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990

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 and ending

**B** Check if applicable

- ☐ Address change  
☐ Name change  
☐ Initial return  
☐ Terminated  
☐ Amended return  
☐ Application pending

**C** Name of organization

NUCLEAR THREAT INITIATIVE, INC.

Doing Business As

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

1747 PENNSYLVANIA AVE. NW

Room/suite  
700

City, town, or post office, state, and ZIP code

WASHINGTON, DC 20006

**F** Name and address of principal officer SENATOR SAM NUNN

1747 PENNSYLVANIA AVENUE, NW, WASHINGTON, DC

**D** Employer identification number

52-2289435

**E** Telephone number

(202) 296-4810

**G** Gross receipts \$ 13,034,685.

**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.NTI.ORG

**K** Form of organization: ☒ Corporation ☐ Trust ☐ Association ☐ Other ►

**L** Year of formation: 2001 **M** State of legal domicile: GA

## Part I Summary

**1** Briefly describe the organization's mission or most significant activities: SEE STATEMENT 1

**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)

3 17

**4** Number of independent voting members of the governing body (Part VI, line 1b)

4 14

**5** Total number of individuals employed in calendar year 2012 (Part V, line 2a)

5 34

**6** Total number of volunteers (estimate if necessary)

6 0

**7a** Total unrelated business revenue from Part VIII, column (C), line 12

7a 0.

**b** Net unrelated business taxable income from Form 990-T, line 34

7b 0.

**8** Contributions and grants (Part VIII, line 1h)

Prior Year Current Year

4,606,893. 3,970,774.

**9** Program service revenue (Part VIII, line 2g)

0. 0.

**10** Investment income (Part VIII, column (A), lines 3, 4, and 7d)

423,268. 43,646.

**11** Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e)

<276,270.> 3,811.

**12** Total revenue - add lines 8 through 11 (must equal Part VIII, column (A), line 12)

4,753,891. 4,018,231.

**13** Grants and similar amounts paid (Part IX, column (A), lines 1-3)

3,055,982. 3,092,922.

**14** Benefits paid to or for members (Part IX, column (A), line 4)

0. 0.

**15** Salaries, other compensation, employee benefits (Part IX, column (A), lines 5-10)

4,979,936. 5,383,071.

**16a** Professional fundraising fees (Part IX, column (A), line 11e)

0. 0.

**b** Total fundraising expenses (Part IX, column (D), line 25) 103,102.

**17** Other expenses (Part IX, column (A), lines 11a-11d, 11f-24e)

6,730,069. 5,518,294.

**18** Total expenses. Add lines 13-17 (must equal Part IX, column (A), line 25)

14,765,987. 13,994,287.

**19** Revenue less expenses. Subtract line 18 from line 12

<10,012,096.> <9,976,056.>

**20** Total assets (Part X, line 16)

Beginning of Current Year End of Year

28,233,558. 18,385,882.

**21** Total liabilities (Part X, line 26)

1,598,621. 1,727,001.

**22** Net assets or fund balances. Subtract line 21 from line 20

26,634,937. 16,658,881.

## Part II Signature Block

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

Sign Here

Signature of officer

Date

CHARLOTTE S. ATKINSON, TREASURER & CFO

Type or print name and title

Paid

Print/Type preparer's name

Preparer's signature

Date

Check ☐ if self-employed

PTIN

Preparer

Firm's name

AVALON FINANCIAL ADVISORS, LLC

Firm's EIN

58-1259406

Use Only

Firm's address

133 LUCKIE STREET

Phone no.

(404) 522-4200

ATLANTA, GA 30303

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

☒ Yes ☐ No

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**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

SEE STATEMENT 1

- 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 \$ 3,259,425. including grants of \$ 1,533,247.) (Revenue \$ \_\_\_\_\_)  
NUCLEAR SECURITY PROJECT (NSP) - SEE STATEMENT 24b (Code \_\_\_\_\_) (Expenses \$ 2,790,779. including grants of \$ 725,993.) (Revenue \$ \_\_\_\_\_)  
COMMUNICATIONS & PUBLIC EDUCATION - SEE STATEMENT 24c (Code \_\_\_\_\_) (Expenses \$ 1,994,593. including grants of \$ 150,131.) (Revenue \$ \_\_\_\_\_)  
NUCLEAR MATERIALS SECURITY - SEE STATEMENT 2

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

(Expenses \$ 3,828,756. including grants of \$ 1,561,403.) (Revenue \$ \_\_\_\_\_)4e Total program service expenses 11,873,553.

**Part IV Checklist of Required Schedules**

	Yes	No
1 Is the organization described in section 501(c)(3) or 4947(a)(1) (other than a private foundation)? <i>If "Yes," complete Schedule A</i>	<input checked="" type="checkbox"/>	
2 Is the organization required to complete <i>Schedule B, Schedule of Contributors</i> ?	<input checked="" type="checkbox"/>	
3 Did the organization engage in direct or indirect political campaign activities on behalf of or in opposition to candidates for public office? <i>If "Yes," complete Schedule C, Part I</i>		<input checked="" type="checkbox"/>
4 <b>Section 501(c)(3) organizations.</b> Did the organization engage in lobbying activities, or have a section 501(h) election in effect during the tax year? <i>If "Yes," complete Schedule C, Part II</i>		<input checked="" type="checkbox"/>
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? <i>If "Yes," complete Schedule C, Part III</i>		<input checked="" type="checkbox"/>
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? <i>If "Yes," complete Schedule D, Part I</i>		<input checked="" type="checkbox"/>
7 Did the organization receive or hold a conservation easement, including easements to preserve open space, the environment, historic land areas, or historic structures? <i>If "Yes," complete Schedule D, Part II</i>		<input checked="" type="checkbox"/>
8 Did the organization maintain collections of works of art, historical treasures, or other similar assets? <i>If "Yes," complete Schedule D, Part III</i>		<input checked="" type="checkbox"/>
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? <i>If "Yes," complete Schedule D, Part IV</i>		<input checked="" type="checkbox"/>
10 Did the organization, directly or through a related organization, hold assets in temporarily restricted endowments, permanent endowments, or quasi-endowments? <i>If "Yes," complete Schedule D, Part V</i>		<input checked="" type="checkbox"/>
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? <i>If "Yes," complete Schedule D, Part VI</i>	<input checked="" type="checkbox"/>	
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? <i>If "Yes," complete Schedule D, Part VII</i>		<input checked="" type="checkbox"/>
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? <i>If "Yes," complete Schedule D, Part VIII</i>		<input checked="" type="checkbox"/>
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? <i>If "Yes," complete Schedule D, Part IX</i>		<input checked="" type="checkbox"/>
e Did the organization report an amount for other liabilities in Part X, line 25? <i>If "Yes," complete Schedule D, Part X</i>	<input checked="" type="checkbox"/>	
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)? <i>If "Yes," complete Schedule D, Part X</i>	<input checked="" type="checkbox"/>	
12a Did the organization obtain separate, independent audited financial statements for the tax year? <i>If "Yes," complete Schedule D, Parts XI and XII</i>	<input checked="" type="checkbox"/>	
b Was the organization included in consolidated, independent audited financial statements for the tax year? <i>If "Yes," and if the organization answered "No" to line 12a, then completing Schedule D, Parts XI and XII is optional</i>		<input checked="" type="checkbox"/>
13 Is the organization a school described in section 170(b)(1)(A)(ii)? <i>If "Yes," complete Schedule E</i>		<input checked="" type="checkbox"/>
14a Did the organization maintain an office, employees, or agents outside of the United States?	<input checked="" type="checkbox"/>	
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? <i>If "Yes," complete Schedule F, Parts I and IV</i>	<input checked="" type="checkbox"/>	
15 Did the organization report on Part IX, column (A), line 3, more than \$5,000 of grants or assistance to any organization or entity located outside the United States? <i>If "Yes," complete Schedule F, Parts II and IV</i>	<input checked="" type="checkbox"/>	
16 Did the organization report on Part IX, column (A), line 3, more than \$5,000 of aggregate grants or assistance to individuals located outside the United States? <i>If "Yes," complete Schedule F, Parts III and IV</i>		<input checked="" type="checkbox"/>
17 Did the organization report a total of more than \$15,000 of expenses for professional fundraising services on Part IX, column (A), lines 6 and 11e? <i>If "Yes," complete Schedule G, Part I</i>		<input checked="" type="checkbox"/>
18 Did the organization report more than \$15,000 total of fundraising event gross income and contributions on Part VIII, lines 1c and 8a? <i>If "Yes," complete Schedule G, Part II</i>		<input checked="" type="checkbox"/>
19 Did the organization report more than \$15,000 of gross income from gaming activities on Part VIII, line 9a? <i>If "Yes," complete Schedule G, Part III</i>		<input checked="" type="checkbox"/>
20a Did the organization operate one or more hospital facilities? <i>If "Yes," complete Schedule H</i>		<input checked="" type="checkbox"/>
b If "Yes" to line 20a, did the organization attach a copy of its audited financial statements to this return?		

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**Part IV** Checklist of Required Schedules (continued)

	Yes	No
<b>21</b> 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>	<b>X</b>	
<b>22</b> 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>		<b>X</b>
<b>23</b> 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>	<b>X</b>	
<b>24a</b> 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>		<b>X</b>
<b>b</b> Did the organization invest any proceeds of tax-exempt bonds beyond a temporary period exception?		
<b>c</b> Did the organization maintain an escrow account other than a refunding escrow at any time during the year to defease any tax-exempt bonds?		
<b>d</b> Did the organization act as an "on behalf of" issuer for bonds outstanding at any time during the year?		
<b>25a</b> <b>Section 501(c)(3) and 501(c)(4) organizations.</b> Did the organization engage in an excess benefit transaction with a disqualified person during the year? <i>If "Yes," complete Schedule L, Part I</i>		<b>X</b>
<b>b</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>		<b>X</b>
<b>26</b> 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>		<b>X</b>
<b>27</b> 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>		<b>X</b>
<b>28</b> 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).		
<b>a</b> A current or former officer, director, trustee, or key employee? <i>If "Yes," complete Schedule L, Part IV</i>		<b>X</b>
<b>b</b> A family member of a current or former officer, director, trustee, or key employee? <i>If "Yes," complete Schedule L, Part IV</i>	<b>X</b>	
<b>c</b> 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>	<b>X</b>	
<b>29</b> Did the organization receive more than \$25,000 in non-cash contributions? <i>If "Yes," complete Schedule M</i>	<b>X</b>	
<b>30</b> Did the organization receive contributions of art, historical treasures, or other similar assets, or qualified conservation contributions? <i>If "Yes," complete Schedule M</i>		<b>X</b>
<b>31</b> Did the organization liquidate, terminate, or dissolve and cease operations? <i>If "Yes," complete Schedule N, Part I</i>		<b>X</b>
<b>32</b> 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>		<b>X</b>
<b>33</b> 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>		<b>X</b>
<b>34</b> 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>		<b>X</b>
<b>35a</b> Did the organization have a controlled entity within the meaning of section 512(b)(13)?		<b>X</b>
<b>b</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>		
<b>36</b> <b>Section 501(c)(3) organizations.</b> Did the organization make any transfers to an exempt non-charitable related organization? <i>If "Yes," complete Schedule R, Part V, line 2</i>		<b>X</b>
<b>37</b> 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>		<b>X</b>
<b>38</b> Did the organization complete Schedule O and provide explanations in Schedule O for Part VI, lines 11b and 19?	<b>X</b>	

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

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

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

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 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.		
1b	Enter the number of voting members included in line 1a, above, who are independent		
2	Did any officer, director, trustee, or key employee have a family relationship or a business relationship with any other officer, director, trustee, or key employee?	X	
3	Did the organization delegate control over management duties customarily performed by or under the direct supervision of officers, directors, or trustees, or key employees to a management company or other person?		X
4	Did the organization make any significant changes to its governing documents since the prior Form 990 was filed?		X
5	Did the organization become aware during the year of a significant diversion of the organization's assets?		X
6	Did the organization have members or stockholders?		X
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?		X
7b	Are any governance decisions of the organization reserved to (or subject to approval by) members, stockholders, or persons other than the governing body?		X
8	Did the organization contemporaneously document the meetings held or written actions undertaken during the year by the following:		
a	The governing body?	X	
b	Each committee with authority to act on behalf of the governing body?	X	
9	Is there any officer, director, trustee, or key employee listed in Part VII, Section A, who cannot be reached at the organization's mailing address? If "Yes," provide the names and addresses in Schedule O		X

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

		Yes	No
10a	Did the organization have local chapters, branches, or affiliates?		X
10b	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?		
11a	Has the organization provided a complete copy of this Form 990 to all members of its governing body before filing the form?	X	
12a	Did the organization have a written conflict of interest policy? If "No," go to line 13	X	
12b	Were officers, directors, or trustees, and key employees required to disclose annually interests that could give rise to conflicts?	X	
12c	Did the organization regularly and consistently monitor and enforce compliance with the policy? If "Yes," describe in Schedule O how this was done	X	
13	Did the organization have a written whistleblower policy?	X	
14	Did the organization have a written document retention and destruction policy?	X	
15	Did the process for determining compensation of the following persons include a review and approval by independent persons, comparability data, and contemporaneous substantiation of the deliberation and decision?		
15a	The organization's CEO, Executive Director, or top management official	X	
15b	Other officers or key employees of the organization	X	
16a	Did the organization invest in, contribute assets to, or participate in a joint venture or similar arrangement with a taxable entity during the year?		X
16b	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?		

**Section C. Disclosure**

17 List the states with which a copy of this Form 990 is required to be filed **AL, AK, AZ, AR, CA, CO, DE, DC, FL, GA, IL, KS**

18 Section 6104 requires an organization to make its Forms 1023 (or 1024 if applicable), 990, and 990-T (Section 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. **SEE SMT 4**

20 State the name, physical address, and telephone number of the person who possesses the books and records of the organization: **CHARLOTTE S. ATKINSON, TREASURER & CFO - 202.296.4810**  
**1747 PENNSYLVANIA AVE, NW STE 700, WASHINGTON, DC 20006**

**Part VII Compensation of Officers, Directors, Trustees, Key Employees, Highest Compensated Employees, and Independent Contractors**Check if Schedule O contains a response to any question in this Part VII ☐**Section A. Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees****1a** Complete this table for all persons required to be listed. Report compensation for the calendar year ending with or within the organization's tax year.

- List all of the organization's **current** officers, directors, trustees (whether individuals or organizations), regardless of amount of compensation. Enter -0- in columns (D), (E), and (F) if no compensation was paid.
- List all of the organization's **current** key employees, 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, and highest compensated employees who received more than \$100,000 of reportable compensation from the organization and any related organizations.
- List all of the organization's **former** directors or trustees that received, in the capacity as a former director or trustee of the organization, more than \$10,000 of reportable compensation from the organization and any related organizations.

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

☐ Check this box if neither the organization nor any related organization compensated any current officer, director, or trustee

(A) Name and Title	(B) Average hours per week (list any hours for related organizations below 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			
(1) ALEXEY ARBATOV MEMBER OF THE BOARD OF DIRECTORS	4.00	X						11,996.	0.	0.
(2) DESMOND BROWNE MEMBER OF THE BOARD OF DIRECTORS	4.00	X						9,564.	0.	0.
(3) CHARLES B CURTIS MEMBER OF THE BOARD OF DIRECTORS	24.00	X						14,624.	0.	0.
(4) PETE V. DOMENCI MEMBER OF THE BOARD OF DIRECTORS	3.00	X						0.	0.	0.
(5) SUSAN EISENHOWER MEMBER OF THE BOARD OF DIRECTORS	3.00	X						0.	0.	0.
(6) ROLF EKEUS MEMBER OF THE BOARD OF DIRECTORS	4.00	X						11,989.	0.	0.
(7) EUGENE E HABIGER MEMBER OF THE BOARD OF DIRECTORS	4.00	X						5,705.	0.	0.
(8) HRH PRINCE EL HASSAN BINTALAL O MEMBER OF THE BOARD OF DIRECTORS	3.00	X						0.	0.	0.
(9) IGOR S. IVANOV MEMBER OF THE BOARD OF DIRECTORS	4.00	X						5,000.	0.	0.
(10) DR. JEONG H. KIM MEMBER OF THE BOARD OF DIRECTORS	1.00	X						0.	0.	0.
(11) PIERRE LELLOUCHE MEMBER OF THE BOARD OF DIRECTORS	3.00	X						0.	0.	0.
(12) RICHARD G. LUGAR MEMBER OF THE BOARD OF DIRECTORS	3.00	X						0.	0.	0.
(13) JESSICA T. MATHEWS MEMBER OF THE BOARD OF DIRECTORS	4.00	X						16,548.	0.	0.
(14) RONALD L. OLSON MEMBER OF THE BOARD OF DIRECTORS	4.00	X						5,000.	0.	0.
(15) HISASHI OWADA MEMBER OF THE BOARD OF DIRECTORS	4.00	X						13,720.	0.	0.
(16) WILLIAM PERRY MEMBER OF THE BOARD OF DIRECTORS	6.00	X						5,000.	0.	0.
(17) NAFIS SADIK MEMBER OF THE BOARD OF DIRECTORS	4.00	X						5,000.	0.	0.



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

(A) Name and title	(B) Average hours per week (list any hours for related organizations below 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			
(18) AMARTYA SEN MEMBER OF THE BOARD OF DIRECTORS	3.00	X						0.	0.	0.
(19) TED TURNER CO-CHAIRMAN	6.00	X						5,000.	0.	0.
(20) SHIRLEY WILLIAMS MEMBER OF THE BOARD OF DIRECTORS	4.00	X		X				5,000.	0.	0.
(21) FUJIA YANG MEMBER OF THE BOARD OF DIRECTORS	5.00	X						16,880.	0.	0.
(22) SAM NUNN CO-CHAIRMAN & CHIEF EXECUTIVE OFFICE	35.00	X		X				364,542.	0.	25,000.
(23) JOAN ROHLFING PRESIDENT & CHIEF OPERATING OFFICER	45.00	X		X				331,907.	0.	62,691.
(24) CHARLOTTE S. ATKINSON CHIEF FINANCIAL OFFICER	40.00			X				146,627.	0.	31,874.
(25) COREY HINDERSTEIN VICE PRESIDENT, INTERNATIONAL PROGRA	40.00			X				197,367.	0.	39,211.
(26) CARMEN MACDOUGALL VICE PRESIDENT, COMMUNICATIONS	40.00			X				225,241.	0.	40,000.
<b>1b Sub-total</b>								1,396,710.	0.	198,776.
<b>c Total from continuation sheets to Part VII, Section A</b>								1,282,799.	0.	261,518.
<b>d Total (add lines 1b and 1c)</b>								2,679,509.	0.	460,294.

2 Total number of individuals (including but not limited to those listed above) who received more than \$100,000 of reportable compensation from the organization **20**

	Yes	No
3 Did the organization list any former officer, director, or trustee, key employee, or highest compensated employee on line 1a? If "Yes," complete Schedule J for such individual		X
4 For any individual listed on line 1a, is the sum of reportable compensation and other compensation from the organization and related organizations greater than \$150,000? If "Yes," complete Schedule J for such individual	X	
5 Did any person listed on line 1a receive or accrue compensation from any unrelated organization or individual for services rendered to the organization? If "Yes," complete Schedule J for such person		X

**Section B. Independent Contractors**

1 Complete this table for your five highest compensated independent contractors that received more than \$100,000 of compensation from the organization. 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
SEE STATEMENT 3		1,532,834.

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 **5**

SEE PART VII, SECTION A CONTINUATION SHEETS

Form 990 (2012)

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

(A) Name and title	(B) Average hours per week (list any hours for related organizations below line)	(C) Position (check all that apply)						(D) Reportable compensation from the organization (W-2/1099-MISC)	(E) Reportable compensation from related organizations (W-2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Institutional trustee	Officer	Key employee	Highest compensated employee	Former			
(27) DEBORAH ROSENBLUM EXECUTIVE VICE PRESIDENT	45.00			X				272,334.	0.	59,787.
(28) PAGE STOUTLAND VICE PRESIDENT, NUCLEAR MATERIALS SE	40.00			X				194,976.	0.	34,476.
(29) J. RUTHERFORD SEYDEL, II CORPORATE SECRETARY	3.00			X				0.	0.	0.
(30) ROBERT E. BERLS DIRECTOR MOSCOW OFFICE	40.00				X			204,565.	0.	41,773.
(31) DIANE HAUSLEIN DIRECTOR OF ADMINISTRATION	40.00				X			156,928.	0.	39,525.
(32) CATHERINE GWIN SENIOR DIRECTOR OF COMMUNICATIONS	36.00				X			149,621.	0.	45,979.
(33) VALERIA MACPHAIL DIRECTOR, OFFICE OF THE HON, SAM NUN	40.00				X			165,479.	0.	16,548.
(34) DEEPTI CHOUBEY SENIOR DIRECTOR, NUCLEAR & BIO SECUR	40.00				X			138,896.	0.	23,430.
Total to Part VII, Section A, line 1c								1,282,799.		261,518.

**Part VIII** Statement of RevenueCheck 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	1 a Federated campaigns	1a				
	b Membership dues	1b				
	c Fundraising events	1c				
	d Related organizations	1d				
	e Government grants (contributions)	1e	168,298.			
	f All other contributions, gifts, grants, and similar amounts not included above	1f	3,802,476.			
	g Noncash contributions included in lines 1a-1f \$		2,052,933.			
	h Total. Add lines 1a-1f		3,970,774.			
	Program Service Revenue	Business Code				
2 a						
b						
c						
d						
e						
f All other program service revenue						
g Total. Add lines 2a-2f						
Other Revenue	3 Investment income (including dividends, interest, and other similar amounts)		30,869.	30,869.		
	4 Income from investment of tax-exempt bond proceeds					
	5 Royalties					
	6 a Gross rents	(i) Real				
		(ii) Personal				
		b Less: rental expenses				
		c Rental income or (loss)				
	d Net rental income or (loss)					
	7 a Gross amount from sales of assets other than inventory	(i) Securities				
		(ii) Other				
		b Less: cost or other basis and sales expenses				
		c Gain or (loss)				
	d Net gain or (loss)		12,777.	12,777.		
	8 a Gross income from fundraising events (not including \$ of contributions reported on line 1c) See Part IV, line 18	a				
		b Less: direct expenses	b			
		c Net income or (loss) from fundraising events				
	9 a Gross income from gaming activities. See Part IV, line 19	a				
		b Less: direct expenses	b			
		c Net income or (loss) from gaming activities				
	10 a Gross sales of inventory, less returns and allowances	a				
		b Less: cost of goods sold	b			
		c Net income or (loss) from sales of inventory				
Miscellaneous Revenue		Business Code				
11 a	900099	3,811.	3,811.			
b						
c						
d All other revenue						
e Total. Add lines 11a-11d		3,811.				
12 Total revenue. See instructions.		4,018,231.	47,457.	0.	0.	

**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	871,850.	871,850.		
2 Grants and other assistance to individuals in the United States. See Part IV, line 22				
3 Grants and other assistance to governments, organizations, and individuals outside the United States. See Part IV, lines 15 and 16	2,221,072.	2,221,072.		
4 Benefits paid to or for members				
5 Compensation of current officers, directors, trustees, and key employees	1,723,151.	1,331,390.	376,673.	15,088.
6 Compensation not included above, to disqualified persons (as defined under section 4958(f)(1)) and persons described in section 4958(c)(3)(B)				
7 Other salaries and wages	2,615,256.	2,006,858.	600,264.	8,134.
8 Pension plan accruals and contributions (include section 401(k) and 403(b) employer contributions)	384,653.	316,071.	67,827.	755.
9 Other employee benefits	403,673.	280,340.	121,363.	1,970.
10 Payroll taxes	256,338.	184,825.	70,564.	949.
11 Fees for services (non-employees):				
a Management				
b Legal	66,078.	10,064.	51,444.	4,570.
c Accounting	54,302.		54,302.	
d Lobbying				
e Professional fundraising services. See Part IV, line 17				
f Investment management fees				
g Other. (If line 11g amount exceeds 10% of line 25, column (A) amount, list line 11g expenses on Sch O.)	960,786.	845,521.	112,583.	2,682.
12 Advertising and promotion				
13 Office expenses	248,250.	175,395.	57,382.	15,473.
14 Information technology	170,354.	125,772.	36,365.	8,217.
15 Royalties				
16 Occupancy	632,176.	426,141.	195,840.	10,195.
17 Travel	881,316.	752,051.	117,973.	11,292.
18 Payments of travel or entertainment expenses for any federal, state, or local public officials				
19 Conferences, conventions, and meetings	1,038,947.	994,655.	42,067.	2,225.
20 Interest				
21 Payments to affiliates				
22 Depreciation, depletion, and amortization	137,336.	92,111.	42,987.	2,238.
23 Insurance	55,679.	2,100.	53,579.	
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 MAJOR PROGRAMMATIC CONT	1,113,375.	1,113,375.		
b PRINTING & PUBLICATIONS	134,227.	110,274.	5,675.	18,278.
c				
d				
e All other expenses	25,468.	13,688.	10,744.	1,036.
25 Total functional expenses. Add lines 1 through 24e	13,994,287.	11,873,553.	2,017,632.	103,102.
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 <input checked="" type="checkbox"/> if following SOP 98-2 (ASC 958-720)	58,258.	25,450.	0.	32,808.

**Part X Balance Sheet**Check if Schedule O contains a response to any question in this Part X ☐

		(A) Beginning of year		(B) End of year
<b>Assets</b>	1 Cash - non-interest-bearing	1,320,766.	1	443,018.
	2 Savings and temporary cash investments	14,117,395.	2	12,302,480.
	3 Pledges and grants receivable, net	12,237,556.	3	2,269,356.
	4 Accounts receivable, net	90,537.	4	14,505.
	5 Loans and other receivables from current and former officers, directors, trustees, key employees, and highest compensated employees. Complete Part II of Schedule L		5	
	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 instr). Complete Part II of Sch L		6	
	7 Notes and loans receivable, net		7	
	8 Inventories for sale or use		8	
	9 Prepaid expenses and deferred charges	168,004.	9	123,207.
	10a Land, buildings, and equipment: cost or other basis. Complete Part VI of Schedule D	10a 1,015,101.		
	b Less: accumulated depreciation	10b 783,092.	10c 299,300.	232,009.
	11 Investments - publicly traded securities		11	3,001,307.
	12 Investments - other securities. See Part IV, line 11		12	
	13 Investments - program-related. See Part IV, line 11		13	
	14 Intangible assets		14	
	15 Other assets. See Part IV, line 11		15	
16 <b>Total assets.</b> Add lines 1 through 15 (must equal line 34)	28,233,558.	16	18,385,882.	
<b>Liabilities</b>	17 Accounts payable and accrued expenses	524,086.	17	564,507.
	18 Grants payable	1,033,607.	18	1,150,594.
	19 Deferred revenue	40,928.	19	0.
	20 Tax-exempt bond liabilities		20	
	21 Escrow or custodial account liability. Complete Part IV of Schedule D		21	
	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		22	
	23 Secured mortgages and notes payable to unrelated third parties		23	
	24 Unsecured notes and loans payable to unrelated third parties		24	
	25 Other liabilities (including federal income tax, payables to related third parties, and other liabilities not included on lines 17-24). Complete Part X of Schedule D	0.	25	11,900.
	26 <b>Total liabilities.</b> Add lines 17 through 25	1,598,621.	26	1,727,001.
<b>Net Assets or Fund Balances</b>	Organizations that follow SFAS 117 (ASC 958), check here <input checked="" type="checkbox"/> and complete lines 27 through 29, and lines 33 and 34.			
	27 Unrestricted net assets	14,972,631.	27	13,617,654.
	28 Temporarily restricted net assets	11,662,306.	28	3,041,227.
	29 Permanently restricted net assets		29	
	Organizations that do not follow SFAS 117 (ASC 958), check here <input type="checkbox"/> and complete lines 30 through 34.			
	30 Capital stock or trust principal, or current funds		30	
	31 Paid-in or capital surplus, or land, building, or equipment fund		31	
	32 Retained earnings, endowment, accumulated income, or other funds		32	
	33 Total net assets or fund balances	26,634,937.	33	16,658,881.
34 <b>Total liabilities and net assets/fund balances</b>	28,233,558.	34	18,385,882.	

Form 990 (2012)

**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	4,018,231.
2	Total expenses (must equal Part IX, column (A), line 25)	2	13,994,287.
3	Revenue less expenses. Subtract line 2 from line 1	3	<9,976,056.>
4	Net assets or fund balances at beginning of year (must equal Part X, line 33, column (A))	4	26,634,937.
5	Net unrealized gains (losses) on investments	5	
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	0.
10	Net assets or fund balances at end of year. Combine lines 3 through 9 (must equal Part X, line 33, column (B))	10	16,658,881.

**Part XII Financial Statements and Reporting**Check if Schedule O contains a response to any question in this Part XII ☐

- 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
- b 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
- c If "Yes" to line 2a or 2b, does the organization have a committee that assumes responsibility for oversight of the audit, review, or compilation of its financial statements and selection of an independent accountant?  
If the organization changed either its oversight process or selection process during the tax year, explain in Schedule O.
- 3a As a result of a federal award, was the organization required to undergo an audit or audits as set forth in the Single Audit Act and OMB Circular A-133?
- b If "Yes," did the organization undergo the required audit or audits? If the organization did not undergo the required audit or audits, explain why in Schedule O and describe any steps taken to undergo such audits

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

Form 990 (2012)

**SCHEDULE A**  
**(Form 990 or 990-EZ)**

Department of the Treasury  
Internal Revenue Service

**Public Charity Status and Public Support**

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.

OMB No 1545-0047

**2012**

Open to Public  
Inspection

Name of the organization

**NUCLEAR THREAT INITIATIVE, INC.**

Employer identification number

**52-2289435**

**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 33 1/3% of its support from contributions, membership fees, and gross receipts from activities related to its exempt functions - subject to certain exceptions, and (2) no more than 33 1/3% of its support from gross investment income and unrelated business taxable income (less section 511 tax) from businesses acquired by the organization after June 30, 1975 See section 509(a)(2). (Complete Part III.)
- 10 ☐ An organization organized and operated exclusively to test for public safety. See section 509(a)(4).
- 11 ☐ An organization organized and operated exclusively for the benefit of, to perform the functions of, or to carry out the purposes of one or more publicly supported organizations described in section 509(a)(1) or section 509(a)(2). See section 509(a)(3). Check the box that describes the type of supporting organization and complete lines 11e through 11h
- a ☐ Type I      b ☐ Type II      c ☐ Type III - Functionally integrated      d ☐ Type III - 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	
<b>Total</b>									

LHA For Paperwork Reduction Act Notice, see the Instructions for Form 990 or 990-EZ.

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.")	31,227,474.	22,556,358.	55,862,714.	4,606,893.	3,970,774.	118,224,213.
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	31,227,474.	22,556,358.	55,862,714.	4,606,893.	3,970,774.	118,224,213.
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)						99,925,597.
6 Public support. Subtract line 5 from line 4						18,298,616.

**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	31,227,474.	22,556,358.	55,862,714.	4,606,893.	3,970,774.	118,224,213.
8 Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources	57,097.	38,941.	36,379.	37,413.	30,869.	200,699.
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.)	400.	<89.>		782.	3,810.	4,903.
11 Total support. Add lines 7 through 10						118,429,815.

12 Gross receipts from related activities, etc. (see instructions)

12

13 First five years. If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and stop here ☐**Section C. Computation of Public Support Percentage**

14 Public support percentage for 2012 (line 6, column (f) divided by line 11, column (f))	14	15.45	%
15 Public support percentage from 2011 Schedule A, Part II, line 14	15	19.05	%
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			<input type="checkbox"/>
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			<input type="checkbox"/>
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			<input checked="" type="checkbox"/>
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			<input type="checkbox"/>
18 Private foundation. If the organization did not check a box on line 13, 16a, 16b, 17a, or 17b, check this box and see instructions			<input type="checkbox"/>

Schedule A (Form 990 or 990-EZ) 2012



**Part III Support Schedule for Organizations Described in Section 509(a)(2)**

(Complete only if you checked the box on line 9 of Part I 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
<b>1</b> Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grants.")						
<b>2</b> 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						
<b>3</b> Gross receipts from activities that are not an unrelated trade or business under section 513						
<b>4</b> Tax revenues levied for the organization's benefit and either paid to or expended on its behalf						
<b>5</b> The value of services or facilities furnished by a governmental unit to the organization without charge						
<b>6</b> Total. Add lines 1 through 5						
<b>7a</b> Amounts included on lines 1, 2, and 3 received from disqualified persons						
<b>b</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						
<b>c</b> Add lines 7a and 7b						
<b>8</b> Public support. (Subtract line 7c from line 6)						

**Section B. Total Support**

Calendar year (or fiscal year beginning in) ►	(a) 2008	(b) 2009	(c) 2010	(d) 2011	(e) 2012	(f) Total
<b>9</b> Amounts from line 6						
<b>10a</b> Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources						
<b>b</b> Unrelated business taxable income (less section 511 taxes) from businesses acquired after June 30, 1975						
<b>c</b> Add lines 10a and 10b						
<b>11</b> Net income from unrelated business activities not included in line 10b, whether or not the business is regularly carried on						
<b>12</b> Other income. Do not include gain or loss from the sale of capital assets (Explain in Part IV.)						
<b>13</b> Total support. (Add lines 9, 10c, 11, and 12)						
<b>14</b> First five years. If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and stop here <input type="checkbox"/>						

**Section C. Computation of Public Support Percentage**

<b>15</b> Public support percentage for 2012 (line 8, column (f) divided by line 13, column (f))	<b>15</b>	%
<b>16</b> Public support percentage from 2011 Schedule A, Part III, line 15	<b>16</b>	%

**Section D. Computation of Investment Income Percentage**

<b>17</b> Investment income percentage for 2012 (line 10c, column (f) divided by line 13, column (f))	<b>17</b>	%
<b>18</b> Investment income percentage from 2011 Schedule A, Part III, line 17	<b>18</b>	%

- 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)

**PART II, SECTION C, LINE 17A, FACTS AND CIRCUMSTANCES TEST:**

**SEE STATEMENT 5**

**SCHEDULE D**  
**(Form 990)**Department of the Treasury  
Internal Revenue Service**Supplemental Financial Statements**▶ Complete if the organization answered "Yes," to Form 990,  
Part IV, line 6, 7, 8, 9, 10, 11a, 11b, 11c, 11d, 11e, 11f, 12a, or 12b.

▶ Attach to Form 990. ▶ See separate instructions.

OMB No. 1545-0047

**2012**Open to Public  
Inspection

Name of the organization

NUCLEAR THREAT INITIATIVE, INC.

Employer identification number

52-2289435

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

	(a) Donor advised funds	(b) Funds and other accounts
1 Total number at end of year		
2 Aggregate contributions to (during year)		
3 Aggregate grants from (during year)		
4 Aggregate value at end of year		
5 Did the organization inform all donors and donor advisors in writing that the assets held in donor advised funds are the organization's property, subject to the organization's exclusive legal control?		<input type="checkbox"/> Yes <input type="checkbox"/> No
6 Did the organization inform all grantees, donors, and donor advisors in writing that grant funds can be used only for charitable purposes and not for the benefit of the donor or donor advisor, or for any other purpose conferring impermissible private benefit?		<input type="checkbox"/> Yes <input type="checkbox"/> No

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

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

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

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

	Held at the End of the Tax Year
a Total number of conservation easements	2a
b Total acreage restricted by conservation easements	2b
c Number of conservation easements on a certified historic structure included in (a)	2c
d Number of conservation easements included in (c) acquired after 8/17/06, and not on a historic structure listed in the National Register	2d

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

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

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

6 Staff and volunteer hours devoted to monitoring, inspecting, and enforcing conservation easements during the year ▶

7 Amount of expenses incurred in monitoring, inspecting, and enforcing conservation easements during the year ▶ \$

8 Does each conservation easement reported on line 2(d) above satisfy the requirements of section 170(h)(4)(B)(i) and section 170(h)(4)(B)(ii)? ☐ Yes ☐ No

9 In Part 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	▶ \$

**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

	Amount
1c	
1d	
1e	
1f	

c Beginning balance

d Additions during the year

e Distributions during the year

f Ending balance

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	(c) Two years back	(d) Three years back	(e) Four years back
1a Beginning of year balance					
b Contributions					
c Net investment earnings, gains, and losses					
d Grants or scholarships					
e Other expenditures for facilities and programs					
f Administrative expenses					
g End of year balance					

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

- a Board designated or quasi-endowment  %  
 b Permanent endowment  %  
 c Temporarily restricted endowment  %

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  
 (ii) related organizations

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

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

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				
b Buildings				
c Leasehold improvements		284,829.	246,334.	38,495.
d Equipment		730,272.	536,758.	193,514.
e Other				
Total. Add lines 1a through 1e. (Column (d) must equal Form 990, Part X, column (B), line 10(c).)				232,009.

Schedule D (Form 990) 2012

**Part VII Investments - Other Securities.** See Form 990, Part X, line 12.

(a) Description of security or category (including name of security)	(b) Book value	(c) Method of valuation. Cost or end-of-year market value
(1) Financial derivatives		
(2) Closely-held equity interests		
(3) Other		
(A)		
(B)		
(C)		
(D)		
(E)		
(F)		
(G)		
(H)		
(I)		
Total. (Col. (b) must equal Form 990, Part X, col. (B) line 12.)		

**Part VIII Investments - Program Related.** See Form 990, Part X, line 13.

(a) Description of investment type	(b) Book value	(c) Method of valuation. Cost or end-of-year market value
(1)		
(2)		
(3)		
(4)		
(5)		
(6)		
(7)		
(8)		
(9)		
(10)		
Total. (Col. (b) must equal Form 990, Part X, col. (B) line 13.)		

**Part IX Other Assets.** See Form 990, Part X, line 15.

(a) Description	(b) Book value
(1)	
(2)	
(3)	
(4)	
(5)	
(6)	
(7)	
(8)	
(9)	
(10)	
Total. (Column (b) must equal Form 990, Part X, col. (B) line 15.)	

**Part X Other Liabilities.** See Form 990, Part X, line 25.

(a) Description of liability	(b) Book value
1. (1) Federal income taxes - See Stmt 6	
(2) PENSION LIABILITIES UNDER 457(B)	
(3) PLAN	11,900.
(4)	
(5)	
(6)	
(7)	
(8)	
(9)	
(10)	
(11)	
Total. (Column (b) must equal Form 990, Part X, col. (B) line 25.)	
11,900.	

2. FIN 48 (ASC 740) Footnote. In Part XIII, provide the text of the footnote to the organization's financial statements that reports the organization's liability for uncertain tax positions under FIN 48 (ASC 740). Check here if the text of the footnote has been provided in Part XIII ☒

**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	4,082,204.
2	Amounts included on line 1 but not on Form 990, Part VIII, line 12:			
a	Net unrealized gains on investments	2a		
b	Donated services and use of facilities	2b	63,973.	
c	Recoveries of prior year grants	2c		
d	Other (Describe in Part XIII.)	2d		
e	Add lines 2a through 2d		2e	63,973.
3	Subtract line 2e from line 1		3	4,018,231.
4	Amounts included on Form 990, Part VIII, line 12, but not on line 1:			
a	Investment expenses not included on Form 990, Part VIII, line 7b	4a		
b	Other (Describe in Part XIII.)	4b		
c	Add lines 4a and 4b		4c	0.
5	Total revenue. Add lines 3 and 4c. (This must equal Form 990, Part I, line 12.)		5	4,018,231.

**Part XII Reconciliation of Expenses per Audited Financial Statements With Expenses per Return**

1	Total expenses and losses per audited financial statements		1	14,058,260.
2	Amounts included on line 1 but not on Form 990, Part IX, line 25:			
a	Donated services and use of facilities	2a	63,973.	
b	Prior year adjustments	2b		
c	Other losses	2c		
d	Other (Describe in Part XIII.)	2d		
e	Add lines 2a through 2d		2e	63,973.
3	Subtract line 2e from line 1		3	13,994,287.
4	Amounts included on Form 990, Part IX, line 25, but not on line 1:			
a	Investment expenses not included on Form 990, Part VIII, line 7b	4a		
b	Other (Describe in Part XIII.)	4b		
c	Add lines 4a and 4b		4c	0.
5	Total expenses. Add lines 3 and 4c. (This must equal Form 990, Part I, line 18.)		5	13,994,287.

**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.

**SEE STATEMENT 6**

**SCHEDULE F**  
**(Form 990)**Department of the Treasury  
Internal Revenue Service**Statement of Activities Outside the United States**▶ Complete if the organization answered "Yes" to Form 990,  
Part IV, line 14b, 15, or 16.

▶ Attach to Form 990. ▶ See separate instructions.

OMB No 1545-0047

**2012**Open to Public  
Inspection

Name of the organization

Employer identification number

**NUCLEAR THREAT INITIATIVE, INC.****52-2289435****Part I** **General Information on Activities Outside the United States.** Complete if the organization answered "Yes"  
to Form 990, Part IV, line 14b**1** For grantmakers. Does the organization maintain records to substantiate the amount of its grants and other assistance,  
the grantees' eligibility for the grants or assistance, and the selection criteria used to award the grants or assistance? ☒ Yes ☐ No**2** For grantmakers. Describe in Part V the organization's procedures for monitoring the use of its grants and other assistance outside the  
United States.**3** Activities per Region. (The following Part I, line 3 table can be duplicated if additional space is needed.)

(a) Region	(b) Number of offices in the region	(c) Number of employees, agents, and independent contractors in region	(d) Activities conducted in region (by type) (e.g., fundraising, program services, investments, grants to recipients located in the region)	(e) If activity listed in (d) is a program service, describe specific type of service(s) in region	(f) Total expenditures for and investments in region
EAST ASIA AND THE PACIFIC	0	0	GRANTS TO RECIPIENTS		206,417.
EAST ASIA AND THE PACIFIC	0	1	PROGRAM SERVICES	CONSULTANTS	57,217.
EAST ASIA AND THE PACIFIC	0	0	BOARD ACTIVITIES		461,488.
EAST ASIA AND THE PACIFIC	0	0	PROGRAM SERVICES	NUCLEAR SECURITY	204,648.
EUROPE	0	0	GRANTS TO RECIPIENTS		833,718.
EUROPE	0	0	PROGRAM SERVICES	GLOBAL DIALOGUE & INDEX	838,243.
MIDDLE EAST & NORTH AFRICA	0	0	GRANTS TO RECIPIENTS		155,250.
MIDDLE EAST & NORTH AFRICA	0	0	PROGRAM SERVICES	DISEASE SURVEILLANCE	21,516.
<b>3 a</b> Sub-total	0	1			2,778,497.
<b>b</b> Total from continuation sheets to Part I	1	3			620,719.
<b>c</b> Totals (add lines 3a and 3b)	1	4			3,399,216.

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

Schedule F (Form 990) 2012

**Part I** Continuation of Activities per Region. (Schedule F (Form 990), Part I, line 3)

(a) Region	(b) Number of offices in the region	(c) Number of employees or agents in region	(d) Activities conducted in region (by type) (i.e., fundraising, program services, grants to recipients located in the region)	(e) If activity listed in (d) is a program service, describe specific type of service(s) in region	(f) Total expenditures for region
RUSSIA & NIS	0	0	GRANTS TO RECIPIENTS		50,000.
RUSSIA & NIS	1	2	PROGRAM SERVICE	MOSCOW OFFICE	89,889.
RUSSIA & NIS	0	1	PROGRAM SERVICES	CONSULTANT	3,723.
RUSSIA & NIS	0	0	PROGRAM SERVICES	NUCLEAR SECURITY	114,234.
SOUTH ASIA	0	0	GRANTS TO RECIPIENTS		150,000.
SOUTH ASIA	0	0	PROGRAM SERVICES	NUCLEAR SECURITY	15,698.
SOUTH AMERICA	0	0	GRANTS TO RECIPIENTS		197,175.
<b>Totals</b>	<b>1</b>	<b>3</b>			<b>620,719.</b>







**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, Information 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

Schedule F (Form 990) 2012

**Part V** **Supplemental Information**

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.

**SCHEDULE F, PART I, LINE 2: SEE STATEMENT 7**

**PART I, LINE 3**

**SEE STATEMENT 7**

## 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.

Name of the organization

NUCLEAR THREAT INITIATIVE, INC.

**Employer identification number**  
**52-2289435**

<b>Part I</b>	<b>General Information on Grants and Assistance</b>
---------------	---

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.

[illegible]

**SEE STATEMENT' 9**

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

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

8	0
▲	▲

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

Schedule I (Form 990) (2012)



**SCHEDULE J  
(Form 990)**

Department of the Treasury  
Internal Revenue Service

**Compensation Information**

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

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

▶ Attach to Form 990. ▶ See separate instructions.

OMB No 1545-0047

**2012**

Open to Public Inspection

Name of the organization

**NUCLEAR THREAT INITIATIVE, INC.**

Employer identification number

**52-2289435**

**Part I Questions Regarding Compensation**

- 1a** Check the appropriate box(es) if the organization provided any of the following to or for a person listed in Form 990, Part VII, Section A, line 1a. Complete Part III to provide any relevant information regarding these items.
- |  |  |
|--|--|
| <input checked="" type="checkbox"/> First-class or charter travel  | <input type="checkbox"/> Housing allowance or residence for personal use |
| <input checked="" type="checkbox"/> Travel for companions          | <input type="checkbox"/> Payments for business use of personal residence |
| <input type="checkbox"/> Tax indemnification and gross-up payments | <input type="checkbox"/> Health or social club dues or initiation fees   |
| <input type="checkbox"/> Discretionary spending account            | <input type="checkbox"/> Personal services (e.g., maid, chauffeur, chef) |

- b** If any of the boxes on line 1a are checked, did the organization follow a written policy regarding payment or reimbursement or provision of all of the expenses described above? If "No," complete Part III to explain
- 2** Did the organization require substantiation prior to reimbursing or allowing expenses incurred by all officers, directors, trustees, and the CEO/Executive Director, regarding the items checked in line 1a?

- 3** Indicate which, if any, of the following the 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.

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

- 4** During the year, did any person listed in Form 990, Part VII, Section A, line 1a, with respect to the filing organization or a related organization:

- a** Receive a severance payment or change-of-control payment?
- b** Participate in, or receive payment from, a supplemental nonqualified retirement plan?
- c** Participate in, or receive payment from, an equity-based compensation arrangement?
- If "Yes" to any of lines 4a-c, list the persons and provide the applicable amounts for each item in Part III.

**Only section 501(c)(3) and 501(c)(4) organizations must complete lines 5-9.**

- 5** For persons listed in Form 990, Part VII, Section A, line 1a, did the organization pay or accrue any compensation contingent on the revenues of:

- a** The organization?
- b** Any related organization?
- If "Yes" to line 5a or 5b, describe in Part III.

- 6** For persons listed in Form 990, Part VII, Section A, line 1a, did the organization pay or accrue any compensation contingent on the net earnings of:

- a** The organization?
- b** Any related organization?
- If "Yes" to line 6a or 6b, describe in Part III.

- 7** For persons listed in Form 990, Part VII, Section A, line 1a, did the organization provide any non-fixed payments not described in lines 5 and 6? If "Yes," describe in Part III

- 8** Were any amounts reported in Form 990, Part VII, paid or accrued pursuant to a contract that was subject to the initial contract exception described in Regulations section 53.4958-4(a)(3)? If "Yes," describe in Part III

- 9** If "Yes" to line 8, did the organization also follow the rebuttable presumption procedure described in Regulations section 53.4958-6(c)?

	Yes	No
1b	X	
2	X	
4a		X
4b		X
4c		X
5a		X
5b		X
6a		X
6b		X
7		X
8		X
9		

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

Schedule J (Form 990) 2012

**Part III 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) SAM NUNN CO-CHAIRMAN & CHIEF EXECUTIVE OFFICER	(i) 350,000.	0.	14,542.	25,000.	0.	389,542.	0.
(2) JOAN ROHLFING PRESIDENT & CHIEF OPERATING OFFICER	(i) 327,227.	0.	4,680.	33,400.	29,291.	394,598.	0.
(3) CHARLOTTE S. ATKINSON CHIEF FINANCIAL OFFICER	(i) 146,627.	0.	0.	15,800.	16,074.	178,501.	0.
(4) COREY HINDERSTEIN VICE PRESIDENT, INTERNATIONAL PROGRA	(i) 197,367.	0.	0.	17,787.	21,424.	236,578.	0.
(5) CARMEN MACDOUGALL VICE PRESIDENT, COMMUNICATIONS	(i) 225,241.	0.	0.	23,800.	16,200.	265,241.	0.
(6) DEBORAH ROSENBLUM EXECUTIVE VICE PRESIDENT	(i) 272,334.	0.	0.	28,500.	31,287.	332,121.	0.
(7) PAGE STOUTLAND VICE PRESIDENT, NUCLEAR MATERIALS SE	(i) 194,976.	0.	0.	18,750.	15,726.	229,452.	0.
(8) ROBERT E. BERLS DIRECTOR MOSCOW OFFICE	(i) 204,565.	0.	0.	20,952.	20,821.	246,338.	0.
(9) DIANE HAUSLEIN DIRECTOR OF ADMINISTRATION	(i) 156,928.	0.	0.	16,480.	23,045.	196,453.	0.
(10) CATHERINE GWIN SENIOR DIRECTOR OF COMMUNICATIONS	(i) 149,621.	0.	0.	16,169.	29,810.	195,600.	0.
(11) VALERIA MACPHAIL DIRECTOR, OFFICE OF THE HON. SAM NUN	(i) 165,479.	0.	0.	16,548.	0.	182,027.	0.
(12) DEEPTI CHOUDEY SENIOR DIRECTOR, NUCLEAR & BIO SECUR	(i) 138,896.	0.	0.	13,900.	9,530.	162,326.	0.
	(i) 0.	0.	0.	0.	0.	0.	0.
	(i) 0.	0.	0.	0.	0.	0.	0.
	(i) 0.	0.	0.	0.	0.	0.	0.
	(i) 0.	0.	0.	0.	0.	0.	0.
	(i) 0.	0.	0.	0.	0.	0.	0.
	(i) 0.	0.	0.	0.	0.	0.	0.
	(i) 0.	0.	0.	0.	0.	0.	0.



**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.

**PART I, LINE 1A: SEE STATEMENT 10**

Department of the Treasury  
Internal Revenue Service

► **Complete if the organization answered "Yes" on Form 990, Part IV, line 25a, 25b, 26, 27, 28a, 28b, or 28c, or Form 990-EZ, Part V, line 38a or 40b.**

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

OMB No 1545-0047

# 2012

### Open To Public Inspection

Name of the organization

NUCLEAR THREAT INITIATIVE, INC.

Employer identification number  
52-2289435

<b>Part I</b>	<b>Excess Benefit Transactions</b> (section 501(c)(3) and section 501(c)(4) organizations only).
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Complete if the organization answered "Yes" on Form 990, Part IV, line 25a or 25b, or Form 990-EZ, Part V, line 40b.

[illegible]

**2** Enter the amount of tax incurred by the organization managers or disqualified persons during the year under section 4958

**3** Enter the amount of tax, if any, on line 2, above, reimbursed by the organization

<b>Part II</b>	<b>Loans to and/or From Interested Persons.</b>
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Complete if the organization answered "Yes" on Form 990-EZ, Part V, line 38a or Form 990, Part IV, line 26; or if the organization reported an amount on Form 990, Part X, line 5, 6, or 22.

[illegible]**Total**

<b>Part III</b>	<b>Grants or Assistance Benefiting Interested Persons.</b>
-----------------	--

Complete if the organization answered "Yes" on Form 990, Part IV, line 27.

[illegible]

**LHA** For Paperwork Reduction Act Notice, see the Instructions for Form 990 or 990-EZ.

Schedule L (Form 990 or 990-EZ) 2012

**Part IV Business Transactions Involving Interested Persons.**

Complete if the organization answered "Yes" on Form 990, Part IV, line 28a, 28b, or 28c

(a) Name of interested person	(b) Relationship between interested person and the organization	(c) Amount of transaction	(d) Description of transaction	(e) Sharing of organization's revenues?	
				Yes	No
R.E. TURNER	CO-CHAIR OF BOARD	43,617.	SEE STMT 11		X
J RUTHERFORD SEYDEL II.	SECRETARY	43,617.	SEE STMT 11		X
WILLIAM PERRY	BOARD MEMBER	10,410.	SEE STMT 11		X
ROBIN LEE PERRY	DAUGHTER OF WILLIAM	10,410.	SEE STMT 11		X

**Part V Supplemental Information**

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

**SCH L, PART IV, BUSINESS TRANSACTIONS INVOLVING INTERESTED PERSONS:**

(A) NAME OF PERSON: R.E. TURNER

(B) RELATIONSHIP BETWEEN INTERESTED PERSON AND ORGANIZATION:

CO-CHAIR OF BOARD

(A) NAME OF PERSON: J RUTHERFORD SEYDEL II.

(B) RELATIONSHIP BETWEEN INTERESTED PERSON AND ORGANIZATION:

SECRETARY

(A) NAME OF PERSON: WILLIAM PERRY

(B) RELATIONSHIP BETWEEN INTERESTED PERSON AND ORGANIZATION:

BOARD MEMBER

(A) NAME OF PERSON: ROBIN LEE PERRY

(B) RELATIONSHIP BETWEEN INTERESTED PERSON AND ORGANIZATION:

DAUGHTER OF WILLIAM PERRY, BOARD MEMBER

**SCHEDULE M**  
**(Form 990)**

Department of the Treasury  
Internal Revenue Service

**Noncash Contributions**

▶ **Complete if the organizations answered "Yes" on Form 990, Part IV, lines 29 or 30.**  
▶ **Attach to Form 990.**

OMB No 1545-0047

**2012**

Open to Public  
Inspection

Name of the organization

**NUCLEAR THREAT INITIATIVE, INC.**

Employer identification number

**52-2289435**

**Part I** **Types of Property**

	(a) Check if applicable	(b) Number of contributions or items contributed	(c) Noncash contribution amounts reported on Form 990, Part VIII, line 1g	(d) Method of determining noncash contribution amounts
1 Art - Works of art				
2 Art - Historical treasures				
3 Art - Fractional interests				
4 Books and publications				
5 Clothing and household goods				
6 Cars and other vehicles				
7 Boats and planes				
8 Intellectual property				
9 Securities - Publicly traded	X	6	2,047,933.	FMV
10 Securities - Closely held stock				
11 Securities - Partnership, LLC, or trust interests				
12 Securities - Miscellaneous				
13 Qualified conservation contribution - Historic structures				
14 Qualified conservation contribution - Other				
15 Real estate - Residential				
16 Real estate - Commercial				
17 Real estate - Other				
18 Collectibles				
19 Food inventory	X	24	5,000.	COST
20 Drugs and medical supplies				
21 Taxidermy				
22 Historical artifacts				
23 Scientific specimens				
24 Archeological artifacts				
25 Other ▶ ( )				
26 Other ▶ ( )				
27 Other ▶ ( )				
28 Other ▶ ( )				

29 Number of Forms 8283 received by the organization during the tax year for contributions for which the organization completed Form 8283, Part IV, Donee Acknowledgement

29

0

30a During the year, did the organization receive by contribution any property reported in Part I, lines 1-28 that it must hold for at least three years from the date of the initial contribution, and which is not required to be used for exempt purposes for the entire holding period?

	Yes	No
30a		X

b If "Yes," describe the arrangement in Part II.

31 Does the organization have a gift acceptance policy that requires the review of any non-standard contributions?

31		X
----	--	---

32a Does the organization hire or use third parties or related organizations to solicit, process, or sell noncash contributions?

32a		X
-----	--	---

b If "Yes," describe in Part II.

33 If the organization did not report an amount in column (c) for a type of property for which column (a) is checked, describe in Part II.

--	--	--

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

Schedule M (Form 990) (2012)

**Part II**

**Supplemental Information.** Complete this part to provide the information required by Part I, lines 30b, 32b, and 33, and whether the organization is reporting in Part I, column (b), the number of contributions, the number of items received, or a combination of both. Also complete this part for any additional information.

**SCHEDULE M, LINE 30B: NTI IS REPORTING THE NUMBER OF CONTRIBUTIONS,**

**NOT THE NUMBER OF ITEMS. UNDER U.S. GAAP, SOME NON-CASH CONTRIBUTIONS**

**NOTED ABOVE WERE RECORDED AS REVENUE IN PART VIII IN PRIOR YEARS.**

**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 990-EZ 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

NUCLEAR THREAT INITIATIVE, INC.

Employer identification number

52-2289435

FORM 990, PART VI, SECTION B, LINE 11: SEE STATEMENT 4

FORM 990, PART VI, LINE 17, LIST OF STATES RECEIVING COPY OF FORM 990:

AL, AK, AZ, AR, CA, CO, DE, DC, FL, GA, IL, KS, KY, LA, ME, MD, MA, MI, NJ, NM, NC, OK, OR, PA, UT

TX, TN, WV, WA, WI, CT, MN, MS, MO, NH, NY, ND, OH, RI, SC, VA

FORM 990, PART VI

SECTION C, LINE 19 SEE STATEMENT 4

FORM 990, PART VI

SECTION B, LINE 12C SEE STATEMENT 4

FORM 990, PART VI

SECTION B, LINE 15 SEE STATEMENT 4

**STATEMENT 1**

**Nuclear Threat Initiative, Inc.**

**EIN: 52-2289435**

Form 990. Part I, line 1 & Form 990, Part III, line 1.

For the year ended December 31, 2012

The Nuclear Threat Initiative's mission is to strengthen global security by reducing the risk of use and preventing the spread of nuclear, biological and chemical weapons, and to work to build the trust, transparency and security which are preconditions to the ultimate fulfillment of the Non-Proliferation Treaty's goals and ambitions.

**Nuclear Threat Initiative, Inc.****EIN: 52-2289435**

Form 990. Part III. Statement of Program Service Accomplishments.

**Line 4a. The Nuclear Security Project (NSP)**

The Nuclear Security Project (NSP) is an effort to galvanize global support for and action on the vision of a world free of nuclear weapons and the urgent steps needed to reach that goal. Former Secretary of State, George P. Shultz, former Defense Secretary William J. Perry, former Secretary of State Henry A. Kissinger and former Senator Sam Nunn (“the NSP principals”) joined together to form the NSP in the wake of their Wall Street Journal op-eds which have re-framed the terms of the global debate on nuclear issues. Through the project, NTI has partnered with organizations across five continents, helped create regional networks of serving and former leaders, and engaged officials at the highest levels of government internationally to promote dialogue, education and action on the Vision and the Steps agenda. Through grant-making, conferences and meetings, and educational outreach, we have enabled analytic studies and expended support for the project by bringing together key subject experts, senior statesmen, and political and military leaders. In September 2009, the United Nations Security Council implicitly endorsed the agenda of the Nuclear Security Project through the adoption of UNSC Resolution 1887.

Specific accomplishments during the tax year include:

***Internationalizing the NSP:***

During 2012, NTI continued to expand the international reach of the NSP by ensuring that the vision and steps agenda remains a priority in key countries and regions. A key component of this strategy was facilitating the development of networks of influential leaders, including former governmental officials, military figures and diplomats in Europe, the Asia-Pacific region and Latin America. These “Leadership Networks” are crucial to sustaining momentum on disarmament and nonproliferation.

In addition, through the NSP, we continued our partnerships with trusted security and defense institutions around the world to help shape the analytic agenda in key countries, hence ensuring they complement and build on the global momentum behind the vision and steps, and expand support and action for the vision and steps to a broader international audience, to include policy makers, subject matter experts, the public and media.

***Building Mutual Security in the Euro-Atlantic Region***

In 2012, the Nuclear Threat Initiative convened a track II dialogue co-chaired by Des Browne, Wolfgang Ischinger, Igor Ivanov, and Sam Nunn, including distinguished former senior political



leaders, senior military officers, defense officials, and security experts from Europe, Russia, and the United States.

The dialogue culminated in a report, recommending that leaders establish a new, continuing process of comprehensive security dialogue for building mutual security in the Euro-Atlantic region. Practical steps that can be taken now could be agreed on a broad range of security issues, including nuclear weapons, missile defenses, prompt-strike forces, conventional forces, cybersecurity, and space.

The report's key findings and supporting analysis were developed through a series of meetings that began during the Munich Security Conference in February 2012. Members of the group subsequently gathered in Washington, Moscow, and Paris to finalize recommendations to be presented to political, military, and civil leaders in 2013.

#### **Line 4b. Communications & Public Education**

NTI's Communications and Public Education program aims to provide resources to nonproliferation professionals, and to educate and inform the public on the risks and threats from nuclear, biological and chemical weapons, terrorism, and related issues. NTI manages a number of websites which provide comprehensive, in depth online content. [www.nti.org](http://www.nti.org) is the most visited site.

The program also tries to engage and expand the network of individuals interested in efforts to reduce the threats from nuclear, biological and chemical weapons and materials with the goal of inspiring individuals to become personally involved in efforts to expand and accelerate the pace of work to reduce these threats.

NTI supports the publication of Global Security Newswire by the National Journal Group, which provides daily news on nuclear, chemical and biological weapons, terrorism, and related issues. National Journal Group produces original reporting and a comprehensive snapshot of the day's global news on these issues for a readership which includes both professionals and those with a lay interest. It appears exclusively on NTI's website.

NTI also funds the James Martin Center for Nonproliferation Studies at the Monterey Institute for International Studies to produce a research library containing information, analysis, and educational materials relating to the threats from nuclear, biological and chemical weapons, missile development programs, and terrorist activities. The library builds on the most comprehensive open-source nonproliferation databases in the world and brings together a range of expert opinion and analysis on these issues.

#### **Line 4c. Nuclear Materials Security**

The NTI Nuclear Materials Security Program aims to strengthen global nuclear materials security through a range of projects to catalyze more effective actions by governments.

In early 2012, NTI launched the NTI Nuclear Materials Security Index, a first-of-its-kind assessment of global nuclear materials security conditions on a country-by-country basis. The

NTI Index, prepared with the Economist Intelligence Unit (EIU) and guided by an international panel of nuclear security experts, was created to catalyze an international discussion about nuclear materials security priorities, and to encourage governments to provide assurances and take actions to strengthen nuclear materials security.

While the 2010 and 2012 Nuclear Security Summits have been instrumental in raising awareness and initiating action, it is critical to keep attention on these issues between summits and beyond. Since its release, the NTI Index has been praised for promoting a global dialogue on priorities for nuclear materials security, highlighting the need for a comprehensive framework, and identifying specific actions needed to improve materials security around the world. This has developed into an NTI-facilitated, international, cross-sector dialogue – a Global Dialogue on Nuclear Security Priorities – among leading officials, experts, and practitioners to prioritize and develop actions needed to strengthen the global nuclear security system to prevent nuclear materials from getting into the wrong hands.

**Line 4d. Other program services**

NTI aims to create projects that catalyze further governmental and international action on nuclear, biological and chemical threats, through multi-year projects, all of which were active in this tax year.

NTI's biological program, the Global Health and Security Initiative works around the world to prevent, detect and respond to biological threats. The threats arising from natural or deliberately induced disease outbreaks are both a health and a security issue. To find solutions to the extraordinarily complex biological threat, NTI is pioneering new approaches toward health and security. Specifically in the tax year, GHSI focused on improving global capacity for the prevention of and preparedness for biological threats through enhancing disease surveillance, early detection and response.

**STATEMENT 3****Nuclear Threat Initiative, Inc.****EIN: 52-2289435**

Form 990. Part VII, Section B. Independent Contractors

(A) Name & Business Address	(B) Description of Services	(C) Compensation
National Journal Group 600 New Hampshire Ave, NW, Washington, DC 20037	Global Security Newswire – daily news on nuclear, biological and chemical weapons, terrorism and related issues	\$984,000
Steven Andreasen Rochester, MN 55901	National security consultant to the Nuclear Threat Initiative and the Nuclear Security Project.	\$193,500
Economist Intelligence Unit 750 Third Avenue, 5th Floor New York, NY 10017	Analytic and modeling for production of the Nuclear Security Index. Assesses the level of nuclear materials security on a state-by-state basis and will produce benchmarking for Index project.	\$129,375
TR Communications Chevy Chase, MD 20815	Speeches, Op-Eds, Communications.	\$120,000
John Carlson Queanbeyan NSW 2620, Australia	Counselor to the Nuclear Threat Initiative on international nuclear security, safeguards and verification issues	\$105,960

**Nuclear Threat Initiative, Inc.****EIN: 52-2289435**

Form 990. Part VI.

## Section A.

Line 1a – NTI's governing body, the Board of Directors, meets semi-annually. Between meetings, it delegates authority under NTI's by-laws to the Executive Committee, which is composed of not less than three and not more than five members who must have been or are to be upon election, Directors of NTI, and includes the co-chairmen of the Board. The Executive Committee is appointed annually by the Board. During the year ended December 31, 2012, the Executive Committee was made up of the co-chairmen of the Board, and the President of NTI. During intervals between meetings of the Board of Directors, the Executive Committee possesses and may exercise all the powers and functions of the Board of Directors in the management and direction of the affairs of NTI in all cases in which specific direction has not been given by the Board of Directors. The Executive Committee can also resolve any matter in which the co-chairmen fail to agree. All actions of the Executive Committee are required to be reported to the Board of Directors at its next meeting. Contemporaneous minutes of the proceedings of the Executive Committee are kept. A majority of the voting members of the Executive Committee in office at the time are necessary to constitute a quorum and in every case, an affirmative vote of a majority of the voting members of the Committee present at a meeting is necessary for taking any action.

## Section B.

Line 11b – NTI's Form 990 is prepared by its Finance department. It is initially reviewed by the Treasurer/CFO and then an independent review is provided by Avalon Financial Advisors, LLC. Next, the CFO reviews the Form 990 with management – the Executive Vice President, and the President. NTI's Board of Directors has delegated its review of the Form 990 to the members of the Executive Committee. However, the final Form 990 is required to be sent to all members of the Board for informational purposes prior to being filed.

Line 12c – NTI's bylaws require that a copy of NTI's Conflict of Interest Policy, as adopted by the Board, be furnished to each Director, Officer and operational staff member serving at or associated with NTI. NTI's policy states that a conflict of interest exists:

- When an officer or member of the staff takes part in a decision in which it appears that she/he may be unable to remain impartial in choosing between the interests of the

Nuclear Threat Initiative and his/her personal interests or the personal interest of his/her related parties or the interests of his/her reportable affiliates, or

- When an officer or member of the staff uses privileged information gained in the course of service at NTI for personal benefit or gain, or for the personal benefit of gain or his/her related parties or the interests of his/her reportable affiliates, or
- When an officer or member of the staff, by virtue of his/her relationship to NTI, receives a benefit that represents a transfer of NTI's financial resources that is not related to the accomplishment of NTI's tax-exempt purposes.

Related parties are defined as spouses, parents, children, siblings, in-laws and any individuals who reside in an officer or member of the staff's household.

Reportable affiliate means an institution, corporation or business organization for which an officer or member of the staff or a related party (who to the knowledge of the officer or staff member) serves as an officer, director, partner, employee, or agent; holds more than 1% of the voting stock (if any); or has dealings from which he or she has materially benefitted (i.e. received more than \$1,000 exclusive of dividends or interest).

NTI prohibits participation by officer or staff in any matter or otherwise engage in any activity for which a conflict of interest exists. Board members are recused from decisions of the Board in which a conflict of interest might arise. Board members, officers and staff member are required to disclose to NTI any related party and any reportable affiliate which is likely to apply or otherwise be considered by NTI for a grant award or financial transaction.

The information provided is updated annually, or more frequently as appropriate. NTI requests annual updates from its Board members and staff through reissuance of the policy together with a standard form for them to complete.

Line 15 – Annually the CEO presents a memorandum to NTI's Compensation Committee, in which he recommends compensation levels for NTI's CEO and Officers.

In 2010, NTI commissioned an independent compensation comparability study to assess its levels of compensation as compared to equivalent organizations and the market. The study was completed in 2011. NTI used the study results to set compensation levels at the beginning of 2011.

Until a need for a new study is identified, NTI, consistent with historic practice, will propose compensation increases based on the 2011 compensation, likely adjusted for inflation as determined by the Washington area Consumer Price Index (CPI). In addition, the CEO has historically taken into account the importance of retaining a uniquely qualified team at NTI, and in certain circumstances has made a case for small merit increases.

In 2012, the Compensation Committee was made up of three independent members of the Board of Directors. Per NTI's bylaws, the members of the Compensation Committee may not include current or former Directors who are also salaried senior executives of NTI. The

Compensation Committee presents its recommendations to the Board of Directors in executive session. The recommendations include specific salary levels for the CEO, the President and all Officers. Officer salaries are approved by majority vote of NTI's Board of Directors, as directed by NTI's bylaws.

Minutes of the Compensation Committee are maintained with NTI's corporate files at the office of NTI's Corporate Secretary.

Line 19 – NTI states on its website that its governing documents, conflict of interest policy and financial statements are available to the public upon request, and provides a link to contact information.

<http://www.nti.org/about/faqs/>

NTI normally receives a substantial part of its support from direct or indirect contributions from the general public. NTI also meets certain other requirements; the pertinent factors set forth in the regulations are discussed below:

*i. Ten percent-of-support limitation*

Based on support over previous years, NTI anticipates that its public support will continue to range between 10 and 35 percent of total support.

*ii. Attraction of public support*

NTI receives support primarily from a number of individual donors, foundations and public charities. NTI's fundraising department has also developed a database of approximately 100,000 supporters who follow NTI's activities through its website and e-mail and direct mail distributions. These supporters periodically donate to NTI through year end solicitations, upon receipt of NTI's annual report or for other reasons. NTI intends to continue this pattern of solicitation, and also hopes to further build support from the general public through its donor database, and other means.

*iii. Percentage of financial support*

As noted above, NTI expects that its public support will continue to consistently range between 10 and 35 percent. In FY08, support was 33.57%; in FY09, support was 29.18%; in FY10, support was 25.42%; in SY10, support was 21.86%; in CY11, support was 19.05%; in CY12, support was 15.45%. The ranges are comfortably within the 10 percent facts-and-circumstances test as prescribed in section 170(b)(1)(A)(vi) and should therefore be favorably regarded.

*iv. Sources of Support*

NTI anticipates that it will continue to receive support from individual, but unrelated donors, foundations and public charities.

*v. Representative governing body*

NTI has a governing body representative of the broad interests of the public, including various public officials, community leaders and security and policy experts. During 2012, the following individuals have served on the Board:

- R.E. Turner, Chairman of Turner Enterprises, Founder of CNN
- Sam Nunn, Former U.S. Senator

- Dr. Alexei Arbatov, Russian Institute of World Economy and International Relations
- Desmond Browne, Member, House of Lords, United Kingdom
- Charles B. Curtis, Former Deputy Secretary of the US Department of Energy
- Pete V. Domenici, Former U.S. Senator
- Susan Eisenhower, President of the Eisenhower Institute
- Ambassador Rolf Ekeus, Stockholm International Peace Research Institute
- General Eugene E. Habiger, USAF (Ret.) Former Commander in Chief of the US Strategic Command
- HRH Prince El Hassan Bin Talal, Jordan
- Igor S. Ivanov, Former Minister of Foreign Affairs of Russia
- Pierre Lellouche, Deputy of Paris, Former Minister of State for Foreign Trade, France
- U.S. Senator Richard G. Lugar (R – Indiana)
- Dr. Jessica Mathews, President of the Carnegie Endowment for International Peace
- Ronald L. Olson, Partner, Munger, Tolles & Olson, LLP
- Judge Hisashi Owada, President of the International Court of Justice
- Dr. William J. Perry, Stanford University and Former Secretary of Defense
- Joan Rohlfing, President of NTI, Former Director of the Office of Nonproliferation and National Security, US Dept of Energy
- Dr. Nafis Sadik, Special Advisor to the UN Secretary-General
- Professor Amartya Sen, Lamont University Professor and Professor of Economics and Philosophy, Harvard University and Noble Prize Winner
- Rt Hon Professor Shirley Williams, House of Lords, UK
- Professor Fujia Yang, Fudan University and Member of the Chinese Academy of Sciences

vi. *Availability of public facilities or services; public participation in programs or policies*

To support the public's access to a range of views and information about the threats from weapons of mass destruction, NTI offers a number of content-rich websites and materials to support public education. The primary website is at [www.nti.org](http://www.nti.org). The website serves as an information clearing house with unique resources, available to any visitor, which include:

- A free, daily, independent news service provided by National Journal Group covering global developments related to nuclear, biological and chemical weapons, also available by email delivery and Twitter
- A research library with the world's most comprehensive, open-source nonproliferation data collections, as well as profiles of the nuclear, biological and chemical weapons programs of over 40 countries, and issue briefs that offer short introduction and in-depth analysis on a wide range of international security issues;



- Publications and source documents published by U.S. and foreign governments ;
- Reports, articles and analysis on nuclear, biological and chemical weapons policy for audiences ranging from high school students to experts
- Films that address the nuclear threat, available on the web or by mail-order

The website is available free of charge to all interested persons.

NTI also conducts regular public outreach and education related to nuclear issues, and provides expert testimony to the US and other governments, as requested. NTI continues its public outreach program in support of the Nuclear Security Project, a project aimed at reducing reliance on nuclear weapons, preventing their proliferation and ultimately ending them as a threat to the world. NTI produced a documentary film, *Nuclear Tipping Point*, featuring the four project principals, Henry Kissinger, Sam Nunn, William Perry, and George Shultz and screened the films to groups all over the United States and around the world. The film is available online and on DVD, free of charge to interested parties through NTI's website. The film also has a teacher's guide that provides lesson plans and exercises aligned with U.S. public school national standards.

This is the second such project that NTI has undertaken. The first film, *Last Best Chance*, was made in 2005, and, together with a public education campaign about the risks of unsecured nuclear material, added significantly to NTI's public profile, supporter database, and outreach efforts.

vii. *Additional Factors pertinent to membership organizations*

This factor is not applicable to NTI because NTI is not a membership organization.

**Nuclear Threat Initiative, Inc.**

**EIN: 52-2289435**

Form 990, Schedule D, Part XIII

For the year ended December 31, 2012

Form 990, Schedule D, Part X – FIN 48 (ASC 740) footnote

FIN 48 footnote: NTI adopted the provisions of ASC Topic 740-10, Income Taxes, which addresses the determination of whether tax benefits claimed or expected to be claimed on a tax return should be recorded in the financial statements. Under this guidance, NTI may recognize the tax benefit from an uncertain tax position only if it is more likely than not that the tax position will be sustained on examination by taxing authorities, based on the technical merits of the position. The tax benefits recognized in the financial statements from such a position are measured based on the largest benefits that has a greater than 50% likelihood of being realized upon ultimate settlement. The guidance on accounting for uncertainty in income taxes also addresses de-recognition, classification, interest and penalties on income taxes, and accounting in interim periods. Management evaluated NTI's tax positions and concluded that NTI had taken no uncertain tax positions nor are there any related penalties and interest that require adjustment to the accompanying financial statements to comply with the provisions of this guidance. Generally, the NTI is no longer subject to income tax examinations by the U.S. federal, state or local tax authorities for years before 2009.

**Narrative responses for Form 990, Schedule F and I, Part V****Schedule F, Part I, Line 2: "Monitoring the use of grant funds outside the US"**  
**Schedule I, Part I, Line 2: "Monitoring the use of grant funds in the US"**

Grants are monitored through the following activities:

**1. Pre-grant Inquiry**

NTI program personnel confirm the suitability of the grantee by reviewing prior history and experience, considering references and complying with export control regulations. Results are documented in a "decision memo" which is presented to either the Board of Directors or the President for approval, depending on the size of the grant.

**2. Written Grant Agreement**

Once a grant proposal is approved, a grant agreement is drawn up between NTI and the grantee. This sets out the purpose of the grant, the budget and details the legal commitments, including compliance with US export control laws and regulations, and limitations on use of funds being entered into by NTI and the grantee. All grant agreements are given a number for tracking purposes, and are signed by both parties.

**3. Accounting for Grant Funds**

The grant agreement specifies that grantees keep accurate and complete books and records of receipts and expenditures made in connection with the grant, maintaining such books and records in a manner that the receipts and expenditures of grant funds are shown separately.

**4. Regular Reporting**

The grant agreement requires that periodic (at least annual) narrative and financial reports are submitted to NTI detailing work accomplished and expenditure of grant funds against budget. Reports are reviewed by both NTI's program and financial personnel.

**5. Project Oversight**

NTI program personnel are in regular contact with grantee personnel and visit certain key projects to assess progress against grant goals.

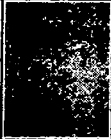
**6. Disbursement of Funds**

NTI's grants are disbursed either up front, in tranches, or on an invoicing basis, dependent on the grant agreement. No funds are disbursed until a signed grant agreement has been received, export control checks have been reviewed and approved, and any other appropriate documentation received. For grants that are managed in tranches, or through invoicing, it is generally necessary that all reporting is up to date, and the appropriate stage of the grant project completed prior to subsequent funds being disbursed.

**Sch F, Part I, Line 3, column (f): "Accounting Method Used"**

All accounting records are maintained on accrual basis and in accordance with generally accepted accounting principles in the United States of America (US GAAP). All unconditional grants are booked in full to the income statement at the point the grant agreement has been signed by both parties. In the year ended December 31, 2012, NTI did not make any conditional grants.

(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)
		South Asia	Partnership with the Nuclear Security Project working on nuclear safety and security in Southern Asia. Also includes a Track II Trilateral Dialogue	150,000	Wire transfer	n/a	n/a	FMV
		South America	Establishment of the Latin American Leadership Network (LALN), providing a unique vehicle for political leaders in the region to address nuclear issues at a global level.	199,400	Wire transfer	n/a	n/a	FMV
		Russia & NIS	International partner of the Nuclear Security Project working on addressing the dangers of today's nuclear threat.	50,000	Wire transfer	n/a	n/a	FMV
		Middle East & North Africa	Core support for secretariat of the Middle Eastern Consortium for Infectious Disease Surveillance (MECIDS), providing day-to-day management of MECIDS activities including laboratory and other trainings, accountability for deliverables, strategic planning and Board meetings	194,523	Wire transfer	n/a	n/a	FMV
		Middle East & North Africa	Core support for the technical secretariat of MECIDS, who are responsible for data analysis and data sharing and collaboration between network members	122,022	Wire transfer	n/a	n/a	FMV
		Middle East & North Africa	Core support for Israeli Country Coordinators of MECIDS	51,750	Wire transfer	n/a	n/a	FMV
		Middle East & North Africa	Core support for the Jordanian country coordinators of MECIDS	51,750	Wire transfer	n/a	n/a	FMV
		Middle East & North Africa	Core support for the Palestinian country coordinators of MECIDS	51,750	Wire transfer	n/a	n/a	FMV
		Europe (incl. Iceland & Greenland)	International partner of the Nuclear Security Project working on addressing the dangers of today's nuclear threat.	199,718	Wire transfer	n/a	n/a	FMV
		Europe (incl. Iceland & Greenland)	International partner of the Nuclear Security Project working on addressing the dangers of today's nuclear threat	177,000	Wire transfer	n/a	n/a	FMV
		Europe (incl. Iceland & Greenland)	The European Leadership Network is a network of senior European political, military and diplomatic figures working together for multi-lateral nuclear disarmament and nonproliferation	300,000	Wire transfer	n/a	n/a	FMV
		Europe (incl. Iceland & Greenland)	International partner of the Nuclear Security Project working on addressing the dangers of today's nuclear threat.	150,000	Wire transfer	n/a	n/a	FMV
		Europe (incl. Iceland & Greenland)	Co-sponsor the North American Nuclear Policy Dialogue held prior to the Carnegie International Nuclear Policy Conference.	7,000	Wire transfer	n/a	n/a	FMV
		East Asia & the Pacific	International partner of the Nuclear Security Project working on addressing the dangers of today's nuclear threat.	200,000	Wire transfer	n/a	n/a	FMV
		East Asia & the Pacific	Sponsorship of the 13th Beijing International Security Seminar, promoting better understanding and enhanced cooperation on nuclear security issues.	147,131	Wire transfer	n/a	n/a	FMV
		East Asia & the Pacific	Two year project to develop options for international fuel cycle cooperation that strengthen nonproliferation practices and build a system for Mongolian participation in the fuel cycle consistent with global best practices	125,000	Wire transfer	n/a	n/a	FMV
		East Asia & the Pacific	International partner of the Nuclear Security Project working on addressing the dangers of today's nuclear threat.	81,417	Wire transfer	n/a	n/a	FMV

1 (a) Name and Address of Organization or Government	(b) EIN	(c) IRS Section if applicable	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV, appraisal, FMV)	(g) Description of non-cash assistance	(h) Purpose of grant or assistance
Center for International Trade and Security School of Public and International Affairs University of Georgia 120 Holmes/Hunter Athens, GA 30602		501(c)(3)	\$50,000	0	FMV	n/a	Workshop "Expanding the scope of nuclear security culture and developing methodology for evaluation"
CRDF Global 1776 Wilson Blvd., 3rd Floor Arlington, VA 22209	54-1773406	501(c)(3)	\$10,000	0	FMV	n/a	Sponsorship of the 7th Annual CRDF George Brown Award Dinner, honoring Dr David Hamburg
Center for Strategic & International Studies 1800 K St NW #400 Washington, DC 20006	52-1501082	501(c)(3)	\$36,131	0	FMV	n/a	Development of Bio prevention strategies and priorities through a series of meetings with lead researchers
FCNL Education Fund 245 Second Street, NE Washington DC 20002	52-1254489	501(c)(3)	\$20,000	0	FMV	n/a	FCNL annually publishes the Nuclear Calendar, an online resource and weekly email newsletter that covers national and international events concerning weapons, disarmament and nonproliferation
President & Fellows of Harvard College Belfer Center for Science and International Affairs John F. Kennedy School of Government 1033 Massachusetts Avenue, 2nd Floor, Cambridge, MA 02138	04-2103580	501(c)(3)	\$50,000	0	FMV	n/a	Stimulate and clarify thinking about systemic change in the global nuclear order - changes that would be more conceivable and feasible in the aftermath of a nuclear explosion
Monterey Institute for International Studies 460 Pierce Street Monterey CA 93940	94-1425570	501(c)(3)	\$699,983	0	FMV	n/a	Production of in-depth analysis related to nuclear, biological or chemical threats, as well as missile delivery systems and terrorism. Special collections on areas such as UN Resolution 1540, nuclear disarmament, submarine proliferation, nuclear trafficking, and HEU reduction and elimination are showcased on MIT's website
University of Pittsburgh Medical Center 621 E. Pratt Street Suite 210 Baltimore, MD 21202	04-3770052	501(c)(3)	\$16,000	0	FMV	n/a	Develop a primer that outlines a best practice model for biosafety in the lab
WMD Center 1747 Pennsylvania Ave. NW, 7th floor Washington DC 20006	27-2062834	501(c)(3)	\$0	\$8,888	FMV	Office Space	Donation of office space

**Nuclear Threat Initiative, Inc.**

**Statement 10**

**EIN: 52-2289435**

Form 990. Schedule J. Part III. Supplemental Information.

**Part I. Line 1a.**

First class travel: NTI's Board travel policy states that, "It is the general policy of NTI to provide reimbursement for business class (or the domestic equivalent) airfare [for its Board members], unless exception is made with the approval of either Co-Chairmen or the President to allow first class airfare for international travel in appropriate circumstances." In calendar year 2012, NTI paid for Board members William Perry and Sam Nunn to travel first class on certain domestic flights where the plane had only a two class cabin. This was deemed appropriate by NTI's President, and in compliance with the policy.

Travel for Companions: NTI's policy states that, "Spouses and accompanying assistants of Directors of NTI are specifically invited to and expected to attend meetings of the Board and to participate in Board dinner discussions to gain insight to the substantive programs of NTI to facilitate their ability to knowledgeably represent the work of the Initiative to government officials and leaders in their communities." In calendar year 2012, NTI paid travel costs to allow the spouses of Board members, Alexey Arbatov, Des Browne, Charles B. Curtis, Rolf Ekeus, Eugene Habiger, Jessica Mathews, Sam Nunn, Hisashi Owada, Joan Rohlfing and Fujia Yang to accompany their husbands/wives to the NTI Board meetings, in accordance with policy.

**STATEMENT 11**

**Nuclear Threat Initiative, Inc.**

**EIN: 52-2289435**

Form 990, Schedule L, Part IV, Section A, Line 1

Name	Relationship	Amount	Description	Sharing of Org's Revenues	
				Yes	No
R.E. Turner	Co-Chairman of the Board of Directors	\$43,617	Father-in-law to NTI's attorney, J. Rutherford Seydel, II		X
J. Rutherford Seydel, II	Corporate Secretary	\$43,617	Mr. Seydel is a partner in the law firm, Davis, Pickren, Seydel & Sneed, which is paid for legal services it performs for NTI		X
William Perry	Member of the Board of Directors	\$10,410	Father of Robin Lee Perry who was paid for consulting support provided to NTI		X
Robin Lee Perry	Daughter of William Perry, Board member	\$10,410	Robin Lee Perry is working as an independent contractor on an NTI project for which she has the specific skills and knowledge needed for the work		X

**Application for Extension of Time To File an  
Exempt Organization Return**

OMB No. 1545-1709

► **File a separate application for each return.**

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

**Do not complete Part II unless** you have already been granted an automatic 3-month extension on a previously filed Form 8868.

**Electronic filing (e-file).** You can electronically file Form 8868 if you need a 3-month automatic extension of time to file (6 months for a corporation required to file Form 990-T), or an additional (not automatic) 3-month extension of time. You can electronically file Form 8868 to request an extension of time to file any of the forms listed in Part I or Part II with the exception of Form 8870, Information Return for Transfers Associated With Certain Personal Benefit Contracts, which must be sent to the IRS in paper format (see instructions). For more details on the electronic filing of this form, visit [www.irs.gov/efile](http://www.irs.gov/efile) and click on *e-file for Charities & Nonprofits*.

**Part I Automatic 3-Month Extension of Time.** Only submit original (no copies needed).

A corporation required to file Form 990-T and requesting an automatic 6-month extension—check this box and complete Part I only ☐

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

Enter filer's identifying number, see instructions

<b>Type or print</b>	Name of exempt organization or other filer, see instructions.	Employer identification number (EIN) or
	<b>NUCLEAR THREAT INITIATIVE, INC</b>	<input checked="" type="checkbox"/> <b>52-2289435</b>
	Number, street, and room or suite no. If a P.O. box, see instructions	Social security number (SSN)
	<b>1747 PENNSYLVANIA AVE, 7TH FLOOR</b>	<input type="checkbox"/>
File by the due date for filing your return. See instructions	City, town or post office, state, and ZIP code. For a foreign address, see instructions.	
	<b>WASHINGTON, DC 20006</b>	

Enter the Return code for the return that this application is for (file a separate application for each return) ☐ 0 ☐ 1

Application Is For	Return Code	Application Is For	Return Code
Form 990	01	Form 990-T (corporation)	07
Form 990-BL	02	Form 1041-A	08
Form 990-EZ	01	Form 4720	09
Form 990-PF	04	Form 5227	10
Form 990-T (sec. 401(a) or 408(a) trust)	05	Form 6069	11
Form 990-T (trust other than above)	06	Form 8870	12

- The books are in the care of ► **CHARLOTTE S. ATKINSON**

Telephone No. ► **202-454-7736** FAX No. ► **202-296-4811**

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

- 1** I request an automatic 3-month (6 months for a corporation required to file Form 990-T) extension of time until **08/15**, 20 **13**, to file the exempt organization return for the organization named above. The extension is for the organization's return for:
- ☒ calendar year 20 **12** or

► ☐ tax year beginning \_\_\_\_\_, 20 \_\_\_\_\_, and ending \_\_\_\_\_, 20 \_\_\_\_\_.

- 2** If the tax year entered in line 1 is for less than 12 months, check reason: ☐ Initial return ☐ Final return
- ☐ Change in accounting period

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

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



Form **8868**

(Rev. January 2012)

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

OMB No. 1545-1709

► **File a separate application for each return.**

- If you are filing for an **Automatic 3-Month Extension**, complete only **Part I** and check this box ☒
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**Part I Automatic 3-Month Extension of Time.** Only submit original (no copies needed).A corporation required to file Form 990-T and requesting an automatic 6-month extension—check this box and complete Part I only ☐

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

Enter filer's identifying number, see instructions

Type or print  File by the due date for filing your return. See instructions.	Name of exempt organization or other filer, see instructions <b>NUCLEAR THREAT INITIATIVE, INC</b>	Employer identification number (EIN) or <input checked="" type="checkbox"/> <b>52-2289435</b>
	Number, street, and room or suite no. If a P.O. box, see instructions <b>1747 PENNSYLVANIA AVE, 7TH FLOOR</b>	Social security number (SSN) <input type="checkbox"/>
	City, town or post office, state, and ZIP code. For a foreign address, see instructions. <b>WASHINGTON, DC 20006</b>	

Enter the Return code for the return that this application is for (file a separate application for each return) ☐ 0 ☐ 1

Application Is For	Return Code	Application Is For	Return Code
Form 990	01	Form 990-T (corporation)	07
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Telephone No. ► **202-454-7736**FAX No. ► **202-296-4811**

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► ☒ calendar year 20 **12** or

► ☐ tax year beginning \_\_\_\_\_, 20 \_\_\_\_\_, and ending \_\_\_\_\_, 20 \_\_\_\_\_.

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

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

Cat. No. 27916D

Form **8868** (Rev. 1-2012)