COPY OF FORM 990

(TO BE USED, OR COPIED, FOR)

PUBLIC INSPECTION ONLY

NOTE

Under Internal Revenue Regulations, tax-exempt charitable organizations generally must provide requesters with <u>COPIES</u> of:

- > Its approved exemption applications, all required attachments and any related correspondence with the IRS, and
- > Its three most recent annual information returns (Form 990), including all schedules and attachments (but not the names and addresses of contributors).

<u>In-person requests:</u> A member of the public may request to inspect the documents at any principal office of the organization. The entity must provide the information requested that same day. However, if the request places an "unreasonable burden" on the organization, the staff must provide copies of the requested information no later than the next business day after the unusual circumstances cease to exist (limited to a maximum of five business days after the request).

<u>Written requests:</u> Written requests made by fax, mail, email, or overnight service, which include the requester's address, must be honored within 30 days of receipt.

Website alternative: Instead of providing copies, an organization may make the documents available on either its own or another organization's website. If it uses this option, it has to: (1) provide an exact replica of the document as was filed with the IRS; (2) advise requesters how to access the forms on the web; (3) the site should charge no access fee and require no special software or hardware to download. Organizations that post this information on the Internet still must honor in-person requests to view the applicable documents.

<u>Permissible charges</u>: Tax-exempt organizations may charge a reasonable copying fee, up to \$1 for the first page and 15 cents for each additional page, plus actual postage costs.

Penalties: An organization that fails to comply with the new disclosure requirements may be subject to the following penalties:

- Annual Information Return Form 990 \$20 per day for as long as the failure continues, up to a maximum of \$10,000 for each failure to provide an annual return.
- Exemption Application \$20 per day with no maximum.
- An organization that willfully fails to comply with these public inspection rules can be subject to an additional \$5,000 penalty.

Private foundation exempt: The new disclosure rules don't yet apply to private foundations. They must still make a copy of their annual return available for public inspection at their principal office for a period of 180 days after publishing a notice of availability.

Donor Information: Please note that donor information is not open to public inspection and has been excluded from this copy.

- AMENDED -- PUBLIC DISCLOSURE COPY -Return of Organization Exempt From Income Tax

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

OMB No. 1545-0047

Department of the Treasury Internal Revenue Service

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

Open to Public Inspection

A For the 2012 calendar year, or tax year beginning JUN 1 2012 and ending MAY 31, 2013 Check if C Name of organization D Employer identification number Address change The Financial Planning Association Name change 84-1521488 Doing Business As Ilnitial Number and street (or P.O. box if mail is not delivered to street address) Room/suite E Telephone number return Termin-7535 E. Hampden Ave. 600 303-759-4900 Amended 12,906,837. City, town, or post office, state, and ZIP code G Gross receipts \$ Applica-Denver CO 80231 H(a) Is this a group return pendina F Name and address of principal officer:Lauren Schadle Yes X No for affiliates? H(b) Are all affiliates included? 4947(a)(1) or I Tax-exempt status: 501(c)(3) X 501(c) (6 ◂ (insert no.) 527 If "No." attach a list. (see instructions) J Website: ▶ www.fpanet.org **H(c)** Group exemption number ▶ K Form of organization: X Corporation Trust Association Other > Year of formation: 2000 M State of legal domicile: DC Part I Summary Briefly describe the organization's mission or most significant activities: FPA fosters the value of **Activities & Governance** financial planning and advances the financial planning process. Check this box ▶ oxdot if the organization discontinued its operations or disposed of more than 25% of its net assets. Number of voting members of the governing body (Part VI, line 1a) 14 3 14 Number of independent voting members of the governing body (Part VI, line 1b) Total number of individuals employed in calendar year 2012 (Part V, line 2a) 82 5 241 Total number of volunteers (estimate if necessary) 6 7 a Total unrelated business revenue from Part VIII, column (C), line 12 50.174. 7a <375,574. **b** Net unrelated business taxable income from Form 990-T, line 34 **Prior Year Current Year** 0 0. Contributions and grants (Part VIII, line 1h) Revenue 10,555,178 9,625,869. Program service revenue (Part VIII, line 2g) 79,564 651,574. 10 Investment income (Part VIII, column (A), lines 3, 4, and 7d) Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e) 0. 11 10,634,742 10,277,443. 12 Total revenue - add lines 8 through 11 (must equal Part VIII, column (A), line 12) 97,059 95,140. 13 Grants and similar amounts paid (Part IX, column (A), lines 1-3) Benefits paid to or for members (Part IX, column (A), line 4) 0 . 14 0 5,557,852 5.057.052. 15 Salaries, other compensation, employee benefits (Part IX, column (A), lines 5-10) 16a Professional fundraising fees (Part IX, column (A), line 11e) 0. **b** Total fundraising expenses (Part IX, column (D), line 25) 17 Other expenses (Part IX, column (A), lines 11a-11d, 11f-24e) 5,224,872 5,467,707. 10,879,783 10,619,899, Total expenses. Add lines 13-17 (must equal Part IX, column (A), line 25) <245.041 <342,456. Revenue less expenses. Subtract line 18 from line 12 Ssets or Balances **Beginning of Current Year End of Year** 7.322.546 8 213 386. 20 Total assets (Part X, line 16) 5,882,713 6,405,884. 21 Total liabilities (Part X. line 26) Net 1,807,502. 1,439,833 Net assets or fund balances. Subtract line 21 from line 20 Part II | Signature Block Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete. Declaration of preparer (other than officer) is based on all information of which preparer has any knowledge. Signature of officer Date Sign Lauren Schadle, Executive Director/CEO Here Type or print name and title Date PTIN Print/Type preparer's name Preparer's signature 5/12/15 Adam R. Smith P00958966 Paid Capin Crouse LLP Firm's name Preparer Firm's EIN 36-3990892 Firm's address 2435 Research Parkway, STE 200 Use Only Colorado Springs, CO 80920 Phone no. 719-528-6225 」 Yes May the IRS discuss this return with the preparer shown above? (see instructions) No

Form	990 (2012) The Financial Planning Association	84-1521488	Page 2
Pa	t III Statement of Program Service Accomplishments		
	Check if Schedule O contains a response to any question in this Part III		х_
1	Briefly describe the organization's mission:		
	FPA is the community that fosters the value of financial planning and		
	advances the financial planning process.		
	Did the organization undertake any significant program services during the year which were not listed on		
_	the prior Form 990 or 990-EZ?		Yes X 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	s?	Yes X 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,		
	Section 501(c)(3) and 501(c)(4) organizations are required to report the amount of grants and allocations to of	iners, the total expens	ses, and
 4а	revenue, if any, for each program service reported. (Code:) (Expenses \$ including grants of \$) (Rev		
-1 a	(Code:) (Expenses \$	enue \$,
	that is the single largest non-dues revenue source for the association.		
	The event spotlights FPA's core competencies of: Knowledge, Community,		
	Advocacy and Leadership. The program offers many educational tracks, an		
	exhibit hall, and various pre-conferences in conjunction with the		
	annual conference. Various FPA member communities gather to network.		
	share best practices and connect with like-minded members.		
	share best practices and connect with like-minded members.		
4b	(0.1		
4D	(Code:) (Expenses \$	enue \$	
	The FPA Member Relations department ensures that existing and		
	prospective members are fully aware of all of the benefits that the		
	Financial Planning Association makes available to support financial		
	planners and their practices. These benefits include consumer		
	education and awareness of the value of financial planning as well as		
	advocacy on behalf of the profession. Benefits also include knowledge		
	in terms of tools, resources, ongoing certification education and		
	technical journals to improve communication with their clients,		
	increase efficiency and effectiveness in their practice and to help		
	them advance in their chosen career. Member Relations is also		
_	responsible for serving members by answering their questions and		
4c	(Code:) (Expenses \$	enue \$)
	FPA Retreat is a long-standing, non-traditional gathering of the FPA		
	community. It is an event that attracts the "best and brightest" of the		
	profession due to its level of intimacy, community learning and		
	advanced, cutting edge content. The conference provides opportunities		
	for networking, advanced education, and exposure to new theories and		
	best practices.		
4d	Other program services (Describe in Schedule O.)		
	(Expenses \$ including grants of \$) (Revenue \$	1	

Form 990 (2012) The Financial Plan Part IV Checklist of Required Schedules

			Yes	No
1	Is the organization described in section 501(c)(3) or 4947(a)(1) (other than a private foundation)? If "Yes," complete Schedule A	1		Х
2	Is the organization required to complete Schedule B, Schedule of Contributors?	2		Х
3	Did the organization engage in direct or indirect political campaign activities on behalf of or in opposition to candidates for			
	public office? If "Yes," complete Schedule C, Part I	3		х
4	Section 501(c)(3) organizations. Did the organization engage in lobbying activities, or have a section 501(h) election in effect			
	during the tax year? If "Yes," complete Schedule C, Part II	4		
5	Is the organization a section 501(c)(4), 501(c)(5), or 501(c)(6) organization that receives membership dues, assessments, or			
	similar amounts as defined in Revenue Procedure 98-19? If "Yes," complete Schedule C, Part III	5	х	
6	Did the organization maintain any donor advised funds or any similar funds or accounts for which donors have the right to			
	provide advice on the distribution or investment of amounts in such funds or accounts? If "Yes," complete Schedule D, Part I	6		Х
7	Did the organization receive or hold a conservation easement, including easements to preserve open space,			
	the environment, historic land areas, or historic structures? If "Yes," complete Schedule D, Part II	7		Х
8	Did the organization maintain collections of works of art, historical treasures, or other similar assets? If "Yes," complete			
	Schedule D, Part III	8		Х
9	Did the organization report an amount in Part X, line 21, for escrow or custodial account liability; serve as a custodian for			
	amounts not listed in Part X; or provide credit counseling, debt management, credit repair, or debt negotiation services?			
	If "Yes," complete Schedule D, Part IV	9		Х
10	Did the organization, directly or through a related organization, hold assets in temporarily restricted endowments, permanent			
	endowments, or quasi-endowments? If "Yes," complete Schedule D, Part V	10		Х
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.			
а	Did the organization report an amount for land, buildings, and equipment in Part X, line 10? If "Yes," complete Schedule D, Part VI	11a	х	
b	Did the organization report an amount for investments - other securities in Part X, line 12 that is 5% or more of its total			
	assets reported in Part X, line 16? If "Yes," complete Schedule D, Part VII	11b		Х
С	Did the organization report an amount for investments - program related in Part X, line 13 that is 5% or more of its total			
	assets reported in Part X, line 16? If "Yes," complete Schedule D, Part VIII	11c	х	
d	Did the organization report an amount for other assets in Part X, line 15 that is 5% or more of its total assets reported in			
	Part X, line 16? If "Yes," complete Schedule D, Part IX	11d		Х
е	Did the organization report an amount for other liabilities in Part X, line 25? If "Yes," complete Schedule D, Part X	11e	Х	
f	Did the organization's separate or consolidated financial statements for the tax year include a footnote that addresses			
	the organization's liability for uncertain tax positions under FIN 48 (ASC 740)? If "Yes," complete Schedule D, Part X	11f	Х	
12a	Did the organization obtain separate, independent audited financial statements for the tax year? If "Yes," complete			
	Schedule D, Parts XI and XII	12a		Х
b	Was the organization included in consolidated, independent audited financial statements for the tax year?			
	If "Yes," and if the organization answered "No" to line 12a, then completing Schedule D, Parts XI and XII is optional	12b	Х	
13	Is the organization a school described in section 170(b)(1)(A)(ii)? If "Yes," complete Schedule E	13		X
14a	Did the organization maintain an office, employees, or agents outside of the United States?	14a		Х
b	Did the organization have aggregate revenues or expenses of more than \$10,000 from grantmaking, fundraising, business,			
	investment, and program service activities outside the United States, or aggregate foreign investments valued at \$100,000			
	or more? If "Yes," complete Schedule F, Parts I and IV	14b		Х
15	Did the organization report on Part IX, column (A), line 3, more than \$5,000 of grants or assistance to any organization			17
	or entity located outside the United States? If "Yes," complete Schedule F, Parts II and IV	15		Х
16	Did the organization report on Part IX, column (A), line 3, more than \$5,000 of aggregate grants or assistance to individuals			77
4-	located outside the United States? If "Yes," complete Schedule F, Parts III and IV	16		Х
17	Did the organization report a total of more than \$15,000 of expenses for professional fundraising services on Part IX, column (A), lines 6 and 11e? If "Yes," complete Schedule G, Part I	17		Х
18	Did the organization report more than \$15,000 total of fundraising event gross income and contributions on Part VIII, lines			
	1c and 8a? If "Yes," complete Schedule G, Part II	18		Х
19	Did the organization report more than \$15,000 of gross income from gaming activities on Part VIII, line 9a? If "Yes,"			
	complete Schedule G, Part III	19		Х
	Did the organization operate one or more hospital facilities? If "Yes," complete Schedule H	20a		Х
b	If "Yes" to line 20a, did the organization attach a copy of its audited financial statements to this return?	20 b		

Form 990 (2012) The Financial Planning Assortion Form IV Checklist of Required Schedules (continued)

			Yes	No
21	Did the organization report more than \$5,000 of grants and other assistance to any government or organization in the			
	United States on Part IX, column (A), line 1? If "Yes," complete Schedule I, Parts I and II	21	Х	
22	Did the organization report more than \$5,000 of grants and other assistance to individuals in the United States on Part IX,			
	column (A), line 2? If "Yes," complete Schedule I, Parts I and III	22		X
23	Did the organization answer "Yes" to Part VII, Section A, line 3, 4, or 5 about compensation of the organization's current			
	and former officers, directors, trustees, key employees, and highest compensated employees? If "Yes," complete			
	Schedule J	23	Х	
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? If "Yes," answer lines 24b through 24d and complete			
	Schedule K. If "No", go to line 25	24a		X
b	Did the organization invest any proceeds of tax-exempt bonds beyond a temporary period exception?	24b		
С	Did the organization maintain an escrow account other than a refunding escrow at any time during the year to defease	04-		
	any tax-exempt bonds?	24c		
	Did the organization act as an "on behalf of" issuer for bonds outstanding at any time during the year?	24d		
2 5a	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? If "Yes," complete Schedule L, Part I	25a		
b	Is the organization aware that it engaged in an excess benefit transaction with a disqualified person in a prior year, and	2 5a		
b	that the transaction has not been reported on any of the organization's prior Forms 990 or 990-EZ? If "Yes," complete			
	Schedule L, Part I	25b		
26	Was a loan to or by a current or former officer, director, trustee, key employee, highest compensated employee, or disqualified			
	person outstanding as of the end of the organization's tax year? If "Yes," complete Schedule L, Part II	26		Х
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? If "Yes," complete Schedule L, Part III	27		Х
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):			
а	A current or former officer, director, trustee, or key employee? If "Yes," complete Schedule L, Part IV	28a		Х
b	A family member of a current or former officer, director, trustee, or key employee? If "Yes," complete Schedule L, Part IV	28b		Х
С	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? If "Yes," complete Schedule L, Part IV	28c		X
29	Did the organization receive more than \$25,000 in non-cash contributions? If "Yes," complete Schedule M	29		X
30	Did the organization receive contributions of art, historical treasures, or other similar assets, or qualified conservation			77
•	contributions? If "Yes," complete Schedule M	30		X
31	Did the organization liquidate, terminate, or dissolve and cease operations?	0.1		Х
20	If "Yes," complete Schedule N, Part I Did the organization sell, exchange, dispose of, or transfer more than 25% of its net assets? If "Yes," complete	31		
32		32		х
33	Did the organization own 100% of an entity disregarded as separate from the organization under Regulations	52		
00	sections 301.7701-2 and 301.7701-3? If "Yes," complete Schedule R, Part I	33		Х
34	Was the organization related to any tax-exempt or taxable entity? If "Yes," complete Schedule R, Part II, III, or IV, and			
٠.	Part V, line 1	34	Х	
35a	Did the organization have a controlled entity within the meaning of section 512(b)(13)?	35a	Х	
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)? If "Yes," complete Schedule R, Part V, line 2	35b		Х
36	Section 501(c)(3) organizations. Did the organization make any transfers to an exempt non-charitable related organization?			
	If "Yes," complete Schedule R, Part V, line 2	36		
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? If "Yes," complete Schedule R, Part VI	37		Х
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	Х	

Form **990** (2012)

Form 990 (2012) The Financial Planning Association Part V Statements Regarding Other IRS Filings and Tax Compliance

	Check if Schedule O contains a response to any question in this Part V								
				Yes	No				
1a	Enter the number reported in Box 3 of Form 1096. Enter -0- if not applicable	1a 36							
b	Enter the number of Forms W-2G included in line 1a. Enter -0- if not applicable	1b							
С	Did the organization comply with backup withholding rules for reportable payments to vendors and it								
	(gambling) winnings to prize winners?		1c	х					
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 82								
b	If at least one is reported on line 2a, did the organization file all required federal employment tax retu	rns?	2b	Х					
	Note. If the sum of lines 1a and 2a is greater than 250, you may be required to e-file (see instruction	s)							
За	Did the organization have unrelated business gross income of \$1,000 or more during the year?		За	х					
b	If "Yes," has it filed a Form 990-T for this year? If "No," provide an explanation in Schedule O		3b	Х					
4a	At any time during the calendar year, did the organization have an interest in, or a signature or other	authority over, a							
	financial account in a foreign country (such as a bank account, securities account, or other financial	account)?	4a		Х				
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.							
5а	Was the organization a party to a prohibited tax shelter transaction at any time during the tax year?		5a		Х				
b	Did any taxable party notify the organization that it was or is a party to a prohibited tax shelter transaction	action?	5b		Х				
	If "Yes," to line 5a or 5b, did the organization file Form 8886-T?		5c						
6a	Does the organization have annual gross receipts that are normally greater than \$100,000, and did to	he organization solicit							
			6a		Х				
b	If "Yes," did the organization include with every solicitation an express statement that such contribu								
	were not tax deductible?		6b						
7	Organizations that may receive deductible contributions under section 170(c).		7a						
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?									
b	If "Yes," did the organization notify the donor of the value of the goods or services provided?		7b						
С	Did the organization sell, exchange, or otherwise dispose of tangible personal property for which it w	as required							
٦	to file Form 8282? If "Yes," indicate the number of Forms 8282 filed during the year	7d	7c						
d e	If "Yes," indicate the number of Forms 8282 filed during the year Did the organization receive any funds, directly or indirectly, to pay premiums on a personal benefit of		7e		х				
f	Did the organization, during the year, pay premiums, directly or indirectly, on a personal benefit cont		7f		х				
g	If the organization received a contribution of qualified intellectual property, did the organization file F		7g						
h	If the organization received a contribution of cars, boats, airplanes, or other vehicles, did the organization		7h						
8	Sponsoring organizations maintaining donor advised funds and section 509(a)(3) supporting organizations.								
	organization, or a donor advised fund maintained by a sponsoring organization, have excess business holdings at		8						
9	Sponsoring organizations maintaining donor advised funds.								
а	Did the organization make any taxable distributions under section 4966?		9a						
b	Did the organization make a distribution to a donor, donor advisor, or related person?		9b						
10	Section 501(c)(7) organizations. Enter:	1 1							
а	Initiation fees and capital contributions included on Part VIII, line 12	10a							
b	Gross receipts, included on Form 990, Part VIII, line 12, for public use of club facilities	10b							
11	Section 501(c)(12) organizations. Enter:	1 1							
а	Gross income from members or shareholders	11a							
b	Gross income from other sources (Do not net amounts due or paid to other sources against								
	amounts due or received from them.)	11b							
	Section 4947(a)(1) non-exempt charitable trusts. Is the organization filing Form 990 in lieu of Form	1 1	12a						
	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.		40						
а	Is the organization licensed to issue qualified health plans in more than one state?		13a						
J-	Note. See the instructions for additional information the organization must report on Schedule O.								
D	Enter the amount of reserves the organization is required to maintain by the states in which the	126							
_	organization is licensed to issue qualified health plans	13b							
	Enter the amount of reserves on hand Did the organization receive any payments for indoor tanning services during the tax year?	13c	14a		Х				
	If "Yes," has it filed a Form 720 to report these payments? If "No," provide an explanation in Schedu	le ()	14a						
	11 100, has a mod a form 120 to report those payments: 11 110, provide an explanation in coneda.		, TO						

The Financial Planning Association Page 6 Part VI Governance, Management, and Disclosure For each "Yes" response to lines 2 through 7b below, and for a "No" response to line 8a, 8b, or 10b below, describe the circumstances, processes, or changes in Schedule O. See instructions.

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

Section A. Governing Body and Management

Γx

<u> </u>	don A. Governing Body and Management				
				Yes	No
1a	Enter the number of voting members of the governing body at the end of the tax year	1a	14		
	If there are material differences in voting rights among members of the governing body, or if the governing				
	body delegated broad authority to an executive committee or similar committee, explain in Schedule O.				
b	Enter the number of voting members included in line 1a, above, who are independent	1b	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?		. 2		Х
3	Did the organization delegate control over management duties customarily performed by or under th				
	of officers, directors, or trustees, or key employees to a management company or other person?		. 3		Х
4	Did the organization make any significant changes to its governing documents since the prior Form 9	90 was filed?	. 4		Х
5	Did the organization become aware during the year of a significant diversion of the organization's ass	sets?	. 5		Х
6	Did the organization have members or stockholders?		. 6		Х
7a	Did the organization have members, stockholders, or other persons who had the power to elect or approximately appr	point one or			
	more members of the governing body?		. 7a		Х
b	Are any governance decisions of the organization reserved to (or subject to approval by) members, s	tockholders, or			
	persons other than the governing body?		. 7b		Х
8	Did the organization contemporaneously document the meetings held or written actions undertaken during the year				
а	The governing body?		. 8a	Х	
b	Each committee with authority to act on behalf of the governing body?			Х	
9	Is there any officer, director, trustee, or key employee listed in Part VII, Section A, who cannot be rea				
	organization's mailing address? If "Yes," provide the names and addresses in Schedule O		. 9		Х
Sec	tion B. Policies (This Section B requests information about policies not required by the Internal Re	evenue Code.)			
				Yes	No
10a	Did the organization have local chapters, branches, or affiliates?		. 10a	Х	
	If "Yes," did the organization have written policies and procedures governing the activities of such ch				
	and branches to ensure their operations are consistent with the organization's exempt purposes?		10b	х	
11a	Has the organization provided a complete copy of this Form 990 to all members of its governing bod		11a	Х	
b	Describe in Schedule O the process, if any, used by the organization to review this Form 990.				
12a	Did the organization have a written conflict of interest policy? If "No," go to line 13		12a	Х	
b	Were officers, directors, or trustees, and key employees required to disclose annually interests that could give rise	to conflicts?	12b	Х	
С	Did the organization regularly and consistently monitor and enforce compliance with the policy? If "Y	es," describe			
	in Schedule O how this was done		. 12c	Х	
13	Did the organization have a written whistleblower policy?		13	Х	
14	Did the organization have a written document retention and destruction policy?		. 14	Х	
15	Did the process for determining compensation of the following persons include a review and approva	al by independent			
	persons, comparability data, and contemporaneous substantiation of the deliberation and decision?				
а	The organization's CEO, Executive Director, or top management official		. 15a	Х	
b	Other officers or key employees of the organization		. 15b	Х	
	If "Yes" to line 15a or 15b, describe the process in Schedule O (see instructions).				
16a	Did the organization invest in, contribute assets to, or participate in a joint venture or similar arranger	nent with a			
	taxable entity during the year?		16a		Х
b	If "Yes," did the organization follow a written policy or procedure requiring the organization to evaluate	te its participation			
	in joint venture arrangements under applicable federal tax law, and take steps to safeguard the organic	nization's			
	exempt status with respect to such arrangements?		. 16b		
<u>Sec</u>	tion C. Disclosure				
17	List the states with which a copy of this Form 990 is required to be filed ►GA				
18	Section 6104 requires an organization to make its Forms 1023 (or 1024 if applicable), 990, and 990-T	(Section 501(c)(3)s only	/) availat	ole	
	for public inspection. Indicate how you made these available. Check all that apply.				
	Own website Another's website Upon request Other (explain	in Schedule O)			
19	Describe in Schedule O whether (and if so, how), the organization made its governing documents, co	onflict of interest policy,	and fina	ncial	
	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 at	nd records of the organi	zation:		
	Craig Noll - 303-759-4900				
	7535 E. Hampden Ave., No. 600, Denver, CO 80231				

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

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

Section A. Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees

Form 990 (2012)

- 1a Complete this table for all persons required to be listed. Report compensation for the calendar year ending with or within the organization's tax year.
- List all of the organization's **current** officers, directors, trustees (whether individuals or organizations), regardless of amount of compensation. Enter -0- in columns (D), (E), and (F) if no compensation was paid.
 - List all of the organization's current key employees, if any. See instructions for definition of "key employee."
- List the organization's five **current** highest compensated employees (other than an officer, director, trustee, or key employee) who received reportable compensation (Box 5 of Form W-2 and/or Box 7 of Form 1099-MISC) of more than \$100,000 from the organization and any related organizations.
- List all of the organization's **former** officers, key employees, and highest compensated employees who received more than \$100,000 of reportable compensation from the organization and any related organizations.
- List all of the organization's **former directors or trustees** that received, in the capacity as a former director or trustee of the organization, more than \$10,000 of reportable compensation from the organization and any related organizations.

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

(1) Michael Branham President-Elect / President (2) Paul Auslander President / Chair (3) Martin Kurtz Chair (Part Year) (4) Stuart Armstrong	(B) Average hours per week (list any hours for related organizations below line) 5.00	stee or director	not ch unless cer and trustee	ss per	ition more rson i	than o	n an	(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
(1) Michael Branham President-Elect / President (2) Paul Auslander President / Chair (3) Martin Kurtz Chair (Part Year) (4) Stuart Armstrong	hours per week (list any hours for related organizations below line) 5.00	Individual trustee or director	unles cer an	ss per d a di	rson i irecto	s boti r/trus	n an	compensation from the organization	compensation from related organizations	amount of other compensation from the
(1) Michael Branham President-Elect / President (2) Paul Auslander President / Chair (3) Martin Kurtz Chair (Part Year) (4) Stuart Armstrong	week (list any hours for related organizations below line) 5.00	Individual trustee or director	cer an	d a di	irecto	r/trus		from the organization	from related organizations	other compensation from the
(1) Michael Branham President-Elect / President (2) Paul Auslander President / Chair (3) Martin Kurtz Chair (Part Year) (4) Stuart Armstrong	hours for related organizations below line) 5.00	Individual trustee	Institutional trustee	Officer	Key employee	st compensated lyee		organization	•	from the
(1) Michael Branham President-Elect / President (2) Paul Auslander President / Chair (3) Martin Kurtz Chair (Part Year) (4) Stuart Armstrong	related organizations below line) 5.00	Individual trustee	Institutional trustee	Officer	Key employee	st compensated Iyee			(W-2/1099-MISC)	
(1) Michael Branham President-Elect / President (2) Paul Auslander President / Chair (3) Martin Kurtz Chair (Part Year) (4) Stuart Armstrong	organizations below line) 5.00	Individual trustee	Institutional truste	Officer	Key employee	st compensa iyee		(W-2/1099-MISC)		organization
(1) Michael Branham President-Elect / President (2) Paul Auslander President / Chair (3) Martin Kurtz Chair (Part Year) (4) Stuart Armstrong	below line) 5.00		Institutional	Officer	Key employe	st co m ıyee				•
President-Elect / President (2) Paul Auslander President / Chair (3) Martin Kurtz Chair (Part Year) (4) Stuart Armstrong	line) 5.00 5.00		Institut	Officer	Key em	S				and related organizations
President-Elect / President (2) Paul Auslander President / Chair (3) Martin Kurtz Chair (Part Year) (4) Stuart Armstrong	5.00		느	0	\sim	ighe mplc	Former			organizations
(2) Paul Auslander President / Chair (3) Martin Kurtz Chair (Part Year) (4) Stuart Armstrong	5.00	х				Ξē	Œ			
President / Chair (3) Martin Kurtz Chair (Part Year) (4) Stuart Armstrong				x				0.	0.	0.
(3) Martin Kurtz Chair (Part Year) (4) Stuart Armstrong	5.00									
Chair (Part Year) (4) Stuart Armstrong	5.00	х		х				0.	0.	0.
(4) Stuart Armstrong										
		х		х				0.	0.	0.
,	5.00									
Director		Х						0.	0.	0.
(5) Rita Cheng	5.00									1
Director		Х						0.	0.	0.
(6) Martin Durbin	5.00									1
Director		Х						0.	0.	0.
(7) Samuel J. Gallucci	5.00									
Director		Х						0.	0.	0.
(8) A.R. Hoxton IV	5.00									1
Director		Х						0.	0.	0.
(9) Julie Littlechild	5.00									1
Director		Х						0.	0.	0.
(10) Keith Loveland	5.00									1
Director		Х						0.	0.	0.
(11) Shannon Pike	5.00									1
Director		Х						0.	0.	0.
(12) Mark L. Prendergast	5.00									
Director	F 00	Х						0.	0.	0.
(13) Pamela Sandy	5.00	.,						0	0	
Director (14) Richard Stumpf	5.00	Х		_				0.	0.	0.
F	5,00	, .						0	0.	
Director (15) Janet Stanzak	5.00	Х						0.	0.	0.
Director / President-Elect	3,00	x						0.	0.	0.
(16) James Tissot	5.00	Λ		-				0.	0.	
Director (Part Year)	3,00	x						0.	0.	0.
(17) Edward Gjertsen II	5.00			\dashv					•	
Director (Part Year)		х			1	1				

232007 12-10-12 Form **990** (2012)

Form 990 (2012) The Financial					_				84-1521488	Page 8
Part VII Section A. Officers, Directors, Trus		ploy	ees			ghe	st C			T
(A)	(B)		(C)					(D)	(E)	(F)
Name and title	Average	(do	Position (do not check more than one box, unless person is both an officer and a director/trustee)		one	Reportable	Reportable	Estimated		
	hours per week					compensation	compensation	amount of		
	(list any	o.					Ė	from the	from related organizations	other compensation
	hours for	ndividual trustee or director				_		organization	(W-2/1099-MISC)	from the
	related	e or (stee			sate		(W-2/1099-MISC)	(** 2) 1000 (***100)	organization
	organizations	truste	Institutional trustee		yee	mper		(** =/ *********************************		and related
	below	idual	ution	in 1	oldm	est co oyee	ie.			organizations
	line)	Indiv	Instit	Officer	Key employee	Highest compensated employee	Form			
(18) Vern Hayden	5.00									
Director (Part Year)		Х						0.	0.	0.
(19) Christopher Rand	5.00									
Director (Part Year)		Х						0.	0.	0.
(20) Lauren Schadle	40.00									
Assoc. Exec. Dir. / CEO				Х				166,946.	0.	14,133.
(21) Marvin Tuttle, Jr.	40.00									
Exec. Dir. / CEO (Part Year)				Х				299,134.	0.	18,465.
(22) Curtis Niepoth	40.00									
Assoc. Exec. Dir. / CEO (Part Year)				Х				166,228.	0.	16,298.
(23) Daniel Barry	40.00									
Dir Gov't Relations (Part Year)						Х		146,375.	0.	13,406.
(24) David Cohan	40.00									
Asst. Dir. Gov't Relations (Part Yea						Х		128,577.	0.	14,579.
(25) Leslie Allen	40.00									
Director IT (Part Year)						Х		124,783.	0.	13,511.
(26) Phillipe Hinch	40.00									
Asst. Dir. Gov't Relations (Part Yea						Х		117,590.	0.	11,798.
1b Sub-total								1,149,633.	0.	102,190.
c Total from continuation sheets to Part VI	I, Section A							112,004.	0.	12,452.
d Total (add lines 1b and 1c)						>		1,261,637.	0.	114,642.
2 Total number of individuals (including but n	ot limited to th	ose	liste	ed al	bove	e) wł	no re	eceived more than \$100	0,000 of reportable	
compensation from the organization										9
-										Ves No

Yes | No 3 4

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

Did the organization list any former officer, director, or trustee, key employee, or highest compensated employee on

Section B. Independent Contractors

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.

(0)
(C) Compensation
273,005.
220,378
licy 152,693
143,549
135,869

rendered to the organization? If "Yes," complete Schedule J for such person

Form 990 The Financia	l Planning	Ass	oci	ati	on				84-152148	8	
Part VII Section A. Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees (continued)											
(A)	(D)	(E)	(F)								
Name and title	Average				ition			Reportable	Reportable	Estimated	
	hours	(c	hecł	c all	that	арр	ly)	compensation	compensation	amount of	
	per							from	from related	other	
	week	L				oyee		the	organizations	compensation	
	(list any	recto				Key employee Highest compensated employee Former	organization	(W-2/1099-MISC)	from the		
	hours for	ord	ee ee			ated		(W-2/1099-MISC)		organization	
	related	nstee	trust		e	suadı				and related organizations	
	helow	ual fr	tional		yoldr	tcon	L			organizations	
	(list any hours for related organizations below line)	bivibr	Institutional trustee	Officer	Key employee	lighes	Former				
(27) DC Mills	40.00	=	=	-	ř	_	ш.				
	40.00	ł				x		112 004	0.	12 452	
Corporate Relations Manager					H	^		112,004.	0.	12,452.	
		1									
		<u> </u>			<u> </u>						
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		1									
Total to Part VII, Section A, line 1c	<u></u>							112,004.		12,452	

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Form 990 (2012) The Financi
Part VIII | Statement of Revenue

		Check if Schedule O cont	aine a reenonee	to any guestion i	n this Part VIII			
		Check if Schedule O Cont	<u>ains a response</u>	to any question	(A) Total revenue	(B) Related or exempt function revenue	(C) Unrelated business revenue	Revenue excluded from tax under sections 512, 513, or 514
오 <u>각</u>	1 a	Federated campaigns	1a					,
Contributions, Gifts, Grants and Other Similar Amounts		Membership dues						
֓֞֓֓֓֓֓֓֓֟֓֓֓֓֓֟֓֓֓֓֓֓֟֓֓֓֓֓֓֓֓֓֓֓֟֓֓֓֓֟֓֓֓֓		Fundraising events						
ar la		Related organizations						
a,e		Government grants (contribut						
اقق		All address a sudulb sudden a sudden sussess	· -					
를림	•	similar amounts not included abo						
풀히	g							
25	_	Total. Add lines 1a-1f						
<u> </u>		Total: Add lines 1a 11		Business Code				
اه	2 a	Membership Dues		900099	6,017,200.	6,017,200.		
<u>§</u> .	2 a b			900099	2,610,010.	2,610,010.		
Se el	0	Event Sponsorships		900004	650,484.	628,524.	21,960.	
E S	d	Chamber Dalabiana		900099	153,259.	153,259.	,	
<u> </u>	u o	Publications/Website		900004	138,547.	110,333.	28,214.	
Program Service Revenue	f	All other program service reve	2010	900099	56,369.	56,369.	20,221	
	f	Total. Add lines 2a-2f		<u> </u>	9,625,869.	55,552.		
	3	Investment income (including			.,,			
	Ū	other similar amounts)			90,907.			90,907.
	4	Income from investment of ta			,			,
	5	Royalties		-				
	3	noyanies	(i) Real	(ii) Personal				
	6.0	Gross rents	(i) Neai	(II) Fersonal				
	6 a			+				
	b	Less: rental expenses Rental income or (loss)		+				
	ن	Net wentel income ou (leas)						
			(i) Coourition					
	<i>i</i> a	Gross amount from sales of	(i) Securities 3,190,061.	(ii) Other				
		assets other than inventory	3,130,001.	 				
	D	Less: cost or other basis	2 620 204					
		and sales expenses	2,629,394.					
		Gain or (loss)	· · · · · · · · · · · · · · · · · · ·	•	560 667			560 667
		Net gain or (loss)		P	560,667.			560,667.
nue	8 a	Gross income from fundraising including \$	g events (not of					
ě		contributions reported on line	1c). See					
ř.		Part IV, line 18	а					
Other Reven	b	Less: direct expenses						
٥		Net income or (loss) from fund						
		Gross income from gaming ac						
		Part IV, line 19	а					
	b	Less: direct expenses						
		Net income or (loss) from gam						
		Gross sales of inventory, less						
		and allowances						
	b	Less: cost of goods sold						
		Net income or (loss) from sale						
		Miscellaneous Revenu		Business Code				
	11 a			240111033 00ue				
	ii a							
	C							
		All other revenue						
		Total. Add lines 11a-11d						
	40	Total revenue See instructions			10 277 443	9 575 695	50 174	651 574

Form 990 (2012) The Financial Planni Part IX Statement of Functional Expenses

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

Check if Schedule O contains a response to any question in this Part IX									
	not include amounts reported on lines 6b, 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	95,140.							
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	824,747.							
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	3,553,754.							
8	Pension plan accruals and contributions (include								
	section 401(k) and 403(b) employer contributions)	109,414.							
9	Other employee benefits	272,688.							
10	Payroll taxes	296,449.							
11	Fees for services (non-employees):								
а	Management	22 425							
b	Legal	29,405.							
С.	Accounting	24,550. 126,975.							
d	Lobbying	120,975.							
e f	Investment management fees								
g	Other. (If line 11g amount exceeds 10% of line 25,								
9	column (A) amount, list line 11g expenses on Sch O.)	1,267,476.							
12	Advertising and promotion	542,259.							
13	Office expenses	661,322.							
14	Information technology	239,856.							
15	Royalties								
16	Occupancy	375,728.							
17	Travel	413,188.							
18	Payments of travel or entertainment expenses								
	for any federal, state, or local public officials								
19	Conferences, conventions, and meetings	1,361,855.							
20	Interest								
21	Payments to affiliates								
22	Depreciation, depletion, and amortization	134,571.							
23	Insurance	33,518.							
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 0.)								
а	Member publications	576,358.							
b	Other Expenses	421,120.							
С	Research	46,132.							
d	UBIT	<629.							
е	All other expenses	<785,977.	>						
25	Total functional expenses. Add lines 1 through 24e	10,619,899.							
26	Joint costs. Complete this line only if the organization								
	reported in column (B) joint costs from a combined educational campaign and fundraising solicitation.								
	Check here if following SOP 98-2 (ASC 958-720)								

84-1521488

Form 990 (2012) Part X Balance Sheet

		Check if Schedule O contains a response to any	/ ULIES	ion in this Part Y			
		Oneon il Gonedule O contains a response to all'	y quest	INTERPRETATION INTERPRETATION	(A) Beginning of year		(B) End of year
	1	Cash - non-interest-bearing			1,164,806.	1	732,094.
	2	Savings and temporary cash investments			2,520,408.	2	2,623,923.
	3	Pledges and grants receivable, net		, ,	3	, ,	
	4	Accounts receivable, net			83,324.	4	194,950.
	5	Loans and other receivables from current and for				•	, -
		trustees, key employees, and highest compensations					
				-		5	
	6	Part II of Schedule L Loans and other receivables from other disquali	rsons (as defined under		Ŭ		
		section 4958(f)(1)), persons described in section	•	,			
		employers and sponsoring organizations of section					
		employees' beneficiary organizations (see instr).		·		6	
ets	7	Notes and loans receivable, net				7	
Assets	8	Inventories for sale or use				8	
⋖	9	Prepaid expenses and deferred charges			441,257.	9	263,473.
		Land, buildings, and equipment: cost or other	I I		<u>, </u>		, -
	lou	basis. Complete Part VI of Schedule D	10a	3,145,641.			
	b	Less: accumulated depreciation		2,847,506.	270,123.	10c	298,135.
	11	Investments - publicly traded securities	100		2,842,628.	11	3,179,842.
	12	Investments - other securities. See Part IV, line			, , .	12	, , -
	13	Investments - program-related. See Part IV, line				13	920,969.
	14	Intangible assets				14	, -
	15	Other assets. See Part IV, line 11			15		
	16	Total assets. Add lines 1 through 15 (must equ			7,322,546.	16	8,213,386.
	17	Accounts payable and accrued expenses			1,302,043.	17	1,917,390.
	18	Grants payable			, ,	18	, ,
	19	Deferred revenue			4,479,942.	19	4,374,724.
	20	Tax-exempt bond liabilities			, ,	20	, ,
ω	21	Escrow or custodial account liability. Complete				21	
Liabilities	22	Loans and other payables to current and former					
abil		key employees, highest compensated employee					
Ï		Complete Part II of Schedule L				22	
	23	Secured mortgages and notes payable to unrela				23	
	24	Unsecured notes and loans payable to unrelate				24	
	25	Other liabilities (including federal income tax, pa					
		parties, and other liabilities not included on lines					
		Schedule D			100,728.	25	113,770.
	26	Total liabilities. Add lines 17 through 25			5,882,713.	26	6,405,884.
		Organizations that follow SFAS 117 (ASC 958	3), ched	ck here X and			
es		complete lines 27 through 29, and lines 33 an					
ü	27	Unrestricted net assets			1,439,833.	27	1,807,502.
3ale	28	Temporarily restricted net assets				28	
Jd E	29	Permanently restricted net assets		<u></u>		29	
Fund Balances		Organizations that do not follow SFAS 117 (A	SC 95	8), check here ▶Ш			
ō		and complete lines 30 through 34.					
Net Assets or	30	Capital stock or trust principal, or current funds				30	
Ass	31	Paid-in or capital surplus, or land, building, or ed	quipme	nt fund		31	
et /	32	Retained earnings, endowment, accumulated in				32	
Z	33	Total net assets or fund balances			1,439,833.	33	1,807,502.
	34	Total liabilities and net assets/fund balances	7,322,546.	34	8,213,386.		

Form **990** (2012)

Pa	rt XI Reconciliation of Net Assets			•	
	Check if Schedule O contains a response to any question in this Part XI				
1	Total revenue (must equal Part VIII, column (A), line 12)	1	10	,277,	443.
2	Total expenses (must equal Part IX, column (A), line 25)	2	10	,619,	899.
3	Revenue less expenses. Subtract line 2 from line 1	3		<342,	456.
4	Net assets or fund balances at beginning of year (must equal Part X, line 33, column (A))	4	1	,439,	833.
5	Net unrealized gains (losses) on investments	5		<210,	844.
6	Donated services and use of facilities	6			
7	Investment expenses	7			
8	Prior period adjustments	8		920,	969.
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	1	,807,	502.
Pa	rt XII Financial Statements and Reporting				
	Check if Schedule O contains a response to any question in this Part XII				LX.
				Yes	No
1	Accounting method used to prepare the Form 990: Cash X Accrual Other				
	If the organization changed its method of accounting from a prior year or checked "Other," explain in Schedule	Ο.			
2 a	Were the organization's financial statements compiled or reviewed by an independent accountant?		2a		X
	If "Yes," check a box below to indicate whether the financial statements for the year were compiled or reviewed	l on a			
	separate basis, consolidated basis, or both:				
	Separate basis Consolidated basis Both consolidated and separate basis				
b	Were the organization's financial statements audited by an independent accountant?		2b	Х	
	If "Yes," check a box below to indicate whether the financial statements for the year were audited on a separate	e basis,			
	consolidated basis, or both:				
	Separate basis				
С	If "Yes" to line 2a or 2b, does the organization have a committee that assumes responsibility for oversight of the	e audit,			
	review, or compilation of its financial statements and selection of an independent accountant?		2c	Х	
	If the organization changed either its oversight process or selection process during the tax year, explain in Sche				
За	As a result of a federal award, was the organization required to undergo an audit or audits as set forth in the Sir	-			
	Act and OMB Circular A-133?		3a		Х
b	If "Yes," did the organization undergo the required audit or audits? If the organization did not undergo the required	red audit			
	or audits, explain why in Schedule O and describe any steps taken to undergo such audits		3b		

Form **990** (2012)

SCHEDULE C

(Form 990 or 990-EZ)

Political Campaign and Lobbying Activities

For Organizations Exempt From Income Tax Under section 501(c) and section 527

➤ See separate instructions.

OMB No. 1545-0047

Open to Public Inspection

Department of the Treasury Internal Revenue Service ► Complete if the organization is described below. ► Attach to Form 990 or Form 990-EZ.

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

- 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) organiza	tions: Complete Part III.			
Nam	ne of organization			Emp	oloyer identification number
		ial Planning Association			84-1521488
Pa	art I-A Complete if the org	janization is exempt und	ler section 501(c)	or is a section 527	organization.
2 3	Provide a description of the organize Political expenditures Volunteer hours			>	\$
		janization is exempt und			
1	Enter the amount of any excise tax	incurred by the organization und	der section 4955	>	\$
2	Enter the amount of any excise tax	incurred by organization manag	ers under section 4955	5 >	\$
3	If the organization incurred a section	n 4955 tax, did it file Form 4720	for this year?		Yes No
4a	Was a correction made?				Yes No
	If "Yes," describe in Part IV.	 			()(0)
	art I-C Complete if the org	•		•	• • • • • • • • • • • • • • • • • • • •
	Enter the amount directly expended				\$
2	Enter the amount of the filing organ		· ·		
	exempt function activities				\$
3	Total exempt function expenditures			'	
_	line 17b			P	\$
	Did the filing organization file Form				
5	Enter the names, addresses and er				
	made payments. For each organiza contributions received that were pr	•	0 0		•
	political action committee (PAC). If				ate obgregated fand of a
	(a) Name	(b) Address	(c) EIN	(d) Amount paid from	(e) Amount of political
	(a) Name	(b) Address	(C) LIN	filing organization's	contributions received and
				funds. If none, enter -0-	
					delivered to a separate political organization.
					If none, enter -0

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

Schedule C (Form 990 or 990-EZ) 2012					84-152	21488 Page 2
Part II-A Complete if the org			mpt under sectio	n 501(c)(3) and fil	led Form 5768	
(election under sec	tion 501(h)).				
A Check 🕨 📖 if the filing organiza	ition belongs to	an affi	liated group (and list ir	Part IV each affiliated	l group member's nan	ne, address, EIN,
expenses, and sha	re of excess lo	bbying	expenditures).			
B Check 🕨 📖 if the filing organiza	tion checked b	ox A a	nd "limited control" pro	visions apply.		
	ts on Lobbyin	•	nditures ınts paid or incurred.		(a) Filing organization's	(b) Affiliated group totals
(The term expend	artares mean	3 411100	into para or incurreu.	1	totals	
1a Total lobbying expenditures to influ	uence public o	pinion (grass roots lobbying)			
b Total lobbying expenditures to influ	uence a legisla	tive bo	dy (direct lobbying)			
c Total lobbying expenditures (add li	ines 1a and 1b)				
d Other exempt purpose expenditure	es					
e Total exempt purpose expenditure	es (add lines 1	and 1	d)(k			
f Lobbying nontaxable amount. Enter	er the amount	from th	e following table in bot	h columns.		
If the amount on line 1e, column (a) o	or (b) is:	The lob	bying nontaxable am	ount is:		
Not over \$500,000	2	20% of	the amount on line 1e.			
Over \$500,000 but not over \$1,00	0,000	\$100,00	00 plus 15% of the exc	ess over \$500,000.		
Over \$1,000,000 but not over \$1,5	500,000	\$175,00	00 plus 10% of the exc	ess over \$1,000,000.		
Over \$1,500,000 but not over \$17	,000,000	\$225,00	00 plus 5% of the exce	ss over \$1,500,000.		
Over \$17,000,000						
g Grassroots nontaxable amount (er	nter 25% of line	e 1f)				
h Subtract line 1g from line 1a. If zer	o or less, ente	r-0				
i Subtract line 1f from line 1c. If zero	o or less, enter	-0				
j If there is an amount other than ze	ero on either lin	e 1h or	line 1i, did the organiza	ation file Form 4720	_	
reporting section 4911 tax for this	year?				[Yes No
	4-Y	ear Ave	eraging Period Under	Section 501(h)		
, ,			ection 501(h) election		•	
cc	lumns below.	See th	e instructions for line	es 2a through 2f on pa	age 4.)	
	Lobbyin	g Expe	nditures During 4-Yea	ar Averaging Period		
Calendar year (or fiscal year beginning in)	(a) 2009)	(b) 2010	(c) 2011	(d) 2012	(e) Total
2a Lobbying nontaxable amount						
b Lobbying ceiling amount						
(150% of line 2a, column(e))						
c Total lobbying expenditures						
d Grassroots nontaxable amount						
e Grassroots ceiling amount						
(150% of line 2d, column (e))						
f Grassroots lobbying expenditures						

Schedule C (Form 990 or 990-EZ) 2012

Schedule C (Form 990 or 990-EZ) 2012 The Financial Planning Association 84-1521488 | 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)).

0, 0	ach "Yes," response to lines 1a through 1i below, provide in Part IV a detailed description	(8	a)	(b)	
of the	lobbying activity.	Yes	No	Am	ount
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:				
а	Volunteers?				
	Paid staff or management (include compensation in expenses reported on lines 1c through 1i)?				
	Media advertisements?				
	Mailings to members, legislators, or the public?				
	Publications, or published or broadcast statements?				
	Grants to other organizations for lobbying purposes?				
	Direct contact with legislators, their staffs, government officials, or a legislative body?				
	Rallies, demonstrations, seminars, conventions, speeches, lectures, or any similar means?				
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				
С	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?				
Par	Complete if the organization is exempt under section 501(c)(4), section 501(c)(6).	on 501(c)	(5), or se	ction	
				Yes	No
1	Were substantially all (90% or more) dues received nondeductible by members?		1		х
	Were substantially all (90% or more) dues received nondeductible by members? Did the organization make only in-house lobbying expenditures of \$2,000 or less?				X X
2 3	Did the organization make only in-house lobbying expenditures of \$2,000 or less? Did the organization agree to carry over lobbying and political expenditures from the prior year?		2 3		
2 3 Par	Did the organization make only in-house lobbying expenditures of \$2,000 or less? Did the organization agree to carry over lobbying and political expenditures from the prior year? III-B Complete if the organization is exempt under section 501(c)(4), section 501(c)(6) and if either (a) BOTH Part III-A, lines 1 and 2, are answered answered "Yes."	on 501(c) "No," O	2 3 (5), or se R (b) Par	ction t III-A, li	x x ne 3, is
2 3 Par	Did the organization make only in-house lobbying expenditures of \$2,000 or less? Did the organization agree to carry over lobbying and political expenditures from the prior year? III-B Complete if the organization is exempt under section 501(c)(4), section 501(c)(6) and if either (a) BOTH Part III-A, lines 1 and 2, are answered answered "Yes." Dues, assessments and similar amounts from members Section 162(e) nondeductible lobbying and political expenditures (do not include amounts of political expenditures)	on 501(c) "No," O	2 3 (5), or se R (b) Par	ction t III-A, li	x x ne 3, is
2 3 Par 1 2	Did the organization make only in-house lobbying expenditures of \$2,000 or less? Did the organization agree to carry over lobbying and political expenditures from the prior year? III-B Complete if the organization is exempt under section 501(c)(4), section 501(c)(6) and if either (a) BOTH Part III-A, lines 1 and 2, are answered answered "Yes." Dues, assessments and similar amounts from members Section 162(e) nondeductible lobbying and political expenditures (do not include amounts of political expenses for which the section 527(f) tax was paid).	on 501(c) "No," Ol	2 3 (5), or se R (b) Par	ction t III-A, li	x x ne 3, is
2 3 Par 1 2	Did the organization make only in-house lobbying expenditures of \$2,000 or less? Did the organization agree to carry over lobbying and political expenditures from the prior year? III-B Complete if the organization is exempt under section 501(c)(4), section 501(c)(6) and if either (a) BOTH Part III-A, lines 1 and 2, are answered answered "Yes." Dues, assessments and similar amounts from members Section 162(e) nondeductible lobbying and political expenditures (do not include amounts of politic expenses for which the section 527(f) tax was paid). Current year	on 501(c) "No," Ol	2 3)(5), or se R (b) Par	ction t III-A, li	x x ne 3, is
2 3 Par 1 2 a b	Did the organization make only in-house lobbying expenditures of \$2,000 or less? Did the organization agree to carry over lobbying and political expenditures from the prior year? III-B Complete if the organization is exempt under section 501(c)(4), section 501(c)(6) and if either (a) BOTH Part III-A, lines 1 and 2, are answered answered "Yes." Dues, assessments and similar amounts from members Section 162(e) nondeductible lobbying and political expenditures (do not include amounts of political expenses for which the section 527(f) tax was paid). Current year Carryover from last year	on 501(c) "No," O	2 3 (5), or se R (b) Par 1 2a 2b	ction t III-A, li	x x ne 3, is ,523,29
2 3 Par 1 2 a b c	Did the organization make only in-house lobbying expenditures of \$2,000 or less? Did the organization agree to carry over lobbying and political expenditures from the prior year? III-B Complete if the organization is exempt under section 501(c)(4), section 501(c)(6) and if either (a) BOTH Part III-A, lines 1 and 2, are answered answered "Yes." Dues, assessments and similar amounts from members Section 162(e) nondeductible lobbying and political expenditures (do not include amounts of politic expenses for which the section 527(f) tax was paid). Current year Carryover from last year Total	on 501(c) "No," O	2 3 (5), or se R (b) Par 1 2a 2b 2c	ction t III-A, li	x ne 3, is ,523,29 352,11
2 3 Par 1 2 a b c	Did the organization make only in-house lobbying expenditures of \$2,000 or less? Did the organization agree to carry over lobbying and political expenditures from the prior year? III-B Complete if the organization is exempt under section 501(c)(4), section 501(c)(6) and if either (a) BOTH Part III-A, lines 1 and 2, are answered answered "Yes." Dues, assessments and similar amounts from members Section 162(e) nondeductible lobbying and political expenditures (do not include amounts of political expenses for which the section 527(f) tax was paid). Current year Carryover from last year	on 501(c) "No," Ol	2 3 (5), or se R (b) Par 1 2a 2b 2c	ction t III-A, li	x x ne 3, is ,523,29 352,11
2 3 Par 1 2 a b c	Did the organization make only in-house lobbying expenditures of \$2,000 or less? Did the organization agree to carry over lobbying and political expenditures from the prior year? III-B Complete if the organization is exempt under section 501(c)(4), section 501(c)(6) and if either (a) BOTH Part III-A, lines 1 and 2, are answered answered "Yes." Dues, assessments and similar amounts from members Section 162(e) nondeductible lobbying and political expenditures (do not include amounts of politic expenses for which the section 527(f) tax was paid). Current year Carryover from last year Total Aggregate amount reported in section 6033(e)(1)(A) notices of nondeductible section 162(e) dues If notices were sent and the amount on line 2c exceeds the amount on line 3, what portion of the exceeds the organization agree to carryover to the reasonable estimate of nondeductible lobbying and prior to the reasonable estimate of nondeductible lobbying and prior to the reasonable estimate of nondeductible lobbying and prior to the reasonable estimate of nondeductible lobbying and prior to the reasonable estimate of nondeductible lobbying and prior to the reasonable estimate of nondeductible lobbying and prior to the reasonable estimate of nondeductible lobbying and prior to the reasonable estimate of nondeductible lobbying and prior to the reasonable estimate of nondeductible lobbying and prior to the reasonable estimate of nondeductible lobbying and prior the reasonable estimate of nondeduct	on 501(c) "No," Ol cal	2 3 (5), or se R (b) Par 1 2a 2b 2c 3	ction t III-A, li	X
2 3 Par 1 2 a b c 3 4	Did the organization make only in-house lobbying expenditures of \$2,000 or less? Did the organization agree to carry over lobbying and political expenditures from the prior year? III-B Complete if the organization is exempt under section 501(c)(4), section 501(c)(6) and if either (a) BOTH Part III-A, lines 1 and 2, are answered answered "Yes." Dues, assessments and similar amounts from members Section 162(e) nondeductible lobbying and political expenditures (do not include amounts of politic expenses for which the section 527(f) tax was paid). Current year Carryover from last year Total Aggregate amount reported in section 6033(e)(1)(A) notices of nondeductible section 162(e) dues If notices were sent and the amount on line 2c exceeds the amount on line 3, what portion of the exceeds the organization agree to carryover to the reasonable estimate of nondeductible lobbying and particular and the amount on the reasonable estimate of nondeductible lobbying and particular and the amount on the reasonable estimate of nondeductible lobbying and particular and the amount on the reasonable estimate of nondeductible lobbying and particular and the amount on the reasonable estimate of nondeductible lobbying and particular and the amount on the reasonable estimate of nondeductible lobbying and particular and the amount on the reasonable estimate of nondeductible lobbying and particular and the amount on the reasonable estimate of nondeductible lobbying and particular and the amount on the reasonable estimate of nondeductible lobbying and particular and the amount of the reasonable estimate of nondeductible lobbying and particular and the amount of the reasonable estimate of nondeductible lobbying and particular and the amount of the reasonable estimate of nondeductible lobbying and particular and the amount of the reasonable estimate of nondeductible lobbying and particular and the amount of the reasonable estimate of nondeductible lobbying and particular and the amount of the reasonable estimate of nondeductible	on 501(c) "No," Ol cal	2 3 (5), or se R (b) Par 1 2a 2b 2c 3	ction t III-A, li	x ne 3, is ,523,29 352,11
2 3 Par 1 2 a b c 3 4	Did the organization make only in-house lobbying expenditures of \$2,000 or less? Did the organization agree to carry over lobbying and political expenditures from the prior year? III-B Complete if the organization is exempt under section 501(c)(4), section 501(c)(6) and if either (a) BOTH Part III-A, lines 1 and 2, are answered answered "Yes." Dues, assessments and similar amounts from members Section 162(e) nondeductible lobbying and political expenditures (do not include amounts of politic expenses for which the section 527(f) tax was paid). Current year Carryover from last year Total Aggregate amount reported in section 6033(e)(1)(A) notices of nondeductible section 162(e) dues If notices were sent and the amount on line 2c exceeds the amount on line 3, what portion of the exceeded the organization agree to carryover to the reasonable estimate of nondeductible lobbying and pexpenditure next year?	on 501(c) "No," Ol cal	2 3 (5), or se R (b) Part 1 2a 2b 2c 3	ction t III-A, li	x x x ne 3, 523, 2 352, 1 411, 4

SCHEDULE D

(Form 990)

Department of the Treasury Internal Revenue Service

Supplemental Financial Statements

➤ Complete if the organization answered "Yes," to Form 990, Part IV, line 6, 7, 8, 9, 10, 11a, 11b, 11c, 11d, 11e, 11f, 12a, or 12b. ➤ Attach to Form 990. ➤ See separate instructions. 2012
Open to Public Inspection

Name of the organization

The Financial Planning Association

Employer identification number

84-1521488

Par	rt I Organizations Maintaining Donor Advise	ed Funds or Other Similar Funds	or Accounts. Complete if the
	organization answered "Yes" to Form 990, Part IV, line	e 6.	
		(a) Donor advised funds	(b) Funds and other accounts
1	Total number at end of year		
2	Aggregate contributions to (during year)		
3	Aggregate grants from (during year)		
4	Aggregate value at end of year		
5	Did the organization inform all donors and donor advisors in	writing that the assets held in donor advise	ed funds
	are the organization's property, subject to the organization's	_	
6	Did the organization inform all grantees, donors, and donor a		
	for charitable purposes and not for the benefit of the donor of		
Par	rt II Conservation Easements. Complete if the org		
1	Purpose(s) of conservation easements held by the organization	-	<u> </u>
	Preservation of land for public use (e.g., recreation or e		orically important land area
	Protection of natural habitat	Preservation of a certif	
	Preservation of open space		
2	Complete lines 2a through 2d if the organization held a quali	fied conservation contribution in the form o	of a conservation easement on the last
	day of the tax year.		
	22, 2, 22		Held at the End of the Tax Year
а	Total number of conservation easements		2a
b			l I
С	Number of conservation easements on a certified historic str		
d			
	listed in the National Register		
3	Number of conservation easements modified, transferred, re		
	year >	, 3 ,	3
4	Number of states where property subject to conservation ea	sement is located	
5	Does the organization have a written policy regarding the pe		
	violations, and enforcement of the conservation easements i		Yes No
6	Staff and volunteer hours devoted to monitoring, inspecting,		
7	Amount of expenses incurred in monitoring, inspecting, and		
8	Does each conservation easement reported on line 2(d) above		
	and section 170(h)(4)(B)(ii)?		
9	In Part XIII, describe how the organization reports conservati		
	include, if applicable, the text of the footnote to the organiza	·	,
	conservation easements.		3
Par	rt III Organizations Maintaining Collections o	f Art, Historical Treasures, or Ot	her Similar Assets.
	Complete if the organization answered "Yes" to Form	990, Part IV, line 8.	
1a	If the organization elected, as permitted under SFAS 116 (AS	SC 958), not to report in its revenue statem	ent and balance sheet works of art,
	historical treasures, or other similar assets held for public exl	hibition, education, or research in furtheran	ice of public service, provide, in Part XIII,
	the text of the footnote to its financial statements that descri	ibes these items.	
b	If the organization elected, as permitted under SFAS 116 (AS	SC 958), to report in its revenue statement	and balance sheet works of art, historical
	treasures, or other similar assets held for public exhibition, ea	ducation, or research in furtherance of pub	lic service, provide the following amounts
	relating to these items:		
	(i) Revenues included in Form 990, Part VIII, line 1		> \$
2	If the organization received or held works of art, historical tre		
	the following amounts required to be reported under SFAS 1		
а			> \$
	Assets included in Form 990, Part X		

Sche	dale B (1 61111 666) 2612	al Planning Ass					84-1521		Page 2
Pai	t III Organizations Maintaining C	ollections of A	rt, Hist	orical Tr	easures, c	or Other	Similar Ass	e ts (contii	nued)
3	Using the organization's acquisition, accessi	on, and other record	ds, check	any of the	following tha	t are a sigr	ificant use of its	collectio	n items
	(check all that apply):								
а	Public exhibition	d			hange progra				
b	Scholarly research	е	, []	Other					
С	Preservation for future generations								
4	Provide a description of the organization's co	ollections and explai	in how the	ey further t	he organizati	on's exemp	ot purpose in Pa	rt XIII.	
5	During the year, did the organization solicit o							_	
_	to be sold to raise funds rather than to be ma							Yes	└── No
Pai	t IV Escrow and Custodial Arran		ete if the	organizatio	n answered '	'Yes" to Fo	rm 990, Part IV,	line 9, or	
	reported an amount on Form 990, Par								
1a	Is the organization an agent, trustee, custodi							٦.,	п
	on Form 990, Part X?						L	_ Yes	└── No
b	If "Yes," explain the arrangement in Part XIII	and complete the fo	ollowing ta	able:					
							 	Amoun	t
	Beginning balance						1c		
	Additions during the year						1d		
e	Distributions during the year						1e		
7	Ending balance						1f	Yes	l Na
	Did the organization include an amount on Fo								No
Pai	If "Yes," explain the arrangement in Part XIII. T V Endowment Funds. Complete it								
. u	Endownione i dildo: Complete ii	(a) Current year		ior year			Three years back	(a) Four	vears hack
10	Beginning of year balance	(a) Ourrent year	(5)11	ioi yeai	(C) TWO YOUR	o buok (u)	Timoo youro buoi	(6) 1 001	youro buon
h	Contributions								
c	Net investment earnings, gains, and losses								
ď	Grants or scholarships								
	Other expenditures for facilities								
ŭ	and programs								
f	Administrative expenses								
a	End of year balance								
2	Provide the estimated percentage of the curr	rent vear end balanc	ce (line 1d	ı. column (a	a)) held as:			•	
a	Board designated or quasi-endowment	•	%	,, (-					
b	Permanent endowment	%							
С	Temporarily restricted endowment ▶	 %							
	The percentages in lines 2a, 2b, and 2c shou	-							
За	Are there endowment funds not in the posse		ation that	t are held a	nd administe	red 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								
4	Describe in Part XIII the intended uses of the								
Pai	t VI Land, Buildings, and Equipm	ent. See Form 990), Part X,	line 10.					
_	Description of property	(a) Cost or o basis (investr			or other (other)		umulated ciation	(d) Boo	k value
1a	Land								
	Buildings								
	Leasehold improvements				87,606.		69,834.		17,772.
	Equipment				860,168.		738,586.		121,582.
<u>e</u>	Other				,197,867.	- 2	2,039,086.		158,781.
Tota	I. Add lines 1a through 1e. (Column (d) must e	qual Form 990, Part	X, colum	n (B), line 1	0(c).)				298,135.

Part VII Investments - Other Securities. See	o Form 000 Part V line 13	<u> </u>		1321400 Page 0
(a) Description of security or category (including name of security)	(b) Book value		aluation: Cost or end	d-of-year market value
(1) Financial derivatives	(2) = 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2	(-,		,
(2) Closely-held equity interests				
(3) Other				
(A)				
(B)				
(C)				
(D)				
(E)				
(F)				
(G)				
(H)				
<u>(I)</u>				
Total. (Col. (b) must equal Form 990, Part X, col. (B) line 12.)				
Part VIII Investments - Program Related. Se			alization. Cook an an	1 -6
(a) Description of investment type	(b) Book value	(c) Method of V	aluation: Cost or end	d-of-year market value
(1) Investment in Financial Services (2) Information Company	020 060	End of Voor	Marriest Value	
	920,969.	End-of-Year	market value	
(3)				
<u>(4)</u>				
(5) (6)				
(7)				
(8)				
(9)				
(10)				
Total. (Col. (b) must equal Form 990, Part X, col. (B) line 13.)	920,969.			
Part IX Other Assets. See Form 990, Part X, line	15.			
(a)	Description			(b) Book value
(1)				
(2)				
(3)				
(4)				
(5)				
(6)				
(7)				
(8)				
(9)				
(10)	- 45)			
Total. (Column (b) must equal Form 990, Part X, col. (B) line Part X Other Liabilities. See Form 990, Part X,			·····	
(1) 5		(b) Book value		
1. (a) Description of liability (1) Federal income taxes		(b) Book value		
(2) Deferred Rent		113,770.		
(3)		220,770.		
(4)				
(5)				
(6)				
(7)				
(8)				
(9)				
(10)				
(11)				
Total. (Column (b) must equal Form 990, Part X, col. (B) line	e 25.)	113,770.		
2. FIN 48 (ASC 740) Footnote. In Part XIII, provide the tex		ganization's financia	statements that rep	oorts 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

Schedule D (Form 990) 2012

SCHEDULE I (Form 990)

Department of the Treasury Internal Revenue Service

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

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

► Attach to Form 990.

OMB No. 1545-0047

Open to Public Inspection

Name of the organization							Employer identification number
Part I General Information on Grants	Planning Asso	ociation					84-1521488
Does the organization maintain records criteria used to award the grants or ass Describe in Part IV the organization's p	to substantiate th						
Part II Grants and Other Assistance to					anization answered "Y	es" to Form 990, Part	IV, line 21, for any
recipient that received more than		-				,	
Name and address of organization or government	(b) EIN	(c) IRC section if applicable	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV, appraisal, other)	(g) Description of non-cash assistance	(h) Purpose of grant or assistance
National Financial Planning							
Support Center - 7535 E. Hampden Ave, Ste 600 - Denver, CO 80231	74-2341001	E01/a)/2)	05 140	0.			General support of programs
Ave, Ste 000 - Denver, CO 00231	74-2341001	501(0)(3)	95,140.	0.			programs
2 Enter total number of section 501(c)(3)3 Enter total number of other organization							1.

Part III can be duplicated if additional space is needed.		-		· · · · ·	
(a) Type of grant or assistance	(b) Number of recipients	(c) Amount of cash grant	(d) Amount of non- cash assistance	(e) Method of valuation (book, FMV, appraisal, other)	(f) Description of non-cash assistance
	·				
Part IV Supplemental Information. Complete this part to provi	I I ide the information	n required in Part I,	l , line 2, Part III, colum	n (b), and any other additional in	formation.
Schedule I, Part I, Line 2: FPA granted funds to a	related organ	nization			
with to whom it provides staff and services, inclu	ding accounting	ng. Due to			
FPA's direct involvement, close monitoring of grant	ted funds take	es place.			

SCHEDULE J (Form 990)

Department of the Treasury

Internal Revenue Service

Compensation Information

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

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

► Attach to Form 990. ► See separate instructions. OMB No. 1545-0047

Open to Public Inspection

Name of the organization

The Financial Planning Association

Employer identification number

84-1521488

Part I **Questions Regarding Compensation** Yes No 1a Check the appropriate box(es) if the organization provided any of the following to or for a person listed in Form 990, Part VII, Section A, line 1a. Complete Part III to provide any relevant information regarding these items. First-class or charter travel Housing allowance or residence for personal use Travel for companions Payments for business use of personal residence Tax indemnification and gross-up payments Health or social club dues or initiation fees Discretionary spending account Personal services (e.g., maid, chauffeur, chef) b If any of the boxes on line 1a are checked, did the organization follow a written policy regarding payment or reimbursement or provision of all of the expenses described above? If "No," complete Part III to explain 1b Did the organization require substantiation prior to reimbursing or allowing expenses incurred by all officers, directors, trustees, and the CEO/Executive Director, regarding the items checked in line 1a? 2 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. X Compensation committee X Written employment contract Independent compensation consultant Compensation survey or study Approval by the board or compensation committee Form 990 of other organizations 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: Receive a severance payment or change-of-control payment? **b** Participate in, or receive payment from, a supplemental nonqualified retirement plan? Х 4b Х c Participate in, or receive payment from, an equity-based compensation arrangement? If "Yes" to any of lines 4a-c, list the persons and provide the applicable amounts for each item in Part III. Only section 501(c)(3) and 501(c)(4) organizations must complete lines 5-9. 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. 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: The organization? 6a **b** Any related organization? If "Yes" to line 6a or 6b, describe in Part III. 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 7 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 If "Yes" to line 8, did the organization also follow the rebuttable presumption procedure described in

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

Regulations section 53.4958-6(c)?

Schedule J (Form 990) 2012

The Financial Planning Association

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.

		(B) Breakdown of	W-2 and/or 1099-MI	SC compensation	(C) Retirement and other deferred	(D) Nontaxable benefits	(E) Total of columns	(F) Compensation reported as deferred	
(A) Name and Title		(i) Base compensation	(ii) Bonus & incentive compensation	(iii) Other reportable compensation	compensation	benefits	(B)(i)-(D)	in prior Form 990	
(1) Lauren Schadle	(i)	166,946.	0.	0.	8,241.	5,892.	181,079.	0.	
Assoc. Exec. Dir. / CEO	(ii)	0.	0.	0.	0.	0.	0.	0.	
(2) Marvin Tuttle, Jr.	(i)	299,134.	0.	0.	8,226.	10,239.	317,599.	0.	
Exec. Dir. / CEO (Part Year)	(ii)	0.	0.	0.	0.	0.	0.	0.	
(3) Curtis Niepoth	(i)	166,228.	0.	0.	8,221.	8,077.	182,526.	0.	
Assoc. Exec. Dir. / CEO (Part Year)	(ii)	0.	0.	0.	0.	0.	0.	0.	
(4) Daniel Barry	(i)	146,375.	0.	0.	1,557.	11,849.	159,781.	0.	
Dir Gov't Relations (Part Year)	(ii)	0.	0.	0.	0.	0.	0.	0.	
	(i)								
	(ii)								
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	(ii)								
	(i)								
	(ii)								

Part III Supplemental Information
Complete this part to provide the information, explanation, or descriptions required for Part I, lines 1a, 1b, 3, 4a, 4b, 4c, 5a, 5b, 6a, 6b, 7, and 8, and for Part II. Also complete this part for any additional information.
Part I, Line 4a: _
Former Assistant Director of Government Relations, David Cohen, received
severance of \$12,766.
Former Assistant Director of Government Relations, Phillips Hinch received
severance of \$8,124.
Former Executive Director and CEO, Marv Tuttle, received severance of
\$68,765.

SCHEDULE O (Form 990 or 990-EZ)

Supplemental Information to Form 990 or 990-EZ

Department of the Treasury Internal Revenue Service Complete to provide information for responses to specific questions on Form 990 or 990-EZ or to provide any additional information.

Attach to Form 990 or 990-EZ.

2012
Open to Public Inspection

Name of the organization **Employer identification number** The Financial Planning Association 84-1521488 Reason for Filing Amended 990: An amended Form 990 is being filed to report on Part X the net assets of a related wholly owned corporation included in the consolidated financial statements. Form 990, Part III, Line 4b, Program Service Accomplishments: addressing their concerns as well as ensuring that they are taking full advantage of their member benefits. Form 990, Part VI, Section B, line 11: The Form 990 is prepared by an independent CPA firm and reviewed by the Director of Finance and the Accounting Manager. It is then made available to the board for thier review prior to being filed with the IRS. Form 990, Part VI, Section B, Line 12c: On an annual basis, the directors and officers of the organization are required to disclose any conflicts of interest (actual, apparent, or potential) and agree to comply with the organizations conflict of interest policy. Upon disclosure of a potential conflict of interest and all material facts to the independent members of the board, and after any discussion with the interested persons, the independent board members shall discuss and decide if a conflict of interest exists. After exercising due diligence, the independent board members shall determine whether or not a conflict of interest is present. As part of that determination, the independent board members will decide whether the transaction or arrangement is in the organization's best interest, for the organization's

The Financial Planning Association	84-1521488
benefit, and whether it is fair and reasonable to the organization.	
Form 990, Part VI, Section B, Line 15:	
The CEO's compensation is determined through ASAE guidelines and surveys	
and then reviewed and approved by the independent members of the Board.	
Salaries of other officers and key employees are determined using ASAE	
guidelines and surveys, then reviewed and approved by the CEO. Board	
deliberations regarding compensation, as well as all votes held, are	
recorded in the minutes. Compensation packages are reviewed on an annual	
basis for appropriateness.	
Form 990, Part VI, Section C, Line 19: The governing documents, conflict	
of interest policy, and financial statements are all available upon request	
and the governing documents are also avaiable on the	
website.www.fpanet.org/aboutfpa/organization/governingdocuments.	
Form 990, Part XII, Line 2c - Explanation of Responsibility:	
The organization has a committee that assumes responsiblity for	
oversight of the audit and selection of the independant accounting firm	
used. This process has not changed from the prior year.	

SCHEDULE R (Form 990) Department of the Treasury Internal Revenue Service

Related Organizations and Unrelated Partnerships

► Complete if the organization answered "Yes" to Form 990, Part IV, line 33, 34, 35, 36, or 37.

► Attach to Form 990.

► See separate instructions.

2012
Open to Public Inspection

Name of the organization

The Financial Planning Association

Employer identification number 84-1521488

Part I Identification of Disregarded Entities (Complete	te if the organization answered "Y	es" to Form 990, Part IV, line 33	3.)				
(a) Name, address, and EIN (if applicable) of disregarded entity	(b) Primary activity	(c) Legal domicile (state of foreign country)	(d) or Total inco	me End-of-yea	r assets Direct of	(f) controlling ntity	9
	-						
	-						
Part II Identification of Related Tax-Exempt Organizations during the tax year.)	ations (Complete if the organization	on answered "Yes" to Form 990), Part IV, line 34 b	ecause it had one	or more related tax-exe	mpt	
(a) Name, address, and EIN of related organization	(b) Primary activity	(c) Legal domicile (state or foreign country)	(d) Exempt Code section	(e) Public charity status (if section	(f) Direct controlling entity	contr enti	g) 512(b)(13) rolled :ity?
				501(c)(3))	The Financial	Yes	No
74-2341001, 7535 E. Hampden Ave, Ste 600, Denver, CO 80231	Coordinate pro bono financial planning	Colorado	501(c)(3)	170(b)(1)(A)	Planning Association		x
,	-						
	-						

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

(a)	(b)	(c)	(d)	(e)	(f)	(g)	(1	h)	(i)	(j)	(k)
Name, address, and EIN of related organization	Primary activity	Legal domicile	Direct controlling	Predominant income (related, unrelated, excluded from tax under sections 512-514)	Share of total	Share of	Disproportion		Code V-UBI	Genera	or Percentage ownership
of related organization		(state or foreign	entity	excluded from tax under	income	end-of-year assets	ate allo	cations?	amount in box	partne	ownership
		country)		sections 512-514)		433013	Yes	No	amount in box 20 of Schedule K-1 (Form 1065)	Yes	lo
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	1										

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

(a) Name, address, and EIN of related organization	(b) Primary activity	(c) Legal domicile (state or foreign country)	(d) Direct controlling entity	(e) Type of entity (C corp, S corp, or trust)	(f) Share of total income	(g) Share of end-of-year assets	(h) Percentage ownership	en	(i) ction (b)(13) trolled tity?
			L	·				Yes	No
Financial Services Information Company - 58-1675458, 7535 E. Hampden Ave, Ste 600,			The Financial Planning						
Denver, CO 80231	Publication	GA	Association	C CORP			100.00%	Х	

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

Not	te. Complete line 1 if any entity is listed in Parts II, III, or IV of this schedule.		Yes	No
1	During the tax year, did the organization engage in any of the following transactions with one or more related organizations listed in Parts II-IV?			
а	Receipt of (i) interest (ii) annuities (iii) royalties or (iv) rent from a controlled entity	1a		Х
	Gift, grant, or capital contribution to related organization(s)	1b	Х	
С	Gift, grant, or capital contribution from related organization(s)	1c		Х
	Loans or loan guarantees to or for related organization(s)	1d		Х
е	Loans or loan guarantees by related organization(s)	1e		Х
f	Dividends from related organization(s)	1f		Х
g	Sale of assets to related organization(s)	1g		Х
h	Purchase of assets from related organization(s)	1h		Х
i	Exchange of assets with related organization(s)	1i		Х
j	Lease of facilities, equipment, or other assets to related organization(s)	1j		Х
k	Lease of facilities, equipment, or other assets from related organization(s)	1k		Х
-1	Performance of services or membership or fundraising solicitations for related organization(s)	11		Х
	Performance of services or membership or fundraising solicitations by related organization(s)	1m		Х
	Sharing of facilities, equipment, mailing lists, or other assets with related organization(s)	1n	Х	
o	Sharing of paid employees with related organization(s)	10	Х	
р	Reimbursement paid to related organization(s) for expenses	1 p	Х	
q	Reimbursement paid by related organization(s) for expenses	1q	Х	
r	Other transfer of cash or property to related organization(s)	1r		Х
s	Other transfer of cash or property to related organization(s) Other transfer of cash or property from related organization(s)	1s		Х
2	If the answer to any of the above is "Yes," see the instructions for information on who must complete this line, including covered relationships and transaction thresholds.			

(a) Name of other organization	(b) Transaction type (a-s)	(c) Amount involved	(d) Method of determining amount involved
(1) National Financial Planning Support Center	В	95,140.	Cash transferred
(2) National Financial Planning Support Center	Q	122,945.	Cash transferred
(3) National Financial Planning Support Center	0	86,404.	Cash transferred
(4) Financial Services Information Company	P	682,485.	Cash transferred
(5) Financial Services Information Company	0	427,457.	Cash transferred
(6)			

Part VI Unrelated Organizations Taxable as a Partnership (Complete if the organization answered "Yes" to Form 990, Part IV, line 37.)

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

(a) Name, address, and EIN of entity	(b) Primary activity	(c) Legal domicile (state or foreign country)	(d) Predominant income (related, unrelated, excluded from tax under section 512-514)	(e) Are all partners sec. 501(c)(3) orgs.? Yes No	(f) Share of total income	(g) Share of end-of-year assets	(h) Disprop tionate allocation Yes N	amount in box 2 s? of Schedule K-1	General of managing partner? Yes No	(k) Percentage ownership

Form **8868** (Rev. January 2013)

Department of the Treasury Internal Revenue Service

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

File a separate application for each return.

OMB No. 1545-1709

X If you are filing for an Automatic 3-Month Extension, complete only Part I and check this box • If you are filing for an Additional (Not Automatic) 3-Month Extension, complete only Part II (on page 2 of this form). Do not complete Part II unless you have already been granted an automatic 3-month extension on a previously filed Form 8868. Electronic filing (e-file). You can electronically file Form 8868 if you need a 3-month automatic extension of time to file (6 months for a corporation required to file Form 990-T), or an additional (not automatic) 3-month extension of time. You can electronically file Form 8868 to request an extension of time to file any of the forms listed in Part I or Part II with the exception of Form 8870, Information Return for Transfers Associated With Certain Personal Benefit Contracts, which must be sent to the IRS in paper format (see instructions), For more details on the electronic filing of this form, visit www.irs.gov/efile and click on e-file for Charities & Nonprofits. Automatic 3-Month Extension of Time. Only submit original (no copies needed). A corporation required to file Form 990-T and requesting an automatic 6-month extension - check this box and complete Part I only All other corporations (including 1120-C filers), partnerships, REMICs, and trusts must use Form 7004 to request an extension of time to file income tax returns. Name of exempt organization or other filer, see instructions. Employer identification number (EIN) or Type or print The Financial Planning Association 84-1521488 File by the Number, street, and room or suite no. If a P.O. box, see instructions. Social security number (SSN) due date for filina vour 7535 E. Hampden Ave., No. 600 return. See instructions City, town or post office, state, and ZIP code. For a foreign address, see instructions. Denver, CO 80231 Enter the Return code for the return that this application is for (file a separate application for each return) **Application** Return **Application** Return Is For Code Is For Code Form 990 or Form 990-EZ 01 Form 990-T (corporation) 07 Form 990-BL Form 1041-A Form 4720 (individual) 03 Form 4720 09 Form 990-PF 04 Form 5227 10 Form 990-T (sec. 401(a) or 408(a) trust) Form 6069 05 11 Form 990-T (trust other than above) 06 Form 8870 12 Craig Noll The books are in the care of > 7535 E. Hampden Ave., No. 600 - Denver, CO 80231 Telephone No. ▶ 303-759-4900 FAX No. If the organization does not have an office or place of business in the United States, check this box If this is for a Group Return, enter the organization's four digit Group Exemption Number (GEN) . If this is for the whole group, check this . If it is for part of the group, check this box \blacktriangleright and attach a list with the names and EINs of all members the extension is for. I request an automatic 3-month (6 months for a corporation required to file Form 990-T) extension of time until January 15, 2014 , to file the exempt organization return for the organization named above. The extension is for the organization's return for: JUN 1, 2012 MAY 31, 2013 ► X tax year beginning . and ending If the tax year entered in line 1 is for less than 12 months, check reason: Initial return ☐ Change in accounting period If this application is for Form 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any 0. nonrefundable credits. See instructions. 3a If this application is for Form 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit. 3b Balance due. Subtract line 3b from line 3a. Include your payment with this form, if required, 0. by using EFTPS (Electronic Federal Tax Payment System). See instructions. Caution. If you are going to make an electronic fund withdrawal with this Form 8868, see Form 8453-EO and Form 8879-EO for payment instructions. For Privacy Act and Paperwork Reduction Act Notice, see instructions.

Form 8	868 (Rev. 1-2013)					Page 2		
If yo	u are filing for an Additional (Not Automatic) 3-Month Ex	tension, d	complete only Part II and check this	box		X		
Note.	Only complete Part II if you have already been granted an a	automatic	3-month extension on a previously fi	led Form	8868.			
If yo	u are filing for an Automatic 3-Month Extension, comple	te only Pa	art I (on page 1).					
Part	II Additional (Not Automatic) 3-Month E	xtensio	n of Time. Only file the origin	al (no co	opies needed))_		
			Enter filer's	identifyir	ng number, see i	nstructions		
Туре о	r Name of exempt organization or other filer, see instru-	ctions		Employer identification number (E				
print								
ile by th			84-1521488					
due date iling you		Social se	curity number (S	SN)				
eturn. Se	_e 7535 E. Hampden Ave., No. 600							
nstructio	ns. City, town or post office, state, and ZIP code. For a fo	oreign add	Iress, see instructions.					
	Denver, CO 80231							
Enter tl	ne Return code for the return that this application is for (file	e a separa	te application for each return)			0 1		
Applic	ation	Return	Application			Return		
s For		Code	Is For			Code		
Form 9	90 or Form 990-EZ	01						
Form 9	90-BL	02	Form 1041-A			08		
orm 4	720 (individual)	03	Form 4720			09		
Form 9	90-PF	04	Form 5227			10		
Form 9	90-T (sec. 401(a) or 408(a) trust)	05	Form 6069			11		
Form 9	90-T (trust other than above)	06	Form 8870			12		
STOP!	Do not complete Part II if you were not already granted	l an auton	natic 3-month extension on a prev	iously file	ed Form 8868.			
	Craig Noll							
	books are in the care of > 7535 E. Hampden Ave.,	No. 600	- Denver, CO 80231					
	phone No. ► 303-759-4900		FAX No. ▶					
	e organization does not have an office or place of business					▶ ∐		
If th	is is for a Group Return, enter the organization's four digit	Group Exe	emption Number (GEN) I	this is fo	r the whole group	o, check this		
oox 🕨			ch a list with the names and EINs of	all memb	ers the extension	ı is for.		
4 I		April 15	<u> </u>					
5 F	for calendar year , or other tax year beginning $__$	JUN 1, 2	, and ending	g MAY 3	31, 2013			
6 I	the tax year entered in line 5 is for less than 12 months, c	heck reas	on: Initial return	⊥ Final r	eturn			
	Change in accounting period							
	State in detail why you need the extension							
_	DDITIONAL TIME IS NEEDED TO GATHER AND ANAL	YZE ACCO	DUNTING DATA TO					
_ _	REPARE AN ACCURATE RETURN.							
				-				
	this application is for Form 990-BL, 990-PF, 990-T, 4720, of	or 6069, e	nter the tentative tax, less any			•		
_	onrefundable credits. See instructions.			8a	\$	0.		
	this application is for Form 990-PF, 990-T, 4720, or 6069,	•						
	ax payments made. Include any prior year overpayment all	lowed as a	a credit and any amount paid		_	0		
_	oreviously with Form 8868.			8b	\$	0.		
	Balance due. Subtract line 8b from line 8a. Include your pa	•	n this form, if required, by using			0		
<u> </u>	FTPS (Electronic Federal Tax Payment System). See instru		ot he completed for Dort II -	8c	\$	0.		
Indar =	_		st be completed for Part II o	-	f my knowledge	d haliaf		
	enalties of perjury, I declare that I have examined this form, includi , correct, and compl e te, and that I am authorized to prepare this fo		oanying scriedules and statements, and to	i ille best 0	i iliy kilowledge an	u nellel,		
	1 0		THE	Do±-	4/7/44			
Signatu	THE NUMBER OF THE PO	CPA, PAR	11471/	Date	1/7/14			