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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 private foundations)
 Do not enter Social Security numbers on this form as it may be made public. By law, the IRS generally cannot redact the information on the form.
 Information about Form 990 and its instructions is at www.irs.gov/form990

OMB No 1545-0047
2013
Open to Public Inspection

A For the 2013 calendar year, or tax year beginning 01-01-2013, 2013, and ending 12-31-2013

B Check if applicable: <input checked="" type="checkbox"/> Address change <input type="checkbox"/> Name change <input type="checkbox"/> Initial return <input type="checkbox"/> Terminated <input type="checkbox"/> Amended return <input type="checkbox"/> Application pending	C Name of organization CERTIFIED FINANCIAL PLANNER BOARD OF STANDARDS INC Doing Business As <hr/> Number and street (or P O box if mail is not delivered to street address) Room/suite 1425 K STREET NW NO 800 <hr/> City or town, state or province, country, and ZIP or foreign postal code WASHINGTON, DC 20005	D Employer identification number 74-2385850 <hr/> E Telephone number (202) 379-2200 <hr/> G Gross receipts \$ 49,248,296
F Name and address of principal officer KEVIN R KELLER 1425 K STREET NW NO 800 WASHINGTON, DC 20005		H(a) Is this a group return for subordinates? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No H(b) Are all subordinates included? <input type="checkbox"/> Yes <input type="checkbox"/> No If "No," attach a list (see instructions) H(c) Group exemption number ▶
I Tax-exempt status <input checked="" type="checkbox"/> 501(c)(3) <input type="checkbox"/> 501(c) () (insert no) <input type="checkbox"/> 4947(a)(1) or <input type="checkbox"/> 527		
J Website: ▶ WWW CFP NET		
K Form of organization <input checked="" type="checkbox"/> Corporation <input type="checkbox"/> Trust <input type="checkbox"/> Association <input type="checkbox"/> Other ▶		L Year of formation 1985 M State of legal domicile CO

Part I Summary

1	Briefly describe the organization's mission or most significant activities SEE SCHEDULE O TO BENEFIT THE PUBLIC BY GRANTING THE CFP CERTIFICATION AND UPHOLDING IT AS THE RECOGNIZED STANDARD OF EXCELLENCE FOR COMPETENT AND ETHICAL PERSONAL FINANCIAL PLANNING			
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		14
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 2013 (Part V, line 2a)	5		72
6	Total number of volunteers (estimate if necessary)	6		160
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
Revenue	8 Contributions and grants (Part VIII, line 1h)	Prior Year		Current Year
	9 Program service revenue (Part VIII, line 2g)	0		195,000
	10 Investment income (Part VIII, column (A), lines 3, 4, and 7d)	25,301,024		27,538,713
	11 Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e)	1,084,587		411,451
	12 Total revenue—add lines 8 through 11 (must equal Part VIII, column (A), line 12)	0		50,317
		26,385,611		28,195,481
Expenses	13 Grants and similar amounts paid (Part IX, column (A), lines 1–3)	25,000		25,000
	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)	7,458,312		8,259,546
	16a Professional fundraising fees (Part IX, column (A), line 11e)	0		0
	b Total fundraising expenses (Part IX, column (D), line 25) ▶ ⁰			
	17 Other expenses (Part IX, column (A), lines 11a–11d, 11f–24e)	19,779,626		21,044,761
18 Total expenses Add lines 13–17 (must equal Part IX, column (A), line 25)	27,262,938		29,329,307	
19 Revenue less expenses Subtract line 18 from line 12	-877,327		-1,133,826	
Net Assets or Fund Balances		Beginning of Current Year		End of Year
	20 Total assets (Part X, line 16)	36,689,442		38,477,054
	21 Total liabilities (Part X, line 26)	12,838,838		14,817,882
22 Net assets or fund balances Subtract line 21 from line 20	23,850,604		23,659,172	

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	2014-10-23 Date			
	ROGER C MYERS JR CHIEF FINANCIAL OFFICER Type or print name and title				
Paid Preparer Use Only	Print/Type preparer's name KAREN GRIES	Preparer's signature	Date	Check <input type="checkbox"/> if self-employed	PTIN P00078514
	Firm's name ▶ CLIFTONLARSONALLEN LLP			Firm's EIN ▶ 41-0746749	
	Firm's address ▶ 4250 N FAIRFAX DRIVE SUITE 1020 ARLINGTON, VA 22203			Phone no (571) 227-9500	

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

Part III Statement of Program Service Accomplishments

Check if Schedule O contains a response or note to any line in this Part III

1 Briefly describe the organization's mission
 TO BENEFIT THE PUBLIC BY GRANTING THE CFP CERTIFICATION AND UPHOLDING IT AS THE RECOGNIZED STANDARD OF EXCELLENCE FOR COMPETENT AND ETHICAL PERSONAL FINANCIAL PLANNING

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 \$ 10,155,330 including grants of \$) (Revenue \$ 10,155,330)
 PUBLIC AWARENESS CAMPAIGN THE MISSION OF CERTIFIED FINANCIAL PLANNER BOARD OF STANDARDS, INC IS TO BENEFIT THE PUBLIC BY GRANTING THE CFP CERTIFICATION AND UPHOLDING IT AS THE RECOGNIZED STANDARD OF EXCELLENCE FOR PERSONAL FINANCIAL PLANNING ONE OF CFP BOARD'S STRATEGIC OUTCOMES IS TO BUILD THE PUBLIC AWARENESS OF THE CFP CERTIFICATION IN PURSUIT OF THIS PRIORITY, CFP BOARD HAS DEVELOPED AND IMPLEMENTED A PUBLIC AWARENESS CAMPAIGN THAT INCLUDES A MIX OF CABLE TV, RADIO, PRINT AND ONLINE ADVERTISING ADDITIONALLY, CFP BOARD IS MAINTAINING AND REGULARLY UPDATING "LET'S MAKE A PLAN," A CONSUMER-TARGETED WEBSITE TO INCREASE THE PUBLIC'S AWARENESS OF THE VALUE OF FINANCIAL PLANNING AND HOW A CFP PROFESSIONAL CAN HELP YOU PULL YOUR FINANCIAL LIFE TOGETHER AS A RESULT OF THE PUBLIC AWARENESS CAMPAIGN, THE AWARENESS OF CFP CERTIFICATION HAS INCREASED BY 9 PERCENTAGE POINTS IN TOP OF MIND AWARENESS AND 7 PERCENTAGE POINTS IN TOTAL UNAIDED AWARENESS SINCE IT BEGAN IN 2011 (ACCORDING TO RESEARCH CONDUCTED IN 2013) AS A RESULT OF THIS INCREASE, CFP BOARD HAS APPROVED THE PUBLIC AWARENESS CAMPAIGN TO CONTINUE TO RUN INDEFINITELY

4b (Code) (Expenses \$ 2,778,736 including grants of \$ 25,000) (Revenue \$ 1,171,892)
 EDUCATION THE FIRST STEP TO CFP CERTIFICATION IS TO ACQUIRE THE KNOWLEDGE REQUIRED TO DELIVER PROFESSIONAL, COMPETENT AND ETHICAL FINANCIAL PLANNING SERVICES TO CLIENTS, AS OUTLINED IN THE PERSONAL FINANCIAL PLANNING TOPIC AREAS IDENTIFIED BY CFP BOARD'S MOST RECENT JOB ANALYSIS RESEARCH CFP BOARD'S EDUCATION COMPONENT REQUIRES THE COMPLETION OF A COLLEGE-LEVEL PROGRAM OF STUDY IN PERSONAL FINANCIAL PLANNING, INCLUDING COMPLETION OF A FINANCIAL PLAN DEVELOPMENT (CAPSTONE) COURSE THE COURSE OF STUDY IS OFFERED AT OVER 200 REGIONALLY-ACCREDITED COLLEGES AND UNIVERSITIES IN THE U S , AT DEGREE (BACHELORS, MASTERS, PHD) AND CERTIFICATE LEVELS IN 2013, CFP BOARD REGISTERED OVER 350 FINANCIAL PLANNING PROGRAMS, WHICH INCLUDED REVIEW OF THEIR CURRICULUM AND FACULTY QUALIFICATIONS TO ENSURE THAT THE TEACHING AND LEARNING MET ESTABLISHED STANDARDS AFTER INITIAL CERTIFICATION, CFP PROFESSIONALS ARE REQUIRED TO COMPLETE CONTINUING EDUCATION REQUIREMENTS FOR BIENNIAL RENEWAL REQUIREMENTS TO ASSURE THE PUBLIC OF CONTINUING COMPETENCY CFP BOARD ANNUALLY REGISTERS OVER 1,400 CONTINUING EDUCATION ("CE") SPONSORS WHICH AGREE TO DELIVER HIGH QUALITY PROGRAMS BY QUALIFIED INSTRUCTORS THAT ALIGN WITH FINANCIAL PLANNING TOPIC REQUIREMENTS IN 2013, CFP BOARD REVIEWED AND APPROVED OVER 17,000 CE PROGRAMS WHICH MET ESTABLISHED REQUIREMENTS

4c (Code) (Expenses \$ 6,258,093 including grants of \$) (Revenue \$ 189,639)
 COMMUNICATIONS AND OUTREACH DURING 2013, CFP BOARD COMMUNICATIONS AND OUTREACH INCLUDED PUBLIC RELATIONS, CONSUMER ADVOCACY AND OUTREACH, CFP PROFESSIONAL COMMUNICATIONS, BUSINESS DEVELOPMENT, EDUCATIONAL MATERIALS, CFP NET WEBSITE AND OTHER INITIATIVES OUR EFFORTS UTILIZED EARNED AND SOCIAL MEDIA, OUR WEBSITE, AND SPEAKING APPEARANCES TO EDUCATE THE PUBLIC AND INDUSTRY ABOUT THE BENEFITS OF COMPETENT AND ETHICAL PERSONAL FINANCIAL PLANNING OUR CONSUMER OUTREACH EFFORTS INCLUDED ESTABLISHING PARTNERSHIPS WITH PUBLIC INTEREST GROUPS, GOVERNMENT AGENCIES, AND OTHER NON-PROFIT ORGANIZATIONS TO PROVIDE PRO BONO FINANCIAL ADVICE TO THOUSANDS OF CONSUMERS NATIONWIDE SPECIFIC PRO BONO ACTIVITIES INCLUDED A NATIONAL "FINANCIAL PLANNING DAYS" INITIATIVE, WITH FINANCIAL PLANNING CLINICS HELD AT 20 LOCATIONS ACROSS THE U S , AS WELL AS FINANCIAL PLANNING CLINICS PROVIDED TO VICTIMS OF FINANCIAL FRAUD, CONGRESSIONAL STAFF, OLDER AMERICANS, TEACHERS, AND COUNTY GOVERNMENT EMPLOYEES

(Code) (Expenses \$ 3,763,639 including grants of \$) (Revenue \$ 106,000)
 ENFORCEMENT OF PROFESSIONAL STANDARDS CFP BOARD PROVIDES A FAIR AND OBJECTIVE PROCESS FOR INVESTIGATING AND ADJUDICATING ALLEGATIONS OF VIOLATIONS BY CFP PROFESSIONALS OF CFP BOARD'S STANDARDS OF PROFESSIONAL CONDUCT IN 2013, CFP BOARD STAFF OPENED IN EXCESS OF 500 INVESTIGATIONS, WHICH RESULTED IN 76 HEARINGS BEFORE THE DISCIPLINARY AND ETHICS COMMISSION, AN INDEPENDENT BODY COMPOSED OF CFP PROFESSIONALS AND PUBLIC REPRESENTATIVES ADDITIONALLY IN 2013, CFP BOARD CONTINUED TO PROVIDE GUIDANCE TO CFP PROFESSIONALS TO ASSIST THEM IN COMPLYING WITH THE STANDARDS WHICH, AMONG OTHER PROVISIONS, INCLUDES A REQUIREMENT THAT CFP PROFESSIONALS PROVIDE SERVICE TO FINANCIAL PLANNING CLIENTS AT A FIDUCIARY STANDARD OF CARE CFP BOARD ALSO CONTINUED TO PURSUE A NUMBER OF PROACTIVE MEASURES TO VIGOROUSLY PROTECT THE CFP CERTIFICATION MARKS FROM UNAUTHORIZED USE AND MISUSE TO ENSURE THAT THEY REMAIN PROTECTED BY U S TRADEMARK LAWS

(Code) (Expenses \$ 2,203,486 including grants of \$) (Revenue \$ 2,954,047)
 EXAMINATION IN 2013, ALMOST 5,000 CFP PROFESSIONAL CANDIDATES REGISTERED TO TAKE THE CFP EXAM THE CFP CERTIFICATION EXAMINATION ASSESSES A CANDIDATE'S ABILITY TO APPLY FINANCIAL PLANNING KNOWLEDGE, IN AN INTEGRATED FORMAT, TO REAL-LIFE FINANCIAL PLANNING SCENARIOS THE EXAM IS DEVELOPED WITH SUBJECT MATTER EXPERTISE PROVIDED BY EXPERIENCED CFP PROFESSIONALS UNDER CFP BOARD'S DIRECTION, THE EXAM IS ADMINISTERED BY ONE OF THE WORLD'S LEADING TESTING PARTNERS CFP BOARD ADHERES TO STANDARDS AND BEST PRACTICES IN THE HIGH STAKES TESTING AND CERTIFICATION INDUSTRIES

(Code) (Expenses \$ 1,521,434 including grants of \$) (Revenue \$)
 PUBLIC ADVOCACY DURING 2013, CFP BOARD WORKED TO PURSUE FINANCIAL REGULATORY REFORMS FOCUSED ON INVESTOR PROTECTION ISSUES, INCLUDING THE REGULATION OF THOSE WHO HOLD THEMSELVES OUT TO CONSUMERS AS FINANCIAL PLANNERS, URGING THE SECURITIES AND EXCHANGE COMMISSION (SEC) TO ADOPT A FIDUCIARY STANDARD OF CARE FOR THE DELIVERY OF PERSONALIZED INVESTMENT ADVICE, AND INCREASED SEC OVERSIGHT OF REGISTERED INVESTMENT ADVISORS CFP BOARD ALSO URGED THE CONSUMER FINANCIAL PROTECTION BUREAU TO RECOMMEND REFORMS TO CONGRESS AND THE SEC TO ADDRESS THE USE OF FINANCIAL SERVICE DESIGNATIONS THAT MISLEAD AND EXPLOIT OLDER AMERICANS

(Code) (Expenses \$ 435,748 including grants of \$) (Revenue \$ 12,958,442)
 CERTIFICATION THERE WERE OVER 69,000 CFP PROFESSIONALS AT THE END OF 2013, OF WHICH 2,000 WERE GRANTED INITIAL CERTIFICATION DURING THE YEAR SUCCESSFUL COMPLETION OF THE EXAM PLUS EDUCATION, EXPERIENCE, AND ETHICAL STANDARDS/REQUIREMENTS MUST BE MET BEFORE INITIAL CFP CERTIFICATION IS GRANTED CFP BOARD'S CERTIFICATION PROGRAM IS ACCREDITED BY A THIRD PARTY ORGANIZATION, NCCA (NATIONAL COUNCIL ON CERTIFYING AGENCIES), TO ENSURE ALL REQUIREMENTS FOR INITIAL CERTIFICATION AND RENEWAL ARE CONSISTENT WITH BEST PRACTICES AND STANDARDS IN THE CERTIFICATION INDUSTRY FURTHER, NCCA REQUIRES CERTIFYING ORGANIZATIONS MEET GOVERNANCE, STAFF QUALIFICATION, FINANCIAL AND RESOURCE TRANSPARENCY, FAIRNESS, DUE PROCESS AND NON-DISCRIMINATION STANDARDS

4d Other program services (Describe in Schedule O)
 (Expenses \$ 7,924,307 including grants of \$) (Revenue \$ 16,018,489)

4e Total program service expenses **▶** 27,116,466

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>	Yes	
2 Is the organization required to complete <i>Schedule B, Schedule of Contributors</i> (see instructions)?	Yes	
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>		No
4 Section 501(c)(3) organizations. Did the organization engage in lobbying activities, or have a section 501(h) election in effect during the tax year? <i>If "Yes," complete Schedule C, Part II</i>	Yes	
5 Is the organization a section 501(c)(4), 501(c)(5), or 501(c)(6) organization that receives membership dues, assessments, or similar amounts as defined in Revenue Procedure 98-19? <i>If "Yes," complete Schedule C, Part III</i>		No
6 Did the organization maintain any donor advised funds or any similar funds or accounts for which donors have the right to provide advice on the distribution or investment of amounts in such funds or accounts? <i>If "Yes," complete Schedule D, Part I</i>		No
7 Did the organization receive or hold a conservation easement, including easements to preserve open space, the environment, historic land areas, or historic structures? <i>If "Yes," complete Schedule D, Part II</i>		No
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>		No
9 Did the organization report an amount in Part X, line 21 for escrow or custodial account liability, serve as a custodian for amounts not listed in Part X, or provide credit counseling, debt management, credit repair, or debt negotiation services? <i>If "Yes," complete Schedule D, Part IV</i>	Yes	
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>		No
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>	Yes	
b Did the organization report an amount for investments—other securities in Part X, line 12 that is 5% or more of its total assets reported in Part X, line 16? <i>If "Yes," complete Schedule D, Part VII</i>		No
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>		No
d Did the organization report an amount for other assets in Part X, line 15 that is 5% or more of its total assets reported in Part X, line 16? <i>If "Yes," complete Schedule D, Part IX</i>		No
e Did the organization report an amount for other liabilities in Part X, line 25? <i>If "Yes," complete Schedule D, Part X</i>	Yes	
f Did the organization's separate or consolidated financial statements for the tax year include a footnote that addresses the organization's liability for uncertain tax positions under FIN 48 (ASC 740)? <i>If "Yes," complete Schedule D, Part X</i>	Yes	
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>	Yes	
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>		No
13 Is the organization a school described in section 170(b)(1)(A)(ii)? <i>If "Yes," complete Schedule E</i>		No
14a Did the organization maintain an office, employees, or agents outside of the United States?		No
b Did the organization have aggregate revenues or expenses of more than \$10,000 from grantmaking, fundraising, business, investment, and program service activities outside the United States, or aggregate foreign investments valued at \$100,000 or more? <i>If "Yes," complete Schedule F, Parts I and IV</i>		No
15 Did the organization report on Part IX, column (A), line 3, more than \$5,000 of grants or other assistance to or for any foreign organization? <i>If "Yes," complete Schedule F, Parts II and IV</i>		No
16 Did the organization report on Part IX, column (A), line 3, more than \$5,000 of aggregate grants or other assistance to or for foreign individuals? <i>If "Yes," complete Schedule F, Parts III and IV</i>		No
17 Did the organization report a total of more than \$15,000 of expenses for professional fundraising services on Part IX, column (A), lines 6 and 11e? <i>If "Yes," complete Schedule G, Part I (see instructions)</i>		No
18 Did the organization report more than \$15,000 total of fundraising event gross income and contributions on Part VIII, lines 1c and 8a? <i>If "Yes," complete Schedule G, Part II</i>		No
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>		No
20a Did the organization operate one or more hospital facilities? <i>If "Yes," complete Schedule H</i>		No
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)

21	Did the organization report more than \$5,000 of grants or other assistance to any domestic organization or government on Part IX, column (A), line 1? <i>If "Yes," complete Schedule I, Parts I and II</i>	21	Yes	
22	Did the organization report more than \$5,000 of grants or other assistance to individuals in the United States on Part IX, column (A), line 2? <i>If "Yes," complete Schedule I, Parts I and III</i>	22		No
23	Did the organization answer "Yes" to Part VII, Section A, line 3, 4, or 5 about compensation of the organization's current and former officers, directors, trustees, key employees, and highest compensated employees? <i>If "Yes," complete Schedule J</i>	23	Yes	
24a	Did the organization have a tax-exempt bond issue with an outstanding principal amount of more than \$100,000 as of the last day of the year, that was issued after December 31, 2002? <i>If "Yes," answer lines 24b through 24d and complete Schedule K. If "No," go to line 25a</i>	24a		No
b	Did the organization invest any proceeds of tax-exempt bonds beyond a temporary period exception?	24b		
c	Did the organization maintain an escrow account other than a refunding escrow at any time during the year to defease any tax-exempt bonds?	24c		
d	Did the organization act as an "on behalf of" issuer for bonds outstanding at any time during the year?	24d		
25a	Section 501(c)(3) and 501(c)(4) organizations. Did the organization engage in an excess benefit transaction with a disqualified person during the year? <i>If "Yes," complete Schedule L, Part I</i>	25a		No
b	Is the organization aware that it engaged in an excess benefit transaction with a disqualified person in a prior year, and that the transaction has not been reported on any of the organization's prior Forms 990 or 990-EZ? <i>If "Yes," complete Schedule L, Part I</i>	25b		No
26	Did the organization report any amount on Part X, line 5, 6, or 22 for receivables from or payables to any current or former officers, directors, trustees, key employees, highest compensated employees, or disqualified persons? <i>If so, complete Schedule L, Part II</i>	26		No
27	Did the organization provide a grant or other assistance to an officer, director, trustee, key employee, substantial contributor or employee thereof, a grant selection committee member, or to a 35% controlled entity or family member of any of these persons? <i>If "Yes," complete Schedule L, Part III</i>	27		No
28	Was the organization a party to a business transaction with one of the following parties (see Schedule L, Part IV instructions for applicable filing thresholds, conditions, and exceptions)			
a	A current or former officer, director, trustee, or key employee? <i>If "Yes," complete Schedule L, Part IV</i>	28a		No
b	A family member of a current or former officer, director, trustee, or key employee? <i>If "Yes," complete Schedule L, Part IV</i>	28b		No
c	An entity of which a current or former officer, director, trustee, or key employee (or a family member thereof) was an officer, director, trustee, or direct or indirect owner? <i>If "Yes," complete Schedule L, Part IV</i>	28c		No
29	Did the organization receive more than \$25,000 in non-cash contributions? <i>If "Yes," complete Schedule M</i>	29		No
30	Did the organization receive contributions of art, historical treasures, or other similar assets, or qualified conservation contributions? <i>If "Yes," complete Schedule M</i>	30		No
31	Did the organization liquidate, terminate, or dissolve and cease operations? <i>If "Yes," complete Schedule N, Part I</i>	31		No
32	Did the organization sell, exchange, dispose of, or transfer more than 25% of its net assets? <i>If "Yes," complete Schedule N, Part II</i>	32		No
33	Did the organization own 100% of an entity disregarded as separate from the organization under Regulations sections 301.7701-2 and 301.7701-3? <i>If "Yes," complete Schedule R, Part I</i>	33		No
34	Was the organization related to any tax-exempt or taxable entity? <i>If "Yes," complete Schedule R, Part II, III, or IV, and Part V, line 1</i>	34		No
35a	Did the organization have a controlled entity within the meaning of section 512(b)(13)?	35a		No
b	If "Yes" to line 35a, did the organization receive any payment from or engage in any transaction with a controlled entity within the meaning of section 512(b)(13)? <i>If "Yes," complete Schedule R, Part V, line 2</i>	35b		
36	Section 501(c)(3) organizations. Did the organization make any transfers to an exempt non-charitable related organization? <i>If "Yes," complete Schedule R, Part V, line 2</i>	36		No
37	Did the organization conduct more than 5% of its activities through an entity that is not a related organization and that is treated as a partnership for federal income tax purposes? <i>If "Yes," complete Schedule R, Part VI</i>	37		No
38	Did the organization complete Schedule O and provide explanations in Schedule O for Part VI, lines 11b and 19? Note. All Form 990 filers are required to complete Schedule O	38	Yes	

Part V Statements Regarding Other IRS Filings and Tax Compliance

Check if Schedule O contains a response or note to any line in this Part V

		Yes	No
1a	Enter the number reported in Box 3 of Form 1096. Enter -0- if not applicable. 1a 50		
1b	Enter the number of Forms W-2G included in line 1a. Enter -0- if not applicable. 1b 0		
1c	Did the organization comply with backup withholding rules for reportable payments to vendors and reportable gaming (gambling) winnings to prize winners?	Yes	
2a	Enter the number of employees reported on Form W-3, Transmittal of Wage and Tax Statements, filed for the calendar year ending with or within the year covered by this return. 2a 72		
2b	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).	Yes	
3a	Did the organization have unrelated business gross income of \$1,000 or more during the year?		No
3b	If "Yes," has it filed a Form 990-T for this year? If "No" to line 3b, provide an explanation in Schedule O.		
4a	At any time during the calendar year, did the organization have an interest in, or a signature or other authority over, a financial account in a foreign country (such as a bank account, securities account, or other financial account)?		No
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?		No
5b	Did any taxable party notify the organization that it was or is a party to a prohibited tax shelter transaction?		No
5c	If "Yes," to line 5a or 5b, did the organization file Form 8886-T?		
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?		No
6b	If "Yes," did the organization include with every solicitation an express statement that such contributions or gifts were not tax deductible?		
7	Organizations that may receive deductible contributions under section 170(c).		
a	Did the organization receive a payment in excess of \$75 made partly as a contribution and partly for goods and services provided to the payor?		No
7b	If "Yes," did the organization notify the donor of the value of the goods or services provided?		
7c	Did the organization sell, exchange, or otherwise dispose of tangible personal property for which it was required to file Form 8282?		No
7d	If "Yes," indicate the number of Forms 8282 filed during the year. 7d		
7e	Did the organization receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?		No
7f	Did the organization, during the year, pay premiums, directly or indirectly, on a personal benefit contract?		No
7g	If the organization received a contribution of qualified intellectual property, did the organization file Form 8899 as required?		
7h	If the organization received a contribution of cars, boats, airplanes, or other vehicles, did the organization file a Form 1098-C?		
8	Sponsoring organizations maintaining donor advised funds and section 509(a)(3) supporting organizations. Did the supporting organization, or a donor advised fund maintained by a sponsoring organization, have excess business holdings at any time during the year?		
9	Sponsoring organizations maintaining donor advised funds.		
9a	Did the organization make any taxable distributions under section 4966?		
9b	Did the organization make a distribution to a donor, donor advisor, or related person?		
10	Section 501(c)(7) organizations. Enter		
10a	Initiation fees and capital contributions included on Part VIII, line 12. 10a		
10b	Gross receipts, included on Form 990, Part VIII, line 12, for public use of club facilities. 10b		
11	Section 501(c)(12) organizations. Enter		
11a	Gross income from members or shareholders. 11a		
11b	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?		
12b	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.		
13a	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		
13b	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		
13c	Enter the amount of reserves on hand. 13c		
14a	Did the organization receive any payments for indoor tanning services during the tax year?		No
14b	If "Yes," has it filed a Form 720 to report these payments? If "No," provide an explanation in Schedule O.		

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

Check if Schedule O contains a response or note to any line in this Part VI [X]

Section A. Governing Body and Management

Table with 3 columns: Question, Yes, No. Rows include: 1a Enter the number of voting members of the governing body at the end of the tax year (14); 1b Enter the number of voting members included in line 1a, above, who are independent (14); 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? (No); 3 Did the organization delegate control over management duties customarily performed by or under the direct supervision of officers, directors or trustees, or key employees to a management company or other person? (No); 4 Did the organization make any significant changes to its governing documents since the prior Form 990 was filed? (No); 5 Did the organization become aware during the year of a significant diversion of the organization's assets? (No); 6 Did the organization have members or stockholders? (No); 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? (No); 7b Are any governance decisions of the organization reserved to (or subject to approval by) members, stockholders, or persons other than the governing body? (No); 8 Did the organization contemporaneously document the meetings held or written actions undertaken during the year by the following: 8a The governing body? (Yes); 8b Each committee with authority to act on behalf of the governing body? (Yes); 9 Is there any officer, director, trustee, or key employee listed in Part VII, Section A, who cannot be reached at the organization's mailing address? If "Yes," provide the names and addresses in Schedule O (No).

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

Table with 3 columns: Question, Yes, No. Rows include: 10a Did the organization have local chapters, branches, or affiliates? (No); 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? (Yes); 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 (Yes); 12b Were officers, directors, or trustees, and key employees required to disclose annually interests that could give rise to conflicts? (Yes); 12c Did the organization regularly and consistently monitor and enforce compliance with the policy? If "Yes," describe in Schedule O how this was done (Yes); 13 Did the organization have a written whistleblower policy? (Yes); 14 Did the organization have a written document retention and destruction policy? (Yes); 15 Did the process for determining compensation of the following persons include a review and approval by independent persons, comparability data, and contemporaneous substantiation of the deliberation and decision? 15a The organization's CEO, Executive Director, or top management official (Yes); 15b Other officers or key employees of the organization (No); 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? (No); 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; 18 Section 6104 requires an organization to make its Form 1023 (or 1024 if applicable), 990, and 990-T (501(c) (3)s only) available for public inspection. Indicate how you made these available. Check all that apply: [] Own website [] Another's website [X] 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: ROGER C MYERS JR 1425 K STREET NW SUITE 800 WASHINGTON, DC 20005 (202) 379-2269

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

Check if Schedule O contains a response or note to any line 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, or highest compensated employees who received more than \$100,000 of reportable compensation from the organization and any related organizations

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

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

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

(A) Name and Title	(B) Average hours per week (list any hours for related organizations below dotted line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)						(D) Reportable compensation from the organization (W- 2/1099-MISC)	(E) Reportable compensation from related organizations (W- 2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Institutional Trustee	Officer	Key employee	Highest compensated employee	Former			
(1) NANCY KISTNER CHAIR, BOARD OF DIRECTORS	3 00	X		X			0	0	0	
(2) SUSAN MEISINGER MEMBER, BOARD OF DIRECTORS	1 00	X					0	0	0	
(3) RICHARD ROJECK MEMBER, BOARD OF DIRECTORS	1 00	X					0	0	0	
(4) RAY FERRERA MEMBER, BOARD OF DIRECTORS	1 00	X					0	0	0	
(5) CHARLES GOLDMAN MEMBER, BOARD OF DIRECTORS	1 00	X					0	0	0	
(6) ROBERT HAYDEN MEMBER, BOARD OF DIRECTORS	1 00	X					0	0	0	
(7) SUSAN HIRSHMAN MEMBER, BOARD OF DIRECTORS	1 00	X					0	0	0	
(8) JOHN CONNELL MEMBER, BOARD OF DIRECTORS	1 00	X					0	0	0	
(9) MICHAEL GREENE MEMBER, BOARD OF DIRECTORS	1 00	X					0	0	0	
(10) EVA KAMPITS MEMBER, BOARD OF DIRECTORS	1 00	X					0	0	0	
(11) JOE VOTAVA MEMBER, BOARD OF DIRECTORS	1 00	X					0	0	0	
(12) BLAINE AIKIN MEMBER, BOARD OF DIRECTORS	1 00	X					0	0	0	
(13) ARTHUR LABY MEMBER, BOARD OF DIRECTORS	1 00	X					0	0	0	
(14) TOM NELSON MEMBER, BOARD OF DIRECTORS	1 00	X					0	0	0	
(15) KEVIN R KELLER CHIEF EXECUTIVE OFFICER	50 00			X			691,923	0	158,287	
(16) ROGER C MYERS JR CHIEF FINANCIAL OFFICER	50 00			X			234,111	0	71,441	
(17) MICHAEL SHAW CORP SEC/MANAGING DIRECTOR	50 00			X			275,163	0	62,594	

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 dotted line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)						(D) Reportable compensation from the organization (W- 2/1099-MISC)	(E) Reportable compensation from related organizations (W- 2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Institutional Trustee	Officer	Key employee	Highest compensated employee	Former			
(18) MARILYN MOHRMAN-GILLIS MANAGING DIRECTOR	50 00				X			305,563	0	83,418
(19) MICHELE WARHOLIC MANAGING DIRECTOR	50 00				X			263,804	0	68,970
(20) THOMAS CROWDER MANAGING DIRECTOR	50 00				X			254,207	0	66,825
(21) DAN DRUMMOND DIRECTOR	50 00					X		154,623	0	36,502
(22) STEVEN E BARKLEY DIRECTOR	50 00					X		168,521	0	26,869
(23) JOSEPH MAUGERI DIRECTOR	50 00					X		177,076	0	27,663
(24) REX STAPLES DIRECTOR	50 00					X		189,502	0	11,093
(25) DAVID MAZZULLA DIRECTOR	50 00					X		168,373	0	11,429
1b Sub-Total										
c Total from continuation sheets to Part VII, Section A										
d Total (add lines 1b and 1c)								2,882,866	0	625,091

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 **18**

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

Section B. Independent Contractors

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

(A) Name and business address	(B) Description of services	(C) Compensation
HAVAS MEDIA 200 HUDSON STREET NEW YORK NY 10013	PUBLIC AWARENESS CAMPAIGN ADVERTISING	9,086,706
ARNOLD WORLDWIDE LLC PO BOX 845518 BOSTON MA 022845518	PUBLIC AWARENESS CAMPAIGN ADVERTISING AG	1,088,064
PROMETRIC INC PO BOX 223608 PITTSBURGH PA 152512608	CERTIFICATION TESTING SERVICES	814,805
FINANCIAL PLANNING STANDARDS BOARD 707 17TH STREET SUITE 2925 DENVER CO 80202	MEMBERSHIP	397,407
CUSTOM DIRECT LLC 16163 W 45TH DRIVE UNIT H GOLDEN CO 80403	PRINTING	356,993

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 **21**

Part VIII Statement of Revenue

Check if Schedule O contains a response or note to any line in this Part VIII

			(A)	(B)	(C)	(D)		
			Total revenue	Related or exempt function revenue	Unrelated business revenue	Revenue excluded from tax under sections 512-514		
Contributions, Gifts, Grants and Other Similar Amounts	1a	Federated campaigns 1a						
	b	Membership dues 1b						
	c	Fundraising events 1c						
	d	Related organizations 1d						
	e	Government grants (contributions) 1e						
	f	All other contributions, gifts, grants, and similar amounts not included above 1f	195,000					
	g	Noncash contributions included in lines 1a-1f \$						
	h	Total. Add lines 1a-1f	195,000					
Program Service Revenue	2a	CERTIFICATION FEES	900099	12,512,900	12,512,900			
	b	PUBLIC AWARENESS CAMPA	900099	10,155,330	10,155,330			
	c	EXAM FEES	900099	2,954,047	2,954,047			
	d	EDUCATIONAL FEES	900099	1,121,575	1,121,575			
	e	APPLICATION FEES	900099	445,542	445,542			
	f	All other program service revenue		349,319	295,639	53,680		
	g	Total. Add lines 2a-2f		27,538,713				
	Other Revenue	3	Investment income (including dividends, interest, and other similar amounts)		669,887		669,887	
4		Income from investment of tax-exempt bond proceeds						
5		Royalties		46,704	46,704			
6a		Gross rents	(i) Real					
			(ii) Personal					
			b	Less rental expenses				
			c	Rental income or (loss)				
d		Net rental income or (loss)						
7a		Gross amount from sales of assets other than inventory	(i) Securities	20,750,792				
			(ii) Other					
			b	Less cost or other basis and sales expenses	21,009,228			
			c	Gain or (loss)	-258,436			
d		Net gain or (loss)		-258,436		-258,436		
8a		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							
9a	Gross income from gaming activities See Part IV, line 19	a						
b	Less direct expenses b							
c	Net income or (loss) from gaming activities							
10a	Gross sales of inventory, less returns and allowances	a	47,200					
		b	Less cost of goods sold b	43,587				
		c	Net income or (loss) from sales of inventory	3,613	3,613			
Miscellaneous Revenue		Business Code						
11a								
b								
c								
d	All other revenue							
e	Total. Add lines 11a-11d							
12	Total revenue. See Instructions		28,195,481	27,535,350	0	465,131		

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 or note to any line 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	25,000	25,000		
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				
4	Benefits paid to or for members				
5	Compensation of current officers, directors, trustees, and key employees	2,542,208	2,331,824	210,384	
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	4,647,632	4,263,010	384,622	
8	Pension plan accruals and contributions (include section 401(k) and 403(b) employer contributions)	225,703	207,025	18,678	
9	Other employee benefits	450,119	412,869	37,250	
10	Payroll taxes	393,884	361,288	32,596	
11	Fees for services (non-employees)				
a	Management				
b	Legal	600,648	568,172	32,476	
c	Accounting	49,659	35,727	13,932	
d	Lobbying				
e	Professional fundraising services. See Part IV, line 17				
f	Investment management fees	75,000		75,000	
g	Other (If line 11g amount exceeds 10% of line 25, column (A) amount, list line 11g expenses on Schedule O)	3,823,236	3,495,012	328,224	
12	Advertising and promotion	10,028,252	10,028,252		
13	Office expenses	1,752,131	1,682,004	70,127	
14	Information technology	424,338	311,390	112,948	
15	Royalties				
16	Occupancy	1,370,497	986,009	384,488	
17	Travel	741,481	652,223	89,258	
18	Payments of travel or entertainment expenses for any federal, state, or local public officials				
19	Conferences, conventions, and meetings	588,411	537,735	50,676	
20	Interest				
21	Payments to affiliates				
22	Depreciation, depletion, and amortization	968,520	762,973	205,547	
23	Insurance	136,429	98,154	38,275	
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	PROFESSIONAL DUES	419,849	308,431	111,418	
b	PROFESSIONAL DEVELOPMEN	41,603	31,057	10,546	
c	MISCELLANEOUS EXPENSE	12,910	8,793	4,117	
d	RECOGNITION, AWARDS, GI	11,797	9,518	2,279	
e	All other expenses				
25	Total functional expenses. Add lines 1 through 24e	29,329,307	27,116,466	2,212,841	0
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 type="checkbox"/> if following SOP 98-2 (ASC 958-720)				

Part X Balance Sheet

Check if Schedule O contains a response or note to any line in this Part X

		(A)		(B)
		Beginning of year		End of year
Assets	1 Cash-non-interest-bearing	617	1	219
	2 Savings and temporary cash investments	3,948,727	2	1,499,131
	3 Pledges and grants receivable, net		3	
	4 Accounts receivable, net	151,348	4	631,395
	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 instructions) Complete Part II of Schedule L		6	
	7 Notes and loans receivable, net		7	
	8 Inventories for sale or use		8	
	9 Prepaid expenses and deferred charges	265,823	9	806,472
	10a Land, buildings, and equipment cost or other basis Complete Part VI of Schedule D	10a 6,264,969		
	b Less accumulated depreciation	10b 3,619,773	1,480,634	10c 2,645,196
	11 Investments—publicly traded securities	30,056,497	11	31,419,347
	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	785,796	15	1,475,294
16 Total assets. Add lines 1 through 15 (must equal line 34)	36,689,442	16	38,477,054	
Liabilities	17 Accounts payable and accrued expenses	2,801,405	17	2,351,097
	18 Grants payable		18	
	19 Deferred revenue	8,891,627	19	9,121,363
	20 Tax-exempt bond liabilities		20	
	21 Escrow or custodial account liability Complete Part IV of Schedule D		21	200
	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	1,145,806	25	3,345,222
	26 Total liabilities. Add lines 17 through 25	12,838,838	26	14,817,882
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	23,850,604	27	23,659,172
	28 Temporarily restricted net assets		28	
	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	23,850,604	33	23,659,172	
34 Total liabilities and net assets/fund balances	36,689,442	34	38,477,054	

Part XI Reconciliation of Net Assets

Check if Schedule O contains a response or note to any line in this Part XI

1	Total revenue (must equal Part VIII, column (A), line 12)	1	28,195,481
2	Total expenses (must equal Part IX, column (A), line 25)	2	29,329,307
3	Revenue less expenses Subtract line 2 from line 1	3	-1,133,826
4	Net assets or fund balances at beginning of year (must equal Part X, line 33, column (A))	4	23,850,604
5	Net unrealized gains (losses) on investments	5	942,394
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	23,659,172

Part XII Financial Statements and Reporting

Check if Schedule O contains a response or note to any line in this Part XII

	Yes	No
1 Accounting method used to prepare the Form 990 <input type="checkbox"/> Cash <input checked="" type="checkbox"/> Accrual <input type="checkbox"/> 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 <input type="checkbox"/> Separate basis <input type="checkbox"/> Consolidated basis <input type="checkbox"/> Both consolidated and separate basis		No
2b Were the organization's financial statements audited by an independent accountant? If "Yes," check a box below to indicate whether the financial statements for the year were audited on a separate basis, consolidated basis, or both <input checked="" type="checkbox"/> Separate basis <input type="checkbox"/> Consolidated basis <input type="checkbox"/> Both consolidated and separate basis	Yes	
2c If "Yes," to line 2a or 2b, does the organization have a committee that assumes responsibility for oversight of the audit, review, or compilation of its financial statements and selection of an independent accountant? If the organization changed either its oversight process or selection process during the tax year, explain in Schedule O	Yes	
3a As a result of a federal award, was the organization required to undergo an audit or audits as set forth in the Single Audit Act and OMB Circular A-133?		No
3b If "Yes," did the organization undergo the required audit or audits? If the organization did not undergo the required audit or audits, explain why in Schedule O and describe any steps taken to undergo such audits		

SCHEDULE A
(Form 990 or 990EZ)

Public Charity Status and Public Support

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.
- ▶ Information about Schedule A (Form 990 or 990-EZ) and its instructions is at www.irs.gov/form990.

2013

Open to Public Inspection

Department of the Treasury
Internal Revenue Service

Name of the organization

CERTIFIED FINANCIAL PLANNER BOARD OF STANDARDS INC

Employer identification number

74-2385850

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	
Total									

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) 2009	(b) 2010	(c) 2011	(d) 2012	(e) 2013	(f) Total
1 Gifts, grants, contributions, and membership fees received (Do not include any "unusual grants.")						
2 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf						
3 The value of services or facilities furnished by a governmental unit to the organization without charge						
4 Total. Add lines 1 through 3						
5 The portion of total contributions by each person (other than a governmental unit or publicly supported organization) included on line 1 that exceeds 2% of the amount shown on line 11, column (f)						
6 Public support. Subtract line 5 from line 4						

Section B. Total Support

Calendar year (or fiscal year beginning in) ▶	(a) 2009	(b) 2010	(c) 2011	(d) 2012	(e) 2013	(f) Total
7 Amounts from line 4						
8 Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources						
9 Net income from unrelated business activities, whether or not the business is regularly carried on						
10 Other income Do not include gain or loss from the sale of capital assets (Explain in Part IV)						
11 Total support (Add lines 7 through 10)						
12 Gross receipts from related activities, etc (see instructions)					12	
13 First five years. If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a 501(c)(3) organization, check this box and stop here <input type="checkbox"/>						

Section C. Computation of Public Support Percentage

14 Public support percentage for 2013 (line 6, column (f) divided by line 11, column (f))	14	
15 Public support percentage for 2012 Schedule A, Part II, line 14	15	
16a 33 1/3% support test—2013. 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—2012. 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—2013. 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—2012. 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) 2009	(b) 2010	(c) 2011	(d) 2012	(e) 2013	(f) Total
1 Gifts, grants, contributions, and membership fees received (Do not include any "unusual grants.")		10,000			195,000	205,000
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	15,863,567	16,535,014	20,896,084	25,301,024	27,827,617	106,423,306
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	15,863,567	16,545,014	20,896,084	25,301,024	28,022,617	106,628,306
7a Amounts included on lines 1, 2, and 3 received from disqualified persons						0
b Amounts included on lines 2 and 3 received from other than disqualified persons that exceed the greater of \$5,000 or 1% of the amount on line 13 for the year						0
c Add lines 7a and 7b						0
8 Public support (Subtract line 7c from line 6)						106,628,306

Section B. Total Support

Calendar year (or fiscal year beginning in) ▶	(a) 2009	(b) 2010	(c) 2011	(d) 2012	(e) 2013	(f) Total
9 Amounts from line 6	15,863,567	16,545,014	20,896,084	25,301,024	28,022,617	106,628,306
10a Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources	816,232	1,091,861	1,445,476	1,016,316	716,591	5,086,476
b Unrelated business taxable income (less section 511 taxes) from businesses acquired after June 30, 1975						
c Add lines 10a and 10b	816,232	1,091,861	1,445,476	1,016,316	716,591	5,086,476
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.)	16,679,799	17,636,875	22,341,560	26,317,340	28,739,208	111,714,782
14 First five years. If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a 501(c)(3) organization, check this box and stop here <input type="checkbox"/>						

Section C. Computation of Public Support Percentage

15 Public support percentage for 2013 (line 8, column (f) divided by line 13, column (f))	15	95.450 %
16 Public support percentage from 2012 Schedule A, Part III, line 15	16	94.840 %

Section D. Computation of Investment Income Percentage

17 Investment income percentage for 2013 (line 10c, column (f) divided by line 13, column (f))	17	4.550 %
18 Investment income percentage from 2012 Schedule A, Part III, line 17	18	5.160 %

- 19a 33 1/3% support tests—2013.** 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—2012.** 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.** Provide the explanations required by Part II, line 10; Part II, line 17a or 17b; and Part III, line 12. Also complete this part for any additional information. (See instructions).

Facts And Circumstances Test

Return Reference

Explanation

SCHEDULE C (Form 990 or 990-EZ)

Political Campaign and Lobbying Activities

OMB No 1545-0047

2013

Open to Public Inspection

Department of the Treasury Internal Revenue Service

For Organizations Exempt From Income Tax Under section 501(c) and section 527. Complete if the organization is described below. Attach to Form 990 or Form 990-EZ. See separate instructions. Information about Schedule C (Form 990 or 990-EZ) and its instructions is at www.irs.gov/form990.

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

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

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

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

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

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

Name of the organization CERTIFIED FINANCIAL PLANNER BOARD OF STANDARDS INC

Employer identification number

74-2385850

Part I-A Complete if the organization is exempt under section 501(c) or is a section 527 organization.

- 1 Provide a description of the organization's direct and indirect political campaign activities in Part IV
2 Political expenditures
3 Volunteer hours

Part I-B Complete if the organization is exempt under section 501(c)(3).

- 1 Enter the amount of any excise tax incurred by the organization under section 4955
2 Enter the amount of any excise tax incurred by organization managers under section 4955
3 If the organization incurred a section 4955 tax, did it file Form 4720 for this year?
4a Was a correction made?
b If "Yes," describe in Part IV

Part I-C Complete if the organization is exempt under section 501(c), except section 501(c)(3).

- 1 Enter the amount directly expended by the filing organization for section 527 exempt function activities
2 Enter the amount of the filing organization's funds contributed to other organizations for section 527 exempt function activities
3 Total exempt function expenditures Add lines 1 and 2 Enter here and on Form 1120-POL, line 17b
4 Did the filing organization file Form 1120-POL for this year?
5 Enter the names, addresses and employer identification number (EIN) of all section 527 political organizations to which the filing organization made payments

Table with 5 columns: (a) Name, (b) Address, (c) EIN, (d) Amount paid from filing organization's funds, (e) Amount of political contributions received and promptly and directly delivered to a separate political organization.

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

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

Limits on Lobbying Expenditures (The term "expenditures" means amounts paid or incurred.)		(a) Filing organization's totals	(b) Affiliated group totals												
1a	Total lobbying expenditures to influence public opinion (grass roots lobbying)														
b	Total lobbying expenditures to influence a legislative body (direct lobbying)	75,226													
c	Total lobbying expenditures (add lines 1a and 1b)	75,226													
d	Other exempt purpose expenditures	29,297,668													
e	Total exempt purpose expenditures (add lines 1c and 1d)	29,372,894													
f	Lobbying nontaxable amount. Enter the amount from the following table in both columns	1,000,000													
<table border="1" style="width: 100%;"> <thead> <tr> <th style="text-align: left;">If the amount on line 1e, column (a) or (b) is:</th> <th style="text-align: left;">The lobbying nontaxable amount is:</th> </tr> </thead> <tbody> <tr> <td>Not over \$500,000</td> <td>20% of the amount on line 1e</td> </tr> <tr> <td>Over \$500,000 but not over \$1,000,000</td> <td>\$100,000 plus 15% of the excess over \$500,000</td> </tr> <tr> <td>Over \$1,000,000 but not over \$1,500,000</td> <td>\$175,000 plus 10% of the excess over \$1,000,000</td> </tr> <tr> <td>Over \$1,500,000 but not over \$17,000,000</td> <td>\$225,000 plus 5% of the excess over \$1,500,000</td> </tr> <tr> <td>Over \$17,000,000</td> <td>\$1,000,000</td> </tr> </tbody> </table>		If the amount on line 1e, column (a) or (b) is:	The lobbying nontaxable amount is:	Not over \$500,000	20% of the amount on line 1e	Over \$500,000 but not over \$1,000,000	\$100,000 plus 15% of the excess over \$500,000	Over \$1,000,000 but not over \$1,500,000	\$175,000 plus 10% of the excess over \$1,000,000	Over \$1,500,000 but not over \$17,000,000	\$225,000 plus 5% of the excess over \$1,500,000	Over \$17,000,000	\$1,000,000		
If the amount on line 1e, column (a) or (b) is:	The lobbying nontaxable amount is:														
Not over \$500,000	20% of the amount on line 1e														
Over \$500,000 but not over \$1,000,000	\$100,000 plus 15% of the excess over \$500,000														
Over \$1,000,000 but not over \$1,500,000	\$175,000 plus 10% of the excess over \$1,000,000														
Over \$1,500,000 but not over \$17,000,000	\$225,000 plus 5% of the excess over \$1,500,000														
Over \$17,000,000	\$1,000,000														
g	Grassroots nontaxable amount (enter 25% of line 1f)	250,000													
h	Subtract line 1g from line 1a. If zero or less, enter -0-	0													
i	Subtract line 1f from line 1c. If zero or less, enter -0-	0													
j	If there is an amount other than zero on either line 1h or line 1i, did the organization file Form 4720 reporting section 4911 tax for this year?	<input type="checkbox"/> Yes <input type="checkbox"/> No													

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

Lobbying Expenditures During 4-Year Averaging Period

Calendar year (or fiscal year beginning in)	(a) 2010	(b) 2011	(c) 2012	(d) 2013	(e) Total
2a Lobbying nontaxable amount	896,768	1,000,000	1,000,000	1,000,000	3,896,768
b Lobbying ceiling amount (150% of line 2a, column(e))					5,845,152
c Total lobbying expenditures	164,882	75,000	75,923	75,226	391,031
d Grassroots nontaxable amount	224,192	250,000	250,000	250,000	974,192
e Grassroots ceiling amount (150% of line 2d, column(e))					1,461,288
f Grassroots lobbying expenditures	3,386				3,386

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

For each "Yes" response to lines 1a through 1i below, provide in Part IV a detailed description of the lobbying activity.

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

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

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

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

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

Part IV Supplemental Information

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

Return Reference	Explanation

SCHEDULE D (Form 990)

Supplemental Financial Statements

OMB No 1545-0047

2013

Open to Public Inspection

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. Information about Schedule D (Form 990) and its instructions is at www.irs.gov/form990.

Department of the Treasury Internal Revenue Service

Name of the organization CERTIFIED FINANCIAL PLANNER BOARD OF STANDARDS INC

Employer identification number

74-2385850

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.

Table with 3 columns: Line number, (a) Donor advised funds, (b) Funds and other accounts. Includes questions 1-6 regarding donor advised funds.

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

Table with 3 columns: Line number, Description, Held at the End of the Year. Includes questions 1-9 regarding 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.

Table with 3 columns: Line number, Description, Amount. Includes questions 1a, 1b, 2a, 2b regarding art and historical treasures.

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 Beginning balance	0
1d Additions during the year	200
1e Distributions during the year	0
1f Ending balance	200

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

	Yes	No
(i) unrelated organizations	3a(i)	
(ii) related organizations	3a(ii)	
b If "Yes" to 3a(ii), are the related organizations listed as required on Schedule R?	3b	

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

Part VI Land, Buildings, and Equipment. Complete if the organization answered 'Yes' to Form 990, Part IV, line 11a. 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		449,450	417,922	31,528
d Equipment		553,738	356,439	197,299
e Other		5,261,781	2,845,412	2,416,369
Total. Add lines 1a through 1e (Column (d) must equal Form 990, Part X, column (B), line 10(c).)				2,645,196

Part VII Investments—Other Securities. Complete if the organization answered 'Yes' to Form 990, Part IV, line 11b. 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		
Other		
Total. (Column (b) must equal Form 990, Part X, col (B) line 12)		

Part VIII Investments—Program Related. Complete if the organization answered 'Yes' to Form 990, Part IV, line 11c. See Form 990, Part X, line 13.

(a) Description of investment	(b) Book value	(c) Method of valuation Cost or end-of-year market value
Total. (Column (b) must equal Form 990, Part X, col (B) line 13)		

Part IX Other Assets. Complete if the organization answered 'Yes' to Form 990, Part IV, line 11d. See Form 990, Part X, line 15

(a) Description	(b) Book value
Total. (Column (b) must equal Form 990, Part X, col.(B) line 15.)	

Part X Other Liabilities. Complete if the organization answered 'Yes' to Form 990, Part IV, line 11e or 11f. See Form 990, Part X, line 25.

1 (a) Description of liability	(b) Book value
Federal income taxes	
DEFERRED RENT	389,120
CAPITAL LEASE OBLIGATION	17,587
DEFERRED COMPENSATION	1,524,858
DEFERRED LIABILITY - TENANT IMPROVEMENT ALLOWANCE	1,413,657
Total. (Column (b) must equal Form 990, Part X, col (B) line 25)	3,345,222

2. Liability for uncertain tax positions 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 Complete if the organization answered 'Yes' to Form 990, Part IV, line 12a.

1	Total revenue, gains, and other support per audited financial statements		1	27,827,617
2	Amounts included on line 1 but not on Form 990, Part VIII, line 12			
a	Net unrealized gains on investments	2a		
b	Donated services and use of facilities	2b		
c	Recoveries of prior year grants	2c		
d	Other (Describe in Part XIII)	2d	43,587	
e	Add lines 2a through 2d		2e	43,587
3	Subtract line 2e from line 1		3	27,784,030
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	411,451	
c	Add lines 4a and 4b		4c	411,451
5	Total revenue Add lines 3 and 4c . (This must equal Form 990, Part I, line 12)		5	28,195,481

Part XII Reconciliation of Expenses per Audited Financial Statements With Expenses per Return. Complete if the organization answered 'Yes' to Form 990, Part IV, line 12a.

1	Total expenses and losses per audited financial statements		1	29,297,894
2	Amounts included on line 1 but not on Form 990, Part IX, line 25			
a	Donated services and use of facilities	2a		
b	Prior year adjustments	2b		
c	Other losses	2c		
d	Other (Describe in Part XIII)	2d	43,587	
e	Add lines 2a through 2d		2e	43,587
3	Subtract line 2e from line 1		3	29,254,307
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	75,000	
b	Other (Describe in Part XIII)	4b		
c	Add lines 4a and 4b		4c	75,000
5	Total expenses Add lines 3 and 4c . (This must equal Form 990, Part I, line 18)		5	29,329,307

Part XIII Supplemental Information

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

Return Reference	Explanation
PART IV, LINE 1B	SCHOLARSHIP FUND CONTRIBUTIONS
PART IV, LINE 2B	SCHOLARSHIP FUND
PART X, LINE 2	CFP BOARD ADOPTED THE INCOME TAX STANDARD FOR UNCERTAIN TAX POSITIONS ON JANUARY 1, 2009 CFP BOARD EVALUATED ITS TAX POSITIONS AND DETERMINED THAT ITS TAX POSITIONS ARE MORE-LIKELY-THAN-NOT TO BE SUSTAINED ON EXAMINATION CFP BOARD'S TAX RETURNS ARE SUBJECT TO REVIEW AND EXAMINATION BY FEDERAL, STATE, AND LOCAL AUTHORITIES THE TAX RETURNS FOR THE YEARS 2010 TO 2012 ARE OPEN FOR EXAMINATION BY FEDERAL, STATE, AND LOCAL AUTHORITIES
PART XI, LINE 2D - OTHER ADJUSTMENTS	COST OF GOODS SOLD 43,587
PART XI, LINE 4B - OTHER ADJUSTMENTS	INVESTMENT INCOME 411,451
PART XII, LINE 2D - OTHER ADJUSTMENTS	COST OF GOODS SOLD 43,587

Schedule I (Form 990)

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

OMB No 1545-0047

2013

Open to Public Inspection

Department of the Treasury Internal Revenue Service

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

Information about Schedule I (Form 990) and its instructions is at www.irs.gov/form990.

Name of the organization CERTIFIED FINANCIAL PLANNER BOARD OF STANDARDS INC

Employer identification number 74-2385850

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?
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.

Table with 8 columns: (a) Name and address of organization or government, (b) EIN, (c) IRC Code section if applicable, (d) Amount of cash grant, (e) Amount of non-cash assistance, (f) Method of valuation, (g) Description of non-cash assistance, (h) Purpose of grant or assistance. Row 1: (1) FINANCIAL PLANNING ASSOCIATION, 84-1521488, 501(C)(6), 25,000, 0, N/A, N/A, FINANCIAL PLANNING CHALLENGE IN CONJUNCTION WITH ANNUAL FPA CONFERENCE.

2 Enter total number of section 501(c)(3) and government organizations listed in the line 1 table 0
3 Enter total number of other organizations listed in the line 1 table 1

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. Provide the information required in Part I, line 2, Part III, column (b), and any other additional information.

Return Reference	Explanation
PART I, LINE 2	ANNUAL GRANT TO THE FINANCIAL PLANNING ASSOCIATION (FPA) TO PARTIALLY FUND "THE FINANCIAL PLANNING CHALLENGE" HELD AT THE ANNUAL FPA CONFERENCE TO SUPPORT THE NEXT GENERATION OF FINANCIAL PLANNERS ENGAGING STUDENTS AND PROGRAM DIRECTORS IN THE FINANCIAL PLANNING COMMUNITY, RAISING AWARENESS OF CAREER OPPORTUNITIES, AND ENCOURAGING LEARNING AND NETWORKING IN THE FINANCIAL PLANNING PROFESSION

Schedule J
(Form 990)

Compensation Information

OMB No 1545-0047

2013

Open to Public Inspection

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

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

▶ **Attach to Form 990. ▶ See separate instructions.**

▶ **Information about Schedule J (Form 990) and its instructions is at www.irs.gov/form990.**

Department of the Treasury
Internal Revenue Service

Name of the organization
CERTIFIED FINANCIAL PLANNER BOARD OF
STANDARDS INC

Employer identification number

74-2385850

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

2 Did the organization require substantiation prior to reimbursing or allowing expenses incurred by all directors, trustees, officers, including 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 checked="" type="checkbox"/> Written employment contract |
| <input checked="" type="checkbox"/> Independent compensation consultant | <input checked="" type="checkbox"/> Compensation survey or study |
| <input checked="" 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 501(c)(3) and 501(c)(4) organizations only must complete lines 5-9.

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

a The organization?

b Any related organization?

If "Yes," to line 5a or 5b, describe in Part III

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

a The organization?

b Any related organization?

If "Yes," to line 6a or 6b, describe in Part III

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

8 Were any amounts reported in Form 990, Part VII, paid or accrued pursuant to a contract that was subject to the initial contract exception described in 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	Yes	
4b	Yes	
4c		No
5a		No
5b		No
6a		No
6b		No
7		No
8		No
9		

Part II Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees. Use duplicate copies if additional space is needed.

For each individual whose compensation must be reported in Schedule J, report compensation from the organization on row (i) and from related organizations, described in the instructions, on row (ii) Do not list any individuals that are not listed on Form 990, Part VII

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

(A) Name and Title	(B) Breakdown of W-2 and/or 1099-MISC compensation			(C) Retirement and other deferred compensation	(D) Nontaxable benefits	(E) Total of columns (B)(i)-(D)	(F) Compensation reported as deferred in prior Form 990
	(i) Base compensation	(ii) Bonus & incentive compensation	(iii) Other reportable compensation				
See Additional Data Table							

Part III Supplemental Information

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.

Return Reference	Explanation
PART I, LINES 4A-B	PART I, LINE 4A - SEVERANCE - REX STAPLES - \$41,798 PART I, LINE 4B - 457(F) PLAN - THE CEO AND EXECUTIVE TEAM PARTICIPATE IN THE PLAN. A NON-QUALIFIED DEFERRED COMPENSATION PLAN IS MAINTAINED IN ACCORDANCE WITH SECTION 457(F) OF THE INTERNAL REVENUE CODE FOR THE BENEFIT OF THE ORGANIZATION'S CHIEF EXECUTIVE OFFICER (CEO) AND EXECUTIVE LEADERSHIP TEAM. UNDER THE TERMS OF THE PLAN, BEGINNING JANUARY 1 OF EACH CALENDAR YEAR, EXECUTIVE TEAM MEMBERS WHO HAVE COMPLETED ONE FULL CALENDAR YEAR OF EMPLOYMENT MAY EARN UP TO 15% OF THEIR ANNUAL BASE SALARY AS DETERMINED BY THE CEO. THE CEO MAY EARN AN ADDITIONAL AMOUNT AS DETERMINED BY THE BOARD OF DIRECTORS. THOSE AMOUNTS DEFERRED ARE NOT VESTED UNTIL THE EXECUTIVE HAS COMPLETED THREE YEARS OF SERVICE WITH CFP BOARD. IN YEAR FOUR, THE DEFERRED AMOUNTS FOR YEARS ONE THROUGH THREE ARE PAID TO THE EXECUTIVE. THE FOLLOWING EXECUTIVES PARTICIPATED IN THE PLAN DURING THE YEAR. THERE WERE NO PAYOUTS TO EXECUTIVES PARTICIPATING IN THE PLAN FOR THE YEAR ENDED DECEMBER 31, 2013. HOWEVER, THE FOLLOWING AMOUNTS WERE AWARDED: NAME TITLE AMOUNT KEVIN R. KELLER CHIEF EXECUTIVE OFFICER \$100,000 ROGER C. MYERS, JR. CHIEF FINANCIAL OFFICER \$31,050 MICHAEL SHAW CORP. SEC./MANAGING DIRECTOR \$36,077 MARILYN MOHRMAN-GILLIS MANAGING DIRECTOR \$40,534 MICHELE WARHOLIC MANAGING DIRECTOR \$34,940 THOMAS CROWDER MANAGING DIRECTOR \$33,621

Additional Data

Software ID:
Software Version:
EIN: 74-2385850
Name: CERTIFIED FINANCIAL PLANNER BOARD OF STANDARDS INC

Form 990, Schedule J, Part II - Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees

(A) Name		(B) Breakdown of W-2 and/or 1099-MISC compensation			(C) Deferred compensation	(D) Nontaxable benefits	(E) Total of columns (B)(i)-(D)	(F) Compensation reported in prior Form 990 or Form 990-EZ
		(i) Base Compensation	(ii) Bonus & Incentive compensation	(iii) Other compensation				
KEVIN R KELLER CHIEF EXECUTIVE OFFICER	(i)	475,726	213,750	2,447	132,800	25,487	850,210	0
	(ii)	0	0	0	0	0	0	0
ROGER C MYERS JR CHIEF FINANCIAL OFFICER	(i)	203,141	29,100	1,870	52,154	19,287	305,552	0
	(ii)	0	0	0	0	0	0	0
MICHAEL SHAW CORP SEC/MANAGING DIRECTOR	(i)	240,330	33,649	1,184	57,560	5,034	337,757	0
	(ii)	0	0	0	0	0	0	0
MARILYN MOHRMAN-GILLIS MANAGING DIRECTOR	(i)	264,374	37,625	3,564	62,558	20,860	388,981	0
	(ii)	0	0	0	0	0	0	0
MICHELE WARHOLIC MANAGING DIRECTOR	(i)	229,358	32,588	1,858	56,922	12,048	332,774	0
	(ii)	0	0	0	0	0	0	0
THOMAS CROWDER MANAGING DIRECTOR	(i)	221,906	31,208	1,093	56,180	10,645	321,032	0
	(ii)	0	0	0	0	0	0	0
DAN DRUMMOND DIRECTOR	(i)	137,600	16,756	267	9,913	26,589	191,125	0
	(ii)	0	0	0	0	0	0	0
STEVEN E BARKLEY DIRECTOR	(i)	160,753	7,000	768	8,374	18,495	195,390	0
	(ii)	0	0	0	0	0	0	0
JOSEPH MAUGERI DIRECTOR	(i)	158,271	18,115	690	10,799	16,864	204,739	0
	(ii)	0	0	0	0	0	0	0
REX STAPLES DIRECTOR	(i)	131,257	15,278	42,967	4,408	6,685	200,595	0
	(ii)	0	0	0	0	0	0	0
DAVID MAZZULLA DIRECTOR	(i)	156,026	11,873	474	5,058	6,371	179,802	0
	(ii)	0	0	0	0	0	0	0

SCHEDULE O
(Form 990 or 990-EZ)

Department of the Treasury
Internal Revenue Service

Supplemental Information to Form 990 or 990-EZ

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

▶ Attach to Form 990 or 990-EZ.

▶ Information about Schedule O (Form 990 or 990-EZ) and its instructions is at www.irs.gov/form990.

2013

Open to Public Inspection

Name of the organization
CERTIFIED FINANCIAL PLANNER BOARD OF STANDARDS INC

Employer identification number

74-2385850

Return Reference	Explanation
FORM 990, PART VI, SECTION B, LINE 11	THE FORM 990 IS PREPARED BY THE ORGANIZATION'S INDEPENDENT CPA FIRM WITH SIGNIFICANT INPUT AND ASSISTANCE FROM CFP BOARD STAFF THE RETURN IS PROVIDED IN DRAFT TO MANAGEMENT FOR THEIR DETAIL REVIEW BEFORE BEING PROVIDED TO THE AUDIT COMMITTEE FOR REVIEW ONCE THE AUDIT COMMITTEE HAS APPROVED THE FILING, THE RETURN IS THEN PROVIDED TO THE BOARD OF DIRECTORS WITH THE FORM 990 BEING REVIEWED IN ITS ENTIRETY BY THE BOARD PRIOR TO ITS SUBMISSION

Return Reference	Explanation
FORM 990, PART VI, SECTION B, LINE 12C	<p>THE CONFLICT OF INTEREST POLICY (THE "POLICY") APPLIES TO (1) MEMBERS OF CFP BOARD'S BOARD OF DIRECTORS (INCLUDING THE CEO, WHO IS AN EX-OFFICIO DIRECTOR), COMMITTEES, AND TASK FORCES, (2) MEMBERS OF VOLUNTEER COUNCILS, COMMISSIONS, AND WORKING GROUPS, (3) VOLUNTEERS FOR ANY OF THE AFOREMENTIONED BODIES, AND (4) CFP BOARD'S CORPORATE OFFICERS (COLLECTIVELY, REFERRED TO AS "RESPONSIBLE PERSON" OR "RESPONSIBLE PERSONS") EACH RESPONSIBLE PERSON HAS A CONTINUING OBLIGATION TO DISCLOSE ANY POTENTIAL CONFLICT OF INTEREST (REGARDLESS OF WHETHER THE POTENTIAL CONFLICT MAY RESULT IN PERSONAL BENEFIT TO THE RESPONSIBLE PERSON, A FAMILY MEMBER OR A RELATED ENTITY) AS SOON AS IT IS KNOWN OR REASONABLY SHOULD BE KNOWN EACH RESPONSIBLE PERSON MUST COMPLETE A QUESTIONNAIRE PRIOR TO THE COMMENCEMENT OF SERVICE, AND ANNUALLY THEREAFTER THE GOVERNANCE COMMITTEE IS COMPOSED OF SIX MEMBERS OF THE BOARD OF DIRECTORS THE COMMITTEE'S DUTIES AND RESPONSIBILITIES ARE SET FORTH IN A GOVERNANCE MANUAL CREATED AND MAINTAINED BY THE COMMITTEE ANNUAL GOVERNANCE TRAINING IS PROVIDED TO THE BOARD THE COMMITTEE PROVIDES ANNUAL DISCLOSURE FORMS TO EACH MEMBER OF THE BOARD OF DIRECTORS AS WELL AS OFFICERS IF A CONFLICT ARISES, THE INDIVIDUAL HAVING THE CONFLICT MUST DISCLOSE THE CONFLICT IN WRITING THE COMMITTEE IS RESPONSIBLE FOR REVIEWING QUESTIONNAIRES SUBMITTED BY MEMBERS OF THE BOARD (INCLUDING THE CEO), COMMITTEES, AND TASK FORCES, AND CORPORATE OFFICERS, AND DETERMINING WHETHER A PERCEIVED OR ACTUAL CONFLICT OF INTEREST EXISTS IF THE GOVERNANCE COMMITTEE DETERMINES THAT A PERCEIVED OR ACTUAL CONFLICT OF INTEREST EXISTS WITH RESPECT TO ANY OTHER CORPORATE OFFICER, THE GOVERNANCE COMMITTEE WILL DETERMINE THE APPROPRIATE COURSE OF ACTION THIS MAY INCLUDE, BUT IS NOT LIMITED TO, DEVELOPING A MITIGATION PLAN OR INVOKING PROCEDURES SIMILAR TO THOSE DESCRIBED BELOW WITH RESPECT TO A CONFLICTING INTEREST TRANSACTION IF A RESPONSIBLE PERSON BECOMES AWARE THAT CFP BOARD IS ABOUT TO ENTER INTO OR MAKE ANY DECISION INVOLVING A CONFLICTING INTEREST TRANSACTION WITH THE RESPONSIBLE PERSON, A FAMILY MEMBER, A FRIEND OR A RELATED ENTITY, THE RESPONSIBLE PERSON MUST IMMEDIATELY INFORM THOSE CHARGED WITH APPROVING THE TRANSACTION ON BEHALF OF CFP BOARD OF A PERCEIVED OR ACTUAL CONFLICT OF INTEREST, AND NOT PARTICIPATE IN THE DELIBERATION OR VOTE ON THE DECISION TO ENTER INTO SUCH TRANSACTION, AND NOT ATTEMPT TO EXERT HIS OR HER INFLUENCE WITH RESPECT TO THE MATTER, EITHER AT OR OUTSIDE THE MEETING PROCEEDINGS ARE DOCUMENTED IN THE MEETING MINUTES</p>

Return Reference	Explanation
FORM 990, PART VI, SECTION B, LINE 15A	THE CEO OVERSIGHT COMMITTEE ESTABLISHES AND MONITORS CEO COMPENSATION TO ENSURE THAT IT IS COMPETITIVE WITH OTHER NON-PROFIT INSTITUTIONS THAT FOCUS ON FINANCIAL SERVICES, LOCATED IN WASHINGTON, DC THE COMMITTEE CONSISTS OF MEMBERS OF THE BOARD OF DIRECTORS AND DOES NOT INCLUDE THE CEO THE COMMITTEE ENGAGED A COMPENSATION CONSULTANT TO EVALUATE THE CURRENT CEO SALARY AND STRUCTURE THE CONSULTANT UTILIZED COMPARABLE DATA IN ORDER TO SUBSTANTIATE THEIR SALARY RECOMMENDATIONS FOR THE CEO THIS PROCESS WAS MOST RECENTLY UNDERTAKEN IN 2013 FOR THE CEO, K KELLER THE CEO ENGAGES A COMPENSATION CONSULTANT TO REVIEW AND EVALUATE OTHER OFFICER AND KEY EMPLOYEE SALARIES THE CONSULTANT UTILIZED COMPARABLE DATA IN ORDER TO SUBSTANTIATE THEIR SALARY RECOMMENDATIONS FOR OTHER OFFICER AND KEY EMPLOYEE SALARIES THIS PROCESS WAS MOST RECENTLY UNDERTAKEN IN 2013 FOR ALL OFFICER AND KEY EMPLOYEE POSITIONS REPORTED IN FORM 990, PART VII

Return Reference	Explanation
FORM 990, PART VI, SECTION C, LINE 19	THE AUDITED FINANCIAL STATEMENTS AND BYLAWS ARE AVAILABLE TO STAKEHOLDERS UPON REQUEST THE CONFLICT OF INTEREST POLICY IS NOT MADE AVAILABLE TO THE PUBLIC

Return Reference	Explanation
FORM 990, PART IX, LINE 11G	<p>OUTSIDE SERVICES PROGRAM SERVICE EXPENSES 467,619 MANAGEMENT AND GENERAL EXPENSES 41,288 FUNDRAISING EXPENSES 0 TOTAL EXPENSES 508,907 PROFESSIONAL SERVICES PROGRAM SERVICE EXPENSES 2,386,633 MANAGEMENT AND GENERAL EXPENSES 208,512 FUNDRAISING EXPENSES 0 TOTAL EXPENSES 2,595,145 RECRUITMENT ADVERTISING PROGRAM SERVICE EXPENSES 117,061 MANAGEMENT AND GENERAL EXPENSES 45,644 FUNDRAISING EXPENSES 0 TOTAL EXPENSES 162,705 RECRUITMENT PROFESSIONAL SERVICES PROGRAM SERVICE EXPENSES 199,021 MANAGEMENT AND GENERAL EXPENSES 0 FUNDRAISING EXPENSES 0 TOTAL EXPENSES 199,021 RECRUITMENT TRAVEL PROGRAM SERVICE EXPENSES 324,678 MANAGEMENT AND GENERAL EXPENSES 32,780 FUNDRAISING EXPENSES 0 TOTAL EXPENSES 357,458</p>

Return Reference	Explanation
FORM 990, PART XII, LINE 2C	THE ORGANIZATION HAS NOT CHANGED ITS OVERSIGHT PROCESS OR SELECTION PROCESS DURING THE FILING YEAR