

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

Applicant/Program: Kentucky Waterways Alliance

Executive Summary of Request:

8th Annual Wild and Scenic Film Festival on March 4, 2016, at the Clifton Cultural Center. The purpose of the event is to raise awareness of environmental issues facing the nation and the community. Funds to be used for venue rental, printing of event banner and posters and postage for promotional materials.

Is this program/project a fundraiser?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
Is this applicant a faith based organization?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
Does this application include funding for sub-grantee(s)?	<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.

9

District #

Bill Hollock

Council Member Signature

\$500.00

Amount

02/03/16

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.

*None.
Bill Hollock*

Approved by:

Appropriations Committee Chairman

Date

Clerk's Office Only:

Request Amount: _____ Committee Amended Appropriation: _____

Original Appropriation: _____ Council Amended Appropriation: _____

Applicant/Program: **Kentucky Waterways Alliance**

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>8</u> District #	<u>Thomas L. Dean</u> Council Member Signature	<u>\$500.00</u> Amount	<u>2/5/2016</u> Date
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<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
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<u> </u> District #	<u> </u> Council Member Signature	<u> </u> Amount	<u> </u> Date
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**LOUISVILLE METRO COUNCIL
NEIGHBORHOOD DEVELOPMENT FUND APPLICATION CHECKLIST**

Legal Name of Applicant Organization: Kentucky Waterways Alliance

Program Name and Request Amount: 8th Annual Wild & Scenic Film Festival

	Yes/No/NA
Is the NDF Transmittal Sheet Signed by all Council Member(s) Appropriating Funding?	<input type="checkbox"/> Yes
Is the funding proposed by Council Member(s) less than or equal to the request amount?	<input type="checkbox"/> Yes
Is the proposed public purpose of the program viable and well-documented?	<input type="checkbox"/> Yes
Will all of the funding go to programs specific to Louisville/Jefferson County?	<input type="checkbox"/> Yes
Has Council or Staff relationship to the Agency been adequately disclosed on the cover sheet?	<input type="checkbox"/> Yes
Has prior Metro Funds committed/granted been disclosed?	<input type="checkbox"/> Yes
Is the application properly signed and dated by authorized signatory?	<input type="checkbox"/> Yes
Is proof of Tax Exempt status of 501(c) 3, 4, 6, 19, 1120-H included?	<input type="checkbox"/> Yes
If Metro funding is for a separate taxing district is the funding appropriated for a program outside the legal responsibility of that taxing district?	<input type="checkbox"/> N/A
Is the entity in good standing with: <ul style="list-style-type: none"> • Kentucky Secretary of State? • Louisville Metro Revenue Commission? • Louisville Metro Government? • Internal Revenue Service? • Louisville Metro Human Relations Commission? 	<input type="checkbox"/> Yes
Is the current Fiscal Year Budget included?	<input type="checkbox"/> Yes
Is the entity's board member list (with term length/term limits) included?	<input type="checkbox"/> Yes
Is recommended funding less than 33% of total agency operating budget?	<input type="checkbox"/> No
Does the application budget reflect only the revenue and expenses of the project/program?	<input type="checkbox"/> Yes
Is the cost estimate(s) from proposed vendor (if request is for capital expense) included?	<input type="checkbox"/> N/A
Is the most recent annual audit (if required by organization) included?	<input type="checkbox"/> Yes
Is a copy of Signed Lease (if rent costs are requested) included?	<input type="checkbox"/> N/A
Is the Supplemental Questionnaire for churches/religious organizations (if requesting organization is faith-based) included?	<input type="checkbox"/> N/A
Are the Articles of Incorporation of the Agency included?	<input type="checkbox"/> Yes
Is the IRS Form W-9 included?	<input type="checkbox"/> Yes
Is the IRS Form 990 included?	<input type="checkbox"/> Yes
Are the evaluation forms (if program participants are given evaluation forms) included?	<input type="checkbox"/> N/A
Affirmative Action/Equal Employment Opportunity plan and/or policy statement included (if required to do so)?	<input type="checkbox"/> N/A
Has the Agency agreed to participate in the BBB Charity review program? If so, has the applicant met the BBB Charity Review Standards?	<input type="checkbox"/> No

Prepared by:

Kyle Stouder

Date:

02/03/16



LOUISVILLE METRO COUNCIL NEIGHBORHOOD DEVELOPMENT FUND APPLICATION

SECTION 1 – APPLICANT INFORMATION			
Legal Name of Applicant Organization:		Kentucky Waterways Alliance	
<small>(as listed on: http://www.sos.ky.gov/business/records)</small>			
Main Office Street & Mailing Address: 120 Webster, Suite 217, Louisville KY 40206			
Website: www.kwalliance.org			
Applicant Contact:	Jeffrey Jewel	Title:	Developmet Director
Phone:	502-589-8008	Email:	jeffrey@kwalliance.org
Financial Contact:	Jeffrey Jewel	Title:	Development Director
Phone:	502-589-8008	Email:	jeffrey@kwalliance.org
Organization's Representative who attended NDF Training: Becky Blair			
SECTION 2 – PROGRAM REQUEST & FINANCIAL INFORMATION			
PROGRAM/PROJECT NAME: 8th Annual Wild and Scenic Film Festival			
Total Request: (\$)	1,000	Total Metro Award (this program) in previous year: (\$)	1,000
Purpose of Request (check all that apply):			
<input type="checkbox"/> Operating Funds (generally cannot exceed 33% of agency's total operating budget)			
<input checked="" type="checkbox"/> Programming/services/events for direct benefit to community or qualified individuals			
<input type="checkbox"/> Capital Project of the organization (equipment, furnishing, building, etc)			
The Following are Required Attachments:			
<input checked="" type="checkbox"/> IRS Exempt Status Determination Letter <input checked="" type="checkbox"/> Current Year Projected Budget <input checked="" type="checkbox"/> List of Board of Directors (include term & term limits) <input checked="" type="checkbox"/> Current financial statement <input checked="" type="checkbox"/> Most recent IRS Form 990 or 1120-H <input checked="" type="checkbox"/> Articles of Incorporation <input type="checkbox"/> Cost estimates from proposed vendor if request is for capital expense		<input type="checkbox"/> Signed lease if rent costs are being requested <input checked="" type="checkbox"/> IRS Form W9 <input type="checkbox"/> Evaluation forms if used in the proposed program <input checked="" type="checkbox"/> Annual audit (if required by organization) <input type="checkbox"/> Faith Based Organization Certification Form, if required <input checked="" type="checkbox"/> Staff including the 3 highest paid staff	
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.			
Source:	n/a	Amount: (\$)	
Source:		Amount: (\$)	
Source:		Amount: (\$)	
Has the applicant contacted the BBB Charity Review for participation? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
Has the applicant met the BBB Charity Review Standards? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			



LOUISVILLE METRO COUNCIL NEIGHBORHOOD DEVELOPMENT FUND APPLICATION

SECTION 3 - AGENCY DETAILS

Describe Agency's Vision, Mission and Services:

Mission: Kentucky Waterways Alliance's mission is to protect and restore Kentucky's waterways

Vision: Kentucky Waterways Alliance envisions healthy waterways throughout Kentucky. We strive to achieve the best protections possible from water pollution in our communities and work toward a healthier future for all.

Strategic Goals:

- 1) Identify key places for protection on a watershed level.
- 2) Carry out a statewide movement to protect Kentucky's waterways through grassroots activism and large scale awareness.
- 3) Work on behalf of communities and the promises laid out in the Clean Water Act by influencing public policy.
- 4) Build a strong and sustainable water network by promoting and supporting local watershed groups.

Since 1993, Kentucky Waterways Alliance has been a leader in the fight against pollution in our waterways, winning stronger protections for over 90 percent of Kentucky's rivers, lakes, and streams. We work with communities on local watershed issues at the state and national levels advocating for the best regulations possible. Our work is making a real difference in the quality of life for all Kentuckians one protected stream at a time.



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.):

The 8th annual Wild and Scenic Film Festival will be held on Friday, March 4th from 7:30-10:00pm at the Clifton Cultural Center. The purpose of this event is to bring this national festival to a local venue in order to increase awareness of environmental issues facing the nation and our community, as well as to increase KWA's reach in the community and expand our membership base.

This event has brought hundreds of participants and dozens of local non-profits and businesses together to learn more about what we can do to protect our environment with particular emphasis on our waterways. We will be screening nine films including three local films from sources such as Explore Kentucky, Kentucky Natural Land Trust, and a film produced by Kentucky Waterways Alliance in conjunction with the Center for Mollusk Protection. There will also be a reception with food donated by Wiltshire Pantry where like-minded organizations can network. We hope these films will inspire attendees to effect positive change in our community!

B: Describe specifically how the funding will be spent including identification of funding to sub grantee(s):
Funding from the Neighborhood Development Fund would be used to cover costs directly related to the festival including:

Program costs payable to the balance of venue rental (\$300), printing of event banner and posters (\$100), postage for promotional materials (\$600.00).



LOUISVILLE METRO COUNCIL NEIGHBORHOOD DEVELOPMENT FUND APPLICATION

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

The film festival is an outreach event. KWA has not raised more than our expenses in the 7 years we have held this event. If we were to raise more than expenses due to any combination of sponsorships and ticket sales the funds would be spent on further outreach efforts, particularly our Bear Creek Alliance program and our Harrod's Creek program.

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.

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.



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 film festival will benefit attendees by providing an increased understanding of local and national issues regarding water quality and our environment. The films also demonstrate what motivated citizens can do to effect positive change. Success will be determined by the number of new people who attend the festival, the number of new members and renewals we receive at the event, and the results of our follow-up survey of attendees.

Our long-term goal is to build new relationships and strengthen current relationships with concerned citizens of all ages and socio-economic backgrounds. We hope to empower members of our community to become better stewards our environment, to increase awareness and advocacy of environmental issues, and to draw more participants for our clean-ups of local waterways, specifically Beargrass Creek and Harrod's Creek.

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.

We are still on the process of finalizing all our collaborative for our 8th annual film festival. In past years we've averaged approximately 20 partners for each event. Most are local non-profit organizations such as the Kentucky Natural Land Trust and the Nature Conservancy of Kentucky. We've also partner with numerous small local business such as Heine Brothers Coffee, KY Ale, and Wiltshire Pantry. Our partners typically provide in-kind services and donations or other forms of sponsorship in exchange for booth space to provide educational information about their businesses.

We regularly collaborate many community organizations on numerous projects including watershed planning efforts, creek clean-ups, various educational events, environmental studies, and policy discussions.



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
A: Personnel Costs Including Benefits	0	6,700.00	6,700.00
B: Rent/Utilities	300.00	350.00	650.00
C: Office Supplies	0	0	0
D: Telephone	0	0	0
E: In-town Travel	0	0	0
F: Client Assistance (Attach Detailed List)	0	0	0
G: Professional Service Contracts	0	0	0
H: Program Materials	100.00	850.00	950.00
I: Community Events & Festivals (Attach Detail List)	0	3,900.00	3,900.00
J: Small Equipment	0	0	0
K: Capital Equipment	0	0	0
L: Other Expenses (Attach Detail List)	600.00	600.00	1,200.00
*TOTAL PROGRAM/PROJECT FUNDS	1,000.00	12,400.00	13,400.00
% of Proposed Budget	7.5 %	92.5 %	100%

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

Other State, Federal or Local Government	
United Way	
Private Contributions (do not include individual donor names)	6,000.00
Fees Collected from Program Participants	3,000.00
Other (please specify)	4,400.00
<i>Total Expenses for Column 2 Expenses **</i>	13,400.00

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

**Must equal or exceed total in column 2.

JJ
(Signature)



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
Wiltshire Pantry	1,200	Donor assigned value of in-kind donation
Volunteer Time	2,200	100 hours @ \$22 per hour
<i>Total Value of In-Kind (to match Program Budget Line Item. Volunteer Contribution & Other In Kind)</i>	3,300	

*** 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: 1993

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:



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. N/A

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.

Signature of Legal Signatory:		Date:	2/1/2016
Legal Signatory: (please print):	Jeffrey A Jewel	Title:	Development Director
Phone:	502-589-8008	Extension:	
Email:	jeffrey@kwalliance.org		

Addendum to Metro NDF Grant Application 2016

Wild and Scenic Film Festival

Kentucky Waterways Alliance

Budget : Page 6, Funding Sources : Other = \$1,000.00 from Kentucky Aquatic Resource Fund + \$3,400.00 KWA Funds (to cover projected shortfall of event generated income.

Board Terms and Limits (Attachment 3)

The current KWA board members are serving a one year term. Elections to be held in June of this year (2016) will result in staggered three year terms from that point forward.



Submitted by Jeffrey Jewel

Development Director

Kentucky Waterways Alliance



- Tax-Exempt -



Department of the Treasury
Internal Revenue Service

P.O. Box 2508
Cincinnati OH 45201

In reply refer to: 0248162362
Apr. 13, 2010 LTR 4168C E0
000000 00

00016189
BODC: TE

KENTUCKY WATERWAYS ALLIANCE INC
% JUDY PETERSEN
120 WEBSTER STREET STE 217
LOUISVILLE KY 40206

4446

Employer Identification Number: [REDACTED]
Person to Contact: Mr. McQueen
Toll Free Telephone Number: 1-877-829-5500

Dear Taxpayer:

This is in response to your Apr. 02, 2010, request for information regarding your tax-exempt status.

Our records indicate that your organization was recognized as exempt under section 501(c)(3) of the Internal Revenue Code in a determination letter issued in October 1993.

Our records also indicate that you are not a private foundation within the meaning of section 509(a) of the Code because you are described in section(s) 509(a)(1) and 170(b)(1)(A)(vi).

Donors may deduct contributions to you as provided in section 170 of the Code. Bequests, legacies, devises, transfers, or gifts to you or for your use are deductible for Federal estate and gift tax purposes if they meet the applicable provisions of sections 2055, 2106, and 2522 of the Code.

Beginning with the organization's sixth taxable year and all succeeding years, it must meet one of the public support tests under section 170(b)(1)(A)(vi) or section 509(a)(2) as reported on Schedule A of the Form 990. If your organization does not meet the public support test for two consecutive years, it is required to file Form 990-PF, Return of Private Foundation, for the second tax year that the organization failed to meet the support test and will be reclassified as a private foundation.

If you have any questions, please call us at the telephone number shown in the heading of this letter.

0248162362
Apr. 13, 2010 LTR 4168C E0
[REDACTED] 000000 00
00016190

KENTUCKY WATERWAYS ALLIANCE INC
% JUDY PETERSEN
120 WEBSTER STREET STE 217
LOUISVILLE KY 40206

Sincerely yours,

Michele M. Sullivan

Michele M. Sullivan, Oper. Mgr.
Accounts Management Operations I

Kentucky Waterways Alliance Budget

Expense		105,900
Sub-Contracts		
Mark Howell (Bacon Cr)	30,000	
BMPs Bacon Creek (septic & ag)	7,000	
BMPs new Bacon Creek (ag & septic)	41,500	
BMPs Darby Creek	20,600	
VEE: WVRC	3,800	
Bookkeeper (est: \$30/hr @ 6 hr/wk*30 wks)	2,000	
Better Bourbon/Beer Clean Water	1,000	
Direct Grant Expenses		5,000
Total Payroll, Benefits & Tax Expenses		346,267
Total Allocated Salaries	311,900	
Pension Plan Contributions	9,357	
State Unemployment	1,150	
FICA Expenses	23,860	
Professional Fees		15,100
Solid Ground (Bd Dev) or (St Plan)	8,500	
Payroll software + QB	800	
CPA (audit & 990)	5,800	
Office Supplies		2,500
Office Equipment (Norcross grant)		1,500
Postage & Delivery		5,000
Printing		18,000
Office Occupancy & Utilities		17,000
Rental-Other		1,800
Travel		18,000
River Clean-Ups		2,500
Training & Professional development		3,000
Meeting Expenses		6,500
Bank Charges		1,500
Insurance		4,500
Membership, Dues & Subscriptions		1,200
Computer/Web services		2,500
Advertising/Marketing Expense		4,000
Miscellaneous		383
Total Expense		562,150
Net Ordinary Income		0

2016 Budget DRAFT Basic Op	
Grants Total	317,350
Red River WBP	10,000
Virginia Environmental Endowment	119,000
McKnight Foundation	19,700
Bacon Creek 319 (h) WBP	57,650
Darby Creek 319 (h) WBP	98,500
Bacon Creek 319 (h) WBP - new	10,000
DendrI Fund	1,000
Lville Metro Wild & Scenic	1,500
Noncross (computers)	170,000
Membership and Other Contributions	700
Merchandise Sales	100
Interest on Money Market	2,000
Special Events	72,000
KARF Management Fee	562,150
Total Income	

- Board / Staff -

KWA Officers 2015-2016

Gordon Garner
[REDACTED]

President

Prospect, KY 40059-9356

Ward Wilson
[REDACTED]

Vice-President

Louisville, KY 40207-2324

Pamla Wood
[REDACTED]

Treasurer

Harrodsburg, KY 40330

Hugh Archer
[REDACTED]

Secretary

Lawrenceburg, KY 40342

Beverly Juett
[REDACTED]

Immediate Past-President

Midway, KY 40347

Basin Delegates

Virginia Lee

[REDACTED]
Louisville, KY 40204

Salt River Basin Delegate

John Niland

[REDACTED]
Covington, KY 41011

Licking River Basin Delegate

Ruth Billings

[REDACTED]
Lexington, KY 40109

Kentucky River Basin Delegate

Richie Kessler

[REDACTED]
Campbellsville, KY 42718

Upper Green River Basin Delegate

Scott Vander Ploeg

[REDACTED]
Madisonville, KY 42431

Lower Green/Tradewater Basin Delegate

Robert Johnson

[REDACTED]
Calvert City, KY 42029

Jackson Purchase Delegate

Thomas Vierheller

[REDACTED]
Banner, KY 41603

Big Sandy Basin Delegate

At - Large Board Members

Kay Harker

[REDACTED]
Frankfort, KY 40601

Caron Fausel

[REDACTED]
Louisville, KY 40222

James Craig
Craig Henry PLC
239 South Fifth Street, Suite 1400
Louisville, KY 40202

Board Member Emeritus

Frank Eisen

[REDACTED]
Louisville, KY 40223

Staff Louisville Office
120 Webster Street, #217
Louisville, KY 40206
502-589-8008 (office)

Judith Petersen
270-524-1774 (cell)
Judy@kwalliance.org

Executive Director

Jeffrey Jewel
jeffrey@kwalliance.org

Development Director

Tessa Edelen
Tessa@KWAlliance.org

Watershed Program Director

Tim Joice
tim@kwalliance.org

Water Policy Director

Jessica Kane
Jessica@kwalliance.org

Community Engagement Director

Contractors:

Mark Howell
Becky Blair

Bacon Creek Ag. Coordinator
Bookkeeper

2:07 PM

02/01/16

Accrual Basis

Kentucky Waterways Alliance Balance Sheet

As of February 1, 2016

	Feb 1, 16
ASSETS	
Current Assets	
Checking/Savings	
1010 · Fifth Third Bank-Checking	66,730.34
1071 · Fifth Third Bank-Money Market	18,553.04
1073 · KARF Money Held In Trust	6,974,822.59
1074 · RF-Watershed Watch GRP	9,596.77
Total Checking/Savings	7,069,702.74
Accounts Receivable	
1240 · Grants Receivable	11,818.87
Total Accounts Receivable	11,818.87
Other Current Assets	
1350.00 · Prepaid Expenses	765.00
Total Other Current Assets	765.00
Total Current Assets	7,082,286.61
Fixed Assets	
1600 · Computer Equipment	4,756.88
1610 · Accumulated Depreciation	-3,131.69
Total Fixed Assets	1,625.19
TOTAL ASSETS	7,083,911.80
LIABILITIES & EQUITY	
Liabilities	
Current Liabilities	
Other Current Liabilities	
Payroll Tax Payable	224.69
2110-01 · Compensated Absences Payable	9,404.31
2110 · Accrued Payroll	3,513.73
2130 · Payroll Tax Payables	
2130-03 · State Income Tax Payable	778.86
2130-04 · Lou/Jeff Income Tax Payable	290.21
2130-06 · Hart County Tax Payable	36.92
2130-07 · Simple IRA Payable	-52.80
2130-08 · SUTA Payable	278.67
2130-09 · FUTA Payable	4.53
2130 · Payroll Tax Payables - Other	-224.69
Total 2130 · Payroll Tax Payables	1,111.70

**Kentucky Waterways Alliance
Balance Sheet
As of February 1, 2016**

2:07 PM
02/01/16
Accrual Basis

	Feb 1, 16
24000 · Payroll Liabilities	33.04
2910.00 · Custodial Funds-KARF	6,834,293.74
2910.01 · Deferred Revenue - KARF	140,528.35
Total Other Current Liabilities	6,989,110.06
Total Current Liabilities	6,989,110.06
Total Liabilities	6,989,110.06
Equity	
3100 · Temporarily Restricted Funds	43,362.62
3200 · RF Watershed Watch Grp	9,596.77
32000 · Retained Earnings	62,184.60
Net Income	-20,342.25
Total Equity	94,801.74
TOTAL LIABILITIES & EQUITY	7,083,911.80

Form **990**

Return of Organization Exempt From Income Tax
Under section 501(c), 527, or 4947(a)(1) of the Internal Revenue Code (except private foundations)

OMB No. 1545-0047

2014
Open to Public Inspection

Department of the Treasury
Internal Revenue Service

Do not enter social security numbers on this form as it may be made public.

Information about Form 990 and its instructions is at www.irs.gov/form990.

A For the 2014 calendar year, or tax year beginning and ending

B Check if applicable:
 Address change
 Name change
 Initial return
 Final return/terminated
 Amended return
 Application pending

C Name of organization: **KENTUCKY WATERWAYS ALLIANCE, INC.**
 Doing business as
 Number and street (or P.O. box if mail is not delivered to street address) Room/suite: **120 WEBSTER STREET 217**
 City or town, state or province, country, and ZIP or foreign postal code: **LOUISVILLE, KY 40206**

D Employer identification number: [REDACTED]

E Telephone number: **502-589-8008**

F Name and address of principal officer: **JUDITH PETERSEN**
SAME AS C ABOVE

G Gross receipts \$: **706,260.**

H(a) Is this a group return for subordinates? Yes No
H(b) Are all subordinates included? Yes No
 If "No," attach a list. (see instructions)
H(c) Group exemption number

I Tax-exempt status: 501(c)(3) 501(c) () (insert no.) 4947(a)(1) or 527

J Website: **WWW.KWALLIANCE.ORG**

K Form of organization: Corporation Trust Association Other

L Year of formation: **1993** **M** State of legal domicile: **KY**

Part I Summary

Activities & Governance	1 Briefly describe the organization's mission or most significant activities: TO PROTECT AND RESTORE KENTUCKY'S WATERWAYS.			
	2 Check this box <input type="checkbox"/> if the organization discontinued its operations or disposed of more than 25% of its net assets.			
	3	Number of voting members of the governing body (Part VI, line 1a)	16	
	4	Number of independent voting members of the governing body (Part VI, line 1b)	16	
	5	Total number of individuals employed in calendar year 2014 (Part V, line 2a)	6	
	6	Total number of volunteers (estimate if necessary)	450	
	7a	Total unrelated business revenue from Part VIII, column (C), line 12	0.	
7b	Net unrelated business taxable income from Form 990-T, line 34	0.		
Revenue			Prior Year	Current Year
	8	Contributions and grants (Part VIII, line 1h)	568,486.	381,278.
	9	Program service revenue (Part VIII, line 2g)	445,388.	286,127.
	10	Investment income (Part VIII, column (A), lines 3, 4, and 7d)	223.	311.
	11	Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e)	11,712.	10,699.
12	Total revenue - add lines 8 through 11 (must equal Part VIII, column (A), line 12)	1,025,809.	678,415.	
Expenses	13	Grants and similar amounts paid (Part IX, column (A), lines 1-3)	0.	0.
	14	Benefits paid to or for members (Part IX, column (A), line 4)	0.	0.
	15	Salaries, other compensation, employee benefits (Part IX, column (A), lines 5-10)	271,917.	289,966.
	16a	Professional fundraising fees (Part IX, column (A), line 11e)	0.	0.
	b	Total fundraising expenses (Part IX, column (D), line 25)	43,992.	
17	Other expenses (Part IX, column (A), lines 11a-11d, 11f-24e)	611,578.	378,324.	
18	Total expenses. Add lines 13-17 (must equal Part IX, column (A), line 25)	883,495.	668,290.	
19	Revenue less expenses. Subtract line 18 from line 12	142,314.	10,125.	
Net Assets or Fund Balances			Beginning of Current Year	End of Year
	20	Total assets (Part X, line 16)	3,741,967.	3,488,929.
	21	Total liabilities (Part X, line 26)	3,475,939.	3,212,776.
22	Net assets or fund balances. Subtract line 21 from line 20	266,028.	276,153.	

Part II Signature Block

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

Sign Here Signature of officer: **JUDITH PETERSEN, EXECUTIVE DIRECTOR**
 Date: _____
 Type or print name and title

Paid Preparer Use Only

Print/Type preparer's name: **BARBARA A. LASKY** Preparer's signature: [REDACTED] Date: _____
 Check if self-employed:

Firm's name: **ANDERSON, BRYANT, LASKY & WINSLOW, PSC** Firm's EIN: [REDACTED]
 Firm's address: **943 SOUTH FIRST STREET LOUISVILLE, KY 40203** Phone no. (502) 584-9793

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

Part III Statement of Program Service Accomplishments

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

1 Briefly describe the organization's mission: TO PROTECT AND RESTORE KENTUCKY'S WATERWAYS.

2 Did the organization undertake any significant program services during the year which were not listed on the prior Form 990 or 990-EZ? [] Yes [X] No

3 Did the organization cease conducting, or make significant changes in how it conducts, any program services? [] Yes [X] No

4 Describe the organization's program service accomplishments for each of its three largest program services, as measured by expenses. Section 501(c)(3) and 501(c)(4) organizations are required to report the amount of grants and allocations to others, the total expenses, and revenue, if any, for each program service reported.

4a (Code:) (Expenses \$ 252,652. including grants of \$) (Revenue \$ 282,652.) THE KENTUCKY AQUATIC RESOURCES FUND (KARF) ACCEPTS FUNDS FROM (AUTHORIZED) DEVELOPMENT PROJECTS THAT HAVE CAUSED NEGATIVE IMPACTS TO AQUATIC SPECIES AND WATERWAYS IN THE STATE. THE FUNDS ARE USED TO AID IN THE CONSERVATION AND RECOVERY OF WATERWAYS AND AQUATIC SPECIES BY MITIGATING THE EFFECTS FROM THESE PROJECTS IN OTHER APPROVED SITES. KARF ALSO ACCEPTS FEDERAL GRANT FUNDS. KARF FUNDS HAVE PURCHASED LAND FOR CONSERVATION, FUNDED STREAM MONITORING AND RESTORATION, ADVANCED THE RESEARCH ON FISH AND MUSSEL SPECIES, AND FUNDED THE BREEDING AND RELEASE OF THREATENED AND ENDANGERED SPECIES.

4b (Code:) (Expenses \$ 94,794. including grants of \$) (Revenue \$) WATERSHED PLANNING - ASSIST COMMUNITIES AND WATERSHED GROUPS IN WATERSHED PLANNING - KWA WORKS WITH COMMUNITIES AND LOCAL GROUPS TO FACILITATE WATERSHED PLANNING INCLUDING BUILDING LOCAL ALLIANCES, WRITING AND IMPLEMENTING WATERSHED PLANS, AND ORGANIZING EDUCATION AND OUTREACH EVENTS AND PROGRAMS. IN 2014, WE WORKED CLOSELY WITH SIX COMMUNITIES ON WATERSHED ISSUES, COVERING OVER 400 SQUARE MILES AND IMPACTING MORE THAN A MILLION PEOPLE. EACH COMMUNITY HAD A UNIQUE SET OF ISSUES. THE RED RIVER AND THE RED BIRD RIVER WATERSHEDS INCLUDE SOME OF THE BEST WATER QUALITY IN THE STATE, ENDANGERED PLANTS AND ANIMALS, AND BELOVED PLACES OF RECREATION, BUT NEED THE PROTECTION THAT KWA IS HELPING TO PROVIDE THROUGH LOCAL WATERSHED TEAMS AND COMMUNITY EDUCATION. THE BACON CREEK WATERSHED ENCOMPASSES RURAL FARMING

4c (Code:) (Expenses \$ 132,126. including grants of \$) (Revenue \$) CWA ENFORCEMENT - IMPROVE IMPLEMENTATION & ENFORCEMENT OF THE CLEAN WATER ACT IN KENTUCKY - WE HELP TO PROTECT WATER QUALITY, SAVE WETLANDS AND FLOODPLAINS AND ASSIST IN CLEANING UP POLLUTED WATERS. WE WORK WITH STATE AND FEDERAL AGENCIES TO IMPROVE CLEAN WATER ACT LAWS AND REGULATIONS; IMPROVE DISCHARGE PERMITS SO THAT FEWER POLLUTANTS ARE DISCHARGED INTO OUR WATERWAYS; AND TO HALT OR MINIMIZE WETLANDS FILL AND DESTRUCTION. WHEN STATE OR FEDERAL AGENCIES ARE LAX IN ENFORCEMENT OF WATER REGULATIONS OR THE ADOPTION OF PROTECTIVE CRITERIA, WE URGE THEM TO DO THEIR JOBS WITH COMMENTS AND PUBLIC ENGAGEMENT OR LITIGATION IF NECESSARY.

4d Other program services (Describe in Schedule O.) (Expenses \$ 47,207. including grants of \$) (Revenue \$ 3,475.)

4e Total program service expenses 526,779.

Corp. BOOK NO. 8 PAGE 644

12.00pd

ARTICLES OF INCORPORATION
OF
Kentucky Waterways Alliance, INC.

RECEIVED & FILED
\$ 8.00
APR 14 4 03 PM '93
BOB HARRIGE
SECRETARY OF STATE
COMMONWEALTH OF KENTUCKY

I, the undersigned, acting as incorporator of a corporation under the Kentucky Non Profit Corporation Act, adopt the following Articles of Incorporation for such corporation:

ARTICLE I

The name of the Corporation is Kentucky Waterways Alliance Inc. ("Corporation").

ARTICLE II

The period of its duration is perpetual.

ARTICLE III

(1) Any provision of these Articles of Incorporation to the contrary notwithstanding, the Corporation shall not have capital stock or shareholders and shall not have any purpose or object, nor have or exercise any power, nor engage in any activity, which in any way contravenes, or is in conflict with, the other provisions of Article II of these Articles of Incorporation.

(2) The purposes for which the Corporation is organized are as follows:

(a) To conduct and carry on its work, not for profit, but exclusively for charitable, scientific, literary, or educational purposes within the meaning of section 501 (c) (3) of the Internal Revenue Code of 1954 (or corresponding provisions of any subsequently Federal tax laws), in such manner

(i) that no part of its income or property shall inure to the private benefit of any donor, member, director, or individual having a personal or private interest in

the activities of the Corporation, except as reasonable compensation for services actually rendered,

(ii) that it shall not directly or indirectly participate in or intervene in any political campaign on behalf of any candidate for public office and

(iii) that no substantial part of its activities shall be carrying on propaganda or otherwise attempting to influence legislation. Notwithstanding any other provision of these articles, the Corporation shall not carry on any other activities not permitted to be carried on

(A) by a corporation exempt from federal income tax under section 501 (c) (3) of the Internal Revenue Code or a corresponding section of any future federal tax code

(B) by a corporation, contributions to which are deductible under section 170 (c) (2) of the Internal Revenue Code, or corresponding section of any future federal tax code.

(b) To assist local community groups in their efforts to foster sound water resource management practices and conservation; to promote an interest in, and a study of the streams rivers lakes and other water resources of the Commonwealth; to collect and assemble scientific studies and literature pertaining thereto; to cooperate with all agencies, governmental or private, which have an interest in water resources management, water quality and the well being of the states streams, rivers lakes and wetlands ; to prepare and disseminate periodicals, pamphlets, books, and materials pertaining to Kentucky water resources and related subjects; to copyright and register the same; to sponsor and conduct meetings for the study and discussion of water resources and matters pertaining thereto; to solicit membership in the Corporation and to solicit contributions; to establish branches of the Corporation in other states and communities; all of which purposes are to be carried out not for profit and without shares of stock; but simply

to promote interest in, and the wise management of Kentucky waters, and generally to to the things that are incident and necessary thereto.

(c) To organize, promote, foster, assist (whether financially or otherwise), and conduct such charitable, scientific, literary and educational enterprises, activities and institutions, as from time to time may be determined, selected or decided upon by the Corporation's Board of Directors consistent with the purposes stated above.

(d) In furtherance of, and at all times subject to, the aforesaid purposes, enterprises, activities, and projects:

(i) To solicit and acquire by gift, exchange, or otherwise, property of any and all kinds, and to sell, transfer, and otherwise dispose of any property it so acquires;

(ii) To invest and reinvest any such property and the increments in, and avails or proceeds of, any such property in such investments as may be deemed advisable from time to time by the Corporation's Board of Directors, including, but not limited to, stocks, bonds, secured and unsecured obligations, undivided interests, leases, commercial paper, financial and governmental instruments, savings and other depository accounts, and other securities and properties;

(iii) To give, donate, and contribute to any of the activities the Corporation may elect to sponsor, or in furtherance of any of the aforesaid purposes for which the Corporation is organized, such money or property, or both, as the Corporation's Board of Directors may from time to time determine,

(iv) To take title to, and hold in its own name, such real or personal property, or both, and such interests in either such type of property as the Corporation may acquire, for the purposes herein set out, and to sell, transfer, and dispose of any such property or reinvest the proceeds thereof as herein permitted;

(v) To accept gifts, bequests, or devises of property of any kind which any person, firm or corporation may make to the Corporation, upon the terms, trusts,

and conditions set forth in the deed of gift, will, or other instrument of writing, executed by any such donor or testator, but only for the purposes and upon the terms and conditions and with the powers set forth in these Articles of Incorporation;

(vi) To borrow money and give security therefor by pledging, mortgaging, or otherwise hypothecating any property it may own, or any interest it may have in such property;

(vii) To become a member of any other nonstock or nonprofit corporation organized under the laws of any state, or to become affiliated with any other organization of like character existing under the laws of any state; provided, however, that such corporation or organization is an exempt organization under section 501 (c) (3) of the Internal Revenue Code of 1954 (or corresponding provisions of any subsequent Federal tax laws);

(viii) to the extent permitted by law, to enter into contracts with any corporate trust company for the purpose of delegating to it the power, or employing it, to make investments on behalf of the Corporation, and to do such other things permitted by these Articles of Incorporation as the parties may agree upon, and without limiting the generality of the foregoing, but in furtherance thereof, to enter into trust agreements, irrevocable or otherwise, with any such corporate trustee, and therein to authorize any such corporate trustee to employ agents, attorneys, accountants, and others in connection with the performance of any duty or trust arising under such agreement; and

(ix) To do any and all things which the Corporation's Board of Directors may determine, consistent with the provisions hereof, to be necessary or appropriate to effectuate the purposes of which the Corporation is organized as herein set forth, to the extent that the doing of such act or thing is not inconsistent with the provisions of Chapter 273 of Kentucky Revised Statutes, or any other applicable law

CORP. 8
BOOK NO.

PAGE 648

or statute of the Commonwealth of Kentucky or section 501 (c) (3) of the Internal Revenue Code of 1954 (or corresponding provisions of any subsequent Federal tax laws).

(3) Notwithstanding any provision heretofore stated herein, if at any time the Corporation is determined to be a private foundation or private operating foundation as defined in section 509 or section 4942 of the Internal Revenue Code of 1954, or in corresponding provisions of any subsequent Federal tax laws, then:

(a) The Corporation shall distribute its income for each taxable year at such time and in such manner as not to become subject to the tax on undistributed income imposed by section 4942 of the Internal Revenue Code of 1954, or by corresponding provisions of any subsequent Federal tax laws.

(b) The Corporation shall not engage in any act of self-dealing as defined in section 4942(d) of the Internal Revenue Code of 1954, or in corresponding provisions of any subsequent Federal tax laws.

(c) The Corporation shall not purchase nor retain any excess business holdings as defined in section 4943(c) of the Internal Revenue Code of 1954, or in corresponding provisions of any subsequent Federal tax laws.

(d) The Corporation shall not make any investments in such manner as to subject it to tax under section 4944 of the Internal Revenue Code of 1954, or in corresponding provisions of any subsequent Federal tax laws.

(e) The Corporation shall not make any taxable expenditures as defined in section 4945(d) of the Internal Revenue Code of 1954, or in corresponding provisions of any subsequent Federal tax laws.

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ARTICLE IV

The Corporation shall have members. Classes of membership shall be as set forth in the By-Laws of the Corporation.

ARTICLE V

If, at any time, this Corporation dissolves, the assets of this Corporation shall be applied and distributed as follows:

- (1) All liabilities and obligations of this Corporation shall be paid and discharged, or adequate provision shall be made therefor;
- (2) Assets held by this Corporation upon condition requiring return, transfer, or conveyance, which condition occurs by reason of the dissolution, shall be returned, transferred, or conveyed in accordance with such requirements;
- (3) Assets that have been received and are held by this Corporation subject to limitations permitting their use only for charitable, scientific, literary, educational, and/or similar purposes, and that are not held upon a condition requiring return, transfer, or conveyance by reason of dissolution, shall be transferred or conveyed to one or more corporations, societies, or organizations, organized under the laws of any state, that are exempt under section 501 (c) (3) of the Internal Revenue Code of 1954, or under corresponding provisions of any subsequent Federal tax laws, or to the Federal government, or to the state or local government, for a public purpose, pursuant to a plan of distribution adopted as provided by law; and
- (4) Other assets if any, shall be transferred or conveyed to one or more corporations, societies, or organizations, organized under the laws of any State, that are exempt under section 501 (c) (3) of the Internal Revenue Code of 1954, or under corresponding provisions of any subsequent Federal tax laws, or to the Federal government, or to a State or local government, for a public purpose, pursuant to a plan of distribution adopted as provided by law.

(5) Any assets not disposed of pursuant to the provisions of Article V set forth hereinabove shall be disposed of by a court of competent jurisdiction of the county in which the principal office of the Corporation is then located to such organizations, as the court shall determine, which are organized and operated exclusively for charitable purposes and are exempt under section 501 (c) (3) of the Internal Revenue Code of 1954 or under corresponding provisions of any subsequent Federal tax laws.

ARTICLE VI

Provisions for the regulation of the affairs of the Corporation shall be set forth in the By-Laws of the Corporation as duly adopted or from time to time altered, amended or repealed by the Board of Directors. The Board of Directors along shall have authority to manage and direct the corporation.

ARTICLE VII

The address of the Corporation's registered office, and of its registered agent is 107 Rough River Run, Georgetown, Kentucky 40324 and the name of its initial registered agent at such address is Beth K. Stewart.

ARTICLE VIII

The number of directors constituting the initial Board of Directors of the Corporation is 3 and the names and addresses of the persons who are to serve as the initial directors are:

1. Beth K. Stewart, 107 Rough River Run, Georgetown, KY 40324
2. Helen Powell, Ste 201 2230 Idle Hour Center, Lexington KY 40502
3. ED Puterbaugh, 3361 Carriage Lane, Lexington, KY 40517

ARTICLE IX

The name and address of the sole incorporator is:
Beth K. Stewart, 107 Rough River Run, Georgetown, KY 40324

ARTICLE X

The private property of the incorporator and the directors shall not be subject to any of the Corporation's debts and liabilities.

ARTICLE XI

Indemnification of directors, officers, employees and agents of the Corporation may be as provided for the By-Laws; provided, however, such identification is not otherwise in conflict with the provisions of Article III of these Articles of Incorporation.

Signature Page

Beth K. Stewart 4-2-93
Georgetown, KY

Helen Powell 9/9/93
Lexington, KY

Ed Puterbaugh 4-7-93
Lexington, KY

COMMONWEALTH OF KENTUCKY
COUNTY OF SCOTT

Date of Kentucky
County of Scott, Ky.
I, Sharon H. Perry, Clerk in and for the County of Scott, Kentucky, do hereby certify that the foregoing instrument was duly recorded for record on this day and that the same has been duly recorded in my office.

This instrument was prepared by:
Ken Cooke, Lexington, Ky.

Witness: by hand this 21 day of April 1993
Sharon H. Perry
Clerk

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) Kentucky Waterways Alliance, Inc.	
	Business name/disregarded entity name, if different from above	
	Check appropriate box for federal tax classification: <input type="checkbox"/> Individual/sole proprietor <input checked="" 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 type="checkbox"/> Other (see instructions) ▶	
	<input checked="" type="checkbox"/> Exempt payee	
Address (number, street, and apt. or suite no.) 120 Webster Street, # 217		Requester's name and address (optional)
City, state, and ZIP code Louisville, KY 40206		
List account number(s) here (optional)		

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 style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 25%; border: 1px solid black; height: 20px;"></td> <td style="width: 25%; border: 1px solid black; height: 20px;"></td> <td style="width: 25%; border: 1px solid black; height: 20px;"></td> <td style="width: 25%; border: 1px solid black; height: 20px;"></td> </tr> </table>				
Employer identification number				

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.

Sign Here	Signature of U.S. person ▶ 	Date ▶ 2/1/16
------------------	--------------------------------	----------------------

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.

**FINANCIAL STATEMENTS AND
INDEPENDENT AUDITOR'S REPORT
KENTUCKY WATERWAYS ALLIANCE, INC.
DECEMBER 31, 2014 AND 2013**

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INDEPENDENT AUDITOR'S REPORT

The Board of Directors
Kentucky Waterways Alliance, Inc.

We have audited the accompanying financial statements of the Kentucky Waterways Alliance, Inc., (a not-for-profit organization) which comprise the statements of financial position as of December 31, 2014 and 2013, and the related statements of activities, functional expenses and cash flows for the years then ended, and the related notes to the financial statements.

Management's Responsibility for the Financial Statements

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

Auditor's Responsibility

Our responsibility is to express an opinion on these financial statements based on our audits. We conducted our audits in accordance with auditing standards generally accepted in the United States of America. Those standards require that we plan and perform the audits to obtain reasonable assurance about whether the financial statements are free of material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor's judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

Opinion

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of Kentucky Waterways Alliance, Inc. as of December 31, 2014 and 2013, and the changes in its net assets and its cash flows for the years then ended in accordance with accounting principles generally accepted in the United States of America.

Anderson, Bryant, Leachy + Wainbow, P.S.C.

Louisville, Kentucky
May 19, 2015

**STATEMENTS OF FINANCIAL POSITION
KENTUCKY WATERWAYS ALLIANCE, INC.
DECEMBER 31, 2014 AND 2013**

	2014	2013
ASSETS		
Cash	\$ 127,126	\$ 153,919
Cash - Watershed Watch Groups	17,789	16,973
Cash - federal grants	140,529	-
Accounts receivable	24,045	12,372
Unconditional promises to give	-	99,000
Restricted cash	3,177,914	3,457,163
Equipment, net	1,526	2,540
Total assets	\$ 3,488,929	\$ 3,741,967
 LIABILITIES AND NET ASSETS		
LIABILITIES		
Accounts payable	\$ 19,630	\$ 175
Accrued payroll and related taxes	15,232	18,601
Fiscal sponsorship payable	3,177,914	3,457,163
Total liabilities	3,212,776	3,475,939
 NET ASSETS		
Unrestricted	74,472	81,180
Temporarily restricted	201,681	184,848
Total net assets	276,153	266,028
Total liabilities and net assets	\$ 3,488,929	\$ 3,741,967

The accompanying notes are an integral part of these financial statements.

**STATEMENTS OF ACTIVITIES
KENTUCKY WATERWAYS ALLIANCE, INC.
FOR THE YEARS ENDED DECEMBER 31, 2014 AND 2013**

	2014			2013		
	Unrestricted	Temporarily Restricted	Total	Unrestricted	Temporarily Restricted	Total
Revenue and support:						
Contributions and grants	\$ 194,302	\$ 178,656	\$ 372,958	\$ 390,672	\$ 177,814	\$ 568,486
Special event income	46,864	-	46,864	28,137	-	28,137
Special event expense	(27,845)	-	(27,845)	(16,425)	-	(16,425)
Interest income	311	-	311	223	-	223
KARF sponsorship revenue	252,652	-	252,652	407,888	-	407,888
Other income	33,475	-	33,475	37,500	-	37,500
Total revenue and support	499,759	178,656	678,415	847,995	177,814	1,025,809
Net assets released from restrictions:						
Restrictions satisfied by payments	161,823	(161,823)	-	33,173	(33,173)	-
Total revenue, support and reclassifications	661,582	16,833	678,415	881,168	144,641	1,025,809
Expenses:						
Program services	526,779	-	526,779	758,924	-	758,924
Management and general	97,519	-	97,519	91,550	-	91,550
Fund raising	43,992	-	43,992	33,021	-	33,021
Total expenses	668,290	-	668,290	883,495	-	883,495
increase (decrease) in net assets	(6,708)	16,833	10,125	(2,327)	144,641	142,314
Net assets at beginning of year	81,180	184,848	266,028	83,507	40,207	123,714
Net assets at end of year	\$ 74,472	\$ 201,681	\$ 276,153	\$ 81,180	\$ 184,848	\$ 266,028

The accompanying notes are an integral part of these financial statements.

**STATEMENTS OF FUNCTIONAL EXPENSES
KENTUCKY WATERWAYS ALLIANCE, INC.
FOR THE YEARS ENDED DECEMBER 31, 2014 AND 2013**

	2014		2013	
	Management and Fund		Management and Fund	
	Total	Program Services	Total	Program Services
		General		General
		Raising		Raising
Salaries and wages	\$ 261,209	\$ 173,979	\$ 56,305	\$ 30,925
Payroll taxes	20,899	13,920	4,505	2,374
Employee benefits	7,858	5,234	1,694	930
Program expenses	39,437	39,437	-	-
KARF sponsorship expenses	252,652	252,652	-	-
Professional fees	15,943	1,610	11,873	2,460
Marketing and advertising	2,125	1,864	95	166
Office expenses	4,512	2,441	832	1,239
Printing	17,084	13,442	2,016	1,624
Postage and shipping	6,368	1,726	2,989	1,653
Information technology	1,191	73	1,118	-
Occupancy	14,336	9,549	3,090	1,697
Travel	11,436	9,857	1,135	444
Conferences and meetings	4,448	-	4,300	148
Insurance	4,841	-	4,841	-
Dues and subscriptions	913	51	862	-
Repairs and maintenance	508	-	508	-
Training	1,427	205	1,135	87
Miscellaneous	89	64	-	25
Depreciation	1,014	675	219	120
Total expenses	\$ 668,290	\$ 526,779	\$ 97,519	\$ 43,992
	<u>100.0%</u>	<u>78.8%</u>	<u>14.6%</u>	<u>6.6%</u>
		\$ 883,495	\$ 758,924	\$ 91,550
		<u>100.0%</u>	<u>85.9%</u>	<u>10.4%</u>
		\$ 247,119	\$ 169,081	\$ 50,384
		20,702	14,164	4,221
		4,096	2,803	835
		137,493	137,493	-
		407,888	407,888	-
		5,984	-	5,984
		1,244	911	320
		2,820	1,244	1,463
		13,870	3,661	9,671
		4,194	1,439	1,823
		1,765	75	1,690
		13,825	6,439	6,879
		8,058	6,364	1,499
		1,795	837	958
		3,410	-	3,410
		938	200	738
		3,972	2,809	1,163
		2,305	1,826	309
		1,269	1,179	50
		748	511	153
		\$ 883,495	\$ 758,924	\$ 91,550
		<u>100.0%</u>	<u>85.9%</u>	<u>10.4%</u>
		\$ 27,654	2,317	458
		-	-	-
		-	-	-
		13	113	538
		932	507	195
		-	-	-
		-	-	-
		170	40	84
		\$ 31,921	3,7%	3.7%

The accompanying notes are an integral part of these financial statements.

STATEMENTS OF CASH FLOWS
KENTUCKY WATERWAYS ALLIANCE, INC.
FOR THE YEARS ENDED DECEMBER 31, 2014 AND 2013

	2014	2013
CASH FLOWS FROM OPERATING ACTIVITIES:		
Change in net assets	\$ 10,125	\$ 142,314
Adjustments to reconcile change in net assets to net cash provided by operating activities:		
Depreciation	1,014	748
(Increase) decrease in operating assets:		
Accounts receivable	(11,673)	39,004
Unconditional promises to give	99,000	(99,000)
Increase (decrease) in operating liabilities:		
Accounts payable	19,455	(11,928)
Accrued payroll and related taxes	(3,369)	1,212
Net cash provided (used) by operating activities	114,552	72,350
CASH FLOWS FROM INVESTING ACTIVITIES:		
Purchases of equipment	-	(1,078)
Net increase (decrease) in cash	114,552	71,272
Cash at beginning of year	170,892	99,620
Cash at end of year	\$ 285,444	\$ 170,892

The accompanying notes are an integral part of these financial statements.

**NOTES TO FINANCIAL STATEMENTS
KENTUCKY WATERWAYS ALLIANCE, INC.
DECEMBER 31, 2014 AND 2013**

NOTE 1. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

The Kentucky Waterways Alliance, Inc. (KWA) is a statewide not-for-profit organization whose mission is to work with partners to secure funds for the protection and long-term stewardship of the state's water resources, and to serve as a resource and partner to other conservation organizations. KWA focuses on establishing protected watersheds including areas containing large concentrations of rare species, including the federally listed Endangered and Threatened aquatic species that occur in Kentucky. KWA's funding comes largely through donations from private charitable foundations and individuals, as well as grants from government sources for specific projects.

Basis of Accounting

The financial statements of the organization have been prepared on the accrual basis of accounting and accordingly reflect all significant receivables, payables and other liabilities.

Basis of Presentation

Financial statement presentation follows the recommendations of the Financial Accounting Standards Board (FASB) Accounting Standards Codification (ASC) with regards to financial statements of Not-for-Profit Organizations. Under this guidance, KWA is required to report information regarding its financial position and activities according to three classes of net assets: unrestricted net assets, temporarily restricted net assets, and permanently restricted net assets. A description of the three net assets categories follows:

Unrestricted Net Assets: include the portion of expendable funds that are not subject to donor-imposed stipulations.

Temporarily Restricted Net Assets: include gifts for which donor-imposed restrictions have not been met.

Permanently Restricted Net Assets: include amounts where the donor has stipulated the corpus be invested in perpetuity and only the income is made available for program operations in accordance with donor restrictions.

NOTES TO FINANCIAL STATEMENTS – CONTINUED

Estimates

The preparation of financial statements in conformity with generally accepted accounting principles requires management to make estimates and assumptions that affect certain reported amounts and disclosures. Accordingly, actual results could differ from those estimates.

Cash and Cash Equivalents

For purposes of the statement of cash flows, cash includes cash held in checking accounts and any highly liquid investment with a maturity of three months or less when purchased to be cash equivalents.

Accounts Receivable

Accounts receivable consists primarily of receivables for program fees earned by KWA. An allowance for uncollectibles has not been recorded because management believes all receivables are fully collectible.

Unconditional Promises to Give

Unconditional promises to give are recognized when the donor makes a promise to give to KWA that is, in substance, unconditional. Unconditional promises to give becoming due in the next year are recorded at net realizable value. Unconditional promises to give due in subsequent years are reported at the present value of their net realizable value, using risk free interest rates applicable to the years in which the promises are received.

Restricted Cash/Fiscal Sponsorship Payable

KWA and the U.S. Fish and Wildlife Service have entered into a memorandum of agreement to establish and operate the Kentucky Aquatic Resources Fund (KARF). KARF is intended to (a) serve as a mechanism for private individuals, companies and other organizations to minimize the effects of authorized, project-related impacts and incidental take of aquatic species in Kentucky and (b) provide aquatic species conservation and recovery benefits through the implementation of specific projects funded through the KARF.

NOTES TO FINANCIAL STATEMENTS -- CONTINUED

The U.S. Fish and Wildlife Service receives settlements, funding for implementation of regulatory requirements, grants, donations, and discretionary federal and non-federal funding to conduct a variety of aquatic resources-related activities including, but not limited to, research, status surveys, land and watershed protection, installation of best management practices, stream enhancement and restoration, and mitigation of impacts to aquatic species in Kentucky.

KWA accepts cash as a fiscal sponsor for the Kentucky Aquatic Resource Fund and agrees to disburse those assets to designated beneficiaries. Assets held by KWA for these donors are classified as restricted cash and fiscal sponsorship payable on the statements of financial position. Restricted cash for this purpose as of December 31, 2014 and 2013 was \$3,292,914 and \$3,457,163, respectively.

Management records the revenue and expenses on the statements of activities.

Equipment

KWA capitalizes all expenditures for property and equipment in excess of \$500. Purchased property and equipment are carried at cost. Donated property and equipment are recorded as support at their estimated fair value. Such donations are reported as unrestricted support unless the donor has restricted the donated asset to a specific purpose. Equipment is depreciated using the straight-line method over the estimated useful lives of the related assets.

Contributions

Contributions received are recorded as unrestricted, temporarily restricted, or permanently restricted support, depending on the existence and/or nature of any donor restrictions.

Support that is restricted by the donor is reported as an increase in unrestricted net assets if the restriction expires in the reporting period in which the support is recognized. All other donor-restricted support is reported as an increase in temporarily or permanently restricted net assets, depending on the nature of the restriction. When a restriction expires (that is, when a stipulated time restriction ends or purpose restriction is accomplished), temporarily restricted net assets are reclassified to unrestricted net assets and reported in the statement of activities as net assets released from restrictions.

NOTES TO FINANCIAL STATEMENTS – CONTINUED

Donated Services

No amounts have been reflected in the financial statements for donated services. KWA pays for most services requiring specific expertise. However, many individuals volunteer their time and perform a variety of tasks that assist KWA.

Expense Allocation

Expenses are charged to programs and supporting services directly, or on the basis of periodic time and expense studies. Management and general expenses include those expenses that are not directly identifiable with any other specific function but provide for the overall support and direction of KWA.

Income Tax Status

KWA is exempt from federal income tax under Section 501(c)(3) of the Internal Revenue Code. In addition, KWA qualifies for the charitable contribution deduction under Section 170(b)(1)(A) and has been classified as an organization other than a private foundation under Section 509(a)(2).

Management has concluded that any tax positions that would not meet the more-likely-than-not criterion of FASB ASC 740-10 would be immaterial to the financial statements taken as a whole. Accordingly, the accompanying financial statements do not include any provision for uncertain tax positions, and no related interest or penalties have been recorded in the statement of activities or accrued in the statement of financial position. Federal and state tax returns of the entity are generally open to examination by the relevant taxing authorities for a period of three years from the date the returns are filed.

Reclassifications

Certain accounts in the prior-year financial statements have been reclassified for comparative purposes to conform to the presentation in current year financial statements.

NOTES TO FINANCIAL STATEMENTS – CONTINUED

NOTE 2. CONCENTRATIONS OF CREDIT RISK

KWA maintains its cash balances in several financial institutions in Kentucky. The cash balances are insured by the Federal Deposit Insurance Corporation. At various times during the year, the cash balances exceed amounts federally insured. The risk is managed by maintaining all deposits in high quality financial institutions.

NOTE 3. PROMISES TO GIVE

Unconditional promises as stated are receivable within one year, and therefore no discount has been applied. No allowance for doubtful accounts has been applied, as management believes that all amounts are fully collectible.

NOTE 4. RESTRICTED CASH/FISCAL SPONSORSHIP PAYABLE

The fiscal sponsorship funds are reported by KWA as restricted cash on its statements of financial position offset by a corresponding liability, fiscal sponsorship payable. Revenue and expense is recognized by KWA in the period that the funds are expended on the statements of activities. KWA charges a fee for administering the funds that is included in other income. The fiscal sponsorship activity is as follows:

	2014	2013
	<u> </u>	<u> </u>
Balance - beginning of year	\$ 3,457,163	\$ 3,250,047
Revenue	339,922	614,204
Administration fee	(30,000)	(37,500)
Distributions/expenses	<u>(589,171)</u>	<u>(369,588)</u>
Balance - end of year	<u>\$ 3,177,914</u>	<u>\$ 3,457,163</u>

See Note 10 for subsequent event.

NOTES TO FINANCIAL STATEMENTS – CONTINUED

NOTE 5. EQUIPMENT

Depreciation is provided in amounts sufficient to relate the cost of depreciable assets to operations over the estimated service lives on a straight-line basis. At December 31, 2014 and 2013, the cost and accumulated depreciation of such assets were as follows:

	<u>2014</u>	<u>2013</u>
Computer equipment and software	\$ 4,658	\$ 4,658
Less accumulated depreciation	<u>(3,132)</u>	<u>(2,118)</u>
	<u>\$ 1,526</u>	<u>\$ 2,540</u>
Depreciation expense	<u>\$ 1,014</u>	<u>\$ 748</u>

NOTE 6. RESTRICTIONS ON ASSETS

Temporarily restricted net assets are available for the following purposes:

	<u>2014</u>	<u>2013</u>
Subsequent year's activities	\$ 43,363	\$ 167,875
Program activities	140,529	-
Watershed Watch Groups	<u>17,789</u>	<u>16,973</u>
	<u>\$ 201,681</u>	<u>\$ 184,848</u>

NOTE 7. LEASE

KWA leased office space under a month to month operating lease, for \$765 per month through December 2014. Rental expense for the years ended December 31, 2014 and 2013 was \$9,480 and \$9,180, respectively.

A lease agreement was reached for the period ending December 31, 2015, for a total annual obligation of \$10,980.

NOTES TO FINANCIAL STATEMENTS – CONTINUED

NOTE 8. RETIREMENT PLAN

KWA sponsors a SIMPLE IRA pension plan covering all employees who are eligible. Under the plan, KWA contributes a 100% match of up to 3% of each eligible employee's salary. Employer contributions for the years ended December 31, 2014 and 2013 were \$7,859 and \$4,096, respectively.

NOTE 9. WATERSHED WATCH GROUPS

The Watershed Watch Groups are volunteers in the state who are giving their time in an effort to improve Kentucky waterways through a coordinated campaign of water quality monitoring, skills development, and advocacy. Because these programs have not been incorporated separately, they use KWA's non-profit status in order to obtain grants and contributions and to carry out their program objectives. For these reasons, the assets and operations of the Watershed Watch Groups for the Salt River and Upper Green River are included in these financial statements.

NOTE 10. SUBSEQUENT EVENTS

Management has evaluated subsequent events through May 19, 2015, the date the financial statements were available to be issued.

Funds from the fiscal sponsorship arrangement were returned to the U.S. Fish and Wildlife Service in April of 2015 (totaling approximately \$911,000) after determining that the funds were in fact grants to KWA, not penalty settlements deposited from 3rd parties. As such, KWA was not in compliance with federal rules relating to how quickly the funds were being spent. Because the funds were never recognized in revenue, the return of the funds will have no impact on the net assets of the organization.

KENTUCKY WATERWAYS ALLIANCE, INC.

General Information

Organization Number	0313971
Name	KENTUCKY WATERWAYS ALLIANCE, INC.
Profit or Non-Profit	N - Non-profit
Company Type	KCO - Kentucky Corporation
Status	A - Active
Standing	G - Good
State	KY
File Date	4/14/1993
Organization Date	4/14/1993
Last Annual Report	5/21/2015
Principal Office	120 WEBSTER ST., SUITE 217 LOUISVILLE, KY 40206
Registered Agent	JUDITH D. PETERSEN 120 WEBSTER ST. SUITE 217 LOUISVILLE, KY 40206

Current Officers

President	<u>Gordon Garner</u>
Vice President	<u>Ward Wilson</u>
Secretary	<u>Hugh Archer</u>
Director	<u>Robert Johnson</u>
Director	<u>Beverly Juett</u>
Director	<u>Dave Wimsatt</u>

Individuals / Entities listed at time of formation

Director	<u>BETH K STEWART</u>
Director	<u>HELEN POWELL</u>
Director	<u>ED PUTERBAUGH</u>
Incorporator	<u>BETH K STEWART</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>	5/21/2015	1 page	<u>PDF</u>
<u>Annual Report</u>	1/23/2014	1 page	<u>PDF</u>
<u>Annual Report</u>	2/11/2013	1 page	<u>PDF</u>
<u>Annual Report</u>	5/11/2012	1 page	<u>PDF</u>
<u>Annual Report</u>	5/24/2011	1 page	<u>PDF</u>
<u>Registered Agent</u>			

<u>name/address change</u>	6/22/2010	1 page	<u>tiff</u>	<u>PDF</u>
<u>Annual Report</u>	6/22/2010	1 page	<u>tiff</u>	<u>PDF</u>
<u>Annual Report</u>	6/24/2009	2 pages	<u>tiff</u>	<u>PDF</u>
<u>Principal Office Address Change</u>	6/24/2009	1 page	<u>tiff</u>	<u>PDF</u>
<u>Annual Report</u>	5/23/2008	1 page	<u>PDF</u>	
<u>Annual Report</u>	5/24/2007	1 page	<u>PDF</u>	
<u>Annual Report</u>	5/25/2006	1 page	<u>tiff</u>	<u>PDF</u>
<u>Annual Report</u>	5/31/2005	1 page	<u>tiff</u>	<u>PDF</u>
<u>Annual Report</u>	4/29/2003	1 page	<u>tiff</u>	<u>PDF</u>
<u>Annual Report</u>	7/18/2002	1 page	<u>tiff</u>	<u>PDF</u>
<u>Annual Report</u>	7/23/2001	1 page	<u>tiff</u>	<u>PDF</u>
<u>Annual Report</u>	7/7/2000	1 page	<u>tiff</u>	<u>PDF</u>
<u>Annual Report</u>	6/21/1999	1 page	<u>tiff</u>	<u>PDF</u>
<u>Annual Report</u>	7/1/1997	1 page	<u>tiff</u>	<u>PDF</u>
<u>Statement of Change</u>	6/4/1997	1 page	<u>tiff</u>	<u>PDF</u>
<u>Reinstatement</u>	7/26/1996	2 pages	<u>tiff</u>	<u>PDF</u>
<u>Statement of Change</u>	7/26/1996	2 pages	<u>tiff</u>	<u>PDF</u>
<u>Administrative Dissolution</u>	11/1/1995	1 page	<u>tiff</u>	<u>PDF</u>
<u>Annual Report</u>	7/1/1995	1 page	<u>tiff</u>	<u>PDF</u>
<u>Annual Report</u>	3/25/1994	1 page	<u>tiff</u>	<u>PDF</u>
<u>Articles of Incorporation</u>	4/14/1993	8 pages	<u>tiff</u>	<u>PDF</u>

Assumed Names

Activity History

Filing	File Date	Effective Date	Org. Referenced
Annual report	5/21/2015 3:33:19 PM	5/21/2015 3:33:19 PM	
Annual report	1/23/2014 10:52:09 AM	1/23/2014 10:52:09 AM	
Annual report	2/11/2013 11:43:12 AM	2/11/2013 11:43:12 AM	
Annual report	5/11/2012 5:56:53 PM	5/11/2012 5:56:53 PM	
Annual report	5/24/2011 4:38:41 PM	5/24/2011 4:38:41 PM	
Annual report	6/22/2010 10:10:11 AM	6/22/2010	
Registered agent address change	6/22/2010 10:09:28 AM	6/22/2010	
Principal office change	6/24/2009 8:52:24 AM	6/24/2009	
Annual report	6/24/2009 8:51:43 AM	6/24/2009	
Annual report	5/23/2008 11:11:49 AM	5/23/2008 11:11:49 AM	
Annual report	5/24/2007 12:16:59 PM	5/24/2007 12:16:59 PM	

Annual report	5/25/2006 3:45:09 PM	5/25/2006
Registered agent address change	6/4/1997	6/4/1997
Principal office change	5/19/1997	5/19/1997
Principal office change	7/26/1996	7/26/1996
Reinstatement	7/26/1996	7/26/1996
Registered agent address change	7/26/1996	7/26/1996
Admin Dis. A. report not in	11/1/1995	11/1/1995

Microfilmed Images

Microfilm images are not available online. They can be ordered by faxing a Request For Corporate Documents to the Corporate Records Branch at 502-564-5687.

Annual Report	5/26/2005	1 page
Annual Report	5/25/2004	1 page
Annual Report	4/29/2003	1 page
Annual Report	7/18/2002	1 page
Annual Report	7/23/2001	1 page
Annual Report	7/7/2000	1 page
Annual Report	6/21/1999	1 page
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