

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

MAR 18 2015 PM 3:32

Applicant/Program: Sterling Spring Estates Residents Association

Executive Summary of Request:
District 18 Neighborhood Development Funds, in the amount of \$10,000, will be used to pay for capital improvement expenses associated with dredging and excavating of a lake that is open to the public. It will cost approximately \$29,000 to dredge the lake and repair the banks that have eroded. Sterling Springs Residents Association raised their association dues by 17% to appropriate \$11,500 to the project. MSD is providing \$7,500 from the Pilot Basin Re-establishment Program and District 18 will contribute \$10,000 from District 18's Neighborhood Development Fund.

Is this program/project a fundraiser? Yes No
 Is this applicant a faith based organization? Yes No
 Does this application include funding for sub-grantee(s)? Yes 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.

18 *Wendy Parker* \$10,000 3/17/15
 District # Council Member Signature Amount 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.
N/A

Approved by:

 Appropriations Committee Chairman Date

Clerk's Office Only:
 Request Amount: _____ Committee Amended Appropriation: _____
 Original Appropriation: _____ Council Amended Appropriation: _____

OFFICE OF METRO COUNCIL CLERK
REVIEWED
 DATE 3/27/15 TIME 7:40



LOUISVILLE METRO COUNCIL NEIGHBORHOOD DEVELOPMENT FUND APPLICATION

SECTION 1 – APPLICANT INFORMATION			
Legal Name of Applicant Organization:		Sterling Spring Estates Residents Association	
<i>(as listed on: http://www.sos.ky.gov/business/records)</i>			
Main Office Street & Mailing Address: 10302 Carriage House Court			
Website: www.sterlingsprings.org			
Applicant Contact:	Scott Pottinger	Title:	President
Phone:	502-727-1010	Email:	spottinger@twc.com
Financial Contact:	Bob Heuke	Title:	Treasurer
Phone:	502-551-3972	Email:	robertcheuke@aol.com
Organization’s Representative who attended NDF Training: Gene Braun			
GEOGRAPHICAL AREA(S) WHERE PROGRAM ACTIVITIES ARE (WILL BE) PROVIDED			
Program Facility Location(s):	Sterling Springs Estates Neighborhood		
Council District(s):	18	Zip Code(s):	40223
SECTION 2 – PROGRAM REQUEST & FINANCIAL INFORMATION			
PROGRAM/PROJECT NAME: Lake Dredging/Silt Removal and Erosion Repair			
Total Request: (\$)	10,000	Total Metro Award (this program) in previous year: (\$)	NA
Purpose of Request (check all that apply):			
<input type="checkbox"/> Operating Funds (generally cannot exceed 33% of agency’s total operating budget) <input type="checkbox"/> Programming/services/events for direct benefit to community or qualified individuals <input checked="" type="checkbox"/> Capital Project of the organization (equipment, furnishing, building, etc)			
The Following are Required Attachments:			
<input 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 checked="" 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 type="checkbox"/> IRS Form W9 <input type="checkbox"/> Evaluation forms if used in the proposed program <input type="checkbox"/> Annual audit (if required by organization) <input type="checkbox"/> Faith Based Organization Certification Form, if required <input 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:		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:

We are the Sterlings Springs Estates Residents Association, a 96 household neighborhood located between Shelbyville Road, Hurstbourne Parkway and Dorsey Lane. The neighborhood has a nice entryway, a waterscape feature (storm drain that feeds an underground spring) which feeds a lake (retention pond/lake) and a tennis court. Residents pay annual dues for services to maintain the properties and common areas.

Our neighborhood was developed in 1989 with a beautiful entryway and treed landscape in common areas including some where overhead power lines pass. The lake is maintained by the community utilizing an aquatic control company, occasional rip-rap additions for erosion control, pest control companies for muskrats, beavers, etc. However, the silt flowing into the lake from other areas has built up since 1989 and is slowly filling the lake and is at the surface level in one area. During the summer the lake fills to the point where in some sections, plants and algae are growing in the middle of the lake and two feet above water level. This is terribly unsightly and causes stagnant water and increased algae build up as well as significantly reduced water retention capacity. The lake is used by our neighborhood households as well as by people from other neighborhoods and surrounding areas. It is common to see a number of men and women and children fishing and feeding the ducks and geese that frequent the lake.

Our annual budget is consumed by trash removal, utilities, grass cutting and other maintenance issues. The neighborhood association joins together to volunteer cleaning, trimming, landscaping, painting and other projects to help maintain common areas. We have, however, this year increased the dues to partially fund the lake dredging/silt removal and erosion repair as well as other projects to bring the neighborhood back to its original state from when the developer turned it over to the neighborhood.

We will need to spend \$29,000 to dredge the lake and repair the banks that have eroded (\$25,800 and \$3,200 respectively). Sterling Springs Residents Association will be able to raise \$11,500 from self-imposed dues, \$7,500 from MSD, and will need \$10,000 from the Neighborhood Development Fund to fully fund this project.



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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.):

Sterling Springs Estates Residents Association proposes the start of the project as soon as funds are available preferably July 2015, and complete the project before December 31, 2015.

The \$10,000 request represents 34% of the project requirements.

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

All funds will be used to pay for the Capital Improvement Expenses to a dredging/excavation company who will be awarded the job. The job will be paid with \$5,000 at start, \$5,000 at half completion and balance at completion. The vendor being used is the same vendor being used for different neighborhood association/MSD/NDF joint effort.

Residents dues have been increased for the fiscal year to pay \$11,500 of the silt removal and bank erosion repair.

The silt will be removed by excavating and vacuuming and hauling away outside of Jefferson County, the bank will be repaired by the excavating company bringing in top soil, sod, ledge wall material and rip-rap rock.



LOUISVILLE METRO COUNCIL NEIGHBORHOOD DEVELOPMENT FUND APPLICATION

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

NA

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.

No expenditures will be made until such time as the project is approved.

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.

There have not been any expenditures to date.



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 lake dredging and bank repair project will enhance the lake substantially and will restore it to its original MSD approved state. It was built according to specifications as approved and agreed to between the developer and MSD to capture and slow spring water, excess rain and run-off water and to retain water. It does serve as a neighborhood landmark as it is used for fishing by anyone desiring to fish, especially adults and families with young children in the neighborhood and surrounding neighborhoods and the district. There is a scenic walking path around the entire lake. Several years ago, the association added a concrete path from the street/sidewalk down a gradual grassy slope to the gazebo by the lake making it handicap accessible and easier for anyone to get from the street to the lake/gazebo, walking path and back to the street/sidewalk. Families come to picnic and feed the ducks and geese that surround the lake, especially during the spring, summer and fall months. Occasionally, deer are spotted around the lake. It is generally a recreational area that serves the public. The desire/intent is to restore it to its original state.

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.

MSD has agreed to fund \$7,500 as one of three pilots/prototypes in metro Louisville, our neighborhood association has increased dues to fund \$11,500 for this project and is requesting \$10,000 from the Neighborhood Development Fund.



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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			
B: Rent/Utilities			
C: Office Supplies			
D: Telephone			
E: In-town Travel			
F: Client Assistance (Attach Detailed List)			
G: Professional Service Contracts			
H: Program Materials			
I: Community Events & Festivals (Attach Detail List)			
J: Machinery & Equipment			
K: Capital Project	\$10,000	\$19,000	\$29,000
L: Other Expenses (Attach Detail List)			
*TOTAL PROGRAM/PROJECT FUNDS	\$10,000	\$19,000	\$29,000
% of Program Budget	34 %	66 %	100%

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

Other State, Federal or Local Government	\$7,500 MSD
United Way	
Private Contributions (do not include individual donor names)	
Fees Collected from Program Participants	\$11,500 Association Dues
Other (please specify)	
Total Revenue for Columns 2 Expenses **	\$19,000

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

**Must equal or exceed total in column 2.



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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
NA		
<i>Total Value of In-Kind</i> (to match Program Budget Line Item. Volunteer Contribution & Other In Kind)		

* 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: 2015

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:

The association dues increased from \$73,602 to \$88,985 which is a dramatic increase intended to fund \$11,500 toward the lake dredging and erosion repair in 2015 with the balance of the increase to fund other projects to bring the neighborhood back to its original condition (i.e., repair/replace lighting with LED lights, remove dead/near dead landscape and replace, replace shingles on historic spring house.



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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

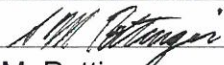
1. The Agency certifies it will not use Louisville Metro Government funds for any religious, political or fraternal Activities.
2. The Agency has a written Affirmative Action/Equal Opportunity Policy.
3. The Agency does not discriminate in employment or in provision of any service/program/activity/event 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.

NA

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:	February 7, 2015
Legal Signatory: (please print):	Scott M. Pottinger	Title:	President
Phone:	502-727-1010	Extension:	
Email:	spottinger@twc.com		

SSERA

Account #	Description	Preliminary		
		2013-14 Budget	2013-14 Actual	2014-2015 Budget
REVENUES	REVENUES			
40100	Association Dues - 1st Half	35,900.00	35,900.00	44,300.00
40100	Association Dues - 2nd Half	35,900.00	35,900.00	44,300.00
		\$ 71,800.00	\$ 71,800.00	\$ 88,600.00
40200	Miscellaneous Income			
40210	Other/Contributions	-	1,238.00	312.50
40215	Late Fees	-	140.00	72.50
40220	Louisville Metro	-	-	
40230	Refunds	-	-	
40240	Debt Recovery	-	400.00	
40300	Interest	20.00	24.20	
	TOTAL REVENUES	71,820.00	73,602.20	88,985.00
EXPENSES	EXPENSES			
50000	FACILITIES & EQUIPMENT			
50050	Tennis Court (\$2,000/yr reserves)	150.00	-	2,150
51000	Fountain (\$250/yr reserves)	50.00	-	300
50060	Streets & Signs(\$1000/yr Reserves)	-	-	1,100
50200	Grounds Maintenance			
50201	Mowing	23,630.00	23,254.50	18,000
50202	Weeding	-	-	
50203	Leaves	-	-	
50204	Trees & Shrubs	2,000.00	1,191.00	2,000
50205	All Other - Includes Waterscape	500.00	2,933.01	3,000
52000	Front Entrance	-	-	
54000	Electrical			
54000	Repairs and Replacement			
54010	Landscape Lights	250.00	1,787.13	9,250
54015	All Others	75.00	65.00	75
54020	Supplies	25.00	-	25
55000	Irrigation			
55010	Start-up, Maintenance, & Shut down	2,000.00	1,275.25	2,000
55020	Supplies	-	-	
56000	Community Lake			
56010	Lake Structures (\$1,000/yr reserves)	150.00	41.93	1,150
56020	Lake Maintenance (\$1,000/yr reserves)	3,750.00	3,577.71	14,000
	TOTAL FACILITIES & EQUIPMENT	32,580.00	34,125.53	53,050
60000	OPERATIONS			
60010	Garbage	19,380.00	19,235.00	19,656
60020	Utilities - Water	3,500.00	3,864.40	4,000
60030	Utilities - Electrical	10,400.00	9,956.68	10,400
60040	Snow Removal/Salting	1,000.00	401.50	1,000
60050	Insurance	1,500.00	1,383.09	1,692
	TOTAL OPERATIONS	35,780.00	34,840.67	36,748.00
61000	ADMINISTRATIVE			
61005	Unassigned		-	
61010	Office Supplies	100.00	-	100.00
61020	Postage & Mailing Supplies	150.00	-	150.00
61030	P.O. Box Rental	88.00	92.00	92.00
61040	Christmas - Supplies & Labor	50.00	-	50.00
61050	Printing & Copying	200.00	-	200.00
61060	Annual Cleanup	50.00	-	50.00
61070	Yard Sale	40.00	-	40.00
61075	Website Fees	125.00	107.88	125.00
61080	Permits/Licensing	15.00	15.00	15.00
61090	Bad Debts	-	-	
61100	Legal Fees	250.00	735.00	500.00
62000	All Other	50.00	-	50.00
	TOTAL ADMINISTRATIVE	1,118.00	949.88	1,372.00
	OTHER			
	To/(From) Cash and Reserves	2,342.00	3,686.12	(2,185.00)
		-	-	
	TOTAL EXPENSES	\$ 71,820.00	\$ 73,602.20	\$ 88,985.00

ACTUAL 2012-13 MONTHLY AVG = \$ 5,493.53

ACTUAL 2013-14 MONTHLY AVG = \$ 5,826.34

Balances at 10/31/2014	Reserves:	@10/31/2014	Additions in 11/1/2014 yr	Balance at 10/31/2015*
	For Tennis Court	1,000	2,000	3,000
	For Fountain	250	250	500
	For Street Signs	1,000	1,000	2,000
	For Landscape Lights	1,000	9,500	10,500
	For Lake Maintenance ('15 silt, erosion only)	2,000	9,500	11,500
	Cash Balance excluding Reserves	6,175	(2,185)	3,990
	Total Cash Balance at end of year	11,425	20,065	31,490

* Cash Balance and funds if no cash spent on projects during the year.

Actual expenditure(s) on projects will reduce reserve and/or cash.

**U.S. Income Tax Return
for Homeowners Associations**

2014

Department of the Treasury
Internal Revenue Service

Information about Form 1120-H and its separate instructions is at www.irs.gov/form1120h.

For calendar year 2014 or tax year beginning Nov 1, 2013, 2014, and ending Oct 31, 2014

TYPE OR PRINT	Name <u>Sterling Springs Estates Residents Association</u>	E	[Redacted]
	Number, street, and room or suite no. If a P.O. box, see instructions. <u>P.O. Box 436103</u>	D	[Redacted]
	City or town, state or province, country, and ZIP or foreign postal code <u>Louisville, Ky 40253-6103</u>		<u>Feb 10, 1992</u>

Check if: (1) Final return (2) Name change (3) Address change (4) Amended return

A Check type of homeowners association: <input type="checkbox"/> Condominium management association <input type="checkbox"/> Residential real estate association <input type="checkbox"/> Timeshare association	
B Total exempt function income. Must meet 60% gross income test (see instructions)	B <u>73,778</u>
C Total expenditures made for purposes described in 90% expenditure test (see instructions)	C <u>69,916</u>
D Association's total expenditures for the tax year (see instructions)	D <u>69,916</u>
E Tax-exempt interest received or accrued during the tax year	E <u>-</u>

Gross Income (excluding exempt function income)

1	Dividends	1	
2	Taxable interest	2	<u>24</u>
3	Gross rents	3	
4	Gross royalties	4	
5	Capital gain net income (attach Schedule D (Form 1120))	5	
6	Net gain or (loss) from Form 4797, Part II, line 17 (attach Form 4797)	6	
7	Other income (excluding exempt function income) (attach statement)	7	
8	Gross income (excluding exempt function income). Add lines 1 through 7	8	<u>24</u>

Deductions (directly connected to the production of gross income, excluding exempt function income)

9	Salaries and wages	9	
10	Repairs and maintenance	10	
11	Rents	11	
12	Taxes and licenses	12	
13	Interest	13	
14	Depreciation (attach Form 4562)	14	
15	Other deductions (attach statement)	15	
16	Total deductions. Add lines 9 through 15	16	
17	Taxable income before specific deduction of \$100. Subtract line 16 from line 8	17	<u>24</u>
18	Specific deduction of \$100	18	<u>\$100 00</u>

Tax and Payments

19	Taxable income. Subtract line 18 from line 17	19	<u>-76</u>	<u>--</u>
20	Enter 30% of line 19. (Timeshare associations, enter 32% of line 19.)	20	<u>0</u>	
21	Tax credits (see instructions)	21	<u>-</u>	
22	Total tax. Subtract line 21 from line 20. See instructions for recapture of certain credits	22	<u>-</u>	
23	a 2013 overpayment credited to 2014 23a			
	b 2014 estimated tax payments 23b			
	c Total 23c			
	d Tax deposited with Form 7004 23d			
	e Credit for tax paid on undistributed capital gains (attach Form 2439) 23e			
	f Credit for federal tax paid on fuels (attach Form 4136) 23f			
	g Add lines 23c through 23f 23g		<u>-</u>	
24	Amount owed. Subtract line 23g from line 22 (see instructions)	24	<u>-</u>	
25	Overpayment. Subtract line 22 from line 23g	25	<u>-</u>	
26	Enter amount of line 25 you want: Credited to 2015 estimated tax Refunded	26	<u>-</u>	

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 taxpayer) is based on all information of which preparer has any knowledge.

Sign Here

R. C. Hecker
Signature of officer

1/22/15
Date

Treasurer
Title

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

Paid Preparer Use Only

Print/Type preparer's name	Preparer's signature	Date	Check <input type="checkbox"/> if self-employed	PTIN
Firm's name	Firm's EIN		Phone no.	
Firm's address				

ARTICLES OF INCORPORATION
OF

STERLING SPRINGS ESTATES RESIDENTS ASSOCIATION, INC.

RECEIVED & FILED

\$8.00

FEB 12 1 16 PM '92

SECRETARY
COMMISSIONER
BY: [Signature]

I, S. ALLAN DURST, for myself, associates and successors, do hereby form a corporation having no capital stock under the provisions of Chapter 273, Kentucky Revised Statutes, and do hereby adopt the following Articles of Incorporation therefor:

ARTICLE I

664538

The name of the corporation shall be STERLING SPRINGS ESTATES RESIDENTS ASSOCIATION, INC.

ARTICLE II

The place in which the principal office of the corporation shall be is 12200 Shelbyville Road, Louisville, Jefferson County, Kentucky 40243, and GORDON L. MOERT, 12200 Shelbyville Road, Louisville, Jefferson County, Kentucky 40243, shall be its registered agent.

ARTICLE III

The objects and purposes of the corporation shall be to promote the social welfare and serve the common good and general welfare of the owners of the lots in Sterling Springs Estates Subdivision, to provide for maintenance and repair of the streets, common areas, cross walks, storm drains, basins, retention basins and entrances to the subdivision, and to accept common areas for purpose of operation, maintenance and repair. The association shall have power to levy assessments to secure funds for the aforestated purposes.

ARTICLE IV

The corporation may acquire by purchase or otherwise and hold, maintain and manage such property as may be necessary or convenient for carrying on the purposes of the corporation hereinabove set out, including the right to purchase supplies for maintenance, repairs and all other necessary matters which are incidental to

carrying out the purposes set out in Article III, the same as a person might do in an individual capacity.

ARTICLE V

The executive authority of this corporation shall be vested in a Board of Directors hereby composed of the following: S. Allan Durst, 12200 Shelbyville Road, Louisville, KY 40243; Gordon L. Moert, 12200 Shelbyville Road, Louisville, KY 40243; and Karen S. Basham, 12200 Shelbyville Road, Louisville, KY 40243, shall be the initial directors and two additional persons to be named at a later date.

The Board of Directors shall have the right to fill all vacancies in the body occurring after election, even though the officer may not yet have assumed the active discharge of his duties, and a vacancy shall be considered such whether it be decline, resignation, death, removal from the community, or a disability which, in the judgment of the Board, is of so long continued nature as to require the place to be filled anew.

ARTICLE VI

The officers of the corporation shall be the president, one or more vice-presidents, a secretary and a treasurer, and such others as may be deemed necessary by the Board.

ARTICLE VII

The by-laws of the corporation shall be prescribed by the members of the Board of Directors. When once adopted, they shall not be suspended except in the manner provided in said by-laws.

ARTICLE VIII

The corporation shall begin its life upon the filling of these Articles, as prescribed by law, and shall continue perpetually unless dissolved as provided by law.

ARTICLE IX

The private property of the members of the Board shall not be subject to the payment of the debts of this corporation.

IN TESTIMONY WHEREOF, witness the signature of the incorporator, this the 10 day of FEBRUARY, 1992.

S. Allant
S. Allan Durst

State of Kentucky
County of Jefferson

The foregoing instrument was acknowledged before me this 10 day of FEBRUARY, 1992 by S. ALLAN DURST, incorporator.

Henry B. Mann
Notary Public, Jefferson County, Kentucky

My commission expires; MAY 7, 1994

Prepared by Henry B. Mann
215 So. 5th St.
Louisville, KY

Henry B. Mann, Notary

HENRY B. MANN
ATTORNEY AT LAW
215 SOUTH FIFTH STREET
LOUISVILLE, KENTUCKY 40202

ASSOCIATE
H. DOUGLAS MANN

TELEPHONE
AREA CODE 502
587-6544

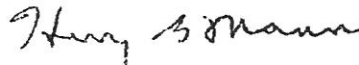
February 11, 1992

Bremer Ehrler, Secretary of State
P.O. Box 718
Frankfort, KY 40602-0718

Dear Secretary of State:

Enclosed herewith are Articles of Incorporation of Parkridge Woods Residents Association, Inc., and Sterling Springs Estates Residents Association, Inc., both Non-Profit Corporations, in triplicate and check in the amount of \$16.00. Will you please file and send me two (2) copies of each.

Yours truly,



Henry B. Mann, Attorney

HBM:rlp

Enclosures

COMMONWEALTH OF KENTUCKY

FEB 12 1992

RECEIVED

Tarter Stone Works

3233 Hebron Road, Shelbyville, KY 40065

502-523-4230

PROPOSAL

Combining with erosion work attached

Page No. 1 of 1 Pages

Proposal Submitted To: <u>Sterling Springs Estates Residents Association</u>		
Address: <u>10302 Carriage House Ct</u>	Phone: <u>502-727-1010</u>	Date: <u>01/30/15</u>
City, State, Zip Code: <u>Louisville Ky. 40223</u>		
Job Name: <u>Pond Dredge and Silt Removal</u>	Job Location: <u>Sterling Springs Estates Pond</u>	
Architect: <u>N/A</u>	Date of Plans: <u>N/A</u>	
Job Phone Number: <u>502-727-1010</u>	Scott Pottinger Cell	

We hereby propose to furnish materials and labor necessary for the completion of:

- Silt Removal of Pond
- DRAIN Down Water Level in Pond enough to remove silt in the upper area of pond (from Springhouse across pond toward upstream to bridge). \$1,200.00
- Remove silt in above said areas and haul away to off site approved area. Removal cost is \$750.00 per dump truck load (tandem or tri axle dump). Should take approximately 30 loads. \$22,500.00
- Road and access from Wiegley Ave. to Pond \$1,200.00
- Grading Reseeding and straw. \$900.00

We Propose hereby to furnish material and labor - complete in accordance with above specifications, for the sum of: Twenty Five Thousand Eight Hundred dollars (\$25,800.00). Payment to be made as follows: \$5000.00 at start, \$5000.00 at half completion, balance at completion.

All material is guaranteed to be specified. All work to be completed in a substantial workmanlike manner according to specifications submitted, per standard practices. Any alteration or deviation from above specifications involving extra costs will be executed only upon written orders, and will become an extra charge over and above the estimate. All agreements contingent upon strikes, accidents or delays beyond our control. Owner to carry fire, tornado, and other necessary insurance.

Authorized Signature



Note: This proposal may be withdrawn by us if not accepted within 90 days.

ACCEPTANCE OF PROPOSAL - The above prices, specifications and conditions are satisfactory and are hereby accepted. You are authorized to do the work as specified. Payment will be made as outlined above.

Signature _____

Signature _____

Date of Acceptance: _____

Tarter Stone Works

3233 Hebron Road, Shelbyville, KY 40065
502-523-4230
PROPOSAL

→ combining with
gilt work
attached

Page No. 1 of 1 Pages

Proposal Submitted To: <u>Sterling Springs Estates Residents Association</u>		
Address: <u>10302 CARRIAGE HOUSE CT</u>	Phone: <u>502-727-1010</u>	Date: <u>01/30/15</u>
City, State, Zip Code: <u>Louisville Ky. 40223</u>		
Job Name: <u>Pond Shore Repair/Ledge Wall</u>	Job Location: <u>Sterling Springs Estates Pond</u>	
Architect: <u>N/A</u>	Date of Plans: <u>N/A</u>	
Job Phone Number: <u>502-727-1010 Scott Pottinger Cell</u>		


We hereby propose to furnish materials and labor necessary for the completion of:

- Repair Shore line Areas: 2 Areas approximately 3'x3'
1 Area approximately 3'x5'
1 Area approximately 6'x65'
- Install ledge wall at water level approximately 1'6" tall x 65'
and another 1'6" tall x 11' long.
 - Add appropriate RIP RAP below water level in these areas.
 - Add top soil and sod where needed in these areas.

Note: Sterling Springs Estates is responsible for watering and
maintaining sod after installation.

We Propose hereby to furnish material and labor - complete in accordance with above specifications, for the sum of: Three Thousand Two Hundred ~~00~~^{xx} dollars (\$ 3200.⁰⁰). Payment to be made as follows: Payment in full upon completion.

All material is guaranteed to be specified. All work to be completed in a substantial workmanlike manner according to specifications submitted, per standard practices. Any alteration or deviation from above specifications involving extra costs will be executed only upon written orders, and will become an extra charge over and above the estimate. All agreements contingent upon strikes, accidents or delays beyond our control. Owner to carry fire, tornado, and other necessary insurance.

Authorized Signature: 

Note: This proposal may be withdrawn by us if not accepted within 90 days.

ACCEPTANCE OF PROPOSAL - The above prices, specifications and conditions are satisfactory and are hereby accepted. You are authorized to do the work as specified. Payment will be made as outlined above.

Signature _____

Signature _____

Date of Acceptance: _____



*Louisville and Jefferson County Metropolitan Sewer District
700 West Liberty Street
Louisville Kentucky 40203-1911
502-540-6000
www.msdlouky.org*

January 30, 2015

Mr. Scott Pottinger
Sterling Springs Estates Homeowners Association
10302 Carriage House Court
Louisville, KY 40223

Subject: Sterling Springs Estates Retention Pond

Dear Mr. Pottinger,

There is often confusion regarding the maintenance responsibilities for wet detention or retention basins. MSD has discouraged the construction of such basins due to the high cost of maintenance relative to the additional benefits that are derived in comparison to dry basins. MSD has made it clear that these basins are the sole responsibility of the owner to maintain. MSD has chosen to clear this type of basin on a few occasions and has been applied in an inconsistent manner.

It appears that the retention basin was constructed in accordance with the construction plans approved by the Louisville/ Jefferson Co. Metropolitan Sewer District. As part of the initial agreement, the "Owner/Developer" as Principal agreed as a condition of final approval of said basin installation since the basin is for the benefit of the development and would assume all maintenance responsibilities for the basin and that the installation will remain free from defects in materials and workmanship, after the expiration and release of the initial bond. The owner / developer and the associated design engineer decided on the best means of handling the on-site and off-site flows in the area. MSD does not generally dictate the solutions to such issues, but reviews them and ultimately approves them if they are acceptable. MSD does agree that some of the eroded material is being transported from areas outside of your neighborhood boundary. Typically, it is much more expensive to remove sediment from a wet basin than from a dry basin. This is one of the reasons that MSD discourages the construction of wet basins.



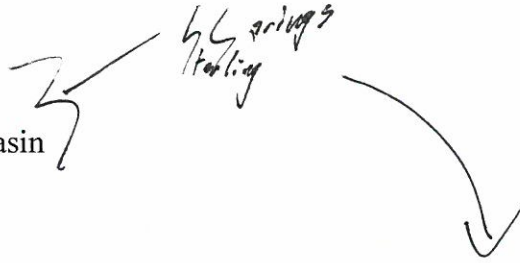
*Beneficial Use of Louisville's Biosolids
- www.louisvillegreen.com*

Jan 30

December 5, 2014

Bridgegate Detention Basin

Page 2



In an effort to partner with property owners and associations, MSD has developed a pilot program to try to assist with the infrequent, expensive maintenance of such basins as well as provide benefit to all ratepayers. MSD has selected the Sterling Springs Estates retention pond to be one of the first sites to participate in this pilot program.

MSD Pilot Basin Re-establishment Program:

- Eligibility is based on the basin including of-site drainage and not being eligible to receive a drainage credit through other MSD Programs.
- MSD will to pay for 50% of the total cost of the improvement project up to a maximum of \$7,500. Therefore, MSD will split the costs for a project up to a total of \$15,000 and will pay a maximum of \$7,500 for any projects over \$15,000. The actual invoiced amount will be utilized to make the determination of participation.
- MSD prefers to deliver the funds to the accounts of Louisville Metro Council Members but may consider transmitting the funds to a properly established and active neighborhood association. Funds will not be transmitted to individuals or companies.
- Any work must be designed by a Professional Engineer licensed by the State of Kentucky. The work must be reviewed and approved by MSD's Plan Review staff.
- Any basin taking part in this program will not be eligible to participate in this program again for 10 years unless the program is subsequently modified to lessen this requirement.
- Participants shall acknowledge their maintenance responsibilities and make reasonable efforts to maintain the basin in accordance with the applicable standards.

MSD understands that Council Member Marilyn Parker has agreed to receive and disperse these funds in accordance with this MSD Pilot Program. MSD also understands that the anticipated costs exceed \$15,000 and agree to providing the maximum amount of the Pilot Program of \$7,500. If the programs outlined in this letter are agreeable, MSD will finalize the agreement outlining the Pilot Program and forward it to you in the near future.

Sincerely,

David W. Johnson, PE
Development Manager

dwj

cc: Councilwoman Marilyn Parker

S. Emly

S. Tedder

Supplement to Feb 2015 Sterling Springs Estates Residents Association NDF Application

Sterling Springs Estates Residents Association Board Members as of 11/1/2014:
(Board members serve three year terms unless otherwise noted)

President Scott Pottinger expires 10/31/2015

Vice President Hugh Hammond expires 10/31/2016

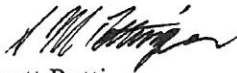
Secretary Phyllis Gurley expires 10/31/2016

Treasurer Robert Heuke expires 10/31/2015

Treasurer originally served 11/1/2013-10/31/2014, the third year of a member that stepped down after two years. 11/1/2013-10/31/2015 serving a one year extension.

There are no relationships and no paid employees on the Sterling Springs Residents Association Staff.

Signature of Legal Signatory



Scott Pottinger

President, Sterling Springs Estates Residents Association

Commonwealth of Kentucky
Alison Lundergan Grimes, Secretary of State

NARP
0296696
Alison Lundergan Grimes
KY Secretary of State
Received and Filed
1/29/2015 9:13:58 AM
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: STERLING SPRINGS ESTATES RESIDENTS ASSOCIATION, INC.
Company ID: 0296696
State of origin: Kentucky
Formation date: 2/12/1992 12:00:00 AM
Date filed: 1/29/2015 9:13:58 AM
Fee: \$15.00

Principal Office

P.O. BOX 436103
LOUISVILLE, KY 402536103

Registered Agent Name/Address

M. EDWARD VEAZEY
10414 STERLING SPRINGS ROAD
LOUISVILLE, KY 40223

Current Officers

President	Scott Pottinger	P.O. Box 436103, Louisville, KY 40253-6103
Secretary	Phyllis Gurley	P.O. Box 436103, Louisville, KY 40253-6103
Treasurer	Robert Heuke	P.O. Box 436103, Louisville, KY 40253-6103
Vice President	Hugh Hammond	P.O. Box 436103, Louisville, KY 40253-6103

Directors

Director	Hugh Hammond	P.O. Box 436103, Louisville, KY 40253-6103
Director	Phyllis Gurley	P.O. Box 436103, Louisville, KY 40253-6103
Director	Gene Braun	P.O. Box 436103, Louisville, KY 40253-6103

Signatures

Signature	Scott M. Pottinger
Title	President, Sterling Springs Estates Residents Assoc, Inc.

NDF NON-PROFIT APPLICATION CHECKLIST

Legal Name of Applicant Organization:	Sterling Springs Estates Residents Association	
Program Name:	Lake Dredging/Silt Removal	Request Amount: \$10,000.00
Request form: Is the NDF request form signed by all Council Member(s) appropriating funding?	Yes	
Request form: Is the funding proposed less than or equal to the request amount?	Yes	
Request form: Have all known Council or Staff relationships to the Agency been adequately disclosed on the cover sheet?	Yes	
Application Page 1: Has prior Metro funds committed/granted been disclosed?	N/A	
Application Page 1: Is the application properly signed and dated by authorized signatory?	Yes	
Application Page 3: Reimbursement funding – One or two boxes checked if any expenses are incurred before the grant award period. Is all required documentation included?	N/A	
Application Pages 3 – 5: Is the proposed public purpose of the program well-documented?	Yes	
Application 4: Is there adequate documentation of how the proceeds of the fundraiser will be spent?	N/A	
Application Budget Page 6: 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	
Faith Based Organizations: Is the signed Faith Based Form signed and included?	N/A	
Jefferson County Only: Will all funding be spent in Louisville/Jefferson County?	Yes	
Capital Project(s) request: Is the cost estimate(s) from proposed vendor(s) included?	Yes	
Good Standing: Is the entity in good standing with: <ul style="list-style-type: none"> • Kentucky Secretary of State – include Secretary of State website information on organization • Louisville Metro Government – check OMB monthly report filed in Council Financial Reports • Internal Revenue Service – most recent Form 990 included 	Yes	
Separate Taxing Districts: If Metro funding is for a separate taxing district, is the funding appropriated for a program outside the legal responsibility of that taxing district?	N/A	
Small Cities: 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)	N/A	
Operating Requests: Is recommended operating funding less than or equal to 33% of total operating budget?	Yes	
IRS Exempt Proof: Is proof of Tax Exempt status of 501(c) 3, 4, 6, 19, 1120-H included?	Yes	
Operating Budget: Is the organization’s current fiscal year operating budget included?	Yes	
Ordinance Required: Is the amount committed by Council members greater than \$5,000 to any one project/program within an organization in this fiscal year.	Yes	
Board Members: Is the entity’s board member list (with term length/term limits) included?	Yes	
Staff: Is a list of the highest paid staff included with their expected annual personnel costs?	N/A	
Annual Audit: Is the most recent annual audit (if required by organization) included?	N/A	
Rent Requests: Is a copy of signed lease included?	N/A	
Articles of Incorporation: Are the Articles of Incorporation of the organization included?	Yes	
IRS Form W-9: Is the IRS Form W-9 included?	Yes	
Evaluation Forms: Are the evaluation forms (if program participants are given evaluation forms) included?	N/A	
Affirmative Action: Affirmative Action/Equal Employment Opportunity plan and/or policy statement included (if required by the organization)?	N/A	
Prepared by:	Lisa Chapman	Date: 3/17/15