

**NEIGHBORHOOD DEVELOPMENT FUND  
Not-for-Profit Transmittal and Approval Form**

**Applicant/Program:** Auburndale Neighborhood Association

**Executive Summary of Request:**

The Auburndale Neighborhood Association (ANA) is asking for \$1,500 to fund Community Events and maintenance. \$500 - ANA's Annual Community Picnic at Kenwood Elementary School for food, supplies and musical entertainment. \$500 - ANA's Annual Holiday Community Party at Kenwood Elementary School for food, supplies and musical entertainment. \$500 - Maintenance of ANA's signature flowering berms that beautify the area and promote community pride.


Is this program/project a fundraiser?

Is this applicant a faith based organization?

Does this application include funding for sub-grantee(s)?

- |                              |  |
|------------------------------|--|
| <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No |
| <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No |
| <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No |

I have reviewed the attached Neighborhood Development Fund Application and have found it complete and within Metro Council guidelines and request approval of funding in the following amount(s). I have read the organization's statement of public purpose to be furthered by the funds requested and I agree that the public purpose is legitimate. I have also completed the disclosure section below, if required.

25 District #     
  Primary Sponsor Signature     
 \$ 750.00 Amount     
 5/29/2014 Date

**Primary Sponsor Disclosure**

List below any personal or business relationship you, your family or your legislative assistant have with this organization, its volunteers, its employees or members of its board of directors.

**Approved by:**

\_\_\_\_\_ Appropriations Committee Chairman

\_\_\_\_\_ Date

**Clerk's Office Only:**

Request Amount: \_\_\_\_\_

Committee Amended Appropriation: \_\_\_\_\_

Original Appropriation: \_\_\_\_\_

Council Amended Appropriation: \_\_\_\_\_

**Applicant/Program:** Auburndale Neighborhood Association

### Additional Disclosure and Signatures

#### Additional Council Office Disclosure

List below any personal or business relationship you, your family or your legislative assistant have with this organization, its volunteers, its employees or members of its board of directors.

<u>13</u> District #	<u>Vicki Aubrey Welch</u> Council Member Signature	<u>\$500<sup>00</sup></u> Amount	<u>5/29/14</u> Date
<u>        </u> District #	<u>                                </u> Council Member Signature	<u>                        </u> Amount	<u>                        </u> Date
<u>        </u> District #	<u>                                </u> Council Member Signature	<u>                        </u> Amount	<u>                        </u> Date
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<u>        </u> District #	<u>                                </u> Council Member Signature	<u>                        </u> Amount	<u>                        </u> Date
<u>        </u> District #	<u>                                </u> Council Member Signature	<u>                        </u> Amount	<u>                        </u> Date
<u>        </u> District #	<u>                                </u> Council Member Signature	<u>                        </u> Amount	<u>                        </u> Date

## NDF NON-PROFIT APPLICATION CHECKLIST

<b>Legal Name of Applicant Organization:</b> AUBURNDALE NEIGHBORHOOD ASSOCIATION, INC.	
Program Name: Auburndale Community Summer Picnic/Community Holiday Party Request Amount: \$1,500	Yes/No/NA
<b>Request form:</b> Is the NDF request form signed by all Council Member(s) appropriating funding?	Yes
<b>Request form:</b> Is the funding proposed less than or equal to the request amount?	Less than
<b>Request form:</b> Have all known Council or Staff relationships to the Agency been adequately disclosed on the cover sheet?	Yes
<b>Application Page 1:</b> Has prior Metro funds committed/granted been disclosed?	Yes
<b>Application Page 1:</b> Is the application properly signed and dated by authorized signatory?	Yes
<b>Application Page 3:</b> Reimbursement funding – One or two boxes checked if any expenses are incurred before the grant award period. Is all required documentation included?	NA
<b>Application Pages 3 – 5:</b> Is the proposed public purpose of the program well-documented?	Yes
<b>Application 4:</b> Is there adequate documentation of how the proceeds of the fundraiser will be spent?	NA
<b>Application Budget Page 6:</b> Does the application budget reflect only the revenue and expenses of the project/program (page 6) if the request is not an operating budget request? Is all detail schedules included for “Metro, Non Metro and Total” expense funds for client assistance, community events & festivals and other expenses? And does the Non-Metro Revenue equal the Non-Metro expenses?	Yes
<b>Faith Based Organizations:</b> Is the signed Faith Based Form signed and included?	NA
<b>Jefferson County Only:</b> Will all funding be spent in Louisville/Jefferson County?	Yes
<b>Capital Project(s) request:</b> Is the cost estimate(s) from proposed vendor(s) included?	NA
<b>Good Standing:</b> Is the entity in good standing with: <ul style="list-style-type: none"> <li>• Kentucky Secretary of State – include Secretary of State website information on organization</li> <li>• Louisville Metro Government – check OMB monthly report filed in Council Financial Reports</li> <li>• Internal Revenue Service – most recent Form 990 included</li> </ul>	Yes
<b>Separate Taxing Districts:</b> If Metro funding is for a separate taxing district, is the funding appropriated for a program outside the legal responsibility of that taxing district?	NA
<b>Small Cities:</b> Is the resolution included agreeing to partner with Louisville Metro on the capital project? (IRS Determination letter not required, Form 990 not required, but KY SOS acknowledgement is)	NA
<b>Operating Requests:</b> Is recommended operating funding less than or equal to 33% of total operating budget?	NA
<b>IRS Exempt Proof:</b> Is proof of Tax Exempt status of 501(c) 3, 4, 6, 19, 1120-H included?	Yes
<b>Operating Budget:</b> Is the organization’s current fiscal year operating budget included?	Yes
<b>Ordinance Required:</b> Is the amount committed by Council members greater than \$5,000 to any one project/program within an organization in this fiscal year.	No
<b>Board Members:</b> Is the entity’s board member list (with term length/term limits) included?	Yes
<b>Staff:</b> Is a list of the highest paid staff included with their expected annual personnel costs?	NA
<b>Annual Audit:</b> Is the most recent annual audit (if required by organization) included?	NA
<b>Rent Requests:</b> Is a copy of signed lease included?	NA
<b>Articles of Incorporation:</b> Are the Articles of Incorporation of the organization included?	Yes
<b>IRS Form W-9:</b> Is the IRS Form W-9 included?	Yes
<b>Evaluation Forms:</b> Are the evaluation forms (if program participants are given evaluation forms) included?	NA
<b>Affirmative Action:</b> Affirmative Action/Equal Employment Opportunity plan and/or policy statement included (if required by the organization)?	NA
Prepared by: Brian Gregory Boles	Date: 5/29/2014



**LOUISVILLE METRO COUNCIL NEIGHBORHOOD DEVELOPMENT FUND APPLICATION**

**SECTION 1 – APPLICANT INFORMATION**

**Legal Name of Applicant Organization:** **Auburndale Neighborhood Association**  
(as listed on: <http://www.sos.ky.gov/business/records>)

**Main Office Street & Mailing Address:** 1120 Fraelm Rd, Louisville, Ky 40214

**Website:** N/A

<b>Applicant Contact:</b>	Ray Crider	<b>Title:</b>	Treasurer
<b>Phone:</b>	502-368-1196	<b>Email:</b>	raycrider2@gmail.com
<b>Financial Contact:</b>	Ray Crider	<b>Title:</b>	Treasurer
<b>Phone:</b>	502-368-1196	<b>Email:</b>	raycrider2@gmail.com

**Organization's Representative who attended NDF Training:**

**GEOGRAPHICAL AREA(S) WHERE PROGRAM ACTIVITIES ARE (WILL BE) PROVIDED**

<b>Program Facility Location(s):</b>	Kenwood Elementary School		
<b>Council District(s):</b>	District 25	<b>Zip Code(s):</b>	40214

**SECTION 2 – PROGRAM REQUEST & FINANCIAL INFORMATION**

**PROGRAM/PROJECT NAME:** ANA Summer Picnic/Holiday Party & Berm Maintenance

<b>Total Request: (\$)</b>	1500.00	<b>Total Metro Award (this program) in previous year: (\$)</b>	1000.00
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**Purpose of Request (check all that apply):**

- Operating Funds (generally cannot exceed 33% of agency's total operating budget)
- Programming/services/events for direct benefit to community or qualified individuals
- Capital Project of the organization (equipment, furnishing, building, etc)

**The Following are Required Attachments:**

- |   |  |
|---|--|
| <ul style="list-style-type: none"> <li><input type="checkbox"/> IRS Exempt Status Determination Letter</li> <li><input checked="" type="checkbox"/> Current Year Projected Budget</li> <li><input checked="" type="checkbox"/> List of Board of Directors (include term &amp; term limits)</li> <li><input checked="" type="checkbox"/> Current financial statement</li> <li><input checked="" type="checkbox"/> Most recent IRS Form 990 or 1120-H</li> <li><input checked="" type="checkbox"/> Articles of Incorporation</li> <li><input type="checkbox"/> Cost estimates from proposed vendor if request is for capital expense</li> </ul> | <ul style="list-style-type: none"> <li><input type="checkbox"/> Signed lease if rent costs are being requested</li> <li><input checked="" type="checkbox"/> IRS Form W9</li> <li><input type="checkbox"/> Evaluation forms if used in the proposed program</li> <li><input type="checkbox"/> Annual audit (if required by organization)</li> <li><input type="checkbox"/> Faith Based Organization Certification Form, if required</li> <li><input type="checkbox"/> Staff including the 3 highest paid staff</li> </ul> |
|---|--|

**For the current fiscal year ending June 30, list all funds appropriated and/or received from Louisville Metro Government for this or any other program or expense, including funds received through Metro Federal Grants, from any department or Metro Council Appropriation (Neighborhood Development Funds). Attach additional sheet if necessary.**

<b>Source:</b>	Louisville Metro	<b>Amount: (\$)</b>	1000.00
<b>Source:</b>		<b>Amount: (\$)</b>	
<b>Source:</b>		<b>Amount: (\$)</b>	

Has the applicant contacted the BBB Charity Review for participation?  Yes  No

Has the applicant met the BBB Charity Review Standards?  Yes  No



**LOUISVILLE METRO COUNCIL NEIGHBORHOOD DEVELOPMENT FUND APPLICATION**

**SECTION 3 – AGENCY DETAILS**

**Describe Agency's Vision, Mission and Services:**

See attached ANA Vision Statement

# VISIONING STATEMENT

## Auburndale Neighborhood Association

We are a safe neighborhood with a strong sense of community and connectivity.

Those elements that make Auburndale neighborhood special for us and reflect our values are seen in our commitments. We are committed to:

1. Safety and public health within the Auburndale community
2. Education and activities for children and adults.
3. Vibrant business growth, consistent with our area standards
4. Communication and involvement the neighborhood.
5. Respectful use and care for the environment including the city, river, parks and trails
6. Well thought out neighborhood planning which sustains the value of the land
7. Systemic and fiscally responsible long-term planning, working with the neighborhood, community, city, county, and state partners.

### **1. Safety and public health within the Auburndale community**

- Support police and fire services; encourage use of neighborhood programs such as Block Watch and Arson Prevention.
- Sufficient lighting, parking and traffic control in our commercial areas.
- To support and protect the students of Kenwood Elementary and other neighboring schools.
- Encourage planning for sidewalks and bike paths along major streets
- Improved accessibility to and from the residential areas.
- Streets are repaved as required. The City informs the community of paving schedules on a yearly basis.
- An aggressively maintained drainage system for Bruce Ditch and adjoining residential areas.
- A mosquito control program.

### **2. Education and activities for children and adults**

- Continuing the ANA "Holiday Party"
- To explore and develop a neighborhood based summertime event.
- In cooperation with JCPS board members and school administrators, promote volunteerism and involvement in public school activities such as Everyone Reads.
- To explore development of a neighborhood "pocket park".
- To study the need for a community center to be shared with adjoining neighborhoods.

### **3. Vibrant business growth, consistent with our area standards**

- Be vigilant and maintain strict standards and codes regarding the types of businesses and structures in our commercial areas.
- To aggressively pursue commercial activities that positively impact to our neighborhood.
- Use planters, and landscaping to beautify our neighborhood streets.

### **4. Communication and involvement with the neighborhood.**

- That we have an active Neighborhood Association that listens to all input, actively engages those impacted by decisions, employs behaviors that treat all with respect, and works collaboratively with City, State and Federal leaders to plan effectively.
- To maintain up-to-date neighborhood resources and information on the Web.

**5. Respectful use and care for the environment including the city, river, parks and trails**

- Support Metro Government's Brightside program through use environmentally friendly solutions and support recycling in all things.
- Advocate regular maintenance of Iroquois and surrounding our parks; connecting trails and to assure that area parks are an integral part of the systemic planning for Metro Parks and Recreation.
- To try to save and actively plant trees and local flora throughout our neighborhood.

**6. Well thought out neighborhood planning which sustains the value of the land**

- Our freeway (Snyder and Watterson) neighborhood and business access is effective, efficient and safe for pedestrians and bicyclists.
- That Auburndale be served by an effective neighborhood public transportation that focuses on connectivity to centers of employment and commerce.
- Development needs to be consistent with the value of the area.
- Those developers take ownership for impact to the infrastructure such as streets, sidewalks, schools, water, sewer, etc.
- To foster and encourage development that sustains a park-like environment with homes with livable lot sizes that add value and beauty to the neighborhood.
- Sponsor a farmers market

**7. Systemic and fiscally responsible long-term planning, working with the neighborhood, community, city, county, and state partners.**

- To view planning as multiple "phases" that will eventually reach our goals within neighborhood and legal boundaries.
- To partner with Metro Government and it's planners for effective planning for Auburndale.
- That we work to influence improvement to the regulations, laws and initiatives that impact our neighborhood.



## LOUISVILLE METRO COUNCIL NEIGHBORHOOD DEVELOPMENT FUND APPLICATION

### SECTION 4 – PROGRAM/PROJECT NARRATIVE

**A: Describe the program/project start and end dates, a description of the program/project and applicable data with regards to specific client population the program will address (attach related flyers, planning minutes, designs, event permits, proposals for services/goods, etc.):**

1. ANA Annual Community Picnic will be held June 24th at Kenwood School. This event will feature both purchased food and pot luck, musical entertainment for adults and children, and displays by LMPD and LMFD.

This event's purpose is to afford our ethnic diverse community an opportunity to meet and socialize.

2. The ANA Holiday Party at Kenwood school will be in December. Food and musical entertainment will be provided. Santa Claus will visit the children.

Again the event's purpose is to afford our ethnic diverse community an opportunity to meet and socialize.

These events encourage community involvement and elected officials attend and meet with those attending.

3. The flowering berms with their trees and bushes give a sense of beatification and pride in the community.

**B: Describe specifically how the funding will be spent including identification of funding to sub grantee(s):**

June Community Picnic, food, condiments, and entertainment - \$500.00

December Community Holiday Party, food, condiments, and entertainment - \$500.00

Continual maintenance of berms with flowers, bushes, mulch, etc. - \$500.00





## LOUISVILLE METRO COUNCIL NEIGHBORHOOD DEVELOPMENT FUND APPLICATION

**C: If this request is a fundraiser, please detail how the proceeds will be spent:**

N/A

**D: For Expenditure Reimbursement Only** – The grant award period begins with the Metro Council approval date and ends on June 30 of Metro fiscal year in which the grant is approved. If any part of this funding request is for funds to be spent before the grant award period, identify the applicable circumstances:

Effective October 24, 2013, reimbursements should not be made unless an emergency can be demonstrated by the primary council sponsor. The funding request is a reimbursement of the following expenditures (attach invoices or proof of payment):

- ✓ Attach a copy of invoices and/or receipts to provide proof of purchase of activities associated with the work plan identified in this application.
- ✓ Attach a copy of cancelled checks to provide proof of payment of the invoices or receipts associated with the work plan identified in this application.

N/A

The funding request is a reimbursement of the following expenditures that will probably be incurred after the application date, but prior to the execution of the grant agreement:

- ✓ If selecting this option, the invoice, receipt and payment documentation should not be available as of the date of this application.

The Grantee will be required to submit financial reporting in accordance with the reporting schedule provided in the grant agreement.

N/A



## LOUISVILLE METRO COUNCIL NEIGHBORHOOD DEVELOPMENT FUND APPLICATION

**E: Describe the program's benefits to those being served (measurable outcomes). Include the program's process for collecting data and the indicators that will be tracked to measure the benefits to those being served:**

The computer program "Next Door" has generated more community participation. Great communication device for the community, and increased Public Safety awareness.

These events encourage community involvement in Neighborhood Watch Programs and other civic activities.

This event's purpose is to afford our ethnic diverse community an opportunity to meet and socialize.

Both of the events participation has increased over the years.

**F: Briefly describe any existing collaborative relationships the organization has with other community organizations. Describe what those partners are bringing to the relationship in general and to this program/project specifically.**

LG&E assists with some printing

We have a partnership with Kenwood Elementary School in which the ANA supports various school activities in exchange for monthly meeting space.



**LOUISVILLE METRO COUNCIL NEIGHBORHOOD DEVELOPMENT FUND APPLICATION**

**SECTION 5 – PROGRAM/PROJECT BUDGET SUMMARY**

THE PROGRAM/PROJECT BUDGET SHOULD REALISTICALLY ESTIMATE WHAT AMOUNT IS NEEDED FROM METRO GOVERNMENT AND WHAT IS EXPECTED FROM OTHER SOURCES.

Program/Project Expenses	Column 1	Column 2	Column (1+2)=3
	Proposed Metro Funds	Non-Metro Funds	Total Funds
<b>A: Personnel Costs Including Benefits</b>	0	0	0
<b>B: Rent/Utilities</b>	0	0	0
<b>C: Office Supplies</b>	0	200	200
<b>D: Telephone</b>	0	0	0
<b>E: In-town Travel</b>	0	0	0
<b>F: Client Assistance (Attach Detailed List)</b>	0	0	0
<b>G: Professional Service Contracts</b>	0	0	0
<b>H: Program Materials</b>	0	0	0
<b>I: Community Events &amp; Festivals (Attach Detail List)</b>	1000	0	1000
<b>J: Small Equipment</b>	0	0	0
<b>K: Capital Equipment</b>	0	0	0
<b>L: Other Expenses (Attach Detail List)</b>	500	11.38	511.38
<b>*TOTAL PROGRAM/PROJECT FUNDS</b>	1500	211.38	1711.38
<i>% of Program Budget</i>	87 %	13 %	100%

List funding sources for total program/project costs in Column 2, Non-Metro Funds:

Other State, Federal or Local Government	0
United Way	0
Private Contributions (do not include individual donor names)	211.38
Fees Collected from Program Participants	0
Other (please specify)	0
Total Revenue for Columns 2 Expenses **	211.38

\*Total of Column 1 MUST match "Total Request on Page 1, Section 2"

\*\*Must equal or exceed total in column 2.



**LOUISVILLE METRO COUNCIL NEIGHBORHOOD DEVELOPMENT FUND APPLICATION**

**SECTION 5 – PROGRAM/PROJECT BUDGET SUMMARY**

THE PROGRAM/PROJECT BUDGET SHOULD REALISTICALLY ESTIMATE WHAT AMOUNT IS NEEDED FROM METRO GOVERNMENT AND WHAT IS EXPECTED FROM OTHER SOURCES.

Program/Project Expenses	Column 1	Column 2	Column (1+2)=3
	Proposed Metro Funds	Non-Metro Funds	Total Funds
<b>A: Personnel Costs Including Benefits</b>	0	0	0
<b>B: Rent/Utilities</b>	0	0	0
<b>C: Office Supplies</b>	0	200	200
<b>D: Telephone</b>	0	0	0
<b>E: In-town Travel</b>	0	0	0
<b>F: Client Assistance (Attach Detailed List)</b>	0	0	0
<b>G: Professional Service Contracts</b>	295.78	0	295.78
<b>H: Program Materials</b>	0	0	0
<b>I: Community Events &amp; Festivals (Attach Detail List)</b>	704.22	0	704.22
<b>J: Small Equipment</b>	0	0	0
<b>K: Capital Equipment</b>	0	0	0
<b>L: Other Expenses (Attach Detail List)</b>	500	11.38	511.38
<b>*TOTAL PROGRAM/PROJECT FUNDS</b>	1500	211.38	1711.38
<b>% of Program Budget</b>	88 %	12 %	100%

**List funding sources for total program/project costs in Column 2, Non-Metro Funds:**

Other State, Federal or Local Government	0
United Way	0
Private Contributions (do not include individual donor names)	211.38
Fees Collected from Program Participants	0
Other (please specify)	0
Total Revenue for Columns 2 Expenses **	211.38

\*Total of Column 1 MUST match "Total Request on Page 1, Section 2"

\*\*Must equal or exceed total in column 2.

# CAPITOL Project

## INVOICE

**SOLD TO:**

Auburndale Neighborhood Association  
 Address  
 Louisville, KY 40214

March 29, 2014

**SHIPPED TO:**

Auburndale Neighborhood Association c/o Ken McFarland

Sales Tax Rate:

6.00%

QUANTITY	DESCRIPTION	UNIT PRICE	AMOUNT
1	Round up 360 Vegetation Killer	34.95	\$34.95
1	Refill	25.97	25.97
2	Baylor Weed Control Lawn	14.98	29.96
1	Weed B-Gone Plus	11.97	11.97
1	Ortho Poison Ivy & Brush	19.58	19.58
1	Rose & Flower All -n- One Treatment	18.97	18.97
1	4# Bayer Tree & Shrub All -n- One	29.95	29.95
5	Moisture Control Soil	12.25	61.25
1	Truck load of Dirt (to be picked up)	30.00	30.00
2	4" Arboritae Tree	39.95	79.90
2	Knock Out Roses	29.97	59.94
15	Black Mulch (3/10)	3.33	50.00
1	Truck load of Dirt (to be picked up)	30.00	30.00
		SUBTOTAL	482.44
		TAX	28.95
		FREIGHT	
			\$511.38
<p><b>DIRECT ALL INQUIRIES TO:</b>                  Auburndale Neighborhood Association                  C/O Ken Mc Farland</p>			<p>PAY THIS                  AMOUNT</p>

**THANK YOU FOR YOUR BUSINESS!**



## LOUISVILLE METRO COUNCIL NEIGHBORHOOD DEVELOPMENT FUND APPLICATION

**Detail of In-Kind Contributions for this PROGRAM only:** Includes Volunteers, Space, Utilities, etc. (Include anything not bought with cash revenues of the agency).

Donor*/Type of Contribution	Value of Contribution	Method of Valuation
Kenwood meeting space	720.00	Actual Cost
Event Volunteers	300.00	30 Hrs. X \$10
Food Donations	200.00	\$100 Pizza/\$100 Pot Luck
<i>Total Value of In-Kind (to match Program Budget Line Item. Volunteer Contribution &amp; Other In Kind)</i>	\$1220.00	

\* DONOR INFORMATION REFERS TO WHO MADE THE IN KIND CONTRIBUTION. VOLUNTEERS NEED NOT BE LISTED INDIVIDUALLY, BUT GROUPED TOGETHER ON ONE LINE AS A TOTAL NOTING HOW MANY HOURS PER PERSON PER WEEK

Agency Fiscal Year Start Date: January 1st

Does your Agency anticipate a significant increase or decrease in your budget from the current fiscal year to the budget projected for next fiscal year? NO  YES

If YES, please explain:

Cost of maintaining the Signature Berms - \$500



## LOUISVILLE METRO COUNCIL NEIGHBORHOOD DEVELOPMENT FUND APPLICATION

### SECTION 6 – CERTIFICATIONS & ASSURANCES

By signing Section 7 of the Grant Application, the authorized official signing for the applicant organization certifies and assures to the best of his or her knowledge and/or belief the following Assurances and Certifications. If there is any reason why one or more of the assurances or certifications listed cannot be certified or assured, please explain in writing and attach to this application.

#### Standard Assurances

1. Applicant understands this application and its attachments as well as any resulting grant agreement, reports and proof of expenditure is subject to Kentucky's open records law.
2. Applicant will establish safeguards to prohibit employees or any person that receives compensation from awarded funds from using their position for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
3. Applicant and any sub grantee will give Louisville Metro Government access to and the right to examine all paper or electronic records related to the awarded grant for up to five years of the grant agreement date.
4. Applicant assures compliance with the grant requirements and will monitor the performance of any third party (sub-grantee).
5. The Agency is in good standing with the Kentucky Secretary of State, Louisville Metro Government, the Jefferson County Revenue Commission, the Internal Revenue Service, and the Louisville Metro Human Relations Commission.
6. Applicant understands failure to provide the services, programs, or projects included in the agreement will result in funds being withheld or requested to be returned if previously disbursed.
7. Applicant understands they must return to Louisville Metro any unexpended funds by July 31 following the Metro Louisville's fiscal year end.
8. Applicant understands they must provide proof of all expenditures (canceled checks, receipts, paid invoices). The Applicant understands the failure to provide proof of expenditures as required in the grant agreement could result in funding being withheld or request to be returned if previously disbursed.
9. Applicant understands if this application is approved, the grant agreement will identify an award period that begins with the Metro Council approval date, and will end with June 30 of the fiscal year in which the grant is approved. Expenditures associated with this award expected to occur prior to the award period (approval date) must be disclosed in this application in order to be considered compliant with the grant agreement.
10. Applicant understands if we choose to incur expenditures prior to the approval of the application by the Metro Council, there is no guarantee that funding will be reimbursed, as the Council may choose not to award the application.
11. Applicant understands if the grant agreement is not returned to Louisville Metro within 90 days of its mailing to the applicant, the approval is automatically revoked.

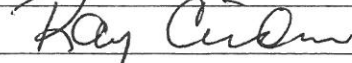
#### Standard Certifications

1. The Agency certifies it will not use Louisville Metro Government funds for any religious, political or fraternal Activities.
2. The Agency has a written Affirmative Action/Equal Opportunity Policy.
3. The Agency does not discriminate in employment or in provision of any service/program/activity/event based on age, color, disabled status, national origin, race, religion, sex, gender identity or sexual orientation, or Vietnam era veteran status.
4. The Agency certifies it will not require clients, recipients, or beneficiaries to participate in religious, political, fraternal or like activities in order to receive services/benefits provided with Louisville Metro Government funds.
5. The Agency understands the Americans with Disabilities Act (ADA) and makes reasonable accommodations.

**Relationship Disclosure:** List below any relationship you or any member of your Board of Directors or employees has with any Councilperson, Councilperson's family, Councilperson's staff or any Louisville Metro Government employee.

### SECTION 7 – CERTIFICATIONS & ASSURANCES

I certify under the penalty of law the information in this application (including, without limitation, "Certifications and Assurances") is accurate to the best of my knowledge. I am aware my organization will not be eligible for funding if investigation at any time shows falsification. If falsification is shown after funding has been approved, any allocations already received and expended are subject to be repaid. I further certify that I am legally authorized to sign this application for the applying organization and have initialed each page of the application.

<b>Signature of Legal Signatory:</b>		<b>Date:</b>	5/27/2014
<b>Legal Signatory: (please print):</b>	Ray Crider	<b>Title:</b>	Treasurer
<b>Phone:</b>	502-368-1196	<b>Extension:</b>	
<b>Email:</b>	raycrider2@gmail.com		

Commonwealth of Kentucky  
Alison Lundergan Grimes, Secretary of State

NARP  
0744470  
Alison Lundergan Grimes  
KY Secretary of State  
Received and Filed  
1/4/2014 2:36:27 PM  
Fee receipt: \$15.00

Alison Lundergan Grimes  
Secretary of State  
P. O. Box 1150  
Frankfort, KY 40602-1150  
(502) 564-3490  
<http://www.sos.ky.gov>

Annual Report  
Online Filing

ARP

**Company:** AUBURNDALE NEIGHBORHOOD ASSOCIATION, INC.  
**Company ID:** 0744470  
**State of origin:** Kentucky  
**Formation date:** 9/24/2009 12:00:00 AM  
**Date filed:** 1/4/2014 2:36:27 PM  
**Fee:** \$15.00

**Principal Office**

1120 FRANELM RD  
LOUISVILLE, KY 40214

**Registered Agent Name/Address**

RAY CRIDER  
1120 FRANELM RD  
LOUISVILLE, KY 40214

**Current Officers**

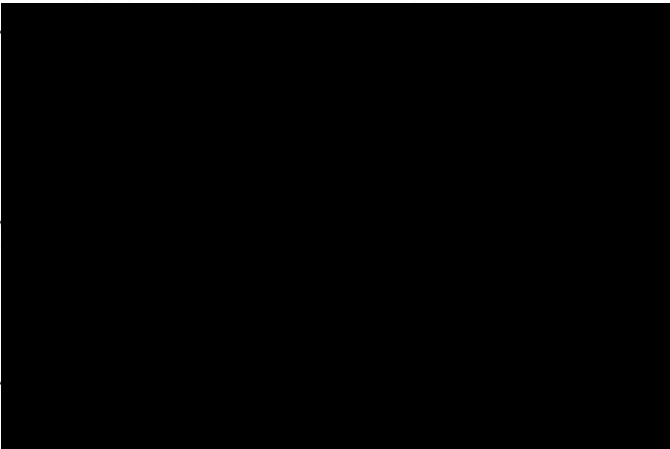
President KEN WILLIAMS  
Secretary SHARON SPATT  
Treasurer RAY CRIDER  
Vice President KENNY MCFARLAND

**Directors**

Director PATSY BLACK  
Director JOYCE WHALIN  
Director KAREN BOSTON

**Signatures**

**Signature** Ray Crider  
**Title** Treasurer





**Do not use the browser's back, forward, refresh, home, or stop buttons to navigate through this program. Always use the buttons provided on the forms to proceed through the annual report process.**

**0744470 - AUBURNDALE NEIGHBORHOOD ASSOCIATION, INC.**

**Your annual report has been filed successfully.**

**Click here** to view the filing created for this annual report.

You can print this page to use as your verification that the annual report has been filed, and as a receipt for your payment.

Company ID:  
Annual Report Date:  
Principal Office:

Registered Agent:

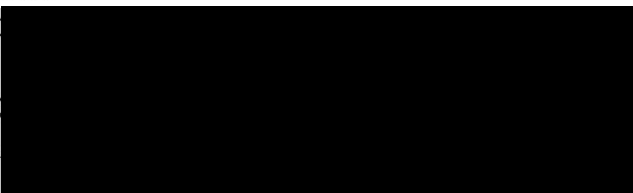
EPay Transaction ID:  
Credit Card Authorization Number:  
SOS Accounting ID:  
Filing Fee:  
Signature:  
Title:



**Current Officers**

**Office                      Name and Address**

President                      KEN WILLIAMS,  
Secretary                      SHARON SPATT,  
Treasurer                      RAY CRIDER, 11  
Vice President                      KENNY MCFARLA



**Directors**

**Name and Address**

PATSY BLACK,  
JOYCE WHALIN  
KAREN BOSTON



[View entity](#)

**AUBURNDALE NEIGHBORHOOD ASSOCIATION, INC.****General Information**

<b>Organization Number</b>	0744470
<b>Name</b>	AUBURNDALE NEIGHBORHOOD ASSOCIATION, INC.
<b>Profit or Non-Profit</b>	N - Non-profit
<b>Company Type</b>	KCO - Kentucky Corporation
<b>Status</b>	A - Active
<b>Standing</b>	G - Good
<b>State</b>	KY
<b>File Date</b>	9/24/2009
<b>Organization Date</b>	9/24/2009
<b>Last Annual Report</b>	1/4/2014
<b>Principal Office</b>	1120 FRANELM RD LOUISVILLE, KY 40214
<b>Registered Agent</b>	RAY CRIDER 1120 FRANELM RD LOUISVILLE, KY 40214

**Current Officers**

<b>President</b>	<u>KEN WILLIAMS</u>
<b>Vice President</b>	<u>KENNY MCFARLAND</u>
<b>Secretary</b>	<u>SHARON SPATT</u>
<b>Treasurer</b>	<u>RAY CRIDER</u>
<b>Director</b>	<u>PATSY BLACK</u>
<b>Director</b>	<u>JOYCE WHALIN</u>
<b>Director</b>	<u>KAREN BOSTON</u>

**Individuals / Entities listed at time of formation**

<b>Director</b>	<u>RAY WHITENER</u>
<b>Director</b>	<u>KEN MCFARLAND</u>
<b>Director</b>	<u>RAY CRIDER</u>
<b>Director</b>	<u>STEPHEN COTTON</u>
<b>Incorporator</b>	<u>KATHY RECKTENWALD</u>

**Images available online**

Documents filed with the Office of the Secretary of State on September 15, 2004 or thereafter are available as scanned images or PDF documents. Documents filed prior to September 15, 2004 will become available as the images are created.

<u>Annual Report</u>	1/4/2014	1 page	<u>PDF</u>
<u>Annual Report</u>	1/2/2013	1 page	<u>PDF</u>
<u>Annual Report</u>	1/11/2012	1 page	<u>PDF</u>
<u>Reinstatement Certificate of Existence</u>	7/19/2011 11:22:56 AM	2 pages	<u>PDF</u>

<u>Reinstatement</u>	7/19/2011 11:21:38 AM	2 pages	<a href="#">PDF</a>	
<u>Reinstatement Approval Letter Revenue</u>	7/19/2011 10:15:14 AM	1 page	<a href="#">PDF</a>	
<u>Principal Office Address Change</u>	7/19/2011	1 page	<a href="#">tiff</a>	<a href="#">PDF</a>
<u>Registered Agent name/address change</u>	7/19/2011	1 page	<a href="#">tiff</a>	<a href="#">PDF</a>
<u>Administrative Dissolution</u>	11/2/2010	1 page	<a href="#">PDF</a>	
<u>Articles of Incorporation</u>	9/24/2009	3 pages	<a href="#">tiff</a>	<a href="#">PDF</a>

## Assumed Names

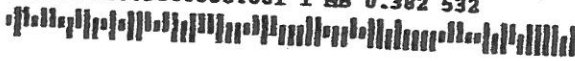
## Activity History

Filing	File Date	Effective Date	Org. Referenced
Annual report	1/4/2014 2:36:27 PM	1/4/2014 2:36:27 PM	
Annual report	1/2/2013 11:53:37 AM	1/2/2013 11:53:37 AM	
Annual report	1/11/2012 4:10:02 PM	1/11/2012 4:10:02 PM	
Registered agent address change	7/19/2011 11:23:55 AM	7/19/2011	
Principal office change	7/19/2011 11:23:25 AM	7/19/2011	
Reinstatement	7/19/2011 11:22:52 AM	7/19/2011	
Application For Reinstatement	7/18/2011 4:56:59 PM	7/18/2011	
Admin Dis. A. report not in	11/2/2010	11/2/2010	
Add	9/24/2009 3:34:08 PM	9/24/2009	

## Microfilmed Images

**IRS** DEPARTMENT OF THE TREASURY  
INTERNAL REVENUE SERVICE  
OGDEN UT 84201-0023

002354.587796.0008.001 1 NB 0.382 532



AUBURNDALE NEIGHBORHOOD ASSOCIATION  
% RAY CRIDER  
1120 FRANELM RD  
LOUISVILLE KY 40214

Date of this notice: 07-24-2009

Employer Identification Number:

Form: SS-4

Number of this notice: CP 575 E

For assistance you may call us at  
1-800-829-4933

IF YOU WRITE, ATTACH THE  
STUB OF THIS NOTICE.

**WE ASSIGNED YOU AN EMPLOYER IDENTIFICATION NUMBER**

Thank you for applying for an Employer Identification Number (EIN). We assigned you EIN 90-0502952. This EIN will identify you, your business accounts, tax returns, and documents, even if you have no employees. Please keep this notice in your permanent records.

When filing tax documents, payments, and related correspondence, it is very important that you use your EIN and complete name and address exactly as shown above. Any variation may cause a delay in processing, result in incorrect information in your account, or even cause you to be assigned more than one EIN. If the information is not correct as shown above, please make the correction using the attached tear off stub and return it to us.

Assigning an EIN does not grant tax-exempt status to non-profit organizations. Publication 557, Tax Exempt Status for Your Organization, has details on the application process, as well as information on returns you may need to file. To apply for formal recognition of tax-exempt status, most organizations will need to complete either Form 1023, Application for Recognition Under Section 501(c)(3) of the Internal Revenue Code, or Form 1024, Application for Recognition of Exemption Under Section 501(a). Submit the completed form, all applicable attachments, and the required user fee to:

Internal Revenue Service  
PO Box 192  
Covington, KY 41012-0192

The Pension Protection Act of 2006 contains numerous changes to the tax law provisions affecting tax-exempt organizations, including an annual electronic notification requirement (Form 990-N) for organizations not required to file an annual information return (Form 990 or Form 990-EZ). Additionally, if you are required to file an annual information return, you may be required to file it electronically. Please refer to the Charities & Non-Profits page at [www.irs.gov](http://www.irs.gov) for the most current information on your filing requirements.



002354

	A	B	C	D	E	F
1	Budget - Current Year					
2						
3	1/1/2014 through 12/31/2014 Using ANA 2014 BUDGET					
4						
5			ACTUAL	BUDGET	DIFFERENCE	
6		<b>INCOME</b>				
7		GOVERNMENT GRANT	\$0.00	2,500.00	-2,500.00	
8		MEMBER DONATION	\$0.00	400.00	-400.00	
9		TOTAL INCOME	\$0.00	2,900.00	-2,900.00	
10						
11		<b>EXPENSES</b>				
12		GOVERNMENT EXPENSES	\$15.00	50.00	35.00	
13		HOLIDAY-CHRISTMAS PARTY	\$0.00	500.00	500.00	
14		LIABILITY INSURANCE	\$0.00	275.00	275.00	
15		MAINTENANCE OF BURMS	\$0.00	500.00	500.00	
16		OTHER	\$0.00	100.00	100.00	
17		PICNIC	\$0.00	500.00	500.00	
18		SUPPLIES	\$0.00	150.00	150.00	
19						
20		<b>TOTAL EXPENSES</b>	\$15.00	2,075.00	2,060.00	
21						
22		<b>OVERALL TOTAL</b>	<b>-\$15.00</b>	825.00	<b>-840.00</b>	
23						
24						

1/9/2014

### Budget - Last year

1/1/2013 through 12/31/2013 Using Budget 2

Page 1

Category	1/1/2013 Actual	- Budget	12/31/2013 Difference
<b>INCOME</b>			
GOVERNMENT GRANT	1,000.00	1,000.00	0.00
MEMBER DONATION	636.00	400.00	236.00
<b>TOTAL INCOME</b>	<b>1,636.00</b>	<b>1,400.00</b>	<b>236.00</b>
<b>EXPENSES</b>			
BRIGHTSIDE CLEANUP	150.74	25.00	-125.74
DUES	0.00	25.00	25.00
GOVERNMENT EXPENSES	27.51	15.00	-12.51
HOLIDAY-CHRISTMAS PARTY	0.00	400.00	400.00
LIBILITY INSURANCE	0.00	250.00	250.00
MAINTENANCE OF BURMS	25.00	300.00	275.00
MEETING REFRESHMENTS	49.08	25.00	-24.08
MEETING SPACE CHARGE	0.00	0.00	0.00
OTHER	0.00	0.00	0.00
PICNIC	0.00	400.00	400.00
POSTAGE	0.00	75.00	75.00
SUPPLIES	191.80	150.00	-41.80
<b>TOTAL EXPENSES</b>	<b>444.13</b>	<b>1,665.00</b>	<b>1,220.87</b>
<b>OVERALL TOTAL</b>	<b>1,191.87</b>	<b>-265.00</b>	<b>1,456.87</b>

### Spending by Category - Last year

1/1/2013 through 12/31/2013

1/9/2014

Page 1

Category	1/1/2013- 12/31/2013
Uncategorized	22.76
2013 HOLIDAY-CHRISTMAS PARTY	453.43
2013 PICNIC	576.92
BRIGHTSIDE CLEANUP	150.74
GOVERNMENT EXPENSES	27.51
MAINTENANCE OF BURMS	25.00
MEETING REFRESHMENTS	49.08
MEMBERSHIP MEETING EXPENSES	38.34
SUPPLIES	191.80
<b>OVERALL TOTAL</b>	<b>1,535.58</b>

**AUBURNDALE NEIGHBORHOOD ASSOCIATION OFFICERS 2012-2013**

PRESIDENT	KEN WILLIAMS
VICE-PRESIDENT	KEN MACFARLAND
SECRETARY	Joyce Whalen
TREASURER	RAY CRIDER
SGT-AT-ARMS	STEVE COTTON
AT-LARGE-MEMBERS	KAREN BOSTON
	CAROLYN NOWLIN
	PATSY BLACK
PRESIDENT EMERITUS	RAY WHITERNER



	Second Year of Two year term
	First Year of Two year term
	First Year of Two year term
	Second Year of Two year term
	Second Year of Two year term
	No Term Limits
	No Term Limits
	No Term Limits



759-09-01-00 55109 0 C 001 30 50 003  
AUBURNDALE NEIGHBORHOOD ASSOCIATION  
1120 FRANELM RD  
LOUISVILLE KY 40214-4152

# Your account statement

For 04/30/2014

## Contact us



BBT.com



(800) BANK-BBT or  
(800) 226-5228

Award-winning service has always been our goal. It's nice to know we're on the right track.

Since 2009 BB&T has earned 103 Greenwich Excellence Awards, more than any other bank.

BB&T, Member FDIC.

The 2013 Greenwich Associates Small Business and Middle Market Banking Study is with companies with sales of \$1MM to \$500MM and is based on over 30,000 interviews.  
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### Account summary

Your previous balance as of 03/31/2014	\$388.29
Checks	- 0.00
Other withdrawals, debits and service charges	- 165.31
Deposits, credits and interest	+ 155.00
Your new balance as of 04/30/2014	= \$377.98

### Other withdrawals, debits and service charges

DATE	DESCRIPTION	AMOUNT(\$)
04/03	BB&T CHECK CARD PURCHASE DOLLAR-GENERAL #2104-01 LOUISVILLE KY 2838	6.36
04/14	BB&T CHECK CARD PURCHASE-PIN 04-11-14 LOUISVILLE KY 2838 SPEEDWAY 09645 LOU	10.60
04/16	BB&T CHECK CARD PURCHASE-PIN 04-16-14 SAMSCLUB #4851 2838 1301 VETERANS CLARKSVILLE IN	23.48
04/17	BB&T CHECK CARD PURCHASE PHELPS HARDWARE 04-16 LOUISVILLE KY 2838	66.76
04/28	BB&T CHECK CARD PURCHASE-PIN 04-27-14 LOUISVILLE KY 2838 THE HOME DEPOT 2302	58.11
<b>Total other withdrawals, debits and service charges</b>		<b>= \$165.31</b>

### Deposits, credits and interest

DATE	DESCRIPTION	AMOUNT(\$)
04/03	DEPOSIT	36.00
04/23	DEPOSIT	119.00
<b>Total deposits, credits and interest</b>		<b>= \$155.00</b>

### BB&T Cash Rewards

ACCOUNT NUMBER ENDING	STATUS	AS OF	EARNED BALANCE(\$)
*****2619	Active	00/00	

Log on to BB&T OnLine to find the latest cash back offers from participating retailers.



# Ray Crider

---

**From:** epostcard@urban.org  
**Sent:** Thursday, January 23, 2014 9:20 AM  
**To:** raycrider2@gmail.com  
**Subject:** Form 990-N E-filing Receipt - IRS Status: Accepted

Organization: AUBURNDALE NEIGHBORHOOD ASSOCIATION

EIN: [REDACTED]

Submission Type: Form 990-N

Year: 2013

Submission ID: [REDACTED]

e-File Postmark: 1/23/2014 9:14:18 AM

Accepted Date: 1/23/2014

The IRS has accepted the e-Postcard described above. Please save this receipt for your records.

Thank you for filing.

-----  
e-Postcard technical support  
Phone: 866-255-0654 (toll free)  
email: ePostcard@urban.org  
-----

AUBURNDALE NEIGHBORHOOD ASSOCIATION  
% Ray Crider  
1120 Franelm Rd  
Louisville, KY 40214



[Home](#) | [Support](#) | [Links](#) | [Log Out](#)

## Form 990-N (e-Postcard) Submitted

**AUBURNDALE NEIGHBORHOOD ASSOCIATION**



**2013 IRS Form 990-N (e-Postcard)**  
**1/1/2013 - 12/31/2013**

**Congratulations, your Form 990-N (e-Postcard) has been submitted to the IRS.**

Once the IRS receives and processes your e-Postcard (usually within 30 minutes), you will receive an email indicating whether your e-Postcard was accepted or rejected. If accepted, you are done for the year. If rejected, the e-filing receipt email will contain instructions on how to correct the problem.



[Log out](#) | [Go To Filing Status Page](#)

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Questions or problems regarding this web site should be directed to [Tech Support](#)  
Concerned about your privacy? Please view our [privacy policy](#).  
This website is best viewed with Microsoft Internet Explorer 6.0+ or Mozilla Firefox with a screen resolution of 1024 X 768.  
Last modified: December 30, 2013.

Form **990-N**  
 Department of the Treasury  
 Internal Revenue Service

**Electronic Notice (e-Postcard)**  
 for Tax-Exempt Organizations not Required To File Form 990 or  
 990-EZ

OMB No. 1545-  
2085

**2013**

Open to Public  
Inspection

**A** For the 2013 calendar year, or tax year beginning 1/1/2013, and ending 12/31/2013.

**B** Check if applicable

Terminated, Out of  
Business

Gross receipts are normally  
\$50,000 or less

**C** Name of organization: AUBURNDALE NEIGHBORHOOD  
ASSOCIATION

d/b/a:

% Ray Crider  
1120 Franelm Rd  
Louisville, KY, US, 40214

**E** Website:

**F** Name of Principal Officer: Ken Williams

1018 Franelm Rd  
Louisville, KY, US, 40214

**Privacy Act and Paperwork Reduction Act Notice.** We ask for the information on this form to carry out the Internal Revenue laws of the United States. You are required to give us the information. We need it to ensure that you are complying with these laws.

The organization is not required to provide the information requested on a form that is subject to the Paperwork Reduction Act unless the form displays a valid OMB control number. Books or records relating to a form or its instructions must be retained as long as their contents may become material in the administration of any Internal Revenue law. The rules governing the confidentiality of the Form 990-N is covered in Code section 6104.

The time needed to complete and file this form and related schedules will vary depending on individual circumstances. The estimated average times is 15 minutes.

**Note:** This image is provided for your records only. Do NOT mail this page to the IRS. The IRS will not accept this filing via paper. You must file your Form 990-N (e-Postcard) electronically.

**Articles of Incorporation  
of  
Auburndale Neighborhood Association, Inc.**

**0744470.09**      dcomish  
ADD  
Trey Grayson, Secretary of State  
Received and Filed:  
9/24/2009 3:34 PM  
Fee Receipt: \$8.00

**WE, THE UNDERSIGNED, having associated for the purposes of forming a non-profit, non-stock corporation, under and pursuant to the laws of the Commonwealth of Kentucky, and more particularly Chapter 273, Kentucky Revised Statutes (KRS), hereby certify as follows:**

**Article I**

The name of the corporation shall be:

Auburndale Neighborhood Association, Inc.

**Article II**

The duration of the corporation shall be perpetual.

**Article III**

The address of the registered and principal office of the corporation is:

7536 Merlyn Circle  
Louisville, KY 40214

The name of the initial registered agent for service of process, located at such address is:

Kathy Recktenwald  
7536 Merlyn Circle  
Louisville, KY 40214

Other places of business in said city or elsewhere may be designated by resolution of the Board of Directors.

**Article IV**

The corporation is organized and shall be operated exclusively for the promotion of social welfare as described within Section 501(c)(4) of the Internal Revenue Code (or corresponding provisions of any later federal tax laws), including for such purposes the making of distributions to organizations and individuals for the purpose of engaging in activity falling within the purposes of the corporation and permitted for an organization exempt under said Section 501(c)(4).

The purposes of the corporation shall be more specifically stated as follows:

- 1) Enhance the health, safety and welfare of the community;
- 2) Provide a forum wherein neighborhood issues and concerns may be publicly expressed and discussed;
- 3) Improve the economic life of the Auburndale area;
- 4) Encourage a spirit of friendliness and cooperation with other groups in the Auburndale neighborhood and throughout the Louisville/Jefferson County Metro area;
- 5) Foster cooperation and unity between property owners, business people, tenants, and others;
- 6) Meet the educational and cultural needs of the community;
- 7) Encourage improvements in municipal services through public involvement and cooperation with local government;
- 8) Encourage, plan, and coordinate the beautification, preservation, rehabilitation, and revitalization of all residential and public properties, structures and physical environment

9) Seek the assistance and cooperation from government agencies and other neighborhood associations to resolve common neighborhood problems, achieve common neighborhood objectives and goals, and to maintain and improve the quality of life for residents of all neighborhoods;

10) Support other charitable, educational and cultural activities which advance the general well being of the community and its people.

#### Article V

The corporation shall be irrevocably dedicated to and operated exclusively for non-profit purposes. No part of the net earnings of the corporation shall inure to the benefit of or be distributable to its members, directors, officers, or other private persons, except that the corporation shall be authorized and empowered to pay reasonable compensation for services rendered and to make payments and distributions in furtherance of the purposes set forth in Article IV hereof.

#### Article VI

In carrying out the corporate purposes described in Article IV, the corporation shall have all the powers granted by the laws of the State of Kentucky, including in particular those listed in KRS 273.171 (or corresponding provision of any later State statute), except as follows and as otherwise stated in these Articles:

A) Notwithstanding any other provision of these Articles, the corporation shall not carry on any other activities not permitted to be carried on:

1) By a corporation exempt from Federal income tax under Section 501(c)(4) of the Internal Revenue Code, or the corresponding provisions of any subsequent Federal tax laws.

#### Article VII

The name and address of the Incorporator is:

Incorporator

Kathy Recktenwald

Address

7536 Merlyn Circle  
Louisville, Kentucky 40214

#### Article VIII

The initial board of directors shall consist of four directors. The names and addresses of the members of the initial Board of Directors are:

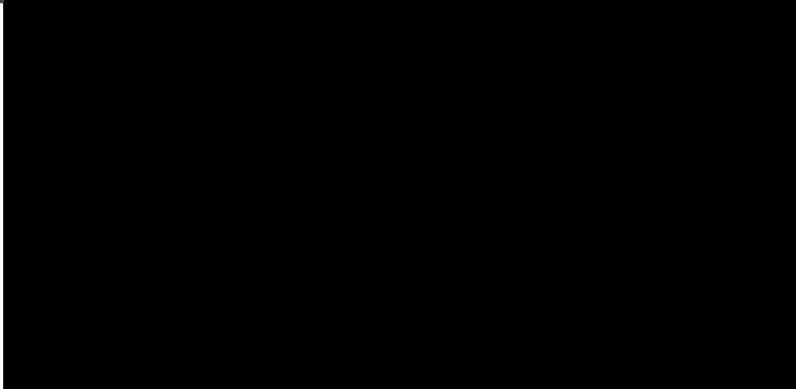
Director

Ray Whitener

Ken McFarland

Ray Crider

Stephen Cotton



#### Article IX

The original bylaws shall be adopted by the initial Board of Directors. Thereafter, the Corporation shall be governed by the Bylaws.

Any director may be removed for cause pursuant to bylaws provisions regarding grounds and procedures for such removal.

#### Article X

a) The directors, officers and at-large members, employees and members of this Corporation shall not be held personally liable for any debt or obligation of the corporation solely because of their position in the Corporation.

b) Any person serving on the Board of Directors of this Corporation shall not be held personally liable for monetary damages resulting from the breach of his/her duties as a director unless such act, omission or breach:

- 1) concerned or concerns a transaction in which the director's personal financial interest was or is in conflict with the financial interests of the Corporation;
- 2) was not in good faith or involved or involves intentional misconduct on the part of the director;
- 3) was known by the director to be a violation of law; or
- 4) resulted in an improper personal benefit to the director.

**Article XI**

The Corporation may indemnify any director, officer and at-large member, or former director, officer and at-large member, of the Corporation against any expenses actually and reasonably incurred by him/her in connection with the defense of any action, suit or proceeding, civil or criminal, in which he/she is made a party by reason of being or having been such director, officer and at-large member, except in relation to matters as to which he/she shall be adjudged in such action, suit or proceeding, to be liable for negligence or misconduct in the performance of duty to the Corporation. The Corporation may make any other indemnification permitted by law and authorized by its articles of incorporation, By-laws or resolution adopted after notice to members entitled to vote.

**Article XII**

In the event of dissolution of the Corporation, the board of directors shall, after paying or making provision for the payment of all liabilities of the Corporation, dispose of all assets of the Corporation exclusively for the purposes of the Corporation, in such manner, or to such organizations organized and operated exclusively for the promotion of social welfare as shall at the time qualify as an exempt organization under Section 501(c)(4) or 501 (c) 3 of the Internal Revenue Code (or corresponding provisions of any later Federal tax laws), or to a state or local government for a public purpose as the Board of Directors shall determine.

The remaining assets, if any, shall be disposed of by the Circuit Court of the county in which the principal office for the Corporation is then located, exclusively for such purposes or to such organizations as said court shall determine are organized and operated exclusively for such purposes.

**Article XIII**

Amendments to these articles shall be made pursuant to the provisions of KRS 273-263 (or corresponding provision of any later State statute).

IN TESTIMONY WHEREOF, witness the signature of the Incorporator of this Corporation, this 2<sup>nd</sup> day of September 2009.

*Kathy Recktenwald*  
Kathy Recktenwald, Secretary  
Incorporator

STATE OF KENTUCKY )  
                          ) SS  
COUNTY OF JEFFERSON )

Before me, the undersigned authority, personally appeared and being duly sworn, acknowledged that she is the incorporator and agent of process of the aforementioned Corporation, and that she signed the aforementioned articles of incorporation as her free act and deed.

Witness my signature and seal of office this 2nd day of September, 2009.

My Commission Expires: \_\_\_\_\_  
Notary Public, State at Large, KY  
My commission expires Nov. 20, 2012  
This Document Prepared By:

*Mary Jones*  
Notary Public  
State At Large, Kentucky

Amanda S. Clephas, Community Outreach Liaison  
Department of Neighborhoods

## Request for Taxpayer Identification Number and Certification

**Give Form to the  
 requester. Do not  
 send to the IRS.**

Print or type See Specific Instructions on page 2.	Name (as shown on your income tax return) <b>AUBURNDALE NEIGHBORHOOD ASSOCIATION</b>	
	Business name/disregarded entity name, if different from above	
	Check appropriate box for federal tax classification: <input type="checkbox"/> Individual/sole proprietor <input type="checkbox"/> C Corporation <input type="checkbox"/> S Corporation <input type="checkbox"/> Partnership <input type="checkbox"/> Trust/estate <input type="checkbox"/> Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=partnership) ▶ <input checked="" type="checkbox"/> Other (see instructions) ▶	
	<input type="checkbox"/> Exempt payee	
	Address (number, street, and apt. or suite no.) <b>1120 FRANELM RD.</b>	Requester's name and address (optional)
City, state, and ZIP code <b>LOUISVILLE, KY 40214</b>		
List account number(s) here (optional) <b>90-0502952</b>		

**Part I Taxpayer Identification Number (TIN)**

Enter your TIN in the appropriate box. The TIN provided must match the name given on the "Name" line to avoid backup withholding. For individuals, this is your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the Part I instructions on page 3. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN* on page 3.

**Note.** If the account is in more than one name, see the chart on page 4 for guidelines on whose number to enter.

	Social security number										
	<table border="1" style="width: 100%; height: 40px;"> <tr> <td style="width: 10%;"></td> <td style="width: 10%;"></td> <td style="width: 10%;"></td> <td style="width: 10%;"></td> <td style="width: 10%;"></td> <td style="width: 10%;"></td> <td style="width: 10%;"></td> <td style="width: 10%;"></td> <td style="width: 10%;"></td> <td style="width: 10%;"></td> </tr> </table>										

**Part II Certification**

Under penalties of perjury, I certify that:

- The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me), and
- I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding, and
- I am a U.S. citizen or other U.S. person (defined below).

**Certification instructions.** You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions on page 4.

<b>Sign Here</b>	Signature of U.S. person ▶ <i>Ray Carter</i>	Date ▶ <i>4/19/2013</i>
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**General Instructions**

Section references are to the Internal Revenue Code unless otherwise noted.

**Purpose of Form**

A person who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) to report, for example, income paid to you, real estate transactions, mortgage interest you paid, acquisition or abandonment of secured property, cancellation of debt, or contributions you made to an IRA.

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN to the person requesting it (the requester) and, when applicable, to:

- Certify that the TIN you are giving is correct (or you are waiting for a number to be issued),
- Certify that you are not subject to backup withholding, or
- Claim exemption from backup withholding if you are a U.S. exempt payee. If applicable, you are also certifying that as a U.S. person, your allocable share of any partnership income from a U.S. trade or business is not subject to the withholding tax on foreign partners' share of effectively connected income.

**Note.** If a requester gives you a form other than Form W-9 to request your TIN, you must use the requester's form if it is substantially similar to this Form W-9.

**Definition of a U.S. person.** For federal tax purposes, you are considered a U.S. person if you are:

- An individual who is a U.S. citizen or U.S. resident alien,
- A partnership, corporation, company, or association created or organized in the United States or under the laws of the United States,
- An estate (other than a foreign estate), or
- A domestic trust (as defined in Regulations section 301.7701-7).

**Special rules for partnerships.** Partnerships that conduct a trade or business in the United States are generally required to pay a withholding tax on any foreign partners' share of income from such business. Further, in certain cases where a Form W-9 has not been received, a partnership is required to presume that a partner is a foreign person, and pay the withholding tax. Therefore, if you are a U.S. person that is a partner in a partnership conducting a trade or business in the United States, provide Form W-9 to the partnership to establish your U.S. status and avoid withholding on your share of partnership income.