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Form **990**Department of the Treasury
Internal Revenue Service**Return of Organization Exempt From Income Tax**

Under section 501(c), 527, or 4947(a)(1) of the Internal Revenue Code (except black lung benefit trust or private foundation)

OMB No 1545-0047

2012Open to Public
Inspection

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

A For the 2012 calendar year, or tax year beginning **OCT 1, 2012** and ending **SEP 30, 2013****B** Check if applicable

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

C Name of organization**SETI INSTITUTE**

Doing Business As

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

189 N. BERNARDO AVENUE

Room/suite

100

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

MOUNTAIN VIEW, CA 94043-5203**F** Name and address of principal officer: **DAVID BLACK****SAME AS C ABOVE****D** Employer identification number**94-2951356****E** Telephone number**650-961-6633****G** Gross receipts \$**20,064,167.****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.SETI.ORG****K** Form of organization ☒ Corporation ☐ Trust ☐ Association ☐ Other ▶**L** Year of formation **1984****M** State of legal domicile **CA****Part I Summary**

Activities & Governance		Revenue		Expenses		Net Assets or Fund Balances	
1 Briefly describe the organization's mission or most significant activities: THE SETI INSTITUTE'S INTERDISCIPLINARY TEAM OF SCIENTISTS AND EDUCATIONS ARE DEDICATED TO							
2 Check this box <input type="checkbox"/> if the organization discontinued its operations or disposed of more than 25% of its net assets.							
3	Number of voting members of the governing body (Part VI, line 1a)	3	11				
4	Number of independent voting members of the governing body (Part VI, line 1b)	4	10				
5	Total number of individuals employed in calendar year 2012 (Part V, line 2a)	5	156				
6	Total number of volunteers (estimate if necessary)	6	60				
7a	Total unrelated business revenue from Part VIII, column (C), line 12	7a	0.				
7b	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			
9	Program service revenue (Part VIII, line 2g)	17,209,272.		19,244,394.			
10	Investment income (Part VIII, column (A), lines 3, 4, and 7d)	<12,942.>		0.			
11	Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e)	38,118.		126,633.			
12	Total revenue - add lines 8 through 11 (must equal Part VIII, column (A), line 12)	0.		8,612.			
13	Grants and similar amounts paid (Part IX, column (A), lines 1-3)	17,234,448.		19,379,639.			
14	Benefits paid to or for members (Part IX, column (A), line 4)	0.		1,576,841.			
15	Salaries, other compensation, employee benefits (Part IX, column (A), lines 5-10)	0.		0.			
16a	Professional fundraising fees (Part IX, column (A), line 11e)	12,305,276.		11,947,909.			
16b	Total fundraising expenses (Part IX, column (D), line 25) ▶ 316,856.	0.		0.			
17	Other expenses (Part IX, column (A), lines 11a-11d, 11f-24e)	6,793,434.		4,079,560.			
18	Total expenses. Add lines 13-17 (must equal Part IX, column (A), line 25)	19,098,710.		17,604,310.			
19	Revenue less expenses. Subtract line 18 from line 12	<1,864,262.>		1,775,329.			
20	Total assets (Part X, line 16)	Beginning of Current Year		End of Year			
21	Total liabilities (Part X, line 26)	10,817,757.		13,494,830.			
22	Net assets or fund balances. Subtract line 21 from line 20	4,713,790.		5,285,691.			
		6,103,967.		8,209,139.			

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

David C Black President and CEO

Paid

Print/Type preparer's name

DARLA A. COLSON

Preparer's signature

Date

Check

if self-employed

PTIN

P00027123

Preparer

Firm's name ▶ **GILBERT ASSOCIATES, INC.**

Firm's EIN ▶

68-0037990

Use Only

Firm's address ▶ **2880 GATEWAY OAKS DR, STE 100
SACRAMENTO, CA 95833**

Phone no

916-646-6464

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

☒ Yes☐ No

232001 12-10-12

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

Form **990** (2012)

SEE SCHEDULE O FOR ORGANIZATION MISSION STATEMENT CONTINUATION

SCANNED SEP 23 2014

RECEIVED

SEP 08 2014

DODEN, UT

166

Part III Statement of Program Service Accomplishments

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

☒ X

1 Briefly describe the organization's mission:

THE MISSION OF THE SETI INSTITUTE IS TO EXPLORE, UNDERSTAND AND EXPLAIN THE ORIGIN, NATURE AND PREVALENCE OF LIFE IN THE UNIVERSE.

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 \$ 11,051,935. including grants of \$ 931,163.) (Revenue \$)

THE CARL SAGAN CENTER FOR THE STUDY OF LIFE IN THE UNIVERSE (CSC) SPECIALIZES IN THE BROAD INTERDISCIPLINARY FIELD OF ASTROBIOLOGY, STRIVING TO UNDERSTAND THE ORIGIN, EVOLUTION AND DISTRIBUTION OF LIFE IN THE UNIVERSE. CSC SCIENTISTS ARE ADDRESSING THREE OF THE MOST PROFOUND QUESTIONS IN SCIENCE: HOW DOES LIFE ARISE? IS THERE LIFE BEYOND EARTH? AND WHAT ARE THE FUTURE DIRECTIONS FOR THE EVOLUTION OF LIFE? CSC SCIENTISTS PUBLISH THE RESULTS OF THEIR RESEARCH IN PEER REVIEWED JOURNAL ARTICLES AND BOOK CHAPTERS & GIVE PRESENTATIONS TO THEIR COLLEAGUES & THE PUBLIC. MANY ALSO MENTOR STUDENTS, TRAINING THE NEXT GENERATION OF SCIENTISTS. EXAMPLES OF SOME OF THE EXCITING RESEARCH CONDUCTED BY OUR SCIENTISTS IN FY 13 ARE: *USING TELESCOPES & LABORATORY EXPERIMENTS TO UNDERSTAND THE COMPLEX CHEMISTRY THAT TAKES

4b (Code) (Expenses \$ 1,539,824. including grants of \$ 644,778.) (Revenue \$)

THE CENTER FOR EDUCATION AND OUTREACH (EDU) AT SETI INSTITUTE CONDUCTS PROJECTS IN FORMAL AND INFORMAL EDUCATION AND PUBLIC OUTREACH. THESE PROJECTS INCLUDE CURRICULUM DEVELOPMENT & TEACHER PROFESSIONAL DEVELOPMENT, MUSEUM EXHIBIT DEVELOPMENT, AND OUTREACH TO STUDENTS, TEACHERS AND THE GENERAL PUBLIC. THE INSTITUTE IS INVOLVED IN SCIENTIFIC AND EDUCATIONAL TRADE SHOWS, WORKSHOPS, AND COURSES, WHICH SHARE THE INSTITUTE'S SCIENTIFIC RESEARCH. FY 13 WAS THE EIGHTH YEAR OF OUR ASTROBIOLOGY RESEARCH EXPERIENCE FOR UNDERGRADUATES PROGRAM, SPONSORED BY THE NSF, AND FOURTH YEAR OF OUR UNDERGRADUATE RESEARCH AT THE SETI INSTITUTE (URSA) COLLABORATION WITH SAN JOSE STATE UNIVERSITY, A MINORITY SERVING INSTITUTION. ADDITIONALLY, CAL POLY POMONA SPONSORS STUDENT INTERNS AT SETI INSTITUTE UNDER THE NSF FUNDED CAMPARE PROGRAM.

4c (Code) (Expenses \$ 728,251. including grants of \$) (Revenue \$)

THE ALLEN TELESCOPE ARRAY (ATA) IS A UNIQUE INSTRUMENT DESIGNED TO SEEK OUT SIGNALS FROM CIVILIZATIONS ELSEWHERE IN THE UNIVERSE WHILE SIMULTANEOUSLY CONDUCTING OTHER RADIO ASTRONOMY RESEARCH. SCIENCE CONDUCTED ON THE ARRAY DURING FY 13 HAS CONCENTRATED ON A CONTINUING RECONNAISSANCE OF THE GALACTIC CENTER, AS WELL AS EXOPLANETS FOUND BY THE KEPLER SPACE TELESCOPE. SINCE IT IS THE FIRST TELESCOPE OF ITS TYPE AND IS AN IMPORTANT PROTOTYPE FOR OTHER RADIO ARRAYS, THE SETI INSTITUTE IS EXPLORING NEW IDEAS FOR COMMERCIALIZATION OF ATA CAPABILITIES FOR SPACECRAFT DOWNLINKS AND SPACE SITUATIONAL AWARENESS. THE ATA IS ALSO BEING USED AS A TEST BED FOR DEVELOPING NEW SEARCH STRATEGIES FOR EXTRATERRESTRIAL TRANSMITTERS OR DISCOVERIES OF UNUSUAL ASTRONOMICAL PHENOMENA. A MAJOR PROJECT HAS BEEN THE DEVELOPMENT OF NEW

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

(Expenses \$ 626,241. including grants of \$ 900.) (Revenue \$)

4e Total program service expenses ► 13,946,251.

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>	X	
2 Is the organization required to complete <i>Schedule B, Schedule of Contributors</i> ?	X	
3 Did the organization engage in direct or indirect political campaign activities on behalf of or in opposition to candidates for public office? <i>If "Yes," complete Schedule C, Part I</i>		X
4 Section 501(c)(3) organizations. Did the organization engage in lobbying activities, or have a section 501(h) election in effect during the tax year? <i>If "Yes," complete Schedule C, Part II</i>		X
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>		X
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>		X
7 Did the organization receive or hold a conservation easement, including easements to preserve open space, the environment, historic land areas, or historic structures? <i>If "Yes," complete Schedule D, Part II</i>		X
8 Did the organization maintain collections of works of art, historical treasures, or other similar assets? <i>If "Yes," complete Schedule D, Part III</i>		X
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>		X
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>	X	
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>	X	
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>		X
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>		X
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>		X
e Did the organization report an amount for other liabilities in Part X, line 25? <i>If "Yes," complete Schedule D, Part X</i>	X	
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>	X	
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>	X	
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>		X
13 Is the organization a school described in section 170(b)(1)(A)(ii)? <i>If "Yes," complete Schedule E</i>		X
14a Did the organization maintain an office, employees, or agents outside of the United States?		X
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>	X	
15 Did the organization report on Part IX, column (A), line 3, more than \$5,000 of grants or assistance to any organization or entity located outside the United States? <i>If "Yes," complete Schedule F, Parts II and IV</i>	X	
16 Did the organization report on Part IX, column (A), line 3, more than \$5,000 of aggregate grants or assistance to individuals located outside the United States? <i>If "Yes," complete Schedule F, Parts III and IV</i>		X
17 Did the organization report a total of more than \$15,000 of expenses for professional fundraising services on Part IX, column (A), lines 6 and 11e? <i>If "Yes," complete Schedule G, Part I</i>		X
18 Did the organization report more than \$15,000 total of fundraising event gross income and contributions on Part VIII, lines 1c and 8a? <i>If "Yes," complete Schedule G, Part II</i>		X
19 Did the organization report more than \$15,000 of gross income from gaming activities on Part VIII, line 9a? <i>If "Yes," complete Schedule G, Part III</i>		X
20a Did the organization operate one or more hospital facilities? <i>If "Yes," complete Schedule H</i>		X
b If "Yes" to line 20a, did the organization attach a copy of its audited financial statements to this return?		

Part IV Checklist of Required Schedules (continued)

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

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

Part V Statements Regarding Other IRS Filings and Tax ComplianceCheck if Schedule O contains a response to any question in this Part V ☐

		Yes	No
1a Enter the number reported in Box 3 of Form 1096. Enter -0- if not applicable	1a 51		
b Enter the number of Forms W-2G included in line 1a. Enter -0- if not applicable	1b 0		
c Did the organization comply with backup withholding rules for reportable payments to vendors and reportable gaming (gambling) winnings to prize winners?	1c	X	
2a Enter the number of employees reported on Form W-3, Transmittal of Wage and Tax Statements, filed for the calendar year ending with or within the year covered by this return	2a 156		
b If at least one is reported on line 2a, did the organization file all required federal employment tax returns? Note. If the sum of lines 1a and 2a is greater than 250, you may be required to e-file (see instructions)	2b	X	
3a Did the organization have unrelated business gross income of \$1,000 or more during the year?	3a		X
b If "Yes," has it filed a Form 990-T for this year? If "No," provide an explanation in Schedule O	3b		
4a At any time during the calendar year, did the organization have an interest in, or a signature or other authority over, a financial account in a foreign country (such as a bank account, securities account, or other financial account)?	4a		X
b If "Yes," enter the name of the foreign country: See instructions for filing requirements for Form TD F 90-22.1, Report of Foreign Bank and Financial Accounts.			
5a Was the organization a party to a prohibited tax shelter transaction at any time during the tax year?	5a		X
b Did any taxable party notify the organization that it was or is a party to a prohibited tax shelter transaction?	5b		X
c If "Yes," to line 5a or 5b, did the organization file Form 8886-T?	5c		
6a Does the organization have annual gross receipts that are normally greater than \$100,000, and did the organization solicit any contributions that were not tax deductible as charitable contributions?	6a		X
b If "Yes," did the organization include with every solicitation an express statement that such contributions or gifts were not tax deductible?	6b		
7 Organizations that may receive deductible contributions under section 170(c).			
a Did the organization receive a payment in excess of \$75 made partly as a contribution and partly for goods and services provided to the payor?	7a		X
b If "Yes," did the organization notify the donor of the value of the goods or services provided?	7b		
c Did the organization sell, exchange, or otherwise dispose of tangible personal property for which it was required to file Form 8282?	7c		X
d If "Yes," indicate the number of Forms 8282 filed during the year	7d		
e Did the organization receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?	7e		X
f Did the organization, during the year, pay premiums, directly or indirectly, on a personal benefit contract?	7f		X
g If the organization received a contribution of qualified intellectual property, did the organization file Form 8899 as required?	7g		
h If the organization received a contribution of cars, boats, airplanes, or other vehicles, did the organization file a Form 1098-C?	7h		
8 Sponsoring organizations maintaining donor advised funds and section 509(a)(3) supporting organizations. Did the supporting organization, or a donor advised fund maintained by a sponsoring organization, have excess business holdings at any time during the year?	8		
9 Sponsoring organizations maintaining donor advised funds.			
a Did the organization make any taxable distributions under section 4966?	9a		
b Did the organization make a distribution to a donor, donor advisor, or related person?	9b		
10 Section 501(c)(7) organizations. Enter:			
a Initiation fees and capital contributions included on Part VIII, line 12	10a		
b Gross receipts, included on Form 990, Part VIII, line 12, for public use of club facilities	10b		
11 Section 501(c)(12) organizations. Enter:			
a Gross income from members or shareholders	11a		
b Gross income from other sources (Do not net amounts due or paid to other sources against amounts due or received from them.)	11b		
12a Section 4947(a)(1) non-exempt charitable trusts. Is the organization filing Form 990 in lieu of Form 1041?	12a		
b If "Yes," enter the amount of tax-exempt interest received or accrued during the year	12b		
13 Section 501(c)(29) qualified nonprofit health insurance issuers.			
a Is the organization licensed to issue qualified health plans in more than one state? Note. See the instructions for additional information the organization must report on Schedule O.	13a		
b Enter the amount of reserves the organization is required to maintain by the states in which the organization is licensed to issue qualified health plans	13b		
c Enter the amount of reserves on hand	13c		
14a Did the organization receive any payments for indoor tanning services during the tax year?	14a		X
b If "Yes," has it filed a Form 720 to report these payments? If "No," provide an explanation in Schedule O	14b		

Form 990 (2012)

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	11	
1b Enter the number of voting members included in line 1a, above, who are independent	10	
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	
11b Describe in Schedule O the process, if any, used by the organization to review this Form 990.		
12a Did the organization have a written conflict of interest policy? If "No," go to line 13	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?		
a The organization's CEO, Executive Director, or top management official	X	
b Other officers or key employees of the organization	X	
If "Yes" to line 15a or 15b, describe the process in Schedule O (see instructions).		
16a Did the organization invest in, contribute assets to, or participate in a joint venture or similar arrangement with a taxable entity during the year?		X
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 **CA, AL, AK, AR, CT, FL, GA, HI, IL, KS, KY, ME**

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.

20 State the name, physical address, and telephone number of the person who possesses the books and records of the organization: **LISA KANEHIRO - (650) 960-4504**
189 N. BERNARDO AVENUE, NO. 100, MOUNTAIN VIEW, CA 94043-5203

Part VII Compensation of Officers, Directors, Trustees, Key Employees, Highest Compensated Employees, and Independent ContractorsCheck 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) JOHN GERTZ TRUSTEE	15.00	X						0.	0.	0.
(2) ANDREW FRANKOI TRUSTEE	5.00	X						0.	0.	0.
(3) WILLIAM WELCH TRUSTEE	1.00	X						0.	0.	0.
(4) PAUL ELLIOT TRUSTEE	1.00	X						0.	0.	0.
(5) ELIZABETH GARRETT TRUSTEE	1.00	X						0.	0.	0.
(6) DANE GLASGOW CO-CHAIRMAN	1.00	X						0.	0.	0.
(7) RUSS HOLDSTEIN TRUSTEE	1.00	X						0.	0.	0.
(8) DAVID LIDDLE CO-CHAIRMAN	1.00	X						0.	0.	0.
(9) DAVID PRATT TRUSTEE	1.00	X						0.	0.	0.
(10) PIERRE SCHWOB TRUSTEE	1.00	X						0.	0.	0.
(11) THOMAS PIERSON VICE CHAIR, SECRETARY & CEO	50.00	X		X				117,589.	0.	41,075.
(12) EDNA DEVORE ACTING CEO	40.00			X				122,227.	0.	31,426.
(13) SHANNON ATKINSON CFO	40.00			X				136,500.	0.	28,245.
(14) JON JENKINS SENIOR RESEARCH SCIENTIST	40.00				X			176,831.	0.	41,866.
(15) VIRGINIA GULICK SENIOR RESEARCH SCIENTIST	40.00					X		145,530.	0.	31,697.
(16) JOHN MARSHALL SENIOR RESEARCH SCIENTIST	40.00					X		146,748.	0.	29,552.
(17) PETER TENENBAUM SCIENTIFIC PROGRAMMER	40.00					X		159,402.	0.	22,860.

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) JOSHEPH TWICKEN SENIOR SCIENTIFIC PROGRAMMER	40.00					X		165,787.	0.	12,809.
(19) DOUG CALDWELL PRINCIPAL INVESTIGATOR	40.00					X		138,902.	0.	39,121.
1b Sub-total								1,309,516.	0.	278,651.
c Total from continuation sheets to Part VII, Section A								0.	0.	0.
d Total (add lines 1b and 1c)								1,309,516.	0.	278,651.

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 **35**

- 3 Did the organization list any **former** officer, director, or trustee, key employee, or highest compensated employee on line 1a? If "Yes," complete Schedule J for such individual
- 4 For any individual listed on line 1a, is the sum of reportable compensation and other compensation from the organization and related organizations greater than \$150,000? If "Yes," complete Schedule J for such individual
- 5 Did any person listed on line 1a receive or accrue compensation from any unrelated organization or individual for services rendered to the organization? If "Yes," complete Schedule J for such person

	Yes	No
3		X
4	X	
5		X

Section B. Independent Contractors

1 Complete this table for your five highest compensated independent contractors that received more than \$100,000 of compensation from the organization. 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
GENEX SYSTEMS, LLC 2 EATON ST, SUITE 603, HAMPTON, VA 23666	PROTOCOL DEVELOPMENT & EVALUATION	416,632.
AMY BAKER 7016 S MILLER CT, LITTLETON, CO 80127	PLANETARY PROTECTION CONSULTANT	138,600.

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 **2**

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	15,067,689.				
	f All other contributions, gifts, grants, and similar amounts not included above	1f	4,176,705.				
	g Noncash contributions included in lines 1a-1f \$						
h Total. Add lines 1a-1f			19,244,394.				
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)			31,979.			31,979.
	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)			94,654.			94,654.
	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 MISCELLANEOUS		900099	8,612.			8,612.	
b							
c							
d All other revenue							
e Total. Add lines 11a-11d			8,612.				
12 Total revenue. See instructions			19,379,639.	0.	0.	135,245.	

Part IX Statement of Functional Expenses

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

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

Do not include amounts reported on lines 6b, 7b, 8b, 9b, and 10b of Part VIII.	(A) Total expenses	(B) Program service expenses	(C) Management and general expenses	(D) Fundraising expenses
1 Grants and other assistance to governments and organizations in the United States. See Part IV, line 21	1,557,597.	1,557,597.		
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	19,244.	19,244.		
4 Benefits paid to or for members				
5 Compensation of current officers, directors, trustees, and key employees	587,003.	341,310.	245,693.	
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	8,772,964.	7,725,401.	856,765.	190,798.
8 Pension plan accruals and contributions (include section 401(k) and 403(b) employer contributions)	563,367.	483,147.	65,852.	14,368.
9 Other employee benefits	1,349,312.	1,112,589.	222,724.	13,999.
10 Payroll taxes	675,263.	585,236.	77,298.	12,729.
11 Fees for services (non-employees):				
a Management				
b Legal	190,801.	11,815.	165,097.	13,889.
c Accounting	47,823.		47,823.	
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)	601,497.	475,729.	103,762.	22,006.
12 Advertising and promotion	6,506.	6,506.		
13 Office expenses	364,860.	234,064.	125,131.	5,665.
14 Information technology				
15 Royalties				
16 Occupancy	1,359,221.	66,432.	1,260,392.	32,397.
17 Travel	633,342.	621,727.	8,747.	2,868.
18 Payments of travel or entertainment expenses for any federal, state, or local public officials				
19 Conferences, conventions, and meetings	92,767.	79,286.	11,436.	2,045.
20 Interest				
21 Payments to affiliates				
22 Depreciation, depletion, and amortization	448,028.	402,360.	45,668.	
23 Insurance	35,294.	3,308.	31,986.	
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 SUPPLIES	194,971.	181,758.	11,751.	1,462.
b DUES AND SUBSCRIPTIONS	38,508.	24,408.	13,396.	704.
c LOSS ON DISPOSAL	13,624.	13,624.		
d SUBCONTRACTOR EXPENSE	2,900.			2,900.
e All other expenses	49,418.	710.	47,682.	1,026.
25 Total functional expenses. Add lines 1 through 24e	17,604,310.	13,946,251.	3,341,203.	316,856.
26 Joint costs. Complete this line only if the organization reported in column (B) joint costs from a combined educational campaign and fundraising solicitation				

Check here ☐ If following SOP 98-2 (ASC 958-720)

Part X Balance SheetCheck if Schedule O contains a response to any question in this Part X ☐

		(A) Beginning of year		(B) End of year
Assets	1 Cash - non-interest-bearing	368,868.	1	2,557,789.
	2 Savings and temporary cash investments	100,012.	2	100,150.
	3 Pledges and grants receivable, net	1,509,156.	3	2,641,262.
	4 Accounts receivable, net	168,000.	4	8,503.
	5 Loans and other receivables from current and former officers, directors, trustees, key employees, and highest compensated employees. Complete Part II of Schedule L	129,201.	5	108,252.
	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	168,000.
	8 Inventories for sale or use	4,707.	8	4,356.
	9 Prepaid expenses and deferred charges	479,996.	9	495,447.
	10a Land, buildings, and equipment: cost or other basis. Complete Part VI of Schedule D	10a 8,345,583.		
	b Less: accumulated depreciation	10b 2,908,180.	10c	5,437,403.
	11 Investments - publicly traded securities	5,313,251.	11	1,559,821.
	12 Investments - other securities. See Part IV, line 11	2,744,566.	12	
	13 Investments - program-related. See Part IV, line 11		13	
	14 Intangible assets		14	
	15 Other assets. See Part IV, line 11	0.	15	413,847.
16 Total assets. Add lines 1 through 15 (must equal line 34)	10,817,757.	16	13,494,830.	
Liabilities	17 Accounts payable and accrued expenses	2,915,818.	17	3,336,911.
	18 Grants payable		18	
	19 Deferred revenue	607,753.	19	913,254.
	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	1,190,219.	25	1,035,526.
	26 Total liabilities. Add lines 17 through 25	4,713,790.	26	5,285,691.
	Net Assets or Fund Balances	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		5,339,831.	27	5,309,976.
28 Temporarily restricted net assets		758,876.	28	2,893,903.
29 Permanently restricted net assets		5,260.	29	5,260.
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		6,103,967.	33	8,209,139.
34 Total liabilities and net assets/fund balances		10,817,757.	34	13,494,830.

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	19,379,639.
2	Total expenses (must equal Part IX, column (A), line 25)	2	17,604,310.
3	Revenue less expenses. Subtract line 2 from line 1	3	1,775,329.
4	Net assets or fund balances at beginning of year (must equal Part X, line 33, column (A))	4	6,103,967.
5	Net unrealized gains (losses) on investments	5	123,501.
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	206,342.
10	Net assets or fund balances at end of year. Combine lines 3 through 9 (must equal Part X, line 33, column (B))	10	8,209,139.

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	X	

Form 990 (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.")	18457170.	18189691.	17491515.	17209272.	19244394.	90592042.
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	18457170.	18189691.	17491515.	17209272.	19244394.	90592042.
5 The portion of total contributions by each person (other than a governmental unit or publicly supported organization) included on line 1 that exceeds 2% of the amount shown on line 11, column (f)						
6 Public support. Subtract line 5 from line 4						90592042.

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	18457170.	18189691.	17491515.	17209272.	19244394.	90592042.
8 Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources	28,516.	<63,139.>	101,755.	38,118.	31,979.	137,229.
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.)					8,612.	8,612.
11 Total support. Add lines 7 through 10						90737883.
12 Gross receipts from related activities, etc. (see instructions)					12	
13 First five years. If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and stop here ► <input type="checkbox"/>						

Section C. Computation of Public Support Percentage

14 Public support percentage for 2012 (line 6, column (f) divided by line 11, column (f))	14	99.84	%
15 Public support percentage from 2011 Schedule A, Part II, line 14	15	100.00	%
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 checked="" 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 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"/>			

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
1 Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grants.")						
2 Gross receipts from admissions, merchandise sold or services performed, or facilities furnished in any activity that is related to the organization's tax-exempt purpose						
3 Gross receipts from activities that are not an unrelated trade or business under section 513						
4 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf						
5 The value of services or facilities furnished by a governmental unit to the organization without charge						
6 Total. Add lines 1 through 5						
7a Amounts included on lines 1, 2, and 3 received from disqualified persons						
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						
c Add lines 7a and 7b						
8 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
9 Amounts from line 6						
10a Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources						
b Unrelated business taxable income (less section 511 taxes) from businesses acquired after June 30, 1975						
c Add lines 10a and 10b						
11 Net income from unrelated business activities not included in line 10b, whether or not the business is regularly carried on						
12 Other income. Do not include gain or loss from the sale of capital assets (Explain in Part IV.)						
13 Total support. (Add lines 9, 10c, 11, and 12)						
14 First five years. If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and stop here ► <input type="checkbox"/>						

Section C. Computation of Public Support Percentage

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

Section D. Computation of Investment Income Percentage

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

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 ► ☐

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

SETI INSTITUTE

Employer identification number

94-2951356

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:

- c Beginning balance
 d Additions during the year
 e Distributions during the year
 f Ending balance

	Amount
1c	
1d	
1e	
1f	

2a Did the organization include an amount on Form 990, Part X, line 21? ☐ Yes ☐ No

b If "Yes," explain the arrangement in Part XIII. Check here if the explanation has been provided in Part XIII ☐

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

	(a) Current year	(b) Prior year	(c) Two years back	(d) Three years back	(e) Four years back
1a Beginning of year balance	5,260.	5,260.	5,260.	5,260.	5,260.
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	5,260.	5,260.	5,260.	5,260.	5,260.

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 ☒ 100.00 %
 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)		X
3a(ii)		X
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		226,657.	66,843.	159,814.
d Equipment		8,118,926.	2,841,337.	5,277,589.
e Other				

Total. Add lines 1a through 1e. (Column (d) must equal Form 990, Part X, column (B), line 10(c).) ☒ 5,437,403.

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.

1. (a) Description of liability	(b) Book value
(1) Federal income taxes	
(2) DEFERRED RENT	808,357.
(3) CAPITAL LEASE OBLIGATION	67,294.
(4) UNITRUST PAYABLE	159,875.
(5)	
(6)	
(7)	
(8)	
(9)	
(10)	
(11)	
Total. (Column (b) must equal Form 990, Part X, col (B) line 25.) ►	1,035,526.

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	19,736,903.
2	Amounts included on line 1 but not on Form 990, Part VIII, line 12:			
a	Net unrealized gains on investments	2a	123,501.	
b	Donated services and use of facilities	2b	27,421.	
c	Recoveries of prior year grants	2c		
d	Other (Describe in Part XIII.)	2d	206,342.	
e	Add lines 2a through 2d		2e	357,264.
3	Subtract line 2e from line 1		3	19,379,639.
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	19,379,639.

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

1	Total expenses and losses per audited financial statements		1	17,631,731.
2	Amounts included on line 1 but not on Form 990, Part IX, line 25:			
a	Donated services and use of facilities	2a	27,421.	
b	Prior year adjustments	2b		
c	Other losses	2c		
d	Other (Describe in Part XIII.)	2d		
e	Add lines 2a through 2d		2e	27,421.
3	Subtract line 2e from line 1		3	17,604,310.
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	17,604,310.

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.

PART V, LINE 4: THE SETI INSTITUTE INTENDS TO ESTABLISH A PERMANENT

ENDOWMENT TO ENSURE THAT FUTURE GENERATIONS CAN CONTINUE TO FOSTER THE

EXCITEMENT OF OUR MISSION AND HELP TO ANSWER THE QUESTIONS ABOUT LIFE IN

THE UNIVERSE. THE CURRENT BALANCE OF OUR PERMANENTLY RESTRICTED NET ASSETS

WAS DONATED TO THE INSTITUTE IN 2000 AND REPRESENT THE FIRST FUNDS SET

ASIDE FOR OUR FUTURE ENDOWMENT.

PART X, LINE 2: THE INSTITUTE HAS APPLIED THE ACCOUNTING PRINCIPLES

Part XIII Supplemental Information (continued)

RELATED TO ACCOUNTING FOR UNCERTAINTY IN INCOME TAXES AND HAS DETERMINED THAT THERE IS NO MATERIAL IMPACT ON THE FINANCIAL STATEMENTS. WITH SOME EXCEPTIONS, THE INSTITUTE IS NO LONGER SUBJECT TO U.S. FEDERAL OR STATE INCOME TAX EXAMINATIONS BY TAX AUTHORITIES FOR YEARS PRIOR TO 2009.

PART XI, LINE 2D - OTHER ADJUSTMENTS:

CHANGE IN VALUE OF SPLIT INTEREST AGREEMENTS 206,342.

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.

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Name of the organization

Employer identification number

SETI INSTITUTE

94-2951356

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
NORTH AMERICA	0	0	GRANTS TO RECIPIENT LOCATED IN REGION	RESEARCH	19,244.
3 a Sub-total	0	0			19,244.
b Total from continuation sheets to Part I	0	0			0.
c Totals (add lines 3a and 3b)	0	0			19,244.

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

Schedule F (Form 990) 2012

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: SUB-RECIPIENT PERFORMANCE IS TRACKED BY THE
PRINCIPAL INVESTIGATOR (PI). SETI CHECKS IN WITH THE PI/MANAGER BEFORE
INVOICES ARE ACCEPTED AND PROCESSED INTO THE ACCOUNTING SYSTEM. SETI
UTILIZES SUB-RECIPIENTS TO PERFORM RESEARCH AND OUTREACH.

**SCHEDULE I
(Form 990)**

Department of the Treasury
Internal Revenue Service

**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.

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Name of the organization

SETI INSTITUTE

Employer identification number
94-2951356

Part I General Information on Grants and Assistance

1 Does the organization maintain records to substantiate the amount of the grants or assistance, the grantees' eligibility for the grants or assistance, and the selection criteria used to award the grants or assistance? ☒ Yes ☐ No

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

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

1 (a) Name and address of organization or government	(b) EIN	(c) IRC section if applicable	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV, appraisal, other)	(g) Description of non-cash assistance	(h) Purpose of grant or assistance
ASTRONOMICAL SOCIETY OF THE PACIFIC - 390 ASHTON AVE - SAN FRANCISCO, CA 94112	94-0294860	501(C)3	595,961.	0.			RESEARCH
WASHINGTON UNIVERSITY 700 ROSEDALE AVE, CAMPUS BOX 1034 ST LOUIS, MO 63112-1408	43-0653611	UNIVERSITY	77,280.	0.			RESEARCH
TUFTS UNIVERSITY 169 HOLLAND ST, 3RD FL SOMERVILLE, MA 02144	04-2103634	UNIVERSITY	53,571.	0.			RESEARCH
INVERNESS RESEARCH PO BOX 313, 15 INVERNESS WAY INVERNESS, CA 94937	71-0904314	CORPORATION	27,061.	0.			RESEARCH
SAN JOSE STATE UNIVERSITY RESEARCH FOUNDATION - PO BOX 720130 - SAN JOSE, CA 95172-0130	94-6017638	501(C)3	20,535.	0.			RESEARCH
UNIVERSITY OF TEXAS AT AUSTIN 110 INNER CAMPUS DRIVE STOP K5300 AUSTIN, TX 78712	74-6000203	UNIVERSITY	16,732.	0.			RESEARCH
2 Enter total number of section 501(c)(3) and government organizations listed in the line 1 table					10.		
3 Enter total number of other organizations listed in the line 1 table					4.		

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

Schedule I (Form 990) (2012)

Part II Continuation of Grants and Other Assistance to Governments and Organizations in the United States (Schedule I (Form 990), Part II.)

(a) Name and address of organization or government	(b) EIN	(c) IRC section if applicable	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV, appraisal, other)	(g) Description of non-cash assistance	(h) Purpose of grant or assistance
ST. OLAF COLLEGE 1520 ST OLAF AVE NORTHFIELD, MN 55057	41-0693979	501(C)3	13,313.	0.			RESEARCH
JOHNS HOPKINS UNIVERSITY, APPLIED PHYSICS LAB LLC - 11100 JOHNS HOPKINS RD, MP1-S186 - LAUREL, MD 20723	52-0595111	LLC	11,873.	0.			RESEARCH
UNIVERSITY OF TEXAS AT ARLINGTON 26-3905-47, BOX 19136 ARLINGTON, TX 76019	75-6000121	UNIVERSITY	5,024.	0.			RESEARCH
GENEX SYSTEMS, LLC 2 EATON ST, SUITE 603 HAMPTON, VA 23666	54-1981699	LLC	422,230.	0.			RESEARCH
BALL AEROSPACE & TECHNOLOGIES CORP. - 1600 COMMERCE ST - BOULDER, CO 80301	84-1315001	CORPORATION	87,776.	0.			RESEARCH
SOUTHWEST RESEARCH INSTITUTE 6220 CULEBRA RD SAN ANTONIO, TX 78238-5166	74-1070544	501(C)3	45,955.	0.			RESEARCH
UNIVERSITY OF TENNESSEE 210 STUDENT SERVICES BLDG KNOXVILLE, TN 37996-0105	62-6001636	UNIVERSITY	178,594.	0.			RESEARCH
SPACE SCIENCE INSTITUTE 4750 WALNUT ST, STE 205 BOULDER, CO 80301	84-1215490	501(C)3	792.	0.			RESEARCH

Part III

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

(a) Type of grant or assistance	(b) Number of recipients	(c) Amount of cash grant	(d) Amount of non-cash assistance	(e) Method of valuation (book, FMV, appraisal, other)	(f) Description of non-cash assistance

Part IV

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

SCHEDULE I, PART I, LINE 2: SUB-RECIPIENT PERFORMANCE IS TRACKED BY THE PRINCIPAL INVESTIGATOR (PI). SETI CHECKS IN WITH THE PI/MANAGER BEFORE INVOICES ARE ACCEPTED AND PROCESSED INTO THE ACCOUNTING SYSTEM. SETI UTILIZES SUB-RECIPIENTS TO PERFORM RESEARCH AND OUTREACH.

**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

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Name of the organization

SETI INSTITUTE

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Part I Questions Regarding Compensation

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

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

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

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

3 Indicate which, if any, of the following the 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 type="checkbox"/> Compensation committee | <input type="checkbox"/> Written employment contract |
| <input 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

2

4a

4b

4c

5a

5b

6a

6b

7

8

9

X

X

X

X

X

X

X

X

X

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

Schedule J (Form 990) 2012

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.

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.

SCHEDULE L
(Form 990 or 990-EZ)

Department of the Treasury
Internal Revenue Service

Transactions With Interested Persons

► **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.**

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SETI INSTITUTE

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Part I Excess Benefit Transactions (section 501(c)(3) and section 501(c)(4) organizations only).

Complete if the organization answered "Yes" on Form 990, Part IV, line 25a or 25b, or Form 990-EZ, Part V, line 40b.

1 (a) Name of disqualified person	(b) Relationship between disqualified person and organization	(c) Description of transaction	(d) Corrected?	
			Yes	No

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

► \$

Part II Loans to and/or From Interested Persons.

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.

(a) Name of interested person	(b) Relationship with organization	(c) Purpose of loan	(d) Loan to or from the organization?		(e) Original principal amount	(f) Balance due	(g) In default?		(h) Approved by board or committee?		(i) Written agreement?	
			To	From			Yes	No	Yes	No	Yes	No
THOMAS PIERSON	OFFICER/	HOME MOR		X	343,713.	108,252.		X	X		X	

Total ► \$ 108,252.

Part III Grants or Assistance Benefiting Interested Persons.

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

(a) Name of interested person	(b) Relationship between interested person and the organization	(c) Amount of assistance	(d) Type of assistance	(e) Purpose of assistance

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

Schedule L (Form 990 or 990-EZ) 2012

SEE PART V FOR CONTINUATIONS

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

Part V Supplemental Information

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

SCHEDULE L, PART II, LOANS TO AND FROM INTERESTED PERSONS:

(A) NAME OF PERSON: THOMAS PIERSON

(B) RELATIONSHIP WITH ORGANIZATION: OFFICER/DIRECTOR

(C) PURPOSE OF LOAN: HOME MORTGAGE

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.

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Inspection

Name of the organization

SETI INSTITUTE

Employer identification number

94-2951356

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

UNDERSTANDING LIFE ON OUR WORLD AND THE POSSIBILITY OF LIFE BEYOND
THROUGH INVESTIGATION INTO THE FUNDAMENTALS OF LIFE AND HOW AND WHERE
IT MIGHT HAVE ARISEN AND EVOLVED. THIS INCLUDES EXAMINING LIFE IN ITS
MOST EXTREME FORMS AND LOCATIONS, ON EARTH, IN OUR SOLAR SYSTEMS AND
THROUGHOUT THE COSMOS.

FORM 990, PART III, LINE 4A, PROGRAM SERVICE ACCOMPLISHMENTS:

PLACE IN THE CLOUDS OF GAS AND DUST BETWEEN THE STARS. *REVEALING THE
STRANGE PHENOMENA THAT OCCUR IN RING SYSTEMS AROUND PLANETS & IN THE
FORMATION PROCESS OF PLANETS. *DISCOVERING 2 ADDITIONAL MOONS ORBITING
PLUTO IN ADVANCE OF THE NEW HORIZON'S FLYBY OF PLUTO IN 2015 *EXPLORING
REMOTE LOCATIONS ON EARTH, FROM THE ARCTIC TO THE ANTARCTIC TO THE
ATACAMA DESERT TO UNDERSTAND THE ABILITY OF LIFE TO ADAPT TO EXTREME
ENVIRONMENTS. *STUDYING PLANETARY SYSTEMS AROUND OTHER SUNS BEING
DISCOVERED BY NASA'S KEPLER SPACE TELESCOPE. *PROBING THE SURFACE AND
SUBSURFACE ENVIRONMENTS ON MARS TO REVEAL THE HISTORY OF THE PLANET AND
ADDRESS THE QUESTIONS OF WHETHER LIFE IS NOW, OR ONCE WAS, PRESENT
THERE.

FORM 990, PART III, LINE 4B, PROGRAM SERVICE ACCOMPLISHMENTS:

THE INSTITUTE HOSTS FUTURE STEM TEACHERS AS INTERNS EACH SUMMER AS A
PART OF THE CAL POLY SAN LUIS OBISPO'S STAR (STEM TEACHER AS
RESEARCHER) PROGRAM, WHICH IS FUNDED BY NSF AND PRIVATE FOUNDATIONS AND
CORPORATIONS. TO DATE, MORE THAN 50% OF OUR REU STUDENTS ARE PURSUING
ADVANCED DEGREES, AND SEVERAL OF THE URSA INTERNS ARE ENROLLED IN

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GRADUATE PROGRAMS. THE INSTITUTE ALSO HOSTS A WEEKLY SCIENTIFIC COLLOQUIUM FEATURING OUR SCIENTISTS AND INVITED SPEAKERS; THE TALKS ARE POSTED ON YOUTUBE WHERE MORE THAN 20,000 PEOPLE VIEW THE TALKS EACH MONTH. OF PARTICULAR NOTE, SETI INSTITUTE HOSTS A SCIENCE RADIO PROGRAM, "BIG PICTURE SCIENCE" WHICH REACHES MILLIONS OF LISTENERS WORLD-WIDE THROUGH BROADCAST AND DOWNLOADS PODCASTS. IN ADDITION, EDU STAFF PRESENT TALKS NATIONWIDE AND LEAD EDUCATION/OUTREACH PROGRAMS FOR THE NASA'S KEPLER, SOFIA AND MAVEN MISSIONS, AND NASA'S ASTROBIOLOGY INSTITUTE.

FORM 990, PART III, LINE 4C, PROGRAM SERVICE ACCOMPLISHMENTS:

RECEIVERS FOR THE ARRAY THAT INCREASE ITS SENSITIVITY BY A FACTOR OF TWO, AND EXTEND ITS USABLE FREQUENCY RANGE BEYOND ITS CURRENT 10 GHZ LIMIT.

FORM 990, PART III, LINE 4D, OTHER PROGRAM SERVICES:

THE CENTER FOR SETI RESEARCH (CSR) CONTINUES TO CONDUCT INNOVATIVE RESEARCH IN ITS SEARCH FOR INTELLIGENCE ELSEWHERE IN THE COSMOS. ASTRONOMERS ARE USING THE ALLEN TELESCOPE ARRAY TO SEARCH FOR SIGNS OF SENTIENT LIFE BY SEEKING RADIO SIGNALS FROM OTHER STAR SYSTEMS. THIS RESEARCH INCLUDES A RECONNAISSANCE OF MANY OF THE EXOPLANETS FOUND BY THE KEPLER TELESCOPE, AS WELL AS A SURVEY OF A SMALL REGION OF SKY AROUND THE GALACTIC CENTER.

A NEW SURVEY OF TEN THOUSAND OR MORE RED DWARF STAR SYSTEMS IS BEING CONSIDERED, AS RECENT RESEARCH INDICATES THAT BETWEEN 16 AND 53 PERCENT OF THESE STARS MAY HAVE EARTH-SIZE PLANETS IN THEIR HABITABLE ZONES.

THE IMMINENT DEPLOYMENT OF THE NEW ANTONIO FEEDS DESCRIBED EARLIER WILL

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PERMIT THESE OBSERVATIONS TO BE MADE OVER A VERY WIDE RANGE OF
FREQUENCIES WITH UNPRECEDENTED SENSITIVITY.

THE CONTINUING DISCOVERIES BY KEPLER AND OTHER INSTRUMENTS OF PLANETS
THAT MIGHT BE AMENABLE TO LIFE HAS HELPED UNDERSCORE THE SCIENTIFIC
MERIT OF SETI SEARCHES.

EACH YEAR CSR STAFF MEMBERS GIVE DOZENS OF PRESENTATIONS TO A VARIETY
OF AUDIENCES IN ORDER TO INFORM BOTH THEIR SCIENTIFIC PEERS AND THE
GENERAL PUBLIC ABOUT THEIR WORK AND ACCOMPLISHMENTS. CSR STAFF AND
THEIR WORK ALSO APPEARED IN COUNTLESS SCIENCE DOCUMENTARIES, ARTICLES,
AND TELEVISION AND RADIO PROGRAMS.

EXPENSES \$ 626,241. INCLUDING GRANTS OF \$ 900. REVENUE \$ 0.

FORM 990, PART VI, SECTION A, LINE 2: DR. JILL TARTER, KEY EMPLOYEE, AND
DR. WILLIAM WELCH, TRUSTEE, HAVE A FAMILY RELATIONSHIP.

FORM 990, PART VI, SECTION B, LINE 11: WHEN THE FORM IS COMPLETED, AND
PRIOR TO SUBMISSION TO THE IRS, THE FORM 990 IS REVIEWED BY A SUBCOMMITTEE
OF THE BOARD OF TRUSTEES. UPON APPROVAL BY THIS SUBCOMMITTEE, THE FORM 990
IS FINALIZED AND DISTRIBUTED TO THE FULL BOARD FOR INFORMATION AND COMMENT
AND IS MAILED TO THE IRS.

FORM 990, PART VI, SECTION B, LINE 12C: THE SETI INSTITUTE HAS A FORMAL
CONFLICT OF INTEREST QUESTIONNAIRE THAT IS DESIGNED TO IDENTIFY POSSIBLE
CONFLICTS OF INTEREST AMONG OUR TRUSTEES. THIS QUESTIONNAIRE IS DISTRIBUTED
ANNUALLY AND TRUSTEES ARE REQUIRED TO COMPLETE IT AND RETURN IT TO THE
BOARD SECRETARY. THE SECRETARY, IN CONJUNCTION WITH THE TRUSTEESHIP

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COMMITTEE CHAIRPERSON, REVIEWS EACH QUESTIONNAIRE, CONDUCTS INTERVIEWS WHEN NEEDED, AND COMMUNICATES ANY IDENTIFIED CONFLICTS TO THE FULL BOARD.

FORM 990, PART VI, SECTION B, LINE 15: THE SETI INSTITUTE USES A PROFESSIONALLY PREPARED COMPENSATION STUDY TO DETERMINE APPROPRIATE COMPENSATION LEVELS FOR ALL EMPLOYEES. WHEN CHANGES TO ANY OFFICER'S COMPENSATION AMOUNT IS PROPOSED, THE BOARD, IN AN EXECUTIVE SESSION, REVIEWS THE PROPOSED CHANGE AND APPROVES IT BY FORMAL BOARD RESOLUTION PRIOR TO IT BEING GRANTED. THE PROCESS WAS LAST UNDERTAKEN IN 2011.

FORM 990, PART VI, LINE 17, LIST OF STATES RECEIVING COPY OF FORM 990:
CA,AL,AK,AR,CT,FL,GA,HI,IL,KS,KY,ME,MD,MA,MI,MN,MS,NH,NJ,NM,NY,NC,ND,OK,OR
PA,RI,SC,TN,UT,VA,WV,WI

FORM 990, PART VI, SECTION C, LINE 19: THE SETI INSTITUTE DISTRIBUTES ITS FINANCIAL INFORMATION TO THE PUBLIC VIA DUN AND BRADSTREET AND OTHER OUTSIDE WEBSITES, SUCH AS GUIDESTAR. WE ALSO MAKE OUR FORM 990 AND FINANCIAL STATEMENTS AVAILABLE UPON REQUEST. GOVERNING DOCUMENTS MAY ALSO BE MADE AVAILABLE UPON REQUEST.

FORM 990, PART XI, LINE 9, CHANGES IN NET ASSETS:

CHANGE IN VALUE OF SPLIT INTEREST 206,342.

FORM 990, PART XII, LINE 2C

THE PROCESS FOR OVERSIGHT OF THE FINANCIAL STATEMENT AUDIT AND FOR SELECTION OF AN INDEPENDENT ACCOUNTANT HAS NOT CHANGED FROM PRIOR YEAR.