated for the benefit of a college or university owned or operated by a governmental unit described in **section 170(b)(1)(A)(iv).** (Complete Part II.)

6 ☐ A federal, state, or local government or governmental unit described in **section 170(b)(1)(A)(v).**

7 ☐ An organization that normally receives a substantial part of its support from a governmental unit or from the general public described in **section 170(b)(1)(A)(vi).** (Complete Part II.)

8 ☐ A community trust described in **section 170(b)(1)(A)(vi).** (Complete Part II.)

9 ☒ An organization that normally receives: (1) more than 33 1/3% of its support from contributions, membership fees, and gross receipts from activities related to its exempt functions - subject to certain exceptions, and (2) no more than 33 1/3% of its support from gross investment income and unrelated business taxable income (less section 511 tax) from businesses acquired by the organization after June 30, 1975. See **section 509(a)(2).** (Complete Part III.)

10 ☐ An organization organized and operated exclusively to test for public safety. See **section 509(a)(4).**

11 ☐ An organization organized and operated exclusively for the benefit of, to perform the functions of, or to carry out the purposes of one or more publicly supported organizations described in section 509(a)(1) or section 509(a)(2). See **section 509(a)(3).** Check the box that describes the type of supporting organization and complete lines 11e through 11h.

a ☐ Type I b ☐ Type II c ☐ Type III - Functionally integrated d ☐ Type III - Other

e ☐ By checking this box, I certify that the organization is not controlled directly or indirectly by one or more disqualified persons other than foundation managers and other than one or more publicly supported organizations described in section 509(a)(1) or section 509(a)(2)

f ☐ If the organization received a written determination from the IRS that it is a Type I, Type II, or Type III supporting organization, check this box

g ☐ Since August 17, 2006, has the organization accepted any gift or contribution from any of the following persons?

(i) A person who directly or indirectly controls, either alone or together with persons described in (ii) and (iii) below, the governing body of the supported organization?

(ii) A family member of a person described in (i) above?

(iii) A 35% controlled entity of a person described in (i) or (ii) above?

h ☐ Provide the following information about the supported organization(s).

	Yes	No
11g(i)		
11g(ii)		
11g(iii)		

[illegible]**Total**

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Schedule A (Form 990 or 990-EZ) 2009

Part II Support Schedule for Organizations Described in Sections 170(b)(1)(A)(iv) and 170(b)(1)(A)(vi)

(Complete only if you checked the box on line 5, 7, or 8 of Part I.)

Section A. Public Support

Calendar year (or fiscal year beginning in) ▶	(a) 2005	(b) 2006	(c) 2007	(d) 2008	(e) 2009	(f) Total
1 Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grants.")						
2 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf						
3 The value of services or facilities furnished by a governmental unit to the organization without charge						
4 Total. Add lines 1 through 3						
5 The portion of total contributions by each person (other than a governmental unit or publicly supported organization) included on line 1 that exceeds 2% of the amount shown on line 11, column (f)						
6 Public support. Subtract line 5 from line 4						

Section B. Total Support

Calendar year (or fiscal year beginning in) ▶	(a) 2005	(b) 2006	(c) 2007	(d) 2008	(e) 2009	(f) Total
7 Amounts from line 4						
8 Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources						
9 Net income from unrelated business activities, whether or not the business is regularly carried on						
10 Other income. Do not include gain or loss from the sale of capital assets (Explain in Part IV)						
11 Total support. Add lines 7 through 10						
12 Gross receipts from related activities, etc. (see instructions)					12	
13 First five years. If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and stop here <input type="checkbox"/>						

Section C. Computation of Public Support Percentage

14 Public support percentage for 2009 (line 6, column (f) divided by line 11, column (f))	14	%
15 Public support percentage from 2008 Schedule A, Part II, line 14	15	%
16a 33 1/3% support test - 2009. If the organization did not check the box on line 13, and line 14 is 33 1/3% or more, check this box and stop here. The organization qualifies as a publicly supported organization <input type="checkbox"/>		
b 33 1/3% support test - 2008. If the organization did not check a box on line 13 or 16a, and line 15 is 33 1/3% or more, check this box and stop here. The organization qualifies as a publicly supported organization <input type="checkbox"/>		
17a 10% -facts-and-circumstances test - 2009. If the organization did not check a box on line 13, 16a, or 16b, and line 14 is 10% or more, and if the organization meets the "facts-and-circumstances" test, check this box and stop here. Explain in Part IV how the organization meets the "facts-and-circumstances" test The organization qualifies as a publicly supported organization <input type="checkbox"/>		
b 10% -facts-and-circumstances test - 2008. If the organization did not check a box on line 13, 16a, 16b, or 17a, and line 15 is 10% or more, and if the organization meets the "facts-and-circumstances" test, check this box and stop here. Explain in Part IV how the organization meets the "facts-and-circumstances" test The organization qualifies as a publicly supported organization <input type="checkbox"/>		
18 Private foundation. If the organization did not check a box on line 13, 16a, 16b, 17a, or 17b, check this box and see instructions <input type="checkbox"/>		

Schedule A (Form 990 or 990-EZ) 2009

NORTH AMERICAN SECURITIES ADMINISTRATORS

Schedule A (Form 990 or 990-EZ) 2009 **ASSOCIATION, INC.**

47-0730228 Page 3

Part III Support Schedule for Organizations Described in Section 509(a)(2) (Complete only if you checked the box on line 9 of Part I.)

Section A. Public Support

Calendar year (or fiscal year beginning in)▶	(a) 2005	(b) 2006	(c) 2007	(d) 2008	(e) 2009	(f) Total
1 Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grants.")	60,000.	60,300.	60,300.	60,300.	60,300.	301,200.
2 Gross receipts from admissions, merchandise sold or services performed, or facilities furnished in any activity that is related to the organization's tax-exempt purpose	5001261.	5287825.	5618073.	4846929.	3987685.	24741773.
3 Gross receipts from activities that are not an unrelated trade or business under section 513						
4 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf						
5 The value of services or facilities furnished by a governmental unit to the organization without charge						
6 Total. Add lines 1 through 5	5061261.	5348125.	5678373.	4907229.	4047985.	25042973.
7a Amounts included on lines 1, 2, and 3 received from disqualified persons						0.
b Amounts included on lines 2 and 3 received from other than disqualified persons that exceed the greater of \$5,000 or 1% of the amount on line 13 for the year						0.
c Add lines 7a and 7b						0.
8 Public support (Subtract line 7c from line 6)						25042973.

Section B. Total Support

Calendar year (or fiscal year beginning in)▶	(a) 2005	(b) 2006	(c) 2007	(d) 2008	(e) 2009	(f) Total
9 Amounts from line 6	5061261.	5348125.	5678373.	4907229.	4047985.	25042973.
10a Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources	237,704.	325,701.	404,405.	365,196.	218,766.	1551772.
b Unrelated business taxable income (less section 511 taxes) from businesses acquired after June 30, 1975						
c Add lines 10a and 10b	237,704.	325,701.	404,405.	365,196.	218,766.	1551772.
11 Net income from unrelated business activities not included in line 10b, whether or not the business is regularly carried on						
12 Other income. Do not include gain or loss from the sale of capital assets (Explain in Part IV)	369.	350,334.	34.	170,619.	115,611.	636,967.
13 Total support (Add lines 9, 10c, 11, and 12)	5299334.	6024160.	6082812.	5443044.	4382362.	27231712.
14 First five years. If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and stop here ▶ <input type="checkbox"/>						

Section C. Computation of Public Support Percentage

15 Public support percentage for 2009 (line 8, column (f) divided by line 13, column (f))	15	91.96 %
16 Public support percentage from 2008 Schedule A, Part III, line 15	16	92.58 %

Section D. Computation of Investment Income Percentage

17 Investment income percentage for 2009 (line 10c, column (f) divided by line 13, column (f))	17	5.70 %
18 Investment income percentage from 2008 Schedule A, Part III, line 17	18	5.54 %

19a **33 1/3% support tests - 2009.** If the organization did not check the box on line 14, and line 15 is more than 33 1/3%, and line 17 is not more than 33 1/3%, check this box and stop here. The organization qualifies as a publicly supported organization ▶ ☒

b **33 1/3% support tests - 2008.** If the organization did not check a box on line 14 or line 19a, and line 16 is more than 33 1/3%, and line 18 is not more than 33 1/3%, check this box and stop here. The organization qualifies as a publicly supported organization ▶ ☐

20 **Private foundation.** If the organization did not check a box on line 14, 19a, or 19b, check this box and see instructions ▶ ☐

Schedule A (Form 990 or 990-EZ) 2009

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

OMB No 1545-0047

2009

Open to Public
Inspection

▶ **Complete if the organization is described below.**

▶ **Attach to Form 990 or Form 990-EZ. ▶ See separate instructions.**

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), then

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

Name of organization	NORTH AMERICAN SECURITIES ADMINISTRATORS ASSOCIATION, INC.	Employer identification number	47-0730228
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Part I-A Complete if the organization is exempt under section 501(c) or is a section 527 organization.

- 1 Provide a description of the organization's direct and indirect political campaign activities in Part IV.
- 2 Political 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 function activities ▶ \$ _____
- 3 Total exempt function expenditures. Add lines 1 and 2. Enter here and on Form 1120-POL, line 17b ▶ \$ _____
☐ Yes ☐ No
- 4 Did the filing organization file Form 1120-POL for this year?
☐ Yes ☐ No
- 5 Enter the names, addresses and employer identification number (EIN) of all section 527 political organizations to which 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-

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LHA

Schedule C (Form 990 or 990-EZ) 2009

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 (The term "expenditures" means amounts paid or incurred.)		(a) Filing organization's totals	(b) Affiliated group totals												
1a Total lobbying expenditures to influence public opinion (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 border="1"> <thead> <tr> <th>If the amount on line 1e, column (a) or (b) is:</th> <th>The lobbying nontaxable amount is:</th> </tr> </thead> <tbody> <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> </tbody> </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?															

☐ Yes ☐ 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 nontaxable amount					
b Lobbying ceiling amount (150% of line 2a, column(e))					
c Total lobbying expenditures					
d Grassroots nontaxable amount					
e Grassroots ceiling amount (150% of line 2d, column (e))					
f Grassroots lobbying expenditures					

Schedule C (Form 990 or 990-EZ) 2009

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

Name of the organization **NORTH AMERICAN SECURITIES ADMINISTRATORS
ASSOCIATION, INC.**

Employer identification number
47-0730228

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?		<input type="checkbox"/> Yes <input type="checkbox"/> No
6 Did the organization inform all grantees, donors, and donor advisors in writing that grant funds can be used only for charitable purposes and not for the benefit of the donor or donor advisor, or for any other purpose conferring impermissible private benefit?		<input type="checkbox"/> Yes <input type="checkbox"/> No

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

1 Purpose(s) of conservation easements held by the organization (check all that apply).

<input type="checkbox"/> Preservation of land for public use (e.g., recreation or pleasure)	<input type="checkbox"/> Preservation of an historically important land area
<input type="checkbox"/> Protection of natural habitat	<input type="checkbox"/> Preservation of a certified historic structure
<input type="checkbox"/> Preservation of open space	

2 Complete lines 2a through 2d if the organization held a qualified conservation contribution in the form of a conservation easement on the last day of the tax year.

	Held at the End of the Tax Year
a Total number of conservation easements	2a
b Total acreage restricted by conservation easements	2b
c Number of conservation easements on a certified historic structure included in (a)	2c
d Number of conservation easements included in (c) acquired after 8/17/06	2d

3 Number of conservation easements modified, transferred, released, extinguished, or terminated by the organization during the tax year ▶ _____

4 Number of states where property subject to conservation easement is located ▶ _____

5 Does the organization have a written policy regarding the periodic monitoring, inspection, handling of violations, and enforcement of the conservation easements it holds? ☐ Yes ☐ No

6 Staff and volunteer hours devoted to monitoring, inspecting, 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 section 170(h)(4)(B)(ii)? ☐ Yes ☐ No

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 acquisition, 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 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. Net investment earnings, gains, and losses					
d. Grants or scholarships					
e. Other expenditures for facilities and programs					
f. Administrative expenses					
g. End of year balance					

2. Provide the estimated percentage of the 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				
d. Equipment		570,723.	248,270.	322,453.
e. Other				
Total. Add lines 1a through 1e (Column (d) must equal Form 990, Part X, column (B), line 10(c))				322,453.

Schedule D (Form 990) 2009

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

1	Total revenue (Form 990, Part VIII, column (A), line 12)	1	4,382,361.
2	Total expenses (Form 990, Part IX, column (A), line 25)	2	5,396,319.
3	Excess or (deficit) for the year. Subtract line 2 from line 1	3	<1,013,958.>
4	Net unrealized gains (losses) on investments	4	
5	Donated services and use of facilities	5	
6	Investment expenses	6	
7	Prior period adjustments	7	
8	Other (Describe in Part XIV)	8	<121,034.>
9	Total adjustments (net) Add lines 4 through 8	9	<121,034.>
10	Excess or (deficit) for the year per audited financial statements. Combine lines 3 and 9	10	<1,134,992.>

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	4,382,361.
2	Amounts included on line 1 but not on Form 990, Part VIII, line 12:		
a	Net unrealized gains on investments	2a	
b	Donated services and use of facilities	2b	
c	Recoveries of prior year grants	2c	
d	Other (Describe in Part XIV.)	2d	
e	Add lines 2a through 2d	2e	0.
3	Subtract line 2e from line 1	3	4,382,361.
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 must equal Form 990, Part I, line 12.)	5	4,382,361.

Part XIII Reconciliation of Expenses per Audited Financial Statements With Expenses per Return

1	Total expenses and losses per audited financial statements	1	5,517,353.
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	121,034.
e	Add lines 2a through 2d	2e	121,034.
3	Subtract line 2e from line 1	3	5,396,319.
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 must equal Form 990, Part I, line 18.)	5	5,396,319.

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, line 2; 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.

PART XI, LINE 8 - OTHER ADJUSTMENTS:

NET UNREALIZED LOSSES ON INVESTMENTS: -121034.

PART XIII, LINE 2D - OTHER ADJUSTMENTS:

NET UNREALIZED LOSSES ON INVESTMENTS: 121034.

**SCHEDULE J
(Form 990)**

Department of the Treasury
Internal Revenue Service

Compensation Information

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

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

▶ Attach to Form 990. ▶ See separate instructions.

OMB No 1545-0047

2009

Open to Public
Inspection

Name of the organization **NORTH AMERICAN SECURITIES ADMINISTRATORS
ASSOCIATION, INC.** Employer identification number
47-0730228

Part I Questions Regarding Compensation

1a Check the appropriate box(es) if the organization provided any of the following to or for a person listed in Form 990,
Part VII, Section A, line 1a. Complete Part III to provide any relevant information regarding these items

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

b If any of the boxes on line 1a are checked, did the organization follow a written policy regarding payment or
reimbursement or provision of all of the expenses described above? If "No," complete Part III to explain

2 Did the organization require substantiation prior to reimbursing or allowing expenses incurred by all officers, directors,
trustees, and the CEO/Executive Director, regarding the items checked in line 1a?

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.

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

4 During the year, did any person listed 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?
- b** Participate in, or receive payment from, a supplemental nonqualified retirement plan?
- c** Participate in, or receive payment from, an equity-based compensation arrangement?

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

Only section 501(c)(3) and 501(c)(4) organizations 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)?

Yes No

1b

2

4a

4b

4c

5a

5b

6a

6b

7

8

9

X

X

X

X

X

X

X

X

X

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

Schedule J (Form 990) 2009

NORTH AMERICAN SECURITIES ADMINISTRATORS

Schedule J (Form 990) 2009

ASSOCIATION, INC.

47-0730228

Page 2

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

For each individual whose compensation must be reported in Schedule J, report compensation from the organization on row (i) and from related organizations, 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				
JOHN H. LYNCH	(i)	186,078.	5,000.	0.	23,720.	227,193.	0.
	(ii)	0.	0.	0.	0.	0.	0.
RUSS IUCULANO	(i)	215,696.	0.	0.	27,560.	255,705.	0.
	(ii)	0.	0.	0.	0.	0.	0.
REX STAPLES	(i)	163,828.	4,000.	0.	20,093.	194,261.	0.
	(ii)	0.	0.	0.	0.	0.	0.
ROBERT WEBSTER	(i)	132,828.	5,000.	0.	15,413.	167,581.	0.
	(ii)	0.	0.	0.	0.	0.	0.
DEBORAH FISCHIONE-HOUSE	(i)	158,828.	4,000.	0.	19,313.	188,466.	0.
	(ii)	0.	0.	0.	0.	0.	0.
STEPHEN HALL	(i)	167,954.	0.	0.	0.	178,727.	0.
	(ii)	0.	0.	0.	0.	0.	0.
	(i)						
	(ii)						
	(i)						
	(ii)						
	(i)						
	(ii)						
	(i)						
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	(ii)						
	(i)						
	(ii)						
	(i)						
	(ii)						
	(i)						
	(ii)						

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

**NORTH AMERICAN SECURITIES ADMINISTRATORS
ASSOCIATION, INC.**

Employer identification number

47-0730228

FORM 990, PART I, LINE 1, DESCRIPTION OF ORGANIZATION MISSION:

COMMUNICATION, AND COORDINATION.

FORM 990, PART VI, SECTION A, LINE 6: NASAA IS A PROFESSIONAL ASSOCIATION
OF SECURITIES ADMINISTRATORS WITH 67 MEMBERS.

FORM 990, PART VI, SECTION A, LINE 7A: NASAA'S DIRECTORS ARE ELECTED BY A
VOTE OF THE FULL MEMBERSHIP.

FORM 990, PART VI, SECTION A, LINE 7B: PROPOSED AMENDMENTS TO THE
ORGANIZATION'S BY-LAWS, IF INITIATED BY THE GOVERNING BODY, REQUIRE
APPROVAL BY THE MEMBERSHIP.

FORM 990, PART VI, SECTION B, LINE 11: NO REVIEW WAS OR WILL BE CONDUCTED.

FORM 990, PART VI, SECTION B, LINE 12C: THE ORGANIZATION REGULARLY AND
CONSISTENTLY MONITORS AND ENFORCES COMPLIANCE WITH ITS CONFLICT OF INTEREST
POLICY THROUGH FACE-TO-FACE DISCUSSIONS AND ANNUAL REVIEWS.

FORM 990, PART VI, SECTION B, LINE 15A: THE EXECUTIVE DIRECTOR'S SALARY IS
DETERMINED BY THE CORPORATE OFFICE REVIEW COMMITTEE, COMPRISED OF THE
PRESIDENT, PRESIDENT-ELECT, THE IMMEDIATE PAST PRESIDENT, AND THE
TREASURER.

FORM 990, PART VI, SECTION C, LINE 19: NO DOCUMENTS AVAILABLE TO THE
PUBLIC.

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

Schedule O (Form 990) 2009

932211
02-03-10

- If you are filing for an **Additional (Not Automatic) 3-Month Extension**, complete only **Part II** and check this box ☒ **X**

Note. Only complete Part II if you have already been granted an automatic 3-month extension on a previously filed Form 8868

- If you are filing for an **Automatic 3-Month Extension**, complete only **Part I** (on page 1)

Part II Additional (Not Automatic) 3-Month Extension of Time. Only file the original (no copies needed).

Type or print File by the extended due date for filing the return. See instructions	Name of Exempt Organization NORTH AMERICAN SECURITIES ADMINISTRATORS ASSOCIATION, INC.	Employer identification number 47-0730228
	Number, street, and room or suite no. If a P.O. box, see instructions. 750 FIRST STREET, N.E., NO. 1140	For IRS use only
	City, town or post office, state, and ZIP code. For a foreign address, see instructions. WASHINGTON, DC 20002	

Check type of return to be filed (File a separate application for each return):

- ☒ Form 990
 ☐ Form 990-EZ
 ☐ Form 990-T (sec 401(a) or 408(a) trust)
 ☐ Form 1041-A
 ☐ Form 5227
 ☐ Form 8870
☐ Form 990-BL
☐ Form 990-PF
☐ Form 990-T (trust other than above)
☐ Form 4720
☐ Form 6069

STOP! Do not complete Part II if you were not already granted an automatic 3-month extension on a previously filed Form 8868.

JOHN LYNCH

- The books are in the care of **750 FIRST ST., NE, #1140, WASHINGTON, DC - 20002**

Telephone No. **(202) 737-0900**

FAX No.

- If the organization does not have an office or place of business in the United States, check this box ☐

- If this is for a Group Return, enter the organization's four digit Group Exemption Number (GEN) . If this is for the whole group, check this box ☐. If it is for part of the group, check this box ☐ and attach a list with the names and EINs of all members the extension is for.

4 I request an additional 3-month extension of time until **NOVEMBER 15, 2010.**

5 For calendar year **2009**, or other tax year beginning , and ending .

6 If this tax year is for less than 12 months, check reason: ☐ Initial return ☐ Final return ☐ Change in accounting period

7 State in detail why you need the extension

ADDITIONAL TIME IS RESPECTFULLY REQUESTED IN ORDER TO OBTAIN INFORMATION FROM THIRD PARTIES IN ORDER TO FILE A COMPLETE AND ACCURATE TAX RETURN.

8a If this application is for Form 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions	8a	\$
b If this application is for Form 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit and any amount paid previously with Form 8868.	8b	\$
c Balance Due. Subtract line 8b from line 8a. Include your payment with this form, or, if required, deposit with FTD coupon or, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions	8c	\$ N/A

Signature and Verification

Under penalties of perjury, I declare that I have examined this form, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete, and that I am authorized to prepare this form.

Signature

Title **CPA**

Date

Form **8868** (Rev. 4-2009)

Clerk of the House of Representatives
Legislative Resource Center
B-106 Cannon Building
Washington, DC 20515
<http://lobbyingdisclosure.house.gov>

Secretary of the Senate
Office of Public Records
232 Hart Building
Washington, DC 20510
<http://www.senate.gov/lobby>

LOBBYING REPORT

Lobbying Disclosure Act of 1995 (Section 5) - All Filers Are Required to Complete This Page

1. Registrant Name ☒ Organization/Lobbying Firm ☐ Self Employed Individual

NORTH AMERICAN SECURITIES ADMINISTRATORS ASSOCIATION

2. Address ☐ Check if different than previously reported

Address1 750 FIRST STREET, NE, #1140 Address2
City WASHINGTON State DC Zip Code 20002 - Country USA

3 Principal place of business (if different than line 2)

City State Zip Code - Country

4a Contact Name

b Telephone Number c E-mail

5 Senate ID#

Mrs DEBORAH F HOUSE

☐ International Number

(202) 737-0900

daf@nasaa.org

29460-12

7 Client Name ☒ Self ☐ Check if client is a state or local government or instrumentality

6 House ID#

NORTH AMERICAN SECURITIES ADMINISTRATORS ASSOCIATION

317340000

TYPE OF REPORT 8 Year 2009 Q1 (1/1 - 3/31) ☒ Q2 (4/1 - 6/30) ☐ Q3 (7/1-9/30) ☐ Q4 (10/1 - 12/31) ☐

9 Check if this filing amends a previously filed version of this report ☐

10 Check if this is a Termination Report ☐ Termination Date 11 No Lobbying Issue Activity ☐

INCOME OR EXPENSES - YOU MUST complete either Line 12 or Line 13

12. Lobbying

INCOME relating to lobbying activities for this reporting period was

Less than \$5,000 ☐

\$5,000 or more ☐

\$

Provide a good faith estimate, rounded to the nearest \$10,000, of all lobbying related income from the client (including all payments to the registrant by any other entity for lobbying activities on behalf of the client)

13. Organizations

EXPENSE relating to lobbying activities for this reporting period were.

Less than \$5,000 ☐

\$5,000 or more ☒

\$ 80,000 00

14. REPORTING

Check box to indicate expense accounting method See instructions for description of options.

☒ Method A. Reporting amounts using LDA definitions only

☐ Method B. Reporting amounts under section 6033(b)(8) of the Internal Revenue Code

☐ Method C. Reporting amounts under section 162(e) of the Internal Revenue Code

Signature

Digitally Signed By: 29460

Date 04/21/2009

Printed Name and Title Deborah F House, Director of Policy

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15 General issue area code Financial Institutions/Investments/Sec (one per page)

16 Specific lobbying issues

Senior Investor Protection Act of 2008
Senior Investor Protection Enhancement Act of 2008
Support a collaborative state/federal regulatory structure for our capital markets
Support expansion of the President's Working Group to include state representatives from securities, banking and insurance regulator

17 House(s) of Congress and Federal agencies ☐ Check if None

U S SENATE, U S HOUSE OF REPRESENTATIVES

18 Name of each individual who acted as a lobbyist in this issue area

First Name	Last Name	Suffix	Covered Official Position (if applicable)	New
Deborah	House			<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>

19 Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

Printed Name and Title Deborah F. House, Director of Policy

ADDENDUM for General Lobbying Issue Area: FIN - Financial Institutions/Investments/Sec

Support reinstating state regulatory oversight of all Rule 506 offerings by repealing Subsection 18(b)4(D) of the Securities Act of 1933.

Support the application of fiduciary duty to all financial professionals who give investment advice – broker-dealers and investment advisers alike

Printed Name and Title Deborah F. House, Director of Policy

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15 General issue area code LAW Law Enforcement/Crime/Criminal Justice (one per page)

16 Specific lobbying issues

H R 1020 - Arbitration in Fairness Act of 2009

17 House(s) of Congress and Federal agencies ☐ Check if None

U S HOUSE OF REPRESENTATIVES

18 Name of each individual who acted as a lobbyist in this issue area

First Name	Last Name	Suffix	Covered Official Position (if applicable)	New
Deborah	House			<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>

19 Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

Printed Name and Title Deborah F. House, Director of Policy

Clerk of the House of Representatives
Legislative Resource Center
B-106 Cannon Building
Washington, DC 20515

<http://lobbyingdisclosure.house.gov>

Secretary of the Senate
Office of Public Records
232 Hart Building
Washington, DC 20510

<http://www.senate.gov/lobby>

LOBBYING REPORT

Lobbying Disclosure Act of 1995 (Section 5) - All Filers Are Required to Complete This Page

1. Registrant Name ☒ Organization/Lobbying Firm ☐ Self Employed Individual

NORTH AMERICAN SECURITIES ADMINISTRATORS ASSOCIATION

2. Address ☐ Check if different than previously reported

Address1 750 FIRST STREET, NE, #1140

Address2

City WASHINGTON

State DC

Zip Code 20002

-

Country USA

3. Principal place of business (if different than line 2)

City

State

Zip Code

-

Country

4a. Contact Name

b. Telephone Number c. E-mail

☐ International Number

Mrs DEBORAH F HOUSE

(202) 737-0900

daf@nasaa.org

5. Senate ID#

29460-12

7. Client Name ☒ Self ☐ Check if client is a state or local government or instrumentality

6. House ID#

NORTH AMERICAN SECURITIES ADMINISTRATORS ASSOCIATION

317340000

TYPE OF REPORT 8. Year 2009 Q1 (1/1 - 3/31) ☐ Q2 (4/1 - 6/30) ☒ Q3 (7/1 - 9/30) ☐ Q4 (10/1 - 12/31) ☐

9. Check if this filing amends a previously filed version of this report ☐

10. Check if this is a Termination Report ☐ Termination Date 11. No Lobbying Issue Activity ☐

INCOME OR EXPENSES - YOU MUST complete either Line 12 or Line 13

12. Lobbying

INCOME relating to lobbying activities for this reporting period was

Less than \$5,000 ☐

\$5,000 or more ☐

\$

Provide a good faith estimate, rounded to the nearest \$10,000, of all lobbying related income from the client (including all payments to the registrant by any other entity for lobbying activities on behalf of the client)

13. Organizations

EXPENSE relating to lobbying activities for this reporting period were

Less than \$5,000 ☐

\$5,000 or more ☒

\$ 45,000.00

14. REPORTING

Check box to indicate expense accounting method. See instructions for description of options

☒ Method A. Reporting amounts using LDA definitions only

☐ Method B. Reporting amounts under section 6033(b)(8) of the Internal Revenue Code

☐ Method C. Reporting amounts under section 162(e) of the Internal Revenue Code

Signature

Digitally Signed By: 29460

Date

07/20/2009

Printed Name and Title Deborah F House, Director of Policy

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15. General issue area code Financial Institutions/Investments/Sec (one per page)

16. Specific lobbying issues

Financial Services Regulatory Reform - support for a fiduciary duty for broker-dealers dispensing investment advice, systemic risk council consisting of federal and state regulators, reinstating state regulatory oversight of all Regulation D, Rule 506 offerings
S 906 - the Senior Investment Protection Act of 2009

17. House(s) of Congress and Federal agencies ☐ Check if None

U S HOUSE OF REPRESENTATIVES, U S SENATE

18. Name of each individual who acted as a lobbyist in this issue area

First Name	Last Name	Suffix	Covered Official Position (if applicable)	New
Deborah	House			<input checked="" type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>

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15 General issue area code (one per page)

16 Specific lobbying issues

S 931 and H R 1020 - the Arbitration Fairness Act of 2009

17 House(s) of Congress and Federal agencies ☐ Check if None

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Deborah	House			<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
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LOBBYING REPORT

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☐ International Number

Mrs DEBORAH F HOUSE

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29460-12

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NORTH AMERICAN SECURITIES ADMINISTRATORS ASSOCIATION

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TYPE OF REPORT 8. Year 2009 Q1 (1/1 - 3/31) ☐ Q2 (4/1 - 6/30) ☐ Q3 (7/1-9/30) ☒ Q4 (10/1 - 12/31) ☐

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Less than \$5,000 ☐

\$5,000 or more ☐

\$

Provide a good faith estimate, rounded to the nearest \$10,000, of all lobbying related income from the client (including all payments to the registrant by any other entity for lobbying activities on behalf of the client)

13. Organizations

EXPENSE relating to lobbying activities for this reporting period were

Less than \$5,000 ☐

\$5,000 or more ☒

\$ 50,000.00

14. REPORTING

Check box to indicate expense accounting method See instructions for description of options

☒ Method A. Reporting amounts using LDA definitions only

☐ Method B. Reporting amounts under section 6033(b)(8) of the Internal Revenue Code

☐ Method C. Reporting amounts under section 162(e) of the Internal Revenue Code

Signature

Digitally Signed By: Deborah F. House

Date

10/20/2009

Printed Name and Title Deborah F House, Director of Policy

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15 General issue area code Financial Institutions/Investments/Sec (one per page)

16 Specific lobbying issues

H R 3126 - the Consumer Financial Protection Agency Act of 2009
Investor Protection Act of 2009 Discussion Draft
H R 3551/S 1661 - the Senior Investment Protection Act of 2009
H R 3550/S 1659 - the Senior Investment Protection Enhancement Act of 2009

17. House(s) of Congress and Federal agencies ☐ Check if None

U S HOUSE OF REPRESENTATIVES, U S SENATE, Securities & Exchange Commission (SEC)

18 Name of each individual who acted as a lobbyist in this issue area

First Name	Last Name	Suffix	Covered Official Position (if applicable)	New
Deborah	House			<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>

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Printed Name and Title Deborah F. House, Director of Policy

ADDENDUM for General Lobbying Issue Area:

FIN - Financial Institutions/Investments/Sec

S 1389/H R 2733, the Fixed Indexed Annuities and Insurance Products Classification Act of 2009

Printed Name and Title Deborah F. House, Director of Policy

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15 General issue area code **LAW** **Law Enforcement/Crime/Criminal Justice** (one per page)

16 Specific lobbying issues

H R 1020 - the Arbitration Fairness Act of 2009

S 1551 - the The Liability for Aiding and Abetting Securities Violations Act of 2009

17 House(s) of Congress and Federal agencies ☐ Check if None

U S HOUSE OF REPRESENTATIVES, U S SENATE

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				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
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☐ International Number

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29460-12

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NORTH AMERICAN SECURITIES ADMINISTRATORS ASSOCIATION

317340000

TYPE OF REPORT 8 Year 2009 Q1 (1/1 - 3/31) ☐ Q2 (4/1 - 6/30) ☐ Q3 (7/1-9/30) ☐ Q4 (10/1 - 12/31) ☒

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\$5,000 or more ☒

\$ 50,000 00

14. REPORTING

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☒ Method A. Reporting amounts using LDA definitions only

☐ Method B. Reporting amounts under section 6033(b)(8) of the Internal Revenue Code

☐ Method C. Reporting amounts under section 162(e) of the Internal Revenue Code

Signature

Digitally Signed By: 29460

Date 01/20/2010

Printed Name and Title Deborah F House, Director of Policy

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15 General issue area code Financial Institutions/Investments/Sec (one per page)

16 Specific lobbying issues

Discussion Draft of the Investor Protection Act (reported as H R 3817)
H R 4183 - The Wall Street Reform and Consumer Protection Act of 2009
The Consumer Financial Protection Agency Act of 2009 "Discussion Draft"
The Financial Stability Improvement Act of 2009

17 House(s) of Congress and Federal agencies ☐ Check if None

U S HOUSE OF REPRESENTATIVES U S SENATE

18 Name of each individual who acted as a lobbyist in this issue area

First Name	Last Name	Suffix	Covered Official Position (if applicable)	New
Deborah	House			<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>

19 Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

Printed Name and Title Deborah F. House, Director of Policy

ADDENDUM for General Lobbying Issue Area:

FIN - Financial Institutions/Investments/Sec

Senate Discussion Draft - Restoring American Financial Stability Act of 2009
S 1964 - The Mutual Fund Transparency Act of 2009

Printed Name and Title Deborah F. House, Director of Policy

NASAA

	Q1/2008	Q2/2008	Q3/2008	Q4/2008	Q1/2009	Q2/2009	Q3/2009	Q4/2009	Q1/2010	Q2/2010	Q3/2010	Q4/2010	Q1/2011	Q2/2011	Q3/2011	Q4/2011	Q1/2012	Q2/2012	Q3/2012	Q4/2012	Q1/2013	Q2/2013	Q3/2013	Q4/2013	Q1/2014	Q2/2014	Q3/2014	Q4/2014	Q1/2015	Q2/2015	Q3/2015	Q4/2015	Q1/2016	Q2/2016	Q3/2016	Q4/2016	Q1/2017	Q2/2017	Q3/2017	Q4/2017	Q1/2018	Q2/2018	Q3/2018	Q4/2018	Q1/2019	Q2/2019	Q3/2019	Q4/2019	Q1/2020	Q2/2020	Q3/2020	Q4/2020	Q1/2021	Q2/2021	Q3/2021	Q4/2021	Q1/2022	Q2/2022	Q3/2022	Q4/2022	Q1/2023	Q2/2023	Q3/2023	Q4/2023	Q1/2024	Q2/2024	Q3/2024	Q4/2024	Q1/2025	Q2/2025	Q3/2025	Q4/2025	Q1/2026	Q2/2026	Q3/2026	Q4/2026	Q1/2027	Q2/2027	Q3/2027	Q4/2027	Q1/2028	Q2/2028	Q3/2028	Q4/2028	Q1/2029	Q2/2029	Q3/2029	Q4/2029	Q1/2030	Q2/2030	Q3/2030	Q4/2030	Q1/2031	Q2/2031	Q3/2031	Q4/2031	Q1/2032	Q2/2032	Q3/2032	Q4/2032	Q1/2033	Q2/2033	Q3/2033	Q4/2033	Q1/2034	Q2/2034	Q3/2034	Q4/2034	Q1/2035	Q2/2035	Q3/2035	Q4/2035	Q1/2036	Q2/2036	Q3/2036	Q4/2036	Q1/2037	Q2/2037	Q3/2037	Q4/2037	Q1/2038	Q2/2038	Q3/2038	Q4/2038	Q1/2039	Q2/2039	Q3/2039	Q4/2039	Q1/2040	Q2/2040	Q3/2040	Q4/2040	Q1/2041	Q2/2041	Q3/2041	Q4/2041	Q1/2042	Q2/2042	Q3/2042	Q4/2042	Q1/2043	Q2/2043	Q3/2043	Q4/2043	Q1/2044	Q2/2044	Q3/2044	Q4/2044	Q1/2045	Q2/2045	Q3/2045	Q4/2045	Q1/2046	Q2/2046	Q3/2046	Q4/2046	Q1/2047	Q2/2047	Q3/2047	Q4/2047	Q1/2048	Q2/2048	Q3/2048	Q4/2048	Q1/2049	Q2/2049	Q3/2049	Q4/2049	Q1/2050	Q2/2050	Q3/2050	Q4/2050	Q1/2051	Q2/2051	Q3/2051	Q4/2051	Q1/2052	Q2/2052	Q3/2052	Q4/2052	Q1/2053	Q2/2053	Q3/2053	Q4/2053	Q1/2054	Q2/2054	Q3/2054	Q4/2054	Q1/2055	Q2/2055	Q3/2055	Q4/2055	Q1/2056	Q2/2056	Q3/2056	Q4/2056	Q1/2057	Q2/2057	Q3/2057	Q4/2057	Q1/2058	Q2/2058	Q3/2058	Q4/2058	Q1/2059	Q2/2059	Q3/2059	Q4/2059	Q1/2060	Q2/2060	Q3/2060	Q4/2060	Q1/2061	Q2/2061	Q3/2061	Q4/2061	Q1/2062	Q2/2062	Q3/2062	Q4/2062	Q1/2063	Q2/2063	Q3/2063	Q4/2063	Q1/2064	Q2/2064	Q3/2064	Q4/2064	Q1/2065	Q2/2065	Q3/2065	Q4/2065	Q1/2066	Q2/2066	Q3/2066	Q4/2066	Q1/2067	Q2/2067	Q3/2067	Q4/2067	Q1/2068	Q2/2068	Q3/2068	Q4/2068	Q1/2069	Q2/2069	Q3/2069	Q4/2069	Q1/2070	Q2/2070	Q3/2070	Q4/2070	Q1/2071	Q2/2071	Q3/2071	Q4/2071	Q1/2072	Q2/2072	Q3/2072	Q4/2072	Q1/2073	Q2/2073	Q3/2073	Q4/2073	Q1/2074	Q2/2074	Q3/2074	Q4/2074	Q1/2075	Q2/2075	Q3/2075	Q4/2075	Q1/2076	Q2/2076	Q3/2076	Q4/2076	Q1/2077	Q2/2077	Q3/2077	Q4/2077	Q1/2078	Q2/2078	Q3/2078	Q4/2078	Q1/2079	Q2/2079	Q3/2079	Q4/2079	Q1/2080	Q2/2080	Q3/2080	Q4/2080	Q1/2081	Q2/2081	Q3/2081	Q4/2081	Q1/2082	Q2/2082	Q3/2082	Q4/2082	Q1/2083	Q2/2083	Q3/2083	Q4/2083	Q1/2084	Q2/2084	Q3/2084	Q4/2084	Q1/2085	Q2/2085	Q3/2085	Q4/2085	Q1/2086	Q2/2086	Q3/2086	Q4/2086	Q1/2087	Q2/2087	Q3/2087	Q4/2087	Q1/2088	Q2/2088	Q3/2088	Q4/2088	Q1/2089	Q2/2089	Q3/2089	Q4/2089	Q1/2090	Q2/2090	Q3/2090	Q4/2090	Q1/2091	Q2/2091	Q3/2091	Q4/2091	Q1/2092	Q2/2092	Q3/2092	Q4/2092	Q1/2093	Q2/2093	Q3/2093	Q4/2093	Q1/2094	Q2/2094	Q3/2094	Q4/2094	Q1/2095	Q2/2095	Q3/2095	Q4/2095	Q1/2096	Q2/2096	Q3/2096	Q4/2096	Q1/2097	Q2/2097	Q3/2097	Q4/2097	Q1/2098	Q2/2098	Q3/2098	Q4/2098	Q1/2099	Q2/2099	Q3/2099	Q4/2099	Q1/2100	Q2/2100	Q3/2100	Q4/2100	Q1/2101	Q2/2101	Q3/2101	Q4/2101	Q1/2102	Q2/2102	Q3/2102	Q4/2102	Q1/2103	Q2/2103	Q3/2103	Q4/2103	Q1/2104	Q2/2104	Q3/2104	Q4/2104	Q1/2105	Q2/2105	Q3/2105	Q4/2105	Q1/2106	Q2/2106	Q3/2106	Q4/2106	Q1/2107	Q2/2107	Q3/2107	Q4/2107	Q1/2108	Q2/2108	Q3/2108	Q4/2108	Q1/2109	Q2/2109	Q3/2109	Q4/2109	Q1/2110	Q2/2110	Q3/2110	Q4/2110	Q1/2111	Q2/2111	Q3/2111	Q4/2111	Q1/2112	Q2/2112	Q3/2112	Q4/2112	Q1/2113	Q2/2113	Q3/2113	Q4/2113	Q1/2114	Q2/2114	Q3/2114	Q4/2114	Q1/2115	Q2/2115	Q3/2115	Q4/2115	Q1/2116	Q2/2116	Q3/2116	Q4/2116	Q1/2117	Q2/2117	Q3/2117	Q4/2117	Q1/2118	Q2/2118	Q3/2118	Q4/2118	Q1/2119	Q2/2119	Q3/2119	Q4/2119	Q1/2120	Q2/2120	Q3/2120	Q4/2120	Q1/2121	Q2/2121	Q3/2121	Q4/2121	Q1/2122	Q2/2122	Q3/2122	Q4/2122	Q1/2123	Q2/2123	Q3/2123	Q4/2123	Q1/2124	Q2/2124	Q3/2124	Q4/2124	Q1/2125	Q2/2125	Q3/2125	Q4/2125	Q1/2126	Q2/2126	Q3/2126	Q4/2126	Q1/2127	Q2/2127	Q3/2127	Q4/2127	Q1/2128	Q2/2128	Q3/2128	Q4/2128	Q1/2129	Q2/2129	Q3/2129	Q4/2129	Q1/2130	Q2/2130	Q3/2130	Q4/2130	Q1/2131	Q2/2131	Q3/2131	Q4/2131	Q1/2132	Q2/2132	Q3/2132	Q4/2132	Q1/2133	Q2/2133	Q3/2133	Q4/2133	Q1/2134	Q2/2134	Q3/2134	Q4/2134	Q1/2135	Q2/2135	Q3/2135	Q4/2135	Q1/2136	Q2/2136	Q3/2136	Q4/2136	Q1/2137	Q2/2137	Q3/2137	Q4/2137	Q1/2138	Q2/2138	Q3/2138	Q4/2138	Q1/2139	Q2/2139	Q3/2139	Q4/2139	Q1/2140	Q2/2140	Q3/2140	Q4/2140	Q1/2141	Q2/2141	Q3/2141	Q4/2141	Q1/2142	Q2/2142	Q3/2142	Q4/2142	Q1/2143	Q2/2143	Q3/2143	Q4/2143	Q1/2144	Q2/2144	Q3/2144	Q4/2144	Q1/2145	Q2/2145	Q3/2145	Q4/2145	Q1/2146	Q2/2146	Q3/2146	Q4/2146	Q1/2147	Q2/2147	Q3/2147	Q4/2147	Q1/2148	Q2/2148	Q3/2148	Q4/2148	Q1/2149	Q2/2149	Q3/2149	Q4/2149	Q1/2150	Q2/2150	Q3/2150	Q4/2150	Q1/2151	Q2/2151	Q3/2151	Q4/2151	Q1/2152	Q2/2152	Q3/2152	Q4/2152	Q1/2153	Q2/2153	Q3/2153	Q4/2153	Q1/2154	Q2/2154	Q3/2154	Q4/2154	Q1/2155	Q2/2155	Q3/2155	Q4/2155	Q1/2156	Q2/2156	Q3/2156	Q4/2156	Q1/2157	Q2/2157	Q3/2157	Q4/2157	Q1/2158	Q2/2158	Q3/2158	Q4/2158	Q1/2159	Q2/2159	Q3/2159	Q4/2159	Q1/2160	Q2/2160	Q3/2160	Q4/2160	Q1/2161	Q2/2161	Q3/2161	Q4/2161	Q1/2162	Q2/2162	Q3/2162	Q4/2162	Q1/2163	Q2/2163	Q3/2163	Q4/2163	Q1/2164	Q2/2164	Q3/2164	Q4/2164	Q1/2165	Q2/2165	Q3/2165	Q4/2165	Q1/2166	Q2/2166	Q3/2166	Q4/2166	Q1/2167	Q2/2167	Q3/2167	Q4/2167	Q1/2168	Q2/2168	Q3/2168	Q4/2168	Q1/2169	Q2/2169	Q3/2169	Q4/2169	Q1/2170	Q2/2170	Q3/2170	Q4/2170	Q1/2171	Q2/2171	Q3/2171	Q4/2171	Q1/2172	Q2/2172	Q3/2172	Q4/2172	Q1/2173	Q2/2173	Q3/2173	Q4/2173	Q1/2174	Q2/2174	Q3/2174	Q4/2174	Q1/2175	Q2/2175	Q3/2175	Q4/2175	Q1/2176	Q2/2176	Q3/2176	Q4/2176	Q1/2177	Q2/2177	Q3/2177	Q4/2177	Q1/2178	Q2/2178	Q3/2178	Q4/2178	Q1/2179	Q2/2179	Q3/2179	Q4/2179	Q1/2180	Q2/2180	Q3/2180	Q4/2180	Q1/2181	Q2/2181	Q3/2181	Q4/2181	Q1/2182	Q2/2182	Q3/2182	Q4/2182	Q1/2183	Q2/2183	Q3/2183	Q4/2183	Q1/2184	Q2/2184	Q3/2184	Q4/2184	Q1/2185	Q2/2185	Q3/2185	Q4/2185	Q1/2186	Q2/2186	Q3/2186	Q4/2186	Q1/2187	Q2/2187	Q3/2187	Q4/2187	Q1/2188	Q2/2188	Q3/2188	Q4/2188	Q1/2189	Q2/2189	Q3/2189	Q4/2189	Q1/2190	Q2/2190	Q3/2190	Q4/2190	Q1/2191	Q2/2191	Q3/2191	Q4/2191	Q1/2192	Q2/2192	Q3/2192	Q4/2192	Q1/2193	Q2/2193	Q3/2193	Q4/2193	Q1/2194	Q2/2194	Q3/2194	Q4/2194	Q1/2195	Q2/2195	Q3/2195	Q4/2195	Q1/2196	Q2/2196	Q3/2196	Q4/2196	Q1/2197	Q2/2197	Q3/2197	Q4/2197	Q1/2198	Q2/2198	Q3/2198	Q4/2198	Q1/2199	Q2/2199	Q3/2199	Q4/2199	Q1/2200	Q2/2200	Q3/2200	Q4/2200	Q1/2201	Q2/2201	Q3/2201	Q4/2201	Q1/2202	Q2/2202	Q3/2202	Q4/2202	Q1/2203	Q2/2203	Q3/2203	Q4/2203	Q1/2204	Q2/2204	Q3/2204	Q4/2204	Q1/2205	Q2/2205	Q3/2205	Q4/2205	Q1/2206	Q2/2206	Q3/2206	Q4/2206	Q1/2207	Q2/2207	Q3/2207	Q4/2207	Q1/2208	Q2/2208	Q3/2208	Q4/2208	Q1/2209	Q2/2209	Q3/2209	Q4/2209	Q1/2210	Q2/2210	Q3/2210	Q4/2210	Q1/2211	Q2/2211	Q3/2211	Q4/2211	Q1/2212	Q2/2212	Q3/2212	Q4/2212	Q1/2213	Q2/2213	Q3/2213	Q4/2213	Q1/2214	Q2/2214	Q3/2214	Q4/2214	Q1/2215	Q2/2215	Q3/2215	Q4/2215	Q1/2216	Q2/2216	Q3/2216	Q4/2216	Q1/2217	Q2/2217	Q3/2217	Q4/2217	Q1/2218	Q2/2218	Q3/2218	Q4/2218	Q1/2219	Q2/2219	Q3/2219	Q4/2219	Q1/2220	Q2/2220	Q3/2220	Q4/2220	Q1/2221	Q2/2221	Q3/2221	Q4/2221	Q1/2222	Q2/2222	Q3/2222	Q4/2222	Q1/2223	Q2/2223	Q3/2223	Q4/2223	Q1/2224	Q2/2224	Q3/2224	Q4/2224	Q1/2225	Q2/2225	Q3/2225	Q4/2225	Q1/2226	Q2/2226	Q3/2226	Q4/2226	Q1/2227	Q2/2227	Q3/2227	Q4/2227	Q1/2228	Q2/2228	Q3/2228	Q4/2228	Q1/2229	Q2/2229	Q3/2229	Q4/2229	Q1/2230	Q2/2230	Q3/2230	Q4/2230	Q1/2231	Q2/2231	Q3/2231	Q4/2231	Q1/2232	Q2/2232	Q3/2232	Q4/2232	Q1/2233	Q2/2233	Q3/2233	Q4/2233	Q1/2234	Q2/2234	Q3/2234	Q4/2234	Q1/2235	Q2/2235	Q3/2235	Q4/2235	Q1/2236	Q2/2236	Q3/2236	Q4/2236	Q1/2237	Q2/2237	Q3/2237	Q4/2237	Q1/2238	Q2/2238	Q3/2238	Q4/2238	Q1/2239	Q2/2239	Q3/2239	Q4/2239	Q1/2240	Q2/2240	Q3/2240	Q4/2240	Q1/2241	Q2/2241	Q3/2241	Q4/2241	Q1/2242	Q2/2242	Q3/2242	Q4/2242	Q1/2243	Q2/2243	Q3/2243	Q4/2243	Q1/2244	Q2/2244	Q3/2244	Q4/2244	Q1/2245	Q2/2245	Q3/2245	Q4/2245	Q1/2246	Q2/2246	Q3/2246	Q4/2246	Q1/2247	Q2/2247	Q3/2247	Q4/2247	Q1/2248	Q2/2248	Q3/2248	Q4/2248	Q1/2249	Q2/2249	Q3/2249	Q4/2249	Q1/2250	Q2/2250	Q3/2250	Q4/2250	Q1/2251	Q2/2251	Q3/2251	Q4/2251	Q1/2252	Q2/2252	Q3/2252	Q4/2252	Q1/2253	Q2/2253	Q3/2253	Q4/2253	Q1/2254	Q2/2254	Q3/2254	Q4/2254	Q1/2255	Q2/2255	Q3/2255	Q4/2255	Q1/2256	Q2/2256	Q3/2256	Q4/2256	Q1/2257	Q2/2257	Q3/2257	Q4/2257	Q1/2258	Q2/2258	Q3/2258	Q4/2258	Q1/2259	Q2/2259	Q3/2259	Q4/2259	Q1/2260	Q2/2260	Q3/2260	Q4/2260	Q1/2261	Q2/2261	Q3/2261	Q4/2261	Q1/2262	Q2/2262	Q3/2262	Q4/2262	Q1/2263	Q2/2263	Q3/2263	Q4/2263	Q1/2264	Q2/2264	Q3/2264	Q4/2264	Q1/2265	Q2/2265	Q3/2265	Q4
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Form **8868**

(Rev. April 2009)

Department of the Treasury
Internal Revenue Service**Application for Extension of Time To File an
Exempt Organization Return**

OMB No 1545 1709

▶ File a separate application for each return

- If you are filing for an **Automatic 3-Month Extension**, complete only **Part I** and check this box ☒
- If you are filing for an **Additional (Not Automatic) 3-Month Extension**, complete only **Part II** (on page 2 of this form)

Do not complete Part II unless you have already been granted an automatic 3-month extension on a previously filed Form 8868**Part I Automatic 3-Month Extension of Time.** Only submit original (no copies needed)A corporation required to file Form 990-T and requesting an automatic 6-month extension - check this box and complete Part I only ☐

All other corporations (including 1120-C filers), partnerships, REMICs, and trusts must use Form 7004 to request an extension of time to file income tax returns

Electronic Filing (e-file). Generally, you can electronically file Form 8868 if you want a 3-month automatic extension of time to file one of the returns noted below (6 months for a corporation required to file Form 990-T). However, you cannot file Form 8868 electronically if (1) you want the additional (not automatic) 3-month extension or (2) you file Forms 990-BL, 6069, or 8870, group returns, or a composite or consolidated Form 990-T. Instead, you must submit the fully completed and signed page 2 (Part II) of Form 8868. For more details on the electronic filing of this form, visit www.irs.gov/efile and click on e-file for Charities & Nonprofits

Type or print File by the due date for filing your return. See instructions.	Name of Exempt Organization NORTH AMERICAN SECURITIES ADMINISTRATORS ASSOCIATION, INC.	Employer identification number 47-0730228
	Number, street, and room or suite no. If a P.O. box, see instructions 750 FIRST STREET, N.E., NO. 1140	
	City, town or post office, state, and ZIP code. For a foreign address, see instructions WASHINGTON, DC 20002	

Check type of return to be filed (file a separate application for each return)

- | | | |
|--|---|------------------------------------|
| <input checked="" type="checkbox"/> Form 990 | <input type="checkbox"/> Form 990-T (corporation) | <input type="checkbox"/> Form 4720 |
| <input type="checkbox"/> Form 990-BL | <input type="checkbox"/> Form 990-T (sec. 401(a) or 408(a) trust) | <input type="checkbox"/> Form 5227 |
| <input type="checkbox"/> Form 990-EZ | <input type="checkbox"/> Form 990-T (trust other than above) | <input type="checkbox"/> Form 6069 |
| <input type="checkbox"/> Form 990-PF | <input type="checkbox"/> Form 1041-A | <input type="checkbox"/> Form 8870 |

JOHN LYNCH

- The books are in the care of ▶
- 750 FIRST ST., NE, #1140, WASHINGTON, DC - 20002**

Telephone No ▶ **(202) 737-0900**

FAX No ▶

- If the organization does not have an office or place of business in the United States, check this box ☐
- If this is for a Group Return, enter the organization's four digit Group Exemption Number (GEN) _____ If this is for the whole group, check this box ☐. If it is for part of the group, check this box ☐ and attach a list with the names and EINs of all members the extension will cover

- 1 I request an automatic 3-month (6-months for a corporation required to file Form 990-T) extension of time until **AUGUST 15, 2010**, to file the exempt organization return for the organization named above. The extension is for the organization's return for

▶ ☒ calendar year **2009** or▶ ☐ tax year beginning _____, and ending _____

- 2 If this tax year is for less than 12 months, check reason ☐ Initial return ☐ Final return ☐ Change in accounting period

3a If this application is for Form 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions.	3a	\$
b If this application is for Form 990-PF or 990-T, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit.	3b	\$
c Balance Due. Subtract line 3b from line 3a. Include your payment with this form, or, if required, deposit with FTD coupon or, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions.	3c	\$ N/A

Caution. If you are going to make an electronic fund withdrawal with this Form 8868, see Form 8453-EO and Form 8879-EO for payment instructions

LHA For Privacy Act and Paperwork Reduction Act Notice, see Instructions.

Form **8868** (Rev. 4-2009)

• If you are filing for an **Additional (Not Automatic) 3-Month Extension**, complete only **Part II** and check this box ☒

Note. Only complete Part II if you have already been granted an automatic 3-month extension on a previously filed Form 8868

• If you are filing for an **Automatic 3-Month Extension**, complete only **Part I** (on page 1)

Part II Additional (Not Automatic) 3-Month Extension of Time. Only file the original (no copies needed)			
Type or print File by the extended due date for filing the return. See instructions	Name of Exempt Organization NORTH AMERICAN SECURITIES ADMINISTRATORS ASSOCIATION, INC.		Employer identification number 47-0730228
	Number, street, and room or suite no. If a P.O. box, see instructions 750 FIRST STREET, N.E., NO. 1140		For IRS use only
	City, town or post office, state, and ZIP code. For a foreign address, see instructions WASHINGTON, DC 20002		

Check type of return to be filed (File a separate application for each return)

☒ Form 990
 ☐ Form 990-EZ
 ☐ Form 990-T (sec 401(a) or 408(a) trust)
 ☐ Form 1041-A
 ☐ Form 5227
 ☐ Form 8870
☐ Form 990-BL
☐ Form 990-PF
☐ Form 990-T (trust other than above)
☐ Form 4720
☐ Form 6069

STOP! Do not complete Part II if you were not already granted an automatic 3-month extension on a previously filed Form 8868.

JOHN LYNCH

• The books are in the care of **750 FIRST ST., NE, #1140, WASHINGTON, DC - 20002**

Telephone No **(202) 737-0900**

FAX No

• If the organization does not have an office or place of business in the United States, check this box ☐

• If this is for a Group Return, enter the organization's four digit Group Exemption Number (GEN) _____ If this is for the whole group, check this box ☐ If it is for part of the group, check this box ☐ and attach a list with the names and EINs of all members the extension is for

4 I request an additional 3-month extension of time until **NOVEMBER 15, 2010**

5 For calendar year **2009**, or other tax year beginning _____, and ending _____

6 If this tax year is for less than 12 months, check reason ☐ Initial return ☐ Final return ☐ Change in accounting period

7 State in detail why you need the extension

ADDITIONAL TIME IS RESPECTFULLY REQUESTED IN ORDER TO OBTAIN INFORMATION FROM THIRD PARTIES IN ORDER TO FILE A COMPLETE AND ACCURATE TAX RETURN.

8a If this application is for Form 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions	8a	\$
b If this application is for Form 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit and any amount paid previously with Form 8868	8b	\$
c Balance Due. Subtract line 8b from line 8a. Include your payment with this form, or, if required, deposit with FTD coupon or, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions	8c	\$ N/A

Signature and Verification

Under penalties of perjury, I declare that I have examined this form, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete, and that I am authorized to prepare this form.

Signature

Andrew Mitchell

Title **CPA**

Date **08/16/10**

Form 8868 (Rev. 4-2009)