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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

2012

Open to Public Inspection

A For the 2012 calendar year, or tax year beginning 01-01-2012, 2012, and ending 12-31-2012

B Check if applicable

☐ Address change

☐ Name change

☐ Initial return

☐ Terminated

☐ Amended return

☐ Application pending

C Name of organization

AMERICAN WATER WORKS ASSOCIATION

Doing Business As

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

6666 WEST QUINCY AVENUE Suite

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

DENVER, CO 80235

Room/suite

D Employer identification number

13-5660277

E Telephone number

(303) 794-7711

G Gross receipts \$ 29,443,601

F Name and address of principal officer

DAVID LAFRANCE
6666 WEST QUINCY AVENUE
DENVER,CO 80235

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)☐ 501(c) () ☐ (Insert no)☐ 4947(a)(1) or ☐ 527

J Website:

WWW.AWWA.ORG

K Form of organization

☒ Corporation☐ Trust☐ Association☐ Other

L Year of formation

1881

M State of legal domicile

IL

Part I Summary		
Activities & Governance	1	Briefly describe the organization's mission or most significant activities AWWA UNITES THE WATER COMMUNITY TO PROTECT PUBLIC HEALTH AND TO PROVIDE SAFE AND SUFFICIENT WATER FOR ALL
	2	Check this box ☐ 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) 59
	4	Number of independent voting members of the governing body (Part VI, line 1b) 59
	5	Total number of individuals employed in calendar year 2012 (Part V, line 2a) 165
	6	Total number of volunteers (estimate if necessary) 5,000
	7a	Total unrelated business revenue from Part VIII, column (C), line 12 2,357,661
	b	Net unrelated business taxable income from Form 990-T, line 34 458,389
Revenue	8	Contributions and grants (Part VIII, line 1h) 144,949
	9	Program service revenue (Part VIII, line 2g) 24,527,548
	10	Investment income (Part VIII, column (A), lines 3, 4, and 7d) 403,695
	11	Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e) 3,805,573
	12	Total revenue—add lines 8 through 11 (must equal Part VIII, column (A), line 12) 28,881,765
Expenses	13	Grants and similar amounts paid (Part IX, column (A), lines 1–3) 2,064,281
	14	Benefits paid to or for members (Part IX, column (A), line 4) 0
	15	Salaries, other compensation, employee benefits (Part IX, column (A), lines 5–10) 13,030,176
	16a	Professional fundraising fees (Part IX, column (A), line 11e) 0
	b	Total fundraising expenses (Part IX, column (D), line 25) ☒ 1,593,523
	17	Other expenses (Part IX, column (A), lines 11a–11d, 11f–24e) 12,339,697
	18	Total expenses Add lines 13–17 (must equal Part IX, column (A), line 25) 27,434,154
Net Assets or Fund Balances	19	Revenue less expenses Subtract line 18 from line 12 1,447,611
	20	Total assets (Part X, line 16) 33,097,897
	21	Total liabilities (Part X, line 26) 18,123,714
	22	Net assets or fund balances Subtract line 21 from line 20 14,974,183

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

Signature of officer

2013-06-30

Date

KEVIN MANN CHIEF FINANCIAL OFFICER

Type or print name and title

Prnt/Type preparer's name

Rita F Worster CPA

Preparer's signature

Date

Check ☐ if self-employed

PTIN

Firm's name

BKD LLP

Firm's EIN

Firm's address

111 South Tejon Suite 800
Colorado Springs, CO 809039848

Phone no

(719) 471-4290

Paid Preparer Use Only

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

For Paperwork Reduction Act Notice, see the separate instructions.

Cat No 11282Y

Form 990 (2012)

Part III

Statement of Program Service Accomplishments

Check if Schedule O contains a response to any question in this Part III

1

Briefly describe the organization's mission

AWWA UNITES THE WATER COMMUNITY TO PROTECT PUBLIC HEALTH AND TO PROVIDE SAFE AND SUFFICIENT WATER FOR ALL THROUGH COLLECTIVE LEADERSHIP, AWWA ADVANCES TECHNOLOGY, EDUCATION, SCIENCE, MANAGEMENT, AND GOVERNMENT POLICIES

2

Did the organization undertake any significant program services during the year which were not listed on the prior Form 990 or 990-EZ?

Yes

No

If "Yes," describe these new services on Schedule O

3

Did the organization cease conducting, or make significant changes in how it conducts, any program services?

Yes

No

If "Yes," describe these changes on Schedule O

4

Describe the organization's program service accomplishments for each of its three largest program services, as measured by expenses Section 501(c)(3) and 501(c)(4) organizations are required to report the amount of grants and allocations to others, the total expenses, and revenue, if any, for each program service reported

4a

(Code) (Expenses \$ 7,102,918 including grants of \$ 1,883,025) (Revenue \$ 11,573,613)

MEMBER SECTION SERVICES - PLANS/COORDINATES EFFORTS TO STIMULATE ENROLLMENT OF MEMBERS IN THE ASSOCIATION AND TO PROVIDE INFORMATION AND SUPPORT TO MEMBERS TO STRENGTHEN THE WATER COMMUNITY THE ASSOCIATION HAD 49,996 MEMBERS AT 12/31/12

4b

(Code) (Expenses \$ 5,466,719 including grants of \$) (Revenue \$ 6,064,071)

PUBLICATIONS & SUBSCRIPTIONS - INCLUDES PUBLICATION AND SALE OF BOOKS, MANUALS, HANDBOOKS, REPORTS, ETC FOR USE BY THE PUBLIC AND WATER INDUSTRY

4c

(Code) (Expenses \$ 4,732,913 including grants of \$) (Revenue \$ 7,591,252)

CONFERENCES - MEMBERSHIP CONFERENCES WHERE ALL PHASES OF WATER SUPPLY OPERATIONS ARE DISCUSSED TO ASSIST PEOPLE IN PUBLIC WATER SUPPLY AND TO PROVIDE BETTER PUBLIC SERVICES SIX (6) CONFERENCES WERE HELD SERVING ALMOST 13,000 ATTENDEES

4d

Other program services (Describe in Schedule O)

(Expenses \$ 3,251,869 including grants of \$ 43,400) (Revenue \$ 1,031,663)

4e

Total program service expenses

20,554,419

Form 990 (2012)

Part IV

Checklist of Required Schedules

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

Part IV

Checklist of Required Schedules (continued)

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

Part V

Statements Regarding Other IRS Filings and Tax Compliance

Check if Schedule O contains a response to any question in this Part V

		Yes	No
1a	Enter the number reported in Box 3 of Form 1096. Enter -0- if not applicable.	1a	98
b	Enter the number of Forms W-2G included in line 1a. Enter -0- if not applicable.	1b	0
c	Did the organization comply with backup withholding rules for reportable payments to vendors and reportable gaming (gambling) winnings to prize winners?	1c	Yes
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.	2a	165
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 (see instructions).	2b	Yes
3a	Did the organization have unrelated business gross income of \$1,000 or more during the year?	3a	Yes
b	If "Yes," has it filed a Form 990-T for this year? If "No," provide an explanation in Schedule O.	3b	Yes
4a	At any time during the calendar year, did the organization have an interest in, or a signature or other authority over, a financial account in a foreign country (such as a bank account, securities account, or other financial account)?	4a	Yes
b	If "Yes," enter the name of the foreign country: CA See instructions for filing requirements for Form TD F 90-22.1, Report of Foreign Bank and Financial Accounts.		
5a	Was the organization a party to a prohibited tax shelter transaction at any time during the tax year?	5a	No
b	Did any taxable party notify the organization that it was or is a party to a prohibited tax shelter transaction?	5b	No
c	If "Yes," to line 5a or 5b, did the organization file Form 8886-T?	5c	
6a	Does the organization have annual gross receipts that are normally greater than \$100,000, and did the organization solicit any contributions that were not tax deductible as charitable contributions?	6a	No
b	If "Yes," did the organization include with every solicitation an express statement that such contributions or gifts were not tax deductible?	6b	
7 Organizations that may receive deductible contributions under section 170(c).			
a	Did the organization receive a payment in excess of \$75 made partly as a contribution and partly for goods and services provided to the payor?	7a	No
b	If "Yes," did the organization notify the donor of the value of the goods or services provided?	7b	
c	Did the organization sell, exchange, or otherwise dispose of tangible personal property for which it was required to file Form 8822?	7c	No
d	If "Yes," indicate the number of Forms 8822 filed during the year.	7d	
e	Did the organization receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?	7e	No
f	Did the organization, during the year, pay premiums, directly or indirectly, on a personal benefit contract?	7f	No
g	If the organization received a contribution of qualified intellectual property, did the organization file Form 8899 as required?	7g	
h	If the organization received a contribution of cars, boats, airplanes, or other vehicles, did the organization file a Form 1098-C?	7h	
8 Sponsoring organizations maintaining donor advised funds and section 509(a)(3) supporting organizations. Did the supporting organization, or a donor advised fund maintained by a sponsoring organization, have excess business holdings at any time during the year?		8	
9 Sponsoring organizations maintaining donor advised funds.			
a	Did the organization make any taxable distributions under section 4966?	9a	
b	Did the organization make a distribution to a donor, donor advisor, or related person?	9b	
10 Section 501(c)(7) organizations. Enter			
a	Initiation fees and capital contributions included on Part VIII, line 12.	10a	
b	Gross receipts, included on Form 990, Part VIII, line 12, for public use of club facilities.	10b	
11 Section 501(c)(12) organizations. Enter			
a	Gross income from members or shareholders.	11a	
b	Gross income from other sources (Do not net amounts due or paid to other sources against amounts due or received from them).	11b	
12a Section 4947(a)(1) non-exempt charitable trusts. Is the organization filing Form 990 in lieu of Form 1041?		12a	
b	If "Yes," enter the amount of tax-exempt interest received or accrued during the year.	12b	
13 Section 501(c)(29) qualified nonprofit health insurance issuers.			
a	Is the organization licensed to issue qualified health plans in more than one state? Note. See the instructions for additional information the organization must report on Schedule O.	13a	
b	Enter the amount of reserves the organization is required to maintain by the states in which the organization is licensed to issue qualified health plans.	13b	
c	Enter the amount of reserves on hand.	13c	
14a	Did the organization receive any payments for indoor tanning services during the tax year?	14a	No
b	If "Yes," has it filed a Form 720 to report these payments? If "No," provide an explanation in Schedule O.	14b	

Part VI

Governance, Management, and Disclosure

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

Check if Schedule O contains a response to any question in this Part VI

Section A. Governing Body and Management

			Yes	No
1a	Enter the number of voting members of the governing body at the end of the tax year	1a	59	
	If there are material differences in voting rights among members of the governing body, or if the governing body delegated broad authority to an executive committee or similar committee, explain in Schedule O			
b	Enter the number of voting members included in line 1a, above, who are independent	1b	59	
2	Did any officer, director, trustee, or key employee have a family relationship or a business relationship with any other officer, director, trustee, or key employee?	2	Yes	
3	Did the organization delegate control over management duties customarily performed by or under the direct supervision of officers, directors or trustees, or key employees to a management company or other person?	3		No
4	Did the organization make any significant changes to its governing documents since the prior Form 990 was filed?	4	Yes	
5	Did the organization become aware during the year of a significant diversion of the organization's assets?	5		No
6	Did the organization have members or stockholders?	6	Yes	
7a	Did the organization have members, stockholders, or other persons who had the power to elect or appoint one or more members of the governing body?	7a	Yes	
b	Are any governance decisions of the organization reserved to (or subject to approval by) members, stockholders, or persons other than the governing body?	7b		No
8	Did the organization contemporaneously document the meetings held or written actions undertaken during the year by the following			
a	The governing body?	8a	Yes	
b	Each committee with authority to act on behalf of the governing body?	8b	Yes	
9	Is there any officer, director, trustee, or key employee listed in Part VII, Section A, who cannot be reached at the organization's mailing address? If "Yes," provide the names and addresses in Schedule O	9		No

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

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

Section C. Disclosure

17	List the States with which a copy of this Form 990 is required to be filed	CA , OR
18	Section 6104 requires an organization to make its Form 1023 (or 1024 if applicable), 990, and 990-T (501(c)(3)s only) available for public inspection. Indicate how you made these available. Check all that apply. ☒ Own website ☐ Another's website ☒ Upon request ☐ Other (explain in Schedule O)	
19	Describe in Schedule O whether (and if so, how), the organization made its governing documents, conflict of interest policy, and financial statements available to the public during the tax year	
20	State the name, physical address, and telephone number of the person who possesses the books and records of the organization	THE ORGANIZATION 6666 WEST QUINCY AVENUE DENVER, CO (303) 794-7711

Check if Schedule O contains a response to any question in this Part VII ☐

1a Complete this table for all persons required to be listed. Report compensation for the calendar year ending with or within the organization's tax year.

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

• List all of the organization's **current** key employees, if any. See 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, or 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 neither the organization nor any related organization compensated any current officer, director, or trustee

[illegible]

Part VII

1b	Sub-Total			
c	Total from continuation sheets to Part VII, Section A			
d	Total (add lines 1b and 1c)	1,488,346	0	171,028

2 Total number of individuals (including but not limited to those listed in Item 1) who received more than \$100,000 of reportable compensation from the organization. 12

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

Section B. Independent Contractors

1 Complete this table for your five highest compensated independent contractors that received more than \$100,000 of compensation from the organization. Report compensation for the calendar year ending with or within the organization's tax year.

(A) Name and business address	(B) Description of services	(C) Compensation
QUADGRAPHICS INC , PO BOX 644840 PITTSBURGH PA 152644840	PRINTING SERVICES	839,698
FREEMAN COMPANIES , PO BOX 650036 DALLAS TX 752650036	CONVENTION MGMT	528,889
CRITIGEN LLC , 7604 TECHNOLOGY WAY SUITE 300 DENVER CO 80237	COMPUTER HOSTING	302,454
SHERATON HOTELS , one starpoint STAMFORD CT 06902	meeting facilities	296,333
arthur j gallagher rmc inc , po box 742205 LOS ANGELES CA 900742205	ins broker services	263,189

2 Total number of independent contractors (including but not limited to those listed above) who received more than \$100,000 of compensation from the organization ►22

Part VIII

Statement of Revenue

Check if Schedule O contains a response to any question in this Part VIII

				(A) Total revenue	(B) Related or exempt function revenue	(C) Unrelated business revenue	(D) Revenue excluded from tax under sections 512, 513, or 514		
Contributions, Gifts, Grants and Other Similar Amounts	1a	Federated campaigns . . .	1a						
	b	Membership dues	1b						
	c	Fundraising events	1c						
	d	Related organizations	1d						
	e	Government grants (contributions)	1e	41,209					
	f	All other contributions, gifts, grants, and similar amounts not included above	1f	40,383					
	g	Noncash contributions included in lines 1a-1f \$							
	h	Total. Add lines 1a-1f			81,592				
Program Service Revenue	2a	MEMBERSHIP DUES	Business Code						
			900099	11,573,613	11,573,613				
	b	CONFERENCES & SEMINARS	561499	7,591,252	7,591,252				
	c	ADVERTISING & SUBSCRIPTIONS	511120	3,695,918	1,338,257	2,357,661			
	d	SPONSORSHIP REVENUE	511120	504,700	504,700				
	e	ADMN/RNTL-WATER RSRCH FDN, WATER FOR PPL	900099	440,332	440,332				
	f	All other program service revenue		481,380	481,380				
	g	Total. Add lines 2a-2f			24,287,195				
Other Revenue	3	Investment income (including dividends, interest, and other similar amounts)		304,060			304,060		
	4	Income from investment of tax-exempt bond proceeds . . .		0					
	5	Royalties		731,592			731,592		
	6a	Gross rents	(i) Real	(ii) Personal	0				
		b	Less rental expenses						
		c	Rental income or (loss)	0					0
		d	Net rental income or (loss)						
	7a	Gross amount from sales of assets other than inventory	(i) Securities	(ii) Other	0				
		b	Less cost or other basis and sales expenses						
		c	Gain or (loss)						
		d	Net gain or (loss)						
	8a	Gross income from fundraising events (not including \$ of contributions reported on line 1c) See Part IV, line 18	a		0				
	b	Less direct expenses	b						
	c	Net income or (loss) from fundraising events . . .							
	9a	Gross income from gaming activities See Part IV, line 19	a		0				
	b	Less direct expenses	b						
	c	Net income or (loss) from gaming activities . . .							
	10a	Gross sales of inventory, less returns and allowances	a		2,368,153	2,368,153			
				3,578,258					
		b	Less cost of goods sold	b					1,210,105
c		Net income or (loss) from sales of inventory . . .							
Miscellaneous Revenue		Business Code							
11a	TRAVEL REVENUE	900099	415,321				415,321		
b	MISCELLANEOUS REVENUE	900099	45,583	45,583					
c									
d	All other revenue								
e	Total. Add lines 11a-11d			460,904					
12	Total revenue. See Instructions			28,233,496	24,343,270	2,357,661	1,450,973		

Part IX

Statement of Functional Expenses

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

Check if Schedule O contains a response to any question in this Part IX

Do not include amounts reported on lines 6b, 7b, 8b, 9b, and 10b of Part VIII.		(A) Total expenses	(B) Program service expenses	(C) Management and general expenses	(D) Fundraising expenses
1	Grants and other assistance to governments and organizations in the United States. See Part IV, line 21.	1,591,021	1,591,021		
2	Grants and other assistance to individuals in the United States. See Part IV, line 22.	43,400	43,400		
3	Grants and other assistance to governments, organizations, and individuals outside the United States. See Part IV, lines 15 and 16.	292,004	292,004		
4	Benefits paid to or for members.	0			
5	Compensation of current officers, directors, trustees, and key employees.	932,553	393,510	539,043	
6	Compensation not included above, to disqualified persons (as defined under section 4958(f)(1)) and persons described in section 4958(c)(3)(B).	0			
7	Other salaries and wages.	8,787,856	6,057,323	2,200,206	530,327
8	Pension plan accruals and contributions (include section 401(k) and 403(b) employer contributions).	1,350,567	880,751	389,585	80,231
9	Other employee benefits.	1,185,598	759,621	359,249	66,728
10	Payroll taxes.	690,433	442,365	209,209	38,859
11	Fees for services (non-employees):				
a	Management.	0			
b	Legal.	379,286	336,778	26,063	16,445
c	Accounting.	111,376	98,894	7,653	4,829
d	Lobbying.	14,313		14,313	
e	Professional fundraising services. See Part IV, line 17.	0			
f	Investment management fees.	0			
g	Other (If line 11g amount exceeds 10% of line 25, column (A) amount, list line 11g expenses on Schedule O).	1,209,384	1,073,845	83,104	52,435
12	Advertising and promotion.	1,354,307	1,033,582		320,725
13	Office expenses.	2,054,781	1,870,292	1,578	182,911
14	Information technology.	0			
15	Royalties.	0			
16	Occupancy.	1,513,676	1,443,268	1,225	69,183
17	Travel.	968,079	772,979	186,692	8,408
18	Payments of travel or entertainment expenses for any federal, state, or local public officials.	0			
19	Conferences, conventions, and meetings.	1,971,096	1,958,726	4,616	7,754
20	Interest.	14,256	12,779	28	1,449
21	Payments to affiliates.	0			
22	Depreciation, depletion, and amortization.	1,018,936	912,329	1,886	104,721
23	Insurance.	253,274	230,744	429	22,101
24	Other expenses. Itemize expenses not covered above (List miscellaneous expenses in line 24e. If line 24e amount exceeds 10% of line 25, column (A) amount, list line 24e expenses on Schedule O):				
a	MISCELLANEOUS	411,566	105,756	305,810	
b	COMPLIMENTARY PUBLICATIONS	187,718	115,939		71,779
c	RECRUITING/TRAINING	143,345	128,513	194	14,638
d	UBI TAXES	204,000		204,000	
e	All other expenses	42,371		42,371	
25	Total functional expenses. Add lines 1 through 24e.	26,725,196	20,554,419	4,577,254	1,593,523
26	Joint costs. Complete this line only if the organization reported in column (B) joint costs from a combined educational campaign and fundraising solicitation. Check here ☐ if following SOP 98-2 (ASC 958-720).				

Part X

Balance Sheet

Check if Schedule O contains a response to any question in this Part X

				(A)		(B)
				Beginning of year		End of year
Assets	1	Cash—non-interest-bearing		1,253,763	1	4,405,410
	2	Savings and temporary cash investments		11,837,494	2	7,335,343
	3	Pledges and grants receivable, net		0	3	0
	4	Accounts receivable, net		778,098	4	914,207
	5	Loans and other receivables from current and former officers, directors, trustees, key employees, and highest compensated employees Complete Part II of Schedule L		0	5	0
	6	Loans and other receivables from other disqualified persons (as defined under section 4958(f)(1)), persons described in section 4958(c)(3)(B), and contributing employers and sponsoring organizations of section 501(c)(9) voluntary employees' beneficiary organizations (see instructions) Complete Part II of Schedule L		0	6	0
	7	Notes and loans receivable, net		0	7	0
	8	Inventories for sale or use		772,538	8	661,524
	9	Prepaid expenses and deferred charges		526,641	9	535,580
	10a	Land, buildings, and equipment cost or other basis Complete Part VI of Schedule D	10a18,768,364			
	b	Less accumulated depreciation	10b10,822,160	8,217,184	10c	7,946,204
	11	Investments—publicly traded securities		1,010,082	11	1,008,087
	12	Investments—other securities See Part IV, line 11		8,585,000	12	11,310,000
	13	Investments—program-related See Part IV, line 11		0	13	0
	14	Intangible assets		0	14	0
	15	Other assets See Part IV, line 11		117,097	15	81,169
	16	Total assets. Add lines 1 through 15 (must equal line 34)		33,097,897	16	34,197,524
Liabilities	17	Accounts payable and accrued expenses		2,450,885	17	2,381,576
	18	Grants payable		0	18	0
	19	Deferred revenue		8,909,783	19	9,127,071
	20	Tax-exempt bond liabilities		700,000	20	360,000
	21	Escrow or custodial account liability Complete Part IV of Schedule D		0	21	0
	22	Loans and other payables to current and former officers, directors, trustees, key employees, highest compensated employees, and disqualified persons Complete Part II of Schedule L		0	22	0
	23	Secured mortgages and notes payable to unrelated third parties		0	23	0
	24	Unsecured notes and loans payable to unrelated third parties		0	24	0
	25	Other liabilities (including federal income tax, payables to related third parties, and other liabilities not included on lines 17-24) Complete Part X of Schedule D		6,063,046	25	6,036,290
	26	Total liabilities. Add lines 17 through 25		18,123,714	26	17,904,937
Net Assets or Fund Balances	Organizations that follow SFAS 117 (ASC 958), check here ☒ and complete lines 27 through 29, and lines 33 and 34.					
	27	Unrestricted net assets		13,208,911	27	14,495,448
	28	Temporarily restricted net assets		495,594	28	491,191
	29	Permanently restricted net assets		1,269,678	29	1,305,948
	Organizations that do not follow SFAS 117 (ASC 958), check here ☐ 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		14,974,183	33	16,292,587
	34	Total liabilities and net assets/fund balances		33,097,897	34	34,197,524

Part XI Reconciliation of Net Assets

Check if Schedule O contains a response to any question in this Part XI

1	Total revenue (must equal Part VIII, column (A), line 12)	1	28,233,496
2	Total expenses (must equal Part IX, column (A), line 25)	2	26,725,196
3	Revenue less expenses Subtract line 2 from line 1	3	1,508,300
4	Net assets or fund balances at beginning of year (must equal Part X, line 33, column (A))	4	14,974,183
5	Net unrealized gains (losses) on investments	5	2,696
6	Donated services and use of facilities	6	
7	Investment expenses	7	
8	Prior period adjustments	8	
9	Other changes in net assets or fund balances (explain in Schedule O)	9	-192,592
10	Net assets or fund balances at end of year Combine lines 3 through 9 (must equal Part X, line 33, column (B))	10	16,292,587

Part XII Financial Statements and Reporting

Check if Schedule O contains a response to any question in this Part XII

		Yes	No
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? If "Yes," check a box below to indicate whether the financial statements for the year were compiled or reviewed on a separate basis, consolidated basis, or both ☐ Separate basis ☐ Consolidated basis ☐ Both consolidated and separate basis		No
2b	Were the organization's financial statements audited by an independent accountant? If "Yes," check a box below to indicate whether the financial statements for the year were audited on a separate basis, consolidated basis, or both ☒ Separate basis ☐ Consolidated basis ☐ Both consolidated and separate basis	Yes	
2c	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	Yes	
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?		No
3b	If "Yes," did the organization undergo the required audit or audits? If the organization did not undergo the required audit or audits, explain why in Schedule O and describe any steps taken to undergo such audits		

SCHEDULE A
(Form 990 or 990EZ)

Public Charity Status and Public Support

OMB No 1545-0047

2012

Open to Public Inspection

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

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

Department of the Treasury
Internal Revenue Service

Name of the organization
AMERICAN WATER WORKS ASSOCIATION

Employer identification number
13-5660277

Part I

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

The organization is not a private foundation because it is (For lines 1 through 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 33¹/₃% 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 33¹/₃% 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 - Non-functionally integrated
- 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) | | |
- | (i) Name of supported organization | (ii) EIN | (iii) Type of organization (described on lines 1- 9 above or IRC section (see instructions)) | (iv) Is the organization in col (i) listed in your governing document? | | (v) Did you notify the organization in col (i) of your support? | | (vi) Is the organization in col (i) organized in the U S ? | | (vii) Amount of monetary support |
|------------------------------------|----------|--|--|----|---|----|--|----|----------------------------------|
| | | | Yes | No | Yes | No | Yes | No | |
| | | | | | | | | | |
| | | | | | | | | | |
| Total | | | | | | | | | |
- For Paperwork Reduction Act Notice, see the Instructions for Form 990 or 990EZ.

Cat No 11285F

Schedule A (Form 990 or 990-EZ) 2012

Part II

Support Schedule for Organizations Described in Sections 170(b)(1)(A)(iv) and 170(b)(1)(A)(vi)
(Complete only if you checked the box on line 5, 7, or 8 of Part I or if the organization failed to qualify under Part III. If the organization fails to qualify under the tests listed below, please complete Part III.)

Section A. Public Support						
Calendar year (or fiscal year beginning in) ▶	(a) 2008	(b) 2009	(c) 2010	(d) 2011	(e) 2012	(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) 2008	(b) 2009	(c) 2010	(d) 2011	(e) 2012	(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 501(c)(3) organization, check this box and stop here ▶						

Section C. Computation of Public Support Percentage						
14 Public support percentage for 2012 (line 6, column (f) divided by line 11, column (f))		14				
15 Public support percentage for 2011 Schedule A, Part II, line 14		15				
16a 33 1/3% support test—2012. 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						▶
b 33 1/3% support test—2011. 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						▶
17a 10%-facts-and-circumstances test—2012. 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						▶
b 10%-facts-and-circumstances test—2011. 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						▶
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						▶

Part IIISupport Schedule for Organizations Described in Section 509(a)(2)

(Complete only if you checked the box on line 9 of Part I or if the organization failed to qualify under Part II. If the organization fails to qualify under the tests listed below, please complete Part II.)

Section A. Public Support						
Calendar year (or fiscal year beginning in) ▶	(a) 2008	(b) 2009	(c) 2010	(d) 2011	(e) 2012	(f) Total
1 Gifts, grants, contributions, and membership fees received (Do not include any "unusual grants.")	181,291	100,786	44,195	144,949	81,592	552,813
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	28,641,184	27,093,416	26,166,504	25,808,157	25,553,375	133,262,636
3 Gross receipts from activities that are not an unrelated trade or business under section 513	1,001,464	498,225	417,762	549,989	415,321	2,882,761
4 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf						0
5 The value of services or facilities furnished by a governmental unit to the organization without charge						0
6 Total. Add lines 1 through 5	29,823,939	27,692,427	26,628,461	26,503,095	26,050,288	136,698,210
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	261,302	31,473	45,613	37,884	24,254	400,526
c Add lines 7a and 7b	261,302	31,473	45,613	37,884	24,254	400,526
8 Public support (Subtract line 7c from line 6)						136,297,684

Section B. Total Support						
Calendar year (or fiscal year beginning in) ▶	(a) 2008	(b) 2009	(c) 2010	(d) 2011	(e) 2012	(f) Total
9 Amounts from line 6	29,823,939	27,692,427	26,628,461	26,503,095	26,050,288	136,698,210
10a Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources	1,462,117	1,271,886	1,081,389	1,106,362	1,035,652	5,957,406
b Unrelated business taxable income (less section 511 taxes) from businesses acquired after June 30, 1975						0
c Add lines 10a and 10b	1,462,117	1,271,886	1,081,389	1,106,362	1,035,652	5,957,406
11 Net income from unrelated business activities not included in line 10b, whether or not the business is regularly carried on	589,241	383,667	416,482	381,485	302,539	2,073,414
12 Other income. Do not include gain or loss from the sale of capital assets (Explain in Part IV)						0
13 Total support. (Add lines 9, 10c, 11, and 12)	31,875,297	29,347,980	28,126,332	27,990,942	27,388,479	144,729,030
14 First five years. If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a 501(c)(3) organization, check this box and stop here ▶						

Section C. Computation of Public Support Percentage			
15 Public support percentage for 2012 (line 8, column (f) divided by line 13, column (f))	15	94 174 %	
16 Public support percentage from 2011 Schedule A, Part III, line 15	16	94 141 %	

Section D. Computation of Investment Income Percentage			
17 Investment income percentage for 2012 (line 10c, column (f) divided by line 13, column (f))	17	4 116 %	
18 Investment income percentage from 2011 Schedule A, Part III, line 17	18	4 392 %	
19a 33 1/3% support tests—2012. 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—2011. If the organization did not check a box on line 14 or line 19a, and line 16 is more than 33 1/3% and line 18 is not more than 33 1/3%, check this box and stop here. The organization qualifies as a publicly supported organization ▶			
20 Private foundation. If the organization did not check a box on line 14, 19a, or 19b, check this box and see instructions ▶			

Part IV **Supplemental Information.** Complete this part to provide the explanations required by Part II, line 10; Part II, line 17a or 17b; and Part III, line 12. Also complete this part for any additional information. (See instructions).

Facts And Circumstances Test

Explanation

SCHEDULE C

(Form 990 or 990-EZ)

Department of the Treasury
Internal Revenue Service

Political Campaign and Lobbying Activities

For Organizations Exempt From Income Tax Under section 501(c) and section 527
▶ **Complete if the organization is described below. ▶ Attach to Form 990 or Form 990-EZ.**
▶ **See separate instructions.**

OMB No 1545-0047

2012

Open to Public
Inspection

If the organization answered “Yes” to Form 990, Part IV, Line 3, or Form 990-EZ, Part V, line 46 (Political Campaign Activities), then

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

If the organization answered “Yes” to Form 990, Part IV, Line 4, or Form 990-EZ, Part VI, line 47 (Lobbying Activities), then

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

If the organization answered “Yes” to Form 990, Part IV, Line 5 (Proxy Tax) or Form 990-EZ, Part V, line 35c (Proxy Tax), then

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

Name of the organization AMERICAN WATER WORKS ASSOCIATION	Employer identification number 13-5660277
--	--

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	▶ \$
4	Did the filing organization file Form 1120-POL for this year?	☐ Yes ☐ No
5	Enter the names, addresses and employer identification number (EIN) of all section 527 political organizations to which the filing organization made payments For each organization listed, enter the amount paid from the filing organization’s funds Also enter the amount of political contributions received that were promptly and directly delivered to a separate political organization, such as a separate segregated fund or a political action committee (PAC) If additional space is needed, provide information in Part IV	

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

Part II-A

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

- A
- Check ☐ if the filing organization belongs to an affiliated group (and list in Part IV each affiliated group member's name, address, EIN, expenses, and share of excess lobbying expenditures)
- B
- Check ☐ if the filing organization checked box A and "limited control" provisions apply

Limits on Lobbying Expenditures (The term "expenditures" means amounts paid or incurred.)		(a) Filing organization's totals	(b) Affiliated group totals												
1a Total lobbying expenditures to influence public opinion (grass roots lobbying)		16,254													
b Total lobbying expenditures to influence a legislative body (direct lobbying)		102,193													
c Total lobbying expenditures (add lines 1a and 1b)		118,447													
d Other exempt purpose expenditures		26,606,749													
e Total exempt purpose expenditures (add lines 1c and 1d)		26,725,196													
f Lobbying nontaxable amount Enter the amount from the following table in both columns		1,000,000													
<table><tr><td>If the amount on line 1e, column (a) or (b) is:</td><td>The lobbying nontaxable amount is:</td></tr><tr><td>Not over \$500,000</td><td>20% of the amount on line 1e</td></tr><tr><td>Over \$500,000 but not over \$1,000,000</td><td>\$100,000 plus 15% of the excess over \$500,000</td></tr><tr><td>Over \$1,000,000 but not over \$1,500,000</td><td>\$175,000 plus 10% of the excess over \$1,000,000</td></tr><tr><td>Over \$1,500,000 but not over \$17,000,000</td><td>\$225,000 plus 5% of the excess over \$1,500,000</td></tr><tr><td>Over \$17,000,000</td><td>\$1,000,000</td></tr></table>		If the amount on line 1e, column (a) or (b) is:	The lobbying nontaxable amount is:	Not over \$500,000	20% of the amount on line 1e	Over \$500,000 but not over \$1,000,000	\$100,000 plus 15% of the excess over \$500,000	Over \$1,000,000 but not over \$1,500,000	\$175,000 plus 10% of the excess over \$1,000,000	Over \$1,500,000 but not over \$17,000,000	\$225,000 plus 5% of the excess over \$1,500,000	Over \$17,000,000	\$1,000,000		
If the amount on line 1e, column (a) or (b) is:	The lobbying nontaxable amount is:														
Not over \$500,000	20% of the amount on line 1e														
Over \$500,000 but not over \$1,000,000	\$100,000 plus 15% of the excess over \$500,000														
Over \$1,000,000 but not over \$1,500,000	\$175,000 plus 10% of the excess over \$1,000,000														
Over \$1,500,000 but not over \$17,000,000	\$225,000 plus 5% of the excess over \$1,500,000														
Over \$17,000,000	\$1,000,000														
g Grassroots nontaxable amount (enter 25% of line 1f)		250,000													
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) 2009	(b) 2010	(c) 2011	(d) 2012	(e) Total
2a Lobbying nontaxable amount	1,000,000	1,000,000	1,000,000	1,000,000	4,000,000
b Lobbying ceiling amount (150% of line 2a, column(e))					6,000,000
c Total lobbying expenditures	150,650	125,445	148,716	118,447	543,258
d Grassroots nontaxable amount	250,000	250,000	250,000	250,000	1,000,000
e Grassroots ceiling amount (150% of line 2d, column (e))					1,500,000
f Grassroots lobbying expenditures	16,763	19,302	16,748	16,254	69,067

Part II-B

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

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

Part III-A

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

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

Part III-B

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

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

Part IV

Supplemental Information

Complete this part to provide the descriptions required for Part I-A, line 1, Part I-B, line 4, Part I-C, line 5, Part II-A (affiliated group list), Part II-A, line 2, and Part II-B, line 1. Also, complete this part for any additional information.

Identifier	Return Reference	Explanation
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SCHEDULE D
(Form 990)

Department of the Treasury
Internal Revenue Service

Supplemental Financial Statements

OMB No 1545-0047

2012

Open to Public Inspection

Name of the organization
AMERICAN WATER WORKS ASSOCIATION

Employer identification number
13-5660277

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? ☐ Yes☐ 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? ☐ Yes☐ 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)

☐ Preservation of land for public use (e g , recreation or education)☐ Preservation of an historically important land area☐ Protection of natural habitat☐ Preservation of a certified historic structure☐ Preservation of open space

2

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

	Held at the End of the Year
a	Total number of conservation easements
b	Total acreage restricted by conservation easements
c	Number of conservation easements on a certified historic structure included in (a)
d	Number of conservation easements included in (c) acquired after 8/17/06, and not on a historic structure listed in the National Register

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 XIII, describe how the organization reports conservation easements in its revenue and expense statement, and balance sheet, and include, if applicable, the text of the footnote to the organization's financial statements that describes the organization's accounting for conservation easements

Part III

Organizations Maintaining Collections of Art, Historical Treasures, or Other Similar Assets. Complete if the organization answered "Yes" to Form 990, Part IV, line 8.

1a

If the organization elected, as permitted under SFAS 116 (ASC 958), not to report in its revenue statement and balance sheet works of art, historical treasures, or other similar assets held for public exhibition, education, or research in furtherance of public service, provide, in Part XIII, the text of the footnote to its financial statements that describes these items

b

If the organization elected, as permitted under SFAS 116 (ASC 958), to report in its revenue statement and balance sheet works of art, historical treasures, or other similar assets held for public exhibition, education, or research in furtherance of public service, provide the following amounts relating to these items

(i) 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 (ASC 958) relating to these items

a

Revenues included in Form 990, Part VIII, line 1

▶\$ _____

b

Assets included in Form 990, Part X

▶\$ _____

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

Cat No 52283D

Schedule D (Form 990) 2012

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 XIII

5

During the year, did the organization solicit or receive donations of art, historical treasures or other similar assets to be sold to raise funds rather than to be maintained as part of the organization's collection?

☐ Yes

☐ No

Part IV

Escrow and Custodial Arrangements. Complete if the organization answered "Yes" 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 XIII 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 XIII. Check here if the explanation has been provided in Part XIII

☐

Part V

Endowment Funds. Complete if the organization answered "Yes" to Form 990, Part IV, line 10.

	(a)Current year	(b)Prior year	b (c)Two years back	(d)Three years back	(e)Four years back
1a Beginning of year balance	1,815,272	1,775,610	1,728,006	1,605,606	1,541,596
b Contributions	36,390	37,803	41,345	94,269	39,349
c Net investment earnings, gains, and losses	38,877	45,736	53,115	64,898	72,278
d Grants or scholarships	43,400	43,877	46,856	36,767	47,617
e Other expenditures for facilities and programs					
f Administrative expenses					
g End of year balance	1,847,139	1,815,272	1,775,610	1,728,006	1,605,606

2

Provide the estimated percentage of the current year end balance (line 1g, column (a)) held as

a

Board designated or quasi-endowment ▶ 2 710 %

b

Permanent endowment ▶ 70 700 %

c

Temporarily restricted endowment ▶ 26 590 %

The percentages in lines 2a, 2b, and 2c should equal 100%

3a

Are there endowment funds not in the possession of the organization that are held and administered for the organization by

(i) unrelated organizations

3a(i)

Yes

No

(ii) related organizations

3a(ii)

Yes

No

b

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

3b

4

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

Part VI

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

Description of property	(a) Cost or other basis (investment)	(b) Cost or other basis (other)	(c) Accumulated depreciation	(d) Book value
1a Land		252,423		252,423
b Buildings		10,066,706	4,028,092	6,038,614
c Leasehold improvements		209,810	209,810	
d Equipment		1,658,111	1,573,728	84,383
e Other		6,581,314	5,010,530	1,570,784
Total. Add lines 1a through 1e (Column (d) must equal Form 990, Part X, column (B), line 10(c).)				7,946,204

Schedule D (Form 990) 2012

Part XI Reconciliation of Revenue per Audited Financial Statements With Revenue per Return						
1	Total revenue, gains, and other support per audited financial statements	1	29,253,705			
2	Amounts included on line 1 but not on Form 990, Part VIII, line 12	2e	1,020,209			
a	Net unrealized gains on investments				2a	2,696
b	Donated services and use of facilities				2b	
c	Recoveries of prior year grants				2c	
d	Other (Describe in Part XIII)				2d	1,017,513
e	Add lines 2a through 2d	2e	1,020,209			
3	Subtract line 2e from line 1	3	28,233,496			
4	Amounts included on Form 990, Part VIII, line 12, but not on line 1	4c	28,233,496			
a	Investment expenses not included on Form 990, Part VIII, line 7b				4a	
b	Other (Describe in Part XIII)				4b	
c	Add lines 4a and 4b				4c	
5	Total revenue Add lines 3 and 4c . (This must equal Form 990, Part I, line 12)	5	28,233,496			
Part XII Reconciliation of Expenses per Audited Financial Statements With Expenses per Return						
1	Total expenses and losses per audited financial statements	1	27,935,301			
2	Amounts included on line 1 but not on Form 990, Part IX, line 25	2e	1,210,105			
a	Donated services and use of facilities				2a	
b	Prior year adjustments				2b	
c	Other losses				2c	
d	Other (Describe in Part XIII)				2d	1,210,105
e	Add lines 2a through 2d	2e	1,210,105			
3	Subtract line 2e from line 1	3	26,725,196			
4	Amounts included on Form 990, Part IX, line 25, but not on line 1 :	4c	26,725,196			
a	Investment expenses not included on Form 990, Part VIII, line 7b				4a	
b	Other (Describe in Part XIII)				4b	
c	Add lines 4a and 4b				4c	
5	Total expenses Add lines 3 and 4c . (This must equal Form 990, Part I, line 18)	5	26,725,196			

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

Identifier	Return Reference	Explanation
PART V, LINE 4	DESCRIBE THE INTENDED USES OF THE ORGANIZATION'S ENDOWMENT FUNDS	THE ORGANIZATION HAS DONOR RESTRICTED ENDOWMENT FUNDS ESTABLISHED FOR THE PURPOSES OF PROVIDING INCOME TO AWARDS AND SCHOLARSHIPS. THE ASSOCIATION RECEIVES CONTRIBUTIONS IN SUPPORT OF THE FOLLOWING AWARDS: (1) WOLMAN - AN AWARD OF EXCELLENCE TO RECOGNIZE THOSE WHOSE CAREERS IN THE WATER WORKS INDUSTRY EXEMPLIFY VISION, CREATIVITY, AND EXCELLENT PROFESSIONAL PERFORMANCE CHARACTERISTIC OF ABEL WOLMAN'S LONG AND PRODUCTIVE CAREER. (2) LARSON - SCHOLARSHIPS HONOR THE MEMORY OF DR. LARSON BY PROVIDING SUPPORT AND ENCOURAGEMENT TO OUTSTANDING GRADUATE STUDENTS PREPARING FOR CAREERS IN THE FIELDS OF SCIENCE OR ENGINEERING TO WHICH DR. LARSON MADE SIGNIFICANT CONTRIBUTIONS.
Part XI, Line 2d	Reconciliation of Revenue	Cost of Goods Sold Reclassed From Revenue and Netted Against Expense 1,210,105. Change in Minimum Pension Liability (192,592). Total (1,017,513).
Part XII, Line 2d	Reconciliation of Expense	Cost of Goods Sold Reclassed From Revenue and Netted Against Expense 1,210,105. Total 1,210,105.
Part X, Question 2	Uncertain Tax Positions	Management has evaluated their income tax positions under the guidance included in ASC 740. Based on their review, management has not identified any material uncertain tax positions to be recorded or disclosed in the financial statements.

Part II

Grants and Other Assistance to Organizations or Entities Outside the United States. Complete if the organization answered "Yes" to Form 990, Part IV, line 15, for any recipient who received more than \$5,000. Part II can be duplicated if additional space is needed.

1	(a) Name of organization	(b) IRS code section and EIN (if applicable)	(c) Region	(d) Purpose of grant	(e) Amount of cash grant	(f) Manner of cash disbursement	(g) Amount of non-cash assistance	(h) Description of non-cash assistance	(i) Method of valuation (book, FMV, appraisal, other)
			North America	Oper Support	30,072	check			
			North America	Oper Support	37,148	check			
			North America	Oper Support	138,235	check			
			North America	Oper Support	17,709	check			
			North America	Oper Support	53,840	check			
			North America	Oper Support	15,000	check			

2

Enter total number of recipient organizations listed above that are recognized as charities by the foreign country, recognized as tax-exempt by the IRS, or for which the grantee or counsel has provided a section 501(c)(3) equivalency letter ▶

6

3

Enter total number of other organizations or entities ▶

Part III

(a) Type of grant or assistance

(b) Region

(c) Number of recipients

(d) Amount of cash grant

(e) Manner of cash disbursement

(f) Amount of non-cash assistance

**(g) Description
of non-cash
assistance**

(h) Method of valuation (book, FMV, appraisal, other)

Part IV Foreign Forms

- 1

Was the organization a U S transferor of property to a foreign corporation during the tax year? *If "Yes," the organization may be required to file Form 926, Return by a U.S. Transferor of Property to a Foreign Corporation (see Instructions for Form 926)*

☐ Yes

☒ No
- 2

Did the organization have an interest in a foreign trust during the tax year? *If "Yes," the organization may be required to file Form 3520, Annual Return to Report Transactions with Foreign Trusts and Receipt of Certain Foreign Gifts, and/or Form 3520-A, Annual Information Return of Foreign Trust With a U.S. Owner (see Instructions for Forms 3520 and 3520-A)*

☐ Yes

☒ No
- 3

Did the organization have an ownership interest in a foreign corporation during the tax year? *If "Yes," the organization may be required to file Form 5471, Information Return of U.S. Persons with Respect to Certain Foreign Corporations. (see Instructions for Form 5471)*

☐ Yes

☒ No
- 4

Was the organization a direct or indirect shareholder of a passive foreign investment company or a qualified electing fund during the tax year? *If "Yes," the organization may be required to file Form 8621, Return by a Shareholder of a Passive Foreign Investment Company or Qualified Electing Fund. (see Instructions for Form 8621)*

☐ Yes

☒ No
- 5

Did the organization have an ownership interest in a foreign partnership during the tax year? *If "Yes," the organization may be required to file Form 8865, Return of U.S. Persons with Respect to Certain Foreign Partnerships. (see Instructions for Form 8865)*

☐ Yes

☒ No
- 6

Did the organization have any operations in or related to any boycotting countries during the tax year? *If "Yes," the organization may be required to file Form 5713, International Boycott Report (see Instructions for Form 5713).*

☐ Yes

☒ No

Complete this part to provide the information required by Part I, line 2 (monitoring of funds); Part I, line 3, column (f) (accounting method; amounts of investments vs. expenditures per region); Part II, line 1 (accounting method); Part III (accounting method); and Part III, column (c) (estimated number of recipients), as applicable. Also complete this part to provide any additional information (see instructions).

[illegible]

Schedule I
(Form 990)

Department of the Treasury
Internal Revenue Service

Name of the organization
AMERICAN WATER WORKS ASSOCIATION

Grants and Other Assistance to Organizations,
Governments and Individuals in the United States

Complete if the organization answered "Yes," to Form 990, Part IV, line 21 or 22.
▶ Attach to Form 990

OMB No 1545-0047

2012

Open to Public
Inspection

Employer identification number
13-5660277

Part I

General Information on Grants and Assistance

- 1

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

☒ Yes ☐ No
- 2

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

Part II

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

(a) Name and address of organization or government	(b) EIN	(c) IRC Code section if applicable	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV, appraisal, other)	(g) Description of non-cash assistance	(h) Purpose of grant or assistance
See Additional Data Table							

2

Enter total number of section 501(c)(3) and government organizations listed in the line 1 table

38

3

Enter total number of other organizations listed in the line 1 table

Part III

Grants and Other Assistance to Individuals in the United States. Complete if the organization answered "Yes" to Form 990, Part IV, line 22.
Part III can be duplicated if additional space is needed.

(a)Type of grant or assistance	(b)Number of recipients	(c)Amount of cash grant	(d)Amount of non-cash assistance	(e)Method of valuation (book, FMV, appraisal, other)	(f)Description of non-cash assistance
(1) AWARDS (WOLMAN)	3	31,400			
(2) SCHOLARSHIPS (LARSON)	2	12,000			

Part IV

Supplemental Information.

Complete this part to provide the information required in Part I, line 2, Part III, column (b), and any other additional information

Identifier	Return Reference	Explanation
PROCEDURES FOR MONITORING THE USE OF GRANT FUNDS IN THE U S	PART I, LINE 2	FUNDS ARE DISTRIBUTED AS AWARDS AND SCHOLARSHIPS TO RECIPIENTS SCHOLARSHIP FUNDS SUPPORT EDUCATION FEES IN REGARDS TO THE WOLMAN AWARDS - MID-WAY THROUGH THE YEAR OF SUPPORT, AWWA REQUESTS FROM THE STUDENT A LETTER STATING THE PROGRESS TOWARDS THEIR DEGREE TO INCLUDE AN ABSTRACT OF RESEARCH, AND ALSO A LETTER FROM THEIR ADVISOR WITH SIMILAR INFORMATION MEMBER SECTION ALLOTMENTS THE ASSOCIATION'S BOARD OF DIRECTORS APPROVES ANNUAL ALLOTMENTS EACH YEAR PAYABLE TO ITS MEMBER SECTIONS THIS ALLOTMENT PROVIDES OPERATIONAL SUPPORT TO THE MEMBER SECTIONS FOR THE CALENDAR YEAR CONTRIBUTIONS PAYABLE WATER FOR PEOPLE AWWA MAINTAINS A PROGRAM WHEREBY A VOLUNTARY CONTRIBUTION IS MADE TO WATER FOR PEOPLE IN SUPPORT OF THEIR ORGANIZATIONAL ACTIVITIES

Software ID:

Software Version:

EIN: 13-5660277

Name: AMERICAN WATER WORKS ASSOCIATION

Form 990,Schedule I, Part II, Grants and Other Assistance to Governments and Organizations in the United States

(a) Name and address of organization or government	(b) EIN	(c) IRC Code section if applicable	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV , appraisal, other)	(g) Description of non-cash assistance	(h) Purpose of grant or assistance
WATER FOR PEOPLE100 E Tennessee Ave Denver,CO 80209	84-1166148	501(C)(3)	27,650				O perating Support
ALASKA22457 Hilltop Cir Chugiak,AK 995675708	92-0104130	501(C)(3)	15,000				O perating Support
ALABAMA - MISSISSIPPIPo box 430 cleveland,MS 38732	23-7026150	501(C)(3)	32,213				O perating Support
ARIZONA1042 Wllw Crk Rd A101-510 Prsctt,AZ 86301	23-7026151	501(C)(3)	29,482				O perating Support
CALIFORNIA-NEVADA 10574 Acacia St D6 Rancho Ccmnga,CA 91730	94-6114828	501(C)(3)	211,946				O perating Support
CHESAPEAKE1001 LILY SPRGS RD GLENNVILLE,PA 17329	52-1182688	501(C)(3)	26,785				O perating Support
CONNECTICUT944 prospect st naugatuck,CT 06770	06-6100180	501(C)(3)	20,656				O perating Support
FLORIDA1300 9TH ST BLD B-124 SAINT CLOUD,FL 34769	23-7027079	501(C)(3)	78,759				O perating Support
GEORGIA8055 brookwood way cumming,GA 30041	58-1815129	501(C)(3)	42,269				O perating Support
HAWAII2153 N KING ST SUITE 200 Honolulu,HI 96819	99-0165772	501(C)(3)	15,000				O perating Support
ILLINOIS545 S Randall Rd St Charles,IL 601741533	23-7026152	501(C)(3)	55,819				O perating Support
INDIANA8365 Keystone Xng St 300 Indnpls,IN 46240	23-7026153	501(C)(3)	37,543				O perating Support
INTERMOUNTAIN3430 Danish Rd Sandy,UT 840932139	23-7026154	501(C)(3)	17,214				O perating Support
iowa100 court ave 203 des moines,IA 50309	23-7026138	501(C)(3)	18,124				O perating Support
KANSASPO BOX 3046 SALINA,KS 67402	23-7026155	501(C)(3)	15,000				O perating Support
KENTUCKY-TENNESSEEPo Box 22788 Louisville,KY 402520788	23-7026156	501(C)(3)	49,383				O perating Support
MICHIGANPo Box 609 Grand Ledge,MI 488370609	38-6073280	501(C)(3)	45,032				O perating Support
MINNESOTA701 XENIA AVE 600 MINNEAPOLIS,MN 55416	23-7026161	501(C)(3)	28,984				O perating Support
MISSOURI2717 SW MONARCH DR LEES SUMMIT,MO 64082	23-7026157	501(C)(3)	24,320				O perating Support
MONTANAPO Box 582 Seeley Lake,MT 598680582	23-7026158	501(C)(3)	15,000				O perating Support
NEBRASKAPO Box 95026 Lincoln,NE 68509	23-7026159	501(C)(3)	15,000				O perating Support
NEW ENGLAND125 Hopping Brook Rd Holliston,MA 01746	04-1666330	501(C)(3)	54,349				O perating Support
NEW JERSEY207 DEPEW ST DUMONT,NJ 07628	22-6049378	501(C)(3)	37,806				O perating Support
NEW YORK614 7TH NORTH ST LIVERPOOL,NY 13088	11-6026214	501(C)(3)	63,118				O perating Support
NORTH CAROLINA3725 National Dr Ste 217 Raleigh,NC 27612	56-6045934	501(C)(3)	40,734				O perating Support
NORTH DAKOTA918 E Divide Ave Bismarck,ND 585011947	44-0420756	501(C)(3)	15,000				O perating Support
OHIO3972 Indianola Ave Columbus,OH 432143158	23-7026162	501(C)(3)	69,136				O perating Support
PACIFIC NORTHWESTPO Box 872467 VANCOUVER,OR 98687	23-7026163	501(C)(3)	79,176				O perating Support
PENNSYLVANIA1309 Bridge St New Cumberland,PA 17070	23-7026164	501(C)(3)	60,302				O perating Support
PUERTO RICOPO BOX 9648 caguas,PR 00726	66-0343550	501(C)(3)	15,000				O perating Support
ROCKY MOUNTAIN9222 teddy ln lonetree,CO 80124	23-7026165	501(C)(3)	64,053				O perating Support
SOUTH CAROLINA400 summerlea dr columbia,SC 29203	23-7052846	501(C)(3)	27,734				O perating Support
SOUTH DAKOTA23343 479TH AVE EGAN,SD 57024	23-7026166	501(C)(3)	15,000				O perating Support
SOUTHWEST2820 N Pierce St Little Rock,AR 722072824	23-7026167	501(C)(3)	35,851				O perating Support
TEXASPO BOX 80510 Austin,TX 78708	75-1388778	501(C)(3)	100,454				O perating Support
VIRGINIAPO Box 55420 Virginia Beach,VA 234719420	23-7026168	501(C)(3)	49,397				O perating Support
WEST VIRIGINIAPO Box 1355 Saint Albans,WV 251771355	31-0988950	501(C)(3)	15,000				O perating Support
WISCONSINPO BOX 635 Oak Creek,WI 531540635	23-7026169	501(C)(3)	27,432				O perating Support

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, question 23.

▶ Attach to Form 990. ▶ See separate instructions.

OMB No 1545-0047

2012

Open to Public Inspection

Name of the organization
AMERICAN WATER WORKS ASSOCIATION

Employer identification number
13-5660277

Part I

Questions Regarding Compensation

	Yes	No
1a Check the appropriate box(es) if the organization provided any of the following to or for a person listed in Form 990, Part VII, Section A, line 1a Complete Part III to provide any relevant information regarding these items ☐ First-class or charter travel ☐ Travel for companions ☐ Tax idemnification and gross-up payments ☐ Discretionary spending account ☐ Housing allowance or residence for personal use ☐ Payments for business use of personal residence ☐ Health or social club dues or initiation fees ☐ Personal services (e g , maid, chauffeur, chef)		
1b If any of the boxes in line 1a are checked, did the organization follow a written policy regarding payment or reimbursement or provision of all 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 filing organization used to establish the compensation of the organization's CEO/Executive Director Check all that apply Do not check any boxes for methods used by a related organization to establish compensation of the CEO/Executive Director, but explain in Part III ☒ Compensation committee ☐ Independent compensation consultant ☒ Form 990 of other organizations ☒ Written employment contract ☒ Compensation survey or study ☒ 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		
4a Receive a severance payment or change-of-control payment?		No
4b Participate in, or receive payment from, a supplemental nonqualified retirement plan?		No
4c 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		No
Only 501(c)(3) and 501(c)(4) organizations only must complete lines 5-9.		
5 For persons listed in Form 990, Part VII, Section A, line 1a, did the organization pay or accrue any compensation contingent on the revenues of		
5a The organization?		No
5b Any related organization? If "Yes," to line 5a or 5b, describe in Part III		No
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		
6a The organization?		No
6b Any related organization? If "Yes," to line 6a or 6b, describe in Part III		No
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	Yes	
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 Regulations section 53.4958-4(a)(3)? If "Yes," describe in Part III		No
9 If "Yes" to line 8, did the organization also follow the rebuttable presumption procedure described in Regulations section 53.4958-6(c)?		

Part II Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees. Use duplicate copies 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, described in the instructions, on row (ii) Do not list any individuals that are not listed on Form 990, Part VII

Note. The sum of columns (B)(i)-(iii) for each listed individual must equal the total amount of Form 990, Part VII, Section A, line 1a, applicable column (D) and (E) amounts for that individual

(A) Name and Title		(B) Breakdown of W-2 and/or 1099-MISC compensation			(C) Retirement and other deferred compensation	(D) Nontaxable benefits	(E) Total of columns (B)(i)-(D)	(F) Compensation reported as deferred in prior Form 990
		(i) Base compensation	(ii) Bonus & incentive compensation	(iii) Other reportable compensation				
(1)David LaFrance Executive Director	(i) (ii)	251,097 0	15,000 0	990 0	22,500 0	6,741 0	296,328 0	15,000 0
(2)Paula MacIlwaine Deputy Executive Director	(i) (ii)	184,616	15,000	1,230	18,782	7,845	227,473	15,000
(3)Thomas Curtis Deputy Executive Director- DC	(i) (ii)	191,321	15,000	2,754	18,919	1,140	229,134	15,000
(4)Kevin Mann Chief Financial Officer	(i) (ii)	147,401	14,000	984	14,748	1,484	178,617	14,000
(5)Robert Huff Director of Info Technology	(i) (ii)	134,180	7,500	1,814	13,386	5,233	162,113	7,500
(6)Elizabeth Haigh Director of Publishing	(i) (ii)	137,892	2,500	1,186	12,922	2,006	156,506	2,500

Part III Supplemental Information

Complete this part to provide the information, explanation, or descriptions required for Part I, lines 1a, 1b, 3, 4a, 4b, 4c, 5a, 5b, 6a, 6b, 7, and 8, and for Part II. Also complete this part for any additional information.

Identifier	Return Reference	Explanation
INFORMATION REGARDING BENEFITS PROVIDED	PART I, QUESTION 1A	First class or charter travel is offered to Officers of the Association if the trip is beyond Continental North America and any single segment exceeds seven hours. In 2012, AWWA did not provide or reimburse any officers for first class or charter travel.
NON-FIXED PAYMENTS	PART I, QUESTION 7	Performance bonuses were paid to the highest compensated employees and executive bonuses were paid to the officers. The compensation committee determined the amount of executive bonuses paid to the officers.

SCHEDULE O
(Form 990 or 990-EZ)

Department of the Treasury
Internal Revenue Service

Supplemental Information to Form 990 or 990-EZ

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

OMB No 1545-0047

2012

Open to Public
Inspection

Name of the organization AMERICAN WATER WORKS ASSOCIATION	Employer identification number 13-5660277
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Identifier	Return Reference	Explanation
Description of Other Program Services	FORM 990, PART III, QUESTION 4D	Committees - Includes development and implementation of information projects, media relations, inquiries, and the National Drinking Water Week campaign
Material Differences in Voting Rights	FORM 990, PART VI, QUESTION 1A	In the case of elections for the President-Elect, Directors-at-Large, and Vice Presidents, only the 47 Section Directors and Directors-at-large may vote
Family/Business Relationship with Another Officer or Director	Form 990, Part VI, Question 2	Director Michael D Simpson and director Dan Hood (who served only part of the year) have a business and family relationship Jerald Stevens and David LaFrance have a business relationship as directors of AWWA's inactive wholly-owned subsidiary, AWWA Association Services, Inc
Changes to Organizational Documents since Prior 990	Form 990, Part VI, Question 4	AWWA updated its Bylaws in 2012 This change included removing the Chair of Water for People from the Board of Directors for AWWA
Classes of Members	Form 990, Part VI, Question 6	Members of the organization include individual members, service provider members and utility members
Members	Form 990, Part VI, Question 7a	Members appoint the Section Director of their respective Section Section Directors are voting members of the Board of Directors
How Org Ensures Local Unit's Activities are Consistent with its Own	Form 990, Part VI, Question 10B	Each section has signed an affiliation agreement with the Association
Process to Review the Form 990	Form 990, Part VI, Question 11a	The Form 990 is prepared by a third party prepaper and is reviewed by the Audit Committee Board members are notified by e-mail that the Form 990 is available for review on-line before being filed with the IRS
Process for Monitoring Compliance with Conflict of Interest Policy	Form 990, Part VI, Question 12C	Officers and directors annually complete a disclosure form Conflicts with regards to contracts or transactions are disclosed prior to any meeting where action is required These disclosures are reflected in the meeting minutes Officers/Directors with conflicts are not allowed to participate in or discuss the matter and are not allowed to vote Conflicts are dealt with at the Board and Management level
Document Retention Policy	FORM 990, Part VI, Question 14	AWWA has a written document retention policy but not a written document destruction policy
Review of CEO or Top Mgmt Official Compensation	Form 990, Part VI, Question 15A & 15B	The current Executive Director started in May 2010 A compensation (salary and bonus) review was conducted for 2012 by the compensation committee For the payment of bonuses for the Deputy EDs and CFO, the review was conducted in 2012 by the compensation committee and approved by the Executive committee In addition, bonus amounts are generally determined by individual employment contract provisions In determining the starting compensation for the Executive Director, the AWWA President (chair of Compensation Committee) was provided (1) executive salary information including survey comparability data and (2) executive salary information from the form 990s of other associations to use as resources to determine starting salary and for discussion with the Compensation Committee In determining the Executive Director's bonus for 2012, the compensation committee was provided with comparable market data and benchmarking information In addition, the ED's performance was reviewed by the Compensation Committee in relation to predetermined performance goals and objectives, prior to awarding the bonus The executive committee ratified the decision of the compensation committee
Governing Documents, Conflict of Interest Policy and Financial Statements	Form 990, Part VI, question 19	AWWA's governing documents, financial statements, and conflict of interest policy are made available to the public upon request for a valid business purpose
Other Changes in Net Assets	Form 990, Part XI, Line 9	Change in Minimum Pension Liability (192,592) Total (192,592)

SCHEDULE R
(Form 990)

Department of the Treasury
Internal Revenue Service

Related Organizations and Unrelated Partnerships

▶ Complete if the organization answered "Yes" to Form 990, Part IV, line 33, 34, 35, 36, or 37.
▶ Attach to Form 990. ▶ See separate instructions.

OMB No 1545-0047

2012

Open to Public Inspection

Name of the organization
AMERICAN WATER WORKS ASSOCIATION

Employer identification number
13-5660277

Part I Identification of Disregarded Entities (Complete if the organization answered "Yes" to Form 990, Part IV, line 33.)					
(a) Name, address, and EIN (if applicable) of disregarded entity	(b) Primary activity	(c) Legal domicile (state or foreign country)	(d) Total income	(e) End-of-year assets	(f) Direct controlling entity

Part II Identification of Related Tax-Exempt Organizations (Complete if the organization answered "Yes" to Form 990, Part IV, line 34 because it had one or more related tax-exempt organizations during the tax year.)							
(a) Name, address, and EIN of related organization	(b) Primary activity	(c) Legal domicile (state or foreign country)	(d) Exempt Code section	(e) Public charity status (if section 501(c)(3))	(f) Direct controlling entity	(g) Section 512(b)(13) controlled entity?	
						Yes	No

Part III

Identification of Related Organizations Taxable as a Partnership (Complete if the organization answered "Yes" to Form 990, Part IV, line 34 because it had one or more related organizations treated as a partnership during the tax year.)

(a) Name, address, and EIN of related organization	(b) Primary activity	(c) Legal domicile (state or foreign country)	(d) Direct controlling entity	(e) Predominant income(related, unrelated, excluded from tax under sections 512- 514)	(f) Share of total income	(g) Share of end-of-year assets	(h) Disproportionate allocations?		(i) Code V—UBI amount in box 20 of Schedule K-1 (Form 1065)	(j) General or managing partner?		(k) Percentage ownership
							Yes	No		Yes	No	

Part IV

Identification of Related Organizations Taxable as a Corporation or Trust (Complete if the organization answered "Yes" to Form 990, Part IV, line 34 because it had one or more related organizations treated as a corporation or trust during the tax year.)

(a) Name, address, and EIN of related organization	(b) Primary activity	(c) Legal domicile (state or foreign country)	(d) Direct controlling entity	(e) Type of entity (C corp, S corp, or trust)	(f) Share of total income	(g) Share of end- of-year assets	(h) Percentage ownership	(i) Section 512 (b)(13) controlled entity?	
								Yes	No
(1) AWWA ASSOCIATION SERVICES INC 6666 WEST QUINCY AVENUE DENVER, CO 80235 84-1265561	INACTIVE	CO	NA	C Corp			100 000 %	Yes	

Part V

Transactions With Related Organizations (Complete if the organization answered "Yes" to Form 990, Part IV, line 34, 35b, or 36.)

Note. Complete line 1 if any entity is listed in Parts II, III, or IV of this schedule

1

During the tax year, did the organization engage in any of the following transactions with one or more related organizations listed in Parts II-IV?

a

Receipt of (i) interest (ii) annuities (iii) royalties or (iv) rent from a controlled entity

b

Gift, grant, or capital contribution to related organization(s)

c

Gift, grant, or capital contribution from related organization(s)

d

Loans or loan guarantees to or for related organization(s)

e

Loans or loan guarantees by related organization(s)

f

Dividends from related organization(s)

g

Sale of assets to related organization(s)

h

Purchase of assets from related organization(s)

i

Exchange of assets with related organization(s)

j

Lease of facilities, equipment, or other assets to related organization(s)

k

Lease of facilities, equipment, or other assets from related organization(s)

l

Performance of services or membership or fundraising solicitations for related organization(s)

m

Performance of services or membership or fundraising solicitations by related organization(s)

n

Sharing of facilities, equipment, mailing lists, or other assets with related organization(s)

o

Sharing of paid employees with related organization(s)

p

Reimbursement paid to related organization(s) for expenses

q

Reimbursement paid by related organization(s) for expenses

r

Other transfer of cash or property to related organization(s)

s

Other transfer of cash or property from related organization(s)

	Yes	No
1a		No
1b		No
1c		No
1d		No
1e		No
1f		No
1g		No
1h		No
1i		No
1j		No
1k		No
1l		No
1m		No
1n		No
1o		No
1p		No
1q		No
1r		No
1s		No

2

If the answer to any of the above is "Yes," see the instructions for information on who must complete this line, including covered relationships and transaction thresholds

(a) Name of other organization	(b) Transaction type (a-s)	(c) Amount involved	(d) Method of determining amount involved

Schedule R (Form 990) 2012

Provide the following information for each entity taxed as a partnership through which the organization conducted more than five percent of its activities (measured by total assets or gross revenue) that was not a related organization. See instructions regarding exclusion for certain investment partnerships.

[illegible]

Part VII **Supplemental Information**

Complete this part to provide additional information for responses to questions on Schedule R (see instructions)

Identifier	Return Reference	Explanation
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Software ID:
Software Version:
EIN: 13-5660277
Name: AMERICAN WATER WORKS ASSOCIATION

Additional Data

Software ID:

Software Version:

EIN: 13-5660277

Name: AMERICAN WATER WORKS ASSOCIATION

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

(A) Name and Title	(B) Average hours per week (list any hours for related organizations below dotted line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)						(D) Reportable compensation from the organization (W- 2/1099-MISC)	(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			
Charles F Anderson President	1 0	X		X				0		0
James A Chaffee PE President Elect	1 0	X						0		0
Jerald W Stevens Immediate Past President	1 0	X						0		0
David E Rager Treasurer	1 0	X		X				0		0
Joseph P Mantua PE Board Member	1 0	X						0		0
R Lee Roberts Board Member	1 0	X						0		0
Thomas P Walters Board Member	1 0	X						0		0
Tom Winkler Board Member	1 0	X						0		0
Frank J Tantone Board Member	1 0	X						0		0
Reid Campbell Board Member	1 0	X						0		0
Edmund Molyneux PEng Board Member	1 0	X						0		0
Dawn White Board Member	1 0	X						0		0
Philip L Brun Jr Board Member	1 0	X						0		0
Douglas G Brinkman PE Board Member	1 0	X						0		0
Marcey G Munoz Board Member	1 0	X						0		0
Jeff Nash Board Member	1 0	X						0		0
Sandy A Smith Board Member	1 0	X						0		0
Jon Muraoka Board Member	1 0	X						0		0
Kyla B Jacobsen Board Member	1 0	X						0		0
Michael D Simpson Board Member	1 0	X						0		0
David O Pitcher Board Member	1 0	X						0		0
Timothy S Wilson Board Member	1 0	X						0		0
Thomas F Schrempp Board Member	1 0	X						0		0
Bernard Maloy Board Member	1 0	X						0		0
Rodolfo Gomez Acosta Board Member	1 0	X						0		0

Form 990, Part VII - Compensation of Officers, Directors, Trustees, Key Employees, Highest Compensated Employees, and Independent Contractors										
(A) Name and Title	(B) Average hours per week (list any hours for related organizations below dotted line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)						(D) Reportable compensation from the organization (W-2/1099-MISC)	(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			
Patricio Kalife Board Member	10	X						0		0
David S Koch Board Member	10	X						0		0
William Spain Board Member	10	X						0		0
Michael J O'Connell PE Board Member	10	X						0		0
John M Alston Board Member	10	X						0		0
Anthony P Bilek Board Member	10	X						0		0
Frank J Moritz Jr Board Member	10	X						0		0
Patrick J Connelly Board Member	10	X						0		0
Dennis M Kelleher Board Member	10	X						0		0
Stephen R Shoaf Board Member	10	X						0		0
Larry Thelen Board Member	10	X						0		0
Melinda L Raimann Board Member	10	X						0		0
Thomas J Moulton Board Member	10	X						0		0
Mark F Knudson Board Member	10	X						0		0
Gene C Koontz Board Member	10	X						0		0
Rafael A Ortiz Diaz Board Member	10	X						0		0
Donald Ellis Board Member	10	X						0		0
Mrs Lela Perkins Board Member	10	X						0		0
Mark Cline Board Member	10	X						0		0
Mrs Kristin Bisgard Board Member	10	X						0		0
Alan D Fortenberry PE Board Member	10	X						0		0
Charles Maddox Board Member	10	X						0		0
H Ali Mahan Board Member	10	X						0		0
Jonathan Carpenter PE Board Member	10	X						0		0
Simon Thomas Board Member	10	X						0		0

Form 990, Part VII - Compensation of Officers, Directors, Trustees, Key Employees, Highest Compensated Employees, and Independent Contractors										
(A) Name and Title	(B) Average hours per week (list any hours for related organizations below dotted line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)						(D) Reportable compensation from the organization (W-2/1099-MISC)	(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			
Tony Averbeck Board Member	1 0	X						0		0
Gary J McCoy Board Member	1 0	X						0		0
Alissa Lockett Board Member	1 0	X						0		0
Sean D Osborne PE Board Member	1 0	X						0		0
Rosemary Smud Board Member	1 0	X						0		0
Craig Woolard Board Member	1 0	X						0		0
Christopher S Jarrett Board Member	1 0	X						0		0
Jeanne M Bailey Board Member	1 0	X						0		0
Kanwal Oberoi Board Member	1 0	X						0		0
Andrew DeGraca Board Member	1 0	X						0		0
Aurel M Arndt Board Member	1 0	X						0		0
Roy L Wolfe Board Member	1 0	X						0		0
Michael A Nolan PE Board Member	1 0	X						0		0
Charles W Wulff Jr Board Member	1 0	X						0		0
Terry M Cole Board Member	1 0	X						0		0
Dan E Hood Board Member	1 0	X						0		0
Carla J Schumacher Board Member	1 0	X						0		0
Gerald T Blain Board Member	1 0	X						0		0
Daniel D Montgomery Board Member	1 0	X						0		0
Robert J Walters Board Member	1 0	X						0		0
Lisa Ansley Board Member	1 0	X						0		0
Wayne Stiver Board Member	1 0	X						0		0
Martin Garcia Board Member	1 0	X						0		0
Martin J Jarrett Board Member	1 0	X						0		0
Brian L Ramaley Board Member	1 0	X						0		0

Form 990, Part VII - Compensation of Officers, Directors, Trustees, Key Employees, Highest Compensated Employees, and Independent Contractors										
(A) Name and Title	(B) Average hours per week (list any hours for related organizations below dotted line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)						(D) Reportable compensation from the organization (W-2/1099-MISC)	(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			
Edward W Morrison Jr Board Member	1 0	X						0		0
Marie S Pearthree PE Board Member	1 0	X						0		0
J Paul Blake Board Member	1 0	X						0		0
Robert C Cheng PhD Board Member	1 0	X						0		0
David LaFrance Executive Director	40 0			X				267,087	0	29,241
Paula MacIlwaine Deputy Executive Director	40 0			X				200,846		26,627
Thomas Curtis Deputy Executive Director- DC	40 0			X				209,075		20,059
Kevin Mann Chief Financial Officer	40 0			X				162,385		16,232
Robert Huff Director of Info Technology	40 0					X		143,494		18,619
Elizabeth Haigh Director of Publishing	40 0					X		141,578		14,928
Susan Franceschi Director of Membership	40 0					X		128,614		17,046
James Roberson Director of Federal Relations	40 0					X		127,438		15,579
Jane Johnson Director of Sales	40 0					X		107,829		12,697