

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

Applicant/Program: Mockingbird Valley Preservation Alliance, Inc. / Jarvis & Penruth Woodland Restoration
Applicant Requested Amount: \$5,000
Appropriation Request Amount: \$5,000

Executive Summary of Request
Grant to Mockingbird Valley Preservation Alliance for the maintenance of the public land median between Jarvis Lane and Penruth Avenue. Includes invasive plant removal, stump removals, chipping, trash collection and restoration of 1.5 acres of woodland. This is a matching grant and the neighborhood has raised \$10,500 towards the final project cost.

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.

9 Bill Holladay \$5,000 1/21/20
District # Primary Sponsor 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
Final Appropriations Amount: _____ NSF 02/22/20 MVPA09

LOUISVILLE METRO COUNCIL NEIGHBORHOOD DEVELOPMENT FUND APPLICATION

Legal Name of Applicant Organization Mockingbird Valley Preservation Alliance, Inc.

Program Name and Request Amount Jarvis & Penruth Woodland Restoration - \$5,000

Yes/No/NA

Is the NDF Transmittal Sheet Signed by all Council Member(s) Appropriating Funding?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> NA
Is the funding proposed by Council Member(s) less than or equal to the request amount?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> NA
Is the proposed public purpose of the program viable and well-documented?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> NA
Will all of the funding go to programs specific to Louisville/Jefferson County?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> NA
Has Council or Staff relationship to the Agency been adequately disclosed on the cover sheet?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> NA
Has prior Metro Funds committed/granted been disclosed?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> NA
Is the application properly signed and dated by authorized signatory?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> NA
Is proof of Tax Exempt status of 501(c) 3, 4, 6, 19, 1120-H included?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> NA
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"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> NA
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 <input checked="" type="checkbox"/> No <input type="checkbox"/> NA
Is the current Fiscal Year Budget included?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> NA
Is the entity's board member list (with term length/term limits) included?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> NA
Is recommended funding less than 33% of total agency operating budget?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> NA
Does the application budget reflect only the revenue and expenses of the project/program?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> NA
Is the cost estimate(s) from proposed vendor (if request is for capital expense) included?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> NA
Is the most recent annual audit (if required by organization) included?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> NA
Is a copy of Signed Lease (if rent costs are requested) included?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> NA
Is the Supplemental Questionnaire for churches/religious organizations (if requesting organization is faith-based) included?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> NA
Are the Articles of Incorporation of the Agency included?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> NA
Is the IRS Form W-9 included?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> NA
Is the IRS Form 990 included?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> NA
Are the evaluation forms (if program participants are given evaluation forms) included?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> NA
Affirmative Action/Equal Employment Opportunity plan and/or policy statement included (if required to do so)?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> NA
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"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> NA

Prepared by: *Wife Gaudy*

Date: 1/17/20

LOUISVILLE METRO COUNCIL NEIGHBORHOOD DEVELOPMENT FUND APPLICATION

SECTION 1 – APPLICANT INFORMATION			
Legal Name of Applicant Organization:		Mockingbird Valley Preservation Alliance, Inc. <small>(as listed on: http://www.sos.ky.gov/business/records)</small>	
Main Office Street & Mailing Address: 6013 Brownsboro Park Blvd., Suite E, Louisville, KY 40207			
Website: www.mockingbirdvalley.org			
Applicant Contact:	Beth Davis	Title:	President of MVPA
Phone:	502-387-3874	Email:	elwdavis@gmail.com
Financial Contact:	Thomas Paramore	Title:	Director/Treasurer
Phone:	502-403-7171	Email:	tparamore@gmail.com
Organization's Representative who attended NDF Training: Raymond Smith			
GEOGRAPHICAL AREA(S) WHERE PROGRAM ACTIVITIES ARE (WILL BE) PROVIDED			
Program Facility Location(s): Road median located between Jarvis Lane and Penruth Avenue			
Council District(s): District #9		Zip Code(s): 40207	
SECTION 2 – PROGRAM REQUEST & FINANCIAL INFORMATION			
PROGRAM/PROJECT NAME: Jarvis/Pennruth Median Invasive Plants Remediation, Phase 1			
Total Request: (\$) 5,000		Total Metro Award (this program) in previous year: (\$) -0-	
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"/> Current financial statement <input checked="" type="checkbox"/> Most recent IRS Form 990 or 1120-H <input checked="" type="checkbox"/> Articles of Incorporation (current & signed) <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 checked="" 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 applicable	
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: (\$)	0
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:

The Mockingbird Valley Preservation Alliance (MVPA) was incorporated in 2004 as a 501©(3) non-profit organization with a charter to protect and enhance our neighborhood. We currently have 11 members on our volunteer Board of Directors.

A Neighborhood Plan for Mockingbird Valley was adopted by Metro Government on June 8, 2006, and the Mockingbird Valley Historic District became listed on the National Register of Historic Places in 2007. By obtaining this status, our neighborhood is granted limited protection against adverse action by federal agencies, certain tax benefits, and standing with the Metro Council regarding zoning changes.

The MVPA provides services to its members by actively managing any threats to the neighborhood and by promoting the improvement of the neighborhood character.

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LOUISVILLE METRO COUNCIL NEIGHBORHOOD DEVELOPMENT FUND APPLICATION

SECTION 4 - BOARD OF DIRECTORS AND PAID STAFF

Board Member	Term End Date
Brian Lowe	10/2020
Winston Miller	10/2020
Betsy Wall	10/2020
Beth Davis	10/2020
Ed Glasscock	10/2020
Austin Musselman	10/2020
Julie Ballard	10/2021
Thomas Paramore	10/2021
Talmage Hocker	10/2021
Raymond Smith	10/2021
Drew Fellon	10/2021

Describe the Board term limit policy:
 No Director shall serve more than three (3) consecutive three (3) year terms without a minimum of one (1) year's absence from the Board. Directors must attend at least 50 percent of the meetings during their term to be eligible for nomination for another term.

Three Highest Paid Staff Names	Annual Salary
N/A	
There is no paid staff. All work is done by volunteers.	

Applicant's Initials *gfwt*

LOUISVILLE METRO COUNCIL NEIGHBORHOOD DEVELOPMENT FUND APPLICATION

SECTION 5 – 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.):

See attached letter dated October 10, 2019 to Councilman Bill Hollander and the attachment thereto.

phase 1 only

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

As set forth in the attached letter to Councilman Bill Hollander dated October 10, 2019, the funding will be used to pay the contractors that will be responsible for the removal of the invasive plants and the applications of herbicide in the follow-up treatments.

phase 1 only

LOUISVILLE METRO COUNCIL NEIGHBORHOOD DEVELOPMENT FUND APPLICATION

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

The project is not a fundraiser.

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:

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.

Reimbursements should not be made before application date 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.

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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:

See the attached letter dated October 10, 2019 to Councilman Bill Hollander and the attachment thereto.

The project will significantly improve the appearance of this area and prevent the invasive plants from damaging and/or killing the trees and other plants native to this area.

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.

Not applicable

gfwd

LOUISVILLE METRO COUNCIL NEIGHBORHOOD DEVELOPMENT FUND APPLICATION

SECTION 6 – 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 (See Detailed List on Page 8)			
G: Professional Service Contracts			
H: Program Materials			
I: Community Events & Festivals (See Detailed List on Page 8)			
J: Machinery & Equipment			
K: Capital Project			
L: Other Expenses (See Detailed List on Page 8)	5,000	10,500	15,500
*TOTAL PROGRAM/PROJECT FUNDS			
% of Program Budget	32.3 %	67.7 %	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)	5,500
Fees Collected from Program Participants	
Other (please specify)	5,000 (MVPA funds)
Total Revenue for Columns 2 Expenses **	10,500

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

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

G E W

LOUISVILLE METRO COUNCIL NEIGHBORHOOD DEVELOPMENT FUND APPLICATION

Detail for Client Assistance, Community Events & Festivals or Other Expenses shown on Page 7 (circle one and use multiple sheets if necessary)	Column 1	Column 2	Column (1 + 2)=3
	Proposed Metro Funds	Non-Metro Funds	Total Funds
Initial Invasive Plant Management (cut stump treatment, chipping, trash collection and disposal)	5,000	10,500	15,500
Total	5,000	10,500	15,500

Applicant's Initials *gpw*

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
N/A		
<p align="center"><i>Total Value of In-Kind</i> (to match Program Budget Line Item. Volunteer Contribution & Other In Kind)</p>		

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

Agency Fiscal Year Start Date: January 1

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 7 – 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 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 and the funds will not be disbursed to our organization.
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 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.

Standard Certifications

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

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

SECTION 8 – 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: <i>Elizabeth Davis</i>		Date: January 8, 2020
Legal Signatory: (please print): Elizabeth Davis		Title: President <i>Madison Valley Preservation Alliance</i>
Phone: 502-387-3874	Extension:	Email: elwdavis@gmail.com <i>elwdavis</i>

October 10, 2019

Councilman Bill Hollander
601 W. Jefferson Street
Louisville, KY 40202
Bill.Hollander@louisvilleky.gov

Dear Councilman Hollander:

We greatly appreciate you meeting with us last Thursday.

As we discussed, the approximate 1.5 acre median between Jarvis Lane and Penruth Avenue has become infested with several invasive plants and vines that are doing substantial damage to our native trees and plants. Unless action is taken to remove these invasive plants and to control their reappearance, the trees and other native plants in this area will be permanently damaged and many of these trees and other plants will not be able to survive. Such a result would be harmful to the environment, significantly detract from the appearance of this area and the neighborhood and create an attractive nuisance by continuing to obscure the visibility to portions of this area. As you are aware this median area was dedicated to public use at the time of the creation of the Mockingbird Hill subdivision in 1926, but Metro Public Works and Assets only maintains the property to insure there are no imminent threats to safety of the traveling public.

As residents of this area we want to take steps to remove and control these invasive plants from this area.

We recognize that it is the position of Metro Government that the property owners that are adjacent to this publicly owned space have the responsibility for maintaining that space. In another words, it is Metro Government's position each of the property owners on Jarvis Lane and Penruth Avenue that are adjacent to this median have responsibility to maintain the space from the edge of the roadway across from their property to the center of the median. In the past, most of the homeowners on Jarvis and Penruth have mowed the grass and maintained the open areas adjacent to their homes and we would expect that to continue into the future. However, the somewhat recent appearance of these invasive plants that are mostly in and under the tree canopy has created a challenge that has not existed in the past.

Given this relatively new and substantial challenge we believe that a collective action is needed to solve this problem. We believe that the neighbors in the area, with the assistance of the Mockingbird Valley Preservation Alliance, are willing to take action to remove these invasive plants and to prevent their repopulating this area, but we need your help.

Attached you will find a proposal from Robert Woodford and Andrew Oost to remove the invasive plants and to prevent their reoccurrence. Both Robert and Andrew are well qualified for this work and their credentials are contained in the proposal. In summary, the proposal provides for the removal of all of the invasive plants in Phase I, which is planned for late January or early February of 2020, for a total cost of \$15,500.00. Phase II will consist of two applications of a herbicide in the first year (2020) to the re-sprouts and any emerging seedlings. The cost for Phase II is \$2,000.00. The proposal also recommends that the Phase II process be repeated in 2021 and

Councilman Bill Hollander
October 10, 2019
Page 2

2022 and that the forest floor be seeded with Virginia wild rye and other woodland grasses. Thus, in order to execute on this plan we need to raise about \$21,500.00 to cover the costs thru 2022.

In addition to seeking funding from your office via Neighborhood Development Funds and/or any other sources, we intend to solicit all the property owners adjacent to the area and others that live in this general area and will be seeking a contribution from the Mockingbird Valley Preservation Alliance.

As you know neither the Mockingbird Hill subdivision nor the Penruth Avenue presently have organized neighborhood groups or associations that we look to for future funding. However, it is our goal to either create a Jarvis Lane/Penruth Avenue association for this purpose or raise money for this purpose under the auspices of the Mockingbird Valley Preservation Alliance.

We hope that your office will contribute significant funds in support of this effort.

Sincerely,

Thomas Paramore
316 Jarvis Lane
Louisville, KY 40207
tparamore@gmail.com

Beth Davis
One Overbrook Road
Louisville, KY 40207
elwdavis@gmail.com

Winston E. Miller
402 Mockingbird Hill Road
Louisville, KY 40207
wmiller@fbtlaw.com

Attachment

cc: Kyle Ethridge
kyle.ethridge@louisvilleky.gov

INTERNAL REVENUE SERVICE
P. O. BOX 2508
CINCINNATI, OH 45201

DEPARTMENT OF THE TREASURY

Date: JUL 02 2004

MOCKINGBIRD VALLEY PRESERVATION
ALLIANCE INC
C/O CHRIS RADTKE
12 OVERBROOK RD
LOUISVILLE, KY 40207

Employer Identification Number:
04-3792281
DLN:
17053154032014
Contact Person:
LORI PERRY ID# 31107
Contact Telephone Number:
(877) 829-5500
Accounting Period Ending:
DECEMBER 31
Foundation Status Classification:
509(a)(1)
Advance Ruling Period Begins:
APRIL 15, 2004
Advance Ruling Period Ends:
DECEMBER 31, 2008
Addendum Applies:
NO

Dear Applicant:

Based on information you supplied, and assuming your operations will be as stated in your application for recognition of exemption, we have determined you are exempt from federal income tax under section 501(a) of the Internal Revenue Code as an organization described in section 501(c)(3).

Because you are a newly created organization, we are not now making a final determination of your foundation status under section 509(a) of the Code. However, we have determined that you can reasonably expect to be a publicly supported organization described in sections 509(a)(1) and 170(b)(1)(A)(vi).

Accordingly, during an advance ruling period you will be treated as a publicly supported organization, and not as a private foundation. This advance ruling period begins and ends on the dates shown above.

Within 90 days after the end of your advance ruling period, you must send us the information needed to determine whether you have met the requirements of the applicable support test during the advance ruling period. If you establish that you have been a publicly supported organization, we will classify you as a section 509(a)(1) or 509(a)(2) organization as long as you continue to meet the requirements of the applicable support test. If you do not meet the public support requirements during the advance ruling period, we will classify you as a private foundation for future periods. Also, if we classify you as a private foundation, we will treat you as a private foundation from your beginning date for purposes of section 507(d) and 4940.

Grantors and contributors may rely on our determination that you are not a private foundation until 90 days after the end of your advance ruling period. If you send us the required information within the 90 days, grantors and

Letter 1045 (DO/CG)

MOCKINGBIRD VALLEY PRESERVATION

contributors may continue to rely on the advance determination until we make a final determination of your foundation status.

If we publish a notice in the Internal Revenue Bulletin stating that we will no longer treat you as a publicly supported organization, grantors and contributors may not rely on this determination after the date we publish the notice. In addition, if you lose your status as a publicly supported organization, and a grantor or contributor was responsible for, or was aware of, the act or failure to act, that resulted in your loss of such status, that person may not rely on this determination from the date of the act or failure to act. Also, if a grantor or contributor learned that we had given notice that you would be removed from classification as a publicly supported organization, then that person may not rely on this determination as of the date he or she acquired such knowledge.

If you change your sources of support, your purposes, character, or method of operation, please let us know so we can consider the effect of the change on your exempt status and foundation status. If you amend your organizational document or bylaws, please send us a copy of the amended document or bylaws. Also, let us know all changes in your name or address.

As of January 1, 1984, you are liable for social security taxes under the Federal Insurance Contributions Act on amounts of \$100 or more you pay to each of your employees during a calendar year. You are not liable for the tax imposed under the Federal Unemployment Tax Act (FUTA).

Organizations that are not private foundations are not subject to the private foundation excise taxes under Chapter 42 of the Internal Revenue Code. However, you are not automatically exempt from other federal excise taxes. If you have any questions about excise, employment, or other federal taxes, please let us know.

Donors may deduct contributions to you as provided in section 170 of the Internal Revenue 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.

Donors may deduct contributions to you only to the extent that their contributions are gifts, with no consideration received. Ticket purchases and similar payments in conjunction with fundraising events may not necessarily qualify as deductible contributions, depending on the circumstances. Revenue Ruling 67-246, published in Cumulative Bulletin 1967-2, on page 104, gives guidelines regarding when taxpayers may deduct payments for admission to, or other participation in, fundraising activities for charity.

You are not required to file Form 990, Return of Organization Exempt From Income Tax, if your gross receipts each year are normally \$25,000 or less. If you receive a Form 990 package in the mail, simply attach the label provided, check the box in the heading to indicate that your annual gross receipts are normally \$25,000 or less, and sign the return. Because you will be treated as a public charity for return filing purposes during your entire advance ruling

MOCKINGBIRD VALLEY PRESERVATION

period, you should file Form 990 for each year in your advance ruling period that you exceed the \$25,000 filing threshold even if your sources of support do not satisfy the public support test specified in the heading of this letter.

If a return is required, it must be filed by the 15th day of the fifth month after the end of your annual accounting period. A penalty of \$20 a day is charged when a return is filed late, unless there is reasonable cause for the delay. However, the maximum penalty charged cannot exceed \$10,000 or 5 percent of your gross receipts for the year, whichever is less. For organizations with gross receipts exceeding \$1,000,000 in any year, the penalty is \$100 per day per return, unless there is reasonable cause for the delay. The maximum penalty for an organization with gross receipts exceeding \$1,000,000 shall not exceed \$50,000. This penalty may also be charged if a return is not complete. So, please be sure your return is complete before you file it.

You are not required to file federal income tax returns unless you are subject to the tax on unrelated business income under section 511 of the Code. If you are subject to this tax, you must file an income tax return on Form 990-T, Exempt Organization Business Income Tax Return. In this letter we are not determining whether any of your present or proposed activities are unrelated trade or business as defined in section 513 of the Code.

You are required to make your annual information return, Form 990 or Form 990-EZ, available for public inspection for three years after the later of the due date of the return or the date the return is filed. You are also required to make available for public inspection your exemption application, any supporting documents, and your exemption letter. Copies of these documents are also required to be provided to any individual upon written or in person request without charge other than reasonable fees for copying and postage. You may fulfill this requirement by placing these documents on the Internet. Penalties may be imposed for failure to comply with these requirements. Additional information is available in Publication 557, Tax-Exempt Status for Your Organization, or you may call our toll free number shown above.

You need an employer identification number even if you have no employees. If an employer identification number was not entered on your application, we will assign a number to you and advise you of it. Please use that number on all returns you file and in all correspondence with the Internal Revenue Service.

Evidence you submitted with your application shows that you may engage in lobbying activities. Section 501(c)(3) of the Code specifically prohibits lobbying as a substantial part of your activities. If you do not wish to be subject to the test of substantiality under section 501(c)(3), you may elect to be covered under the provisions of section 501(h) of the Code by filing Form 5768, Election/Revocation of Election by an Eligible Section 501(c)(3) Organization to Make Expenditures to Influence Legislation. Section 501(h) establishes ceiling amounts for lobbying expenditures.

Letter 1045 (DO/CG)

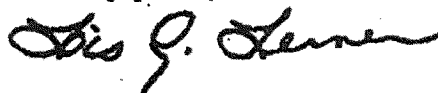
MOCKINGBIRD VALLEY PRESERVATION

If we said in the heading of this letter that an addendum applies, the addendum enclosed is an integral part of this letter.

Because this letter could help us resolve any questions about your exempt status and foundation status, you should keep it in your permanent records.

If you have any questions, please contact the person whose name and telephone number are shown in the heading of this letter.

Sincerely yours,



Lois G. Lerner
Director, Exempt Organizations
Rulings and Agreements

Enclosure(s):
Form 872-C

Form **872-C**

Consent Fixing Period of Limitation Upon Assessment of Tax Under Section 4940 of the Internal Revenue Code

OMB No. 1545-0056

(Rev. September 1998)

Department of the Treasury
Internal Revenue Service

(See instructions on reverse side.)

To be used with
Form 1023. Submit
in duplicate.

Under section 6501(c)(4) of the Internal Revenue Code, and as part of a request filed with Form 1023 that the organization named below be treated as a publicly supported organization under section 170(b)(1)(A)(vi) or section 509(a)(2) during an advance ruling period.

Mockingbird Valley Preservation Alliance, Inc.
(Exact legal name of organization as shown in organizing document)

12 Overbrook Rd., Louisville, Ky 40207
(Number, street, city or town, state, and ZIP code)

and the

District Director of
Internal Revenue, or
Assistant
Commissioner
(Employee Plans and
Exempt Organizations)

consent and agree that the period for assessing tax (imposed under section 4940 of the Code) for any of the 5 tax years in the advance ruling period will extend 8 years, 4 months, and 15 days beyond the end of the first tax year.

However, if a notice of deficiency in tax for any of these years is sent to the organization before the period expires, the time for making an assessment will be further extended by the number of days the assessment is prohibited, plus 60 days.

Ending date of first tax year Dec. 31, 2004
(Month, day, and year)

Name of organization (as shown in organizing document)	Date
<u>Mockingbird Valley Preservation Alliance, Inc.</u>	<u>May 25, 2004</u>
Officer or trustee having authority to sign	Type or print name and title
Signature ▶ <u>Paul J. Bickel III</u>	<u>Paul J. Bickel III</u> <u>Vice President</u>

For IRS use only	
District Director or Assistant Commissioner (Employee Plans and Exempt Organizations)	Date
<u>Lois G. Lemer</u> Director, Exempt Organizations Rulings and Agreements	<u>JUL 02 2004</u>

By ▶ Donna Altier **GROUP MANAGER**

Charitable Contributions - Substantiation and Disclosure Requirements

UNDER THE NEW LAW, CHARITIES WILL NEED TO PROVIDE NEW KINDS OF INFORMATION TO DONORS. Failure to do so may result in denial of deductions to donors and the imposition of penalties on charities.

Legislation signed into law by the President on August 10, 1993, contains a number of significant provisions affecting tax-exempt charitable organizations described in section 501 (c)(3) of the Internal Revenue Code. These provisions include: (1) new substantiation requirements for donors, and (2) new public disclosure requirements for charities (with potential penalties for failing to comply). Additionally, charities should note that donors could be penalized by loss of the deduction if they fail to substantiate. **THE SUBSTANTIATION AND DISCLOSURE PROVISIONS APPLY TO CONTRIBUTIONS MADE AFTER DECEMBER 31, 1993.**

Charities need to familiarize themselves with these tax law changes in order to bring themselves into compliance. This Publication alerts you to the new provisions affecting tax-exempt charitable organizations. Set forth below are brief descriptions of the new law's key provisions. The Internal Revenue Service plans to provide further guidance in the near future.

Donor's Substantiation Requirements

Documenting Certain Charitable Contributions. — Beginning January 1, 1994, no deduction will be allowed under section 170 of the Internal Revenue Code for any charitable contribution of \$250 or more unless the donor has contemporaneous written substantiation from the charity. In cases where the charity has provided goods or services to the donor in exchange for making the contribution, this contemporaneous written acknowledgement must include a good faith estimate of the value of such goods or services. Thus, taxpayers may no longer rely solely on a cancelled check to substantiate a cash contribution of \$250 or more.

The substantiation must be "contemporaneous." That is, it must be obtained by the donor no later than the date the donor actually files a return for the tax year in which the contribution was made. If the return is filed after the due date or extended due date, then the substantiation must have been obtained by the due date or extended due date.

The responsibility for obtaining this substantiation lies with the donor, who must request it from the charity. The charity is not required to record or report this information to the IRS on behalf of donors.

The legislation provides that substantiation will not be required if, in accordance with regulations prescribed by the Secretary, the charity reports directly to the IRS the information required to be provided in the written substantiation. At present, there are no regulations establishing procedures for direct reporting by charities to the IRS of charitable contributions made in 1994. Consequently, charities and donors should be prepared to provide/obtain the described substantiation for 1994 contributions of \$250 or more.

There is an prescribed format for the written acknowledgement. For example, letters, postcards or computer-generated forms may be acceptable. The acknowledgement does not have to include the donor's social security or tax identification number. It must, however, provide sufficient information to substantiate the amount of the deductible contribution. The acknowledgement should note the amount of any cash contribution. However, if the donation is in the form of property, then the acknowledgement must describe, but need not value, such property. Valuation of the donated property is the responsibility of the donor.

The written substantiation should also note whether the donee organization provided any goods or services in consideration, in whole or in part, for the contribution and, if so, must provide a description and good-faith estimate of the value of the goods or services. In the new law these are referred to as "quid pro quo contributions."

Please note that there is a new law requiring charities to furnish disclosure statements to donors for such quid pro quo donations in excess of \$75. This is addressed in the next section regarding Disclosure By Charity.

If the goods or services consist entirely of intangible religious benefits, the statement should indicate this, but the statement need not describe or provide an estimate of the value of these benefits. "Intangible religious benefits" are also discussed in the following section on Disclosure By Charity. If, on the other hand, the donor received nothing in return for the contribution, the written substantiation must so state.

The present law remains in effect that, generally, if the value of an item or group of like items exceeds \$5,000, the donor must obtain a qualified appraisal and submit an appraisal summary with the return claiming the deduction.

The organization may either provide separate statements for each contribution of \$250 or more from a taxpayer, or furnish periodic statements substantiating contributions of \$250 or more.

Separate payments are regarded as independent contributions and are not aggregated for purposes of measuring the \$250 threshold. However, the Service is authorized to establish anti-abuse rules to prevent avoidance of the substantiation requirement by taxpayers writing separate smaller checks on the same date.

If donations are made through payroll deductions, the deduction from each paycheck is regarded as a separate payment.

A charity that knowingly provides false written substantiation to a donor may be subject to the penalties for aiding and abetting an understatement of tax liability under section 6701 of the Code.

Disclosure by Charity of Receipt of Quid Pro Quo Contribution

Beginning January 1, 1994, under new section 6115 of the Internal Revenue Code, a charitable organization must provide a written disclosure statement to donors who make a payment, described as a "quid pro quo contribution," in excess of \$75. This requirement is separate from the written substantiation required for deductibility purposes as discussed above. While, in certain circumstances, an organization may be able to meet both requirements with the same written document, an organization must be careful to satisfy the section 6115 written disclosure statement requirement in a timely manner because of the penalties involved.

A quid pro quo contribution is a payment made partly as a contribution and partly for goods or services provided to the donor by the charity. An example of a quid pro quo contribution is where the donor gives a charity \$100 in consideration for a concert ticket valued at \$40. In this example, \$60 would be deductible. Because the donor's payment (quid pro quo contribution) exceeds \$75, the disclosure statement must be furnished, even though the deductible amount does not exceed \$75.

Separate payments of \$75 or less made at different times of the year for separate fund-raising events will not be aggregated for purposes of the \$75 threshold. However, the Service is authorized to develop anti-abuse rules to prevent avoidance of this disclosure requirement in situations such as the writing of multiple checks for the same transaction.

The required written disclosure statement must:

- (1) inform the donor that the amount of the contribution that is de-

R11551

TE3

043792281



Department of the Treasury
Internal Revenue Service
EO Rulings and Agreements
P O BOX 2508
CINCINNATI OH 45201

Date of this notice: November 10, 2008
Notice Number: CP-158
Taxpayer Identification Number:
04-3792281

076452.505606.0364.009 1 AP 0.346 705
|||||||

Advance Ruling Period Ending Date:
December 31, 2008



MOCKINGBIRD VALLEY PRESERVATION
% CHRIS RADTKE
316 JARVIS LN
LOUISVILLE KY 40207-1812168

For assistance, call:
1-877-829-5500

076452

Our records indicate that you were issued an advance ruling letter that treated you as a public charity, rather than a private foundation, during an advance ruling period that ends on the date indicated above. That letter required you to file IRS Form 8734 at the end of your advance ruling period to establish that you qualify as a public charity.

New IRS regulations changed the procedures governing your public charity status. You are no longer required to file Form 8734 at the end of the ruling period. The regulations also provide that donors can rely on your advance ruling letter with respect to your public charity status unless the IRS changes that status, based on the organization no longer meeting an applicable public support test, and publishes notice of the change.

If you have received Form 8734 from the IRS, please do not file it. Please keep your advance ruling letter along with this letter for your permanent records.

The regulations also changed the rules for computing public support, consistent with the redesigned Form 990, Return of Organization Exempt from Income Tax. For more information regarding those rules and the redesigned Form 990, please see the IRS website at www.irs.gov/eo.

MVPA
Expense Budget
2020

Expense	
Contract Labor	
Web Site	200.00
Jarvis/Penruth Median	15,500.00
Printing & Reproduction	500.00
Annual Meeting Expense	250.00
Bank Fees	<u>0.00</u>
Total Expense	<u>16,450.00</u>

MVPA
Statement of Cash Flow
as of December 31, 2018

Cash Flows from Operating Activities	
Cash Contributions	\$11,582.90
Cash Paid for Operating Expenses	<u>(\$1,210.19)</u>
Net Cash Provided (Used) by Operating Activities	<u>\$10,372.71</u>
Cash Flows from Investing Activities	
Interest Income	<u>\$3.60</u>
Net Cash provided (Used) by Investing Activities	<u>\$3.60</u>
Increase in Cash During the Period	<u>\$10,376.31</u>
Cash Balance at Beginning of Period	<u>\$36,224.33</u>
Cash Balance at End of Period	<u><u>\$46,600.64</u></u>

MVPA
Profit & Loss
as of December 31, 2018

Income		
	Contributions	11,582.90
	In-kind Contribution	0.00
	Interest Income	<u>3.60</u>
Total Income		<u>11,586.50</u>
Expense		
	Contract Labor	
	Web Site	190.00
	Drury - Entranceway Maintenance	375.00
	Printing & Reproduction	504.19
	Annual Meeting Expense	141.00
	Bank Fees	<u>0.00</u>
Total Expense		<u>1,210.19</u>
Net Income		<u><u>10,376.31</u></u>

Form 990-N

Electronic Notice (e-Postcard)

OMB No. 1545-2085

Department of the Treasury
Internal Revenue Service

for Tax-Exempt Organization not Required to File Form 990 or 990-EZ

2018

Open to Public Inspection

A For the 2018 Calendar year, or tax year beginning 2018-01-01 and ending 2018-12-31

B Check if available

Terminated for Business

Gross receipts are normally \$50,000 or less

C Name of Organization: MOCKINGBIRD VALLEY

PRESERVATION ALLIANCE INC

4967 US Hwy 42 Suite 230

Louisville, KY, US, 40207

D Employee Identification

Number 04-3782281

E Website:

www.mockingbirdvalley.org

F Name of Principal Officer: Beth Davis

1 Overbrook Road

Louisville, KY, US, 40207

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

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

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

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

FILED IN OFFICE

APR 19 2004

By Bobbie Helslaw, Clerk
D.C.

ARTICLES OF INCORPORATION
OF

MOCKINGBIRD VALLEY PRESERVATION ALLIANCE, INC.

0583831.09

Docmish
NAOI

Trey Grayson
Secretary of State
Received and Filed
04/15/2004 3:30:59 PM
Fee Receipt: \$8.00

The Incorporator named below adopts the following Articles of Incorporation for the purpose of establishing a nonstock, nonprofit corporation under Chapter 273 of the Kentucky Revised Statutes ("KRS"):

1. Name. The corporation organized pursuant to these Articles of Incorporation (the "Corporation") shall be named "Mockingbird Valley Preservation Alliance, Inc."

★ 2. Purposes. The Corporation is organized for, and shall be operated to accomplish, the following purposes:

★ (a) To foster the preservation, protection, and appropriate enhancement of homes, landscapes, and the living environment of the Mockingbird Valley Neighborhood in Louisville, Kentucky. The boundary of the Mockingbird Valley Neighborhood shall be determined by the Corporation's Board of Directors.

(b) To seek the listing of all or a portion of the Mockingbird Valley Neighborhood on the National Register of Historic Places.

(c) To consider seeking the designation of the Mockingbird Valley Neighborhood as a Local Landmarks and Preservation District under a plan administered by the Louisville Metro Historic Landmarks and Preservation Districts Commission.

(d) To consider creating a Mockingbird Valley "Neighborhood Plan" within the meaning used by agencies of Louisville Metro.

(e) To engage in any and all other activities whatsoever in which a Kentucky non-stock, non-profit corporation may lawfully engage which are consistent with the general purposes of the Corporation as stated above.

3. Powers. The Corporation shall have all of the powers described in KRS Chapter 273, the exercise of which is consistent with these Articles of Incorporation and applicable law.

4. Limitations Relating to Federal Tax-Exempt Status. Notwithstanding any other provision of these Articles of Incorporation, the Corporation is being organized, and shall always be operated, exclusively for the purpose of carrying out activities which are consistent with the classification of the Corporation as an organization described in Section 501(c)(3) of the Internal Revenue Code of 1986, as amended (the "Code"). The Corporation shall have no shareholders. It is not organized for profit, and no part of its net earnings may inure to the benefit of any private shareholder or individual.

5. Distribution of Assets Upon Dissolution. If the Corporation is dissolved, then its assets shall be disposed of in accordance with KRS 273.303 and any other applicable Kentucky law and in a manner consistent with the organization and operation of the Corporation as an organization described in Section 501(c)(3) of the Code. Accordingly, upon a dissolution of the Corporation, its remaining assets, if any, for one or more exempt purposes, or to the Federal government, or to the Commonwealth of Kentucky, or to Louisville Metro or to the City of Mockingbird Valley, or to some other local government, for a public purpose, or, if distributed according to a court order, to another organization to be used by in such manner as in the judgment of the court will best accomplish the general purposes for which the Corporation was organized as stated in these Articles of Incorporation, as they may be amended from time to time.

6. Initial Board of Directors. The Corporation's initial Board of Directors shall consist of six members, and the names and mailing addresses of the persons who are to serve as the Corporation's initial directors are:

Paul J. Bickel, III
402 Mockingbird Valley Road
Louisville, Kentucky 40207

John V. Hanley
606 Chub Lane
Louisville, Kentucky 40207

J. Walker Stites III
500 Lightfoot Road
Louisville, Kentucky 40207

Chris Radtke
12 Overbrook Road
Louisville, Kentucky 40207

Clyde K. Warner, Jr.
411 Mockingbird Valley Road
Louisville, Kentucky 40207

Elizabeth W. Davis
1 Overbrook Road
Louisville, KY 40207

The number of the members of the Corporation's Board of Directors may be changed from time to time in accordance with the Corporation's Bylaws.

7. Limitation on Liability of Directors. No member of the Corporation's Board of Directors shall be liable for monetary damages for breach of his or her duties as a director, except that a director may be liable: (a) for any transaction in which the director's personal

financial interest is or was in conflict with the financial interest of the Corporation; (b) for acts or omissions not in good faith or which involve intentional misconduct or are known to the director to be a violation of law; and (c) for any transaction from which the director derived an improper personal benefit. This Article shall be interpreted and enforced to allow the maximum limitation on director liability allowed under KRS 273.248 and any other applicable law.

8. Removal of Directors from Office. A member of the Corporation's Board of Directors may be removed from office by the majority vote of the other members of the Corporation's Board of Directors.

9. Officers The Corporation shall have such officers as are provided for in the Corporation's Bylaws, and their election or appointment shall be as provided in the Bylaws.

10. Members. The Corporation may have one or more classes of members as are provided for in, or in accordance with, the Corporation's Bylaws, and their terms of admission, continuance as members, powers, and rights shall be as provided in, or in accordance with, the Bylaws.

11. Limitations on Rights of Directors, Officers, and Members. No part of the net earnings of the Corporation shall inure to the benefit of any director, officer, or member, except that reasonable compensation may be paid for services actually rendered to or for the Corporation. No director, officer, or member shall be entitled to share in the distribution of any of the assets of the Corporation upon the dissolution of the Corporation or otherwise.

12. Initial Principal Office. The mailing address of the Corporation's initial principal office shall be:

FBT LLC
Attn: Joseph L. Ardery
400 West Market Street, 32nd Floor
Louisville, Kentucky 40202-3363


The Board of Directors shall have the power to change the location of the Corporation's principal office at any time and from time to time.

13. Initial Registered Agent and Registered Office. The street address of the Corporation's initial registered office, and the name of its initial registered agent at that address, are as follows:

FBT LLC
Attn: Joseph L. Ardery
400 West Market Street, 32nd Floor
Louisville, Kentucky 40202-3363

The Board of Directors shall have the power to change the location of the Corporation's registered office and its registered agent at any time and from time to time.

IN WITNESS WHEREOF, the Incorporator named below has signed these Articles of Incorporation on April 12, 2004.



Paul J. Bickel, III, Incorporator

These Articles of Incorporation were prepared by:

Joseph L. Ardery
Frost Brown Todd LLC
400 West Market Street, 32nd Floor
Louisville, Kentucky 40202-3363

LOULibrary/340977.4

Jarvis and Penruth Median Woodland Restoration Project

09.30.2019

Robert Woodford

P.O. Box 99786

KY 40269

Louisville,

Overview

Discussion regarding management of the publicly-owned median between Jarvis Ln. and Penruth Ave. was initiated by Mr. Miller with Robert Woodford and Andrew Oost. A proposal for invasive plant management and restoration of the approximately 1.5 acre woodland was requested as outlined below.

Biographies and Credentials

Andrew Oost has over 15 years experience in natural areas management, ecological restoration, and invasive plant management. He has worked for the National Park Service, Louisville Olmsted Parks Conservancy, The Parklands of Floyds Fork, and has acted as a primary contractor for TreesLouisville. He has also worked as a commercial Environmental Consultant for NativeScapes Inc. and Eco-Tech Consultants.

Robert Woodford is a certified arborist thru the International Society of Arboriculture (ISA) with 13 years experience in natural areas management, invasive plant management and property caretaking. He served as Natural Areas Manager for 10 years with the Olmsted Parks Conservancy, supervising the woodlands restoration efforts among other projects. He served as caretaker at Whitehall House and Gardens from 2008-2018. He currently acts as a primary tree planting contractor for the local nonprofit TreesLouisville in addition to caretaking for 120 acres of privately owned land in the Floyds Fork corridor.

Robert and Andrew are insured to perform the work outlined in this proposal by a commercial general liability policy of \$1 million thru Stroebel Insurance. Further information available upon request.

Goals

1. Control of woody invasive plants and vines throughout woodland tract.
2. Improvement of the aesthetic and visual characteristics of the site.
3. Establishment of multi-year invasive plant management schedule in order to protect the initial investment by preventing the re-infestation of woody invasive plants.

Specifications

The control of woody invasive shrubs and vines will entail the use of the "cut-stump" method. Targeted species will be cut as low to the ground as possible with a chainsaw or brushcutter, the remaining stump will be treated with a 50%/50% solution of glyphosate (the active ingredient in the herbicide Roundup) and water, and the above ground biomass will be dragged to the woodland edge. The biomass will then be chipped and blown back into the restoration site to feed the soil and supplement the leaf litter layer.

Vines will be severed as low to the ground as possible and treated with aforementioned herbicide. Mature vines clinging to desirable mature trees will be severed as high as possible (approx. 6ft high) and the upper portion left to decompose. Mature vines cannot be removed from the upper trunk and canopy without inflicting damage to the desirable tree species. The accepted best practice in the industry is to allow this type of vine to decompose on the tree.

With respect to the follow-up invasive plant management, the method deployed will be a foliar treatment of a solution of 2% glyphosate and 98% water. This solution will be sprayed from a 5 gallon backpack sprayer twice during growing season and be applied to both resprouts of severed plants as well as emerging seedlings of the targeted species.

Targeted Species will include: *Lonicera maackii* (Bush Honeysuckle), *Vitis* species (native and non native grapevines and their hybrids), *Euonymus fortunei* (wintercreeper), *Hedera helix* (English ivy), *Ailanthus altissima* (Tree of Heaven), *Ampelopsis brevipedunculata* (porcelainberry), *Euonymus alatus* (burning bush), *Ligustrum sinense* (Privet).

Beyond the invasive plant control outlined above, the scattered dumps of compostable yard waste will be dispersed and allowed to break down. Branches and limbs that were clearly dragged into the site (up to 12 inches in diameter) will be chipped and the chips dispersed. Landfill trash will be collected and properly disposed.

Timeline

* Phase I: Initial Woody Invasive Plant Management (cut stump treatment and chipping)

To occur over a 3 week span in late January - early February 2020 weather permitting. Alternative dates can be arranged if necessary.

Phase II: Follow-up Invasive Plant Management (foliar treatment)

To occur twice during the growing season of 2020. Dates are flexible but a first follow-up foliar treatment in May 2020 and a second follow-up foliar treatment in August 2020 provides a general idea of the timing and spacing necessary for successful control. The goal here is to halt all deposition of non-native seed into the seed bank and prevent maturation of emerging seedlings and resprouts.

Cost

* Phase I: Initial Woody Invasive Plant Management (cut stump treatment and chipping, trash collection and disposal)= \$15,500

Phase II: Follow-up Invasive Plant Management (foliar treatments twice during growing season)=\$2,000

Payment is to be made in full no later than 45 days after the completion of each phase. Payment can be made via check made out to Robert Woodford, P.O. Box 99786, Louisville, KY 40269.

Request for Taxpayer Identification Number and Certification

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

Go to www.irs.gov/FormW9 for instructions and the latest information.

1 Name (as shown on your income tax return). Name is required on this line; do not leave this line blank.

Mockingbird Valley Preservation Alliance, Inc.

2 Business name/disregarded entity name, if different from above

3 Check appropriate box for federal tax classification of the person whose name is entered on line 1. Check only one of the following seven boxes.

Individual/sole proprietor or single-member LLC

C Corporation

S Corporation

Partnership

Trust/estate

Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=Partnership) ▶ _____

Note: Check the appropriate box in the line above for the tax classification of the single-member owner. Do not check LLC if the LLC is classified as a single-member LLC that is disregarded from the owner unless the owner of the LLC is another LLC that is not disregarded from the owner for U.S. federal tax purposes. Otherwise, a single-member LLC that is disregarded from the owner should check the appropriate box for the tax classification of its owner.

Other (see instructions) ▶

501(c)(3) non-profit organization

4 Exemptions (codes apply only to certain entities, not individuals; see instructions on page 3):

Exempt payee code (if any) 1

Exemption from FATCA reporting code (if any) _____

(Apply to accounts maintained outside the U.S.)

5 Address (number, street, and apt. or suite no.) See instructions.

6013 Brownsboro Park Blvd, Suite E

6 City, state, and ZIP code

Louisville, KY 40207

7 List account number(s) here (optional)

Requester's name and address (optional)

Print or type. See specific instructions on page 3.

Part I Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. The TIN provided must match the name given on line 1 to avoid backup withholding. For individuals, this is generally your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the instructions for Part I, later. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN*, later.

Note: If the account is in more than one name, see the instructions for line 1. Also see *What Name and Number To Give the Requester* for guidelines on whose number to enter.

Social security number

				-				
--	--	--	--	---	--	--	--	--

or

Employer identification number

0	4	-	3	7	9	2	2	8	1
---	---	---	---	---	---	---	---	---	---

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); and
- The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.

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 for Part II, later.

Sign Here

Signature of U.S. person ▶

Thomas J. Paramore, Jr

Date ▶

1/2/20

General Instructions

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

Future developments. For the latest information about developments related to Form W-9 and its instructions, such as legislation enacted after they were published, go to www.irs.gov/FormW9.

Purpose of Form

An individual or entity (Form W-9 requester) who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) which may be your social security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN), to report on an information return the amount paid to you, or other amount reportable on an information return. Examples of information returns include, but are not limited to, the following.

- Form 1099-INT (interest earned or paid)

- Form 1099-DIV (dividends, including those from stocks or mutual funds)
 - Form 1099-MISC (various types of income, prizes, awards, or gross proceeds)
 - Form 1099-B (stock or mutual fund sales and certain other transactions by brokers)
 - Form 1099-S (proceeds from real estate transactions)
 - Form 1099-K (merchant card and third party network transactions)
 - Form 1098 (home mortgage interest), 1098-E (student loan interest), 1098-T (tuition)
 - Form 1099-C (canceled debt)
 - Form 1099-A (acquisition or abandonment of secured property)
- Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN.

If you do not return Form W-9 to the requester with a TIN, you might be subject to backup withholding. See What is backup withholding, later.

MOCKINGBIRD VALLEY PRESERVATION ALLIANCE, INC

General Information

Organization Number	0583831
Name	MOCKINGBIRD VALLEY PRESERVATION ALLIANCE, INC
Profit or Non-Profit	N - Non-profit
Company Type	KCO - Kentucky Corporation
Status	A - Active
Standing	G - Good
State	KY
File Date	4/15/2004
Organization Date	4/15/2004
Last Annual Report	6/20/2019
Principal Office	ATTN: J.W. STITES III, ESQ. 6013 BROWNSBORO PARK BLVD. SUITE E LOUISVILLE, KY 40207
Registered Agent	J.W. STITES III, ESQ. 6013 BROWNSBORO PARK BLVD. SUITE E LOUISVILLE, KY 40207

Current Officers

President	<u>Elizabeth Davis</u>
Vice President	<u>Neville Blakemore</u>
Secretary	<u>Austin Musselman</u>
Treasurer	<u>Thomas Paramore</u>
Director	<u>Julie Ballard</u>
Director	<u>Neville Blakemore, Jr.</u>
Director	<u>Elizabeth Davis</u>
Director	<u>Raymond Smith</u>
Director	<u>Paul Bickel</u>
Director	<u>Edward Glasscock</u>
Director	<u>Stephanie Fellon</u>
Director	<u>Edwin Lewis</u>
Director	<u>Jeff Tatman</u>
Director	<u>Anne Ronald</u>
Director	<u>Beau Stone</u>
Director	<u>Talmage Hocker</u>
Director	<u>Austin Musselman</u>
Director	<u>Thomas Paramore</u>

Individuals / Entities listed at time of formation

Director	<u>PAUL J BICKEL III</u>
Director	<u>JOHN V HANLEY</u>
Director	<u>J WALKER STITES III</u>
Director	<u>CHRIS RADTKE</u>
Director	<u>CLYDE K WARNER</u>
Director	<u>ELIZABETH W DAVIS</u>
Incorporator	<u>PAUL J BICKEL III</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.

Annual Report	6/20/2019	1 page	PDF	
Annual Report	5/30/2018	1 page	PDF	
Registered Agent name/address change	6/21/2017 11:10:26 AM	1 page	PDF	
Annual Report	6/21/2017	1 page	PDF	
Annual Report	6/29/2016	1 page	PDF	
Annual Report	6/25/2015	1 page	PDF	
Annual Report	6/25/2014	1 page	PDF	
Annual Report	6/27/2013	1 page	PDF	
Annual Report	6/26/2012	1 page	PDF	
Annual Report	6/26/2011	1 page	PDF	
Annual Report	6/24/2010	1 page	PDF	
Annual Report	6/26/2009	1 page	PDF	
Annual Report	6/18/2008	1 page	PDF	
Annual Report	2/23/2007	1 page	PDF	
Annual Report	8/2/2006	1 page	PDF	
Reinstatement	1/26/2006	4 pages	tiff	PDF
Principal Office Address Change	1/26/2006	1 page	tiff	PDF
Statement of Change	1/26/2006	1 page	tiff	PDF
Administrative Dissolution	11/1/2005	1 page	PDF	

Assumed Names

Activity History

Filing	File Date	Effective Date	Org. Referenced
Annual report	6/20/2019 7:37:50 PM	6/20/2019 7:37:50 PM	
Annual report	5/30/2018 5:48:14 PM	5/30/2018 5:48:14 PM	
Annual report	6/21/2017 5:41:57 PM	6/21/2017 5:41:57 PM	
Registered agent address change	6/21/2017 11:10:26 AM	6/21/2017 11:10:26 AM	
Annual report	6/29/2016 5:20:32 PM	6/29/2016 5:20:32 PM	
Annual report	6/25/2015 2:49:43 PM	6/25/2015 2:49:43 PM	
Annual report	6/25/2014 12:58:49 PM	6/25/2014 12:58:49 PM	
Annual report	6/27/2013 7:58:11 PM	6/27/2013 7:58:11 PM	
Annual report	6/26/2012 10:11:52 AM	6/26/2012 10:11:52 AM	
Annual report	6/26/2011 5:03:32 PM	6/26/2011 5:03:32 PM	
Annual report	6/24/2010 5:21:42 PM	6/24/2010 5:21:42 PM	
Annual report	6/26/2009 3:19:37 PM	6/26/2009 3:19:37 PM	
Annual report	6/18/2008 3:27:08 PM	6/18/2008 3:27:08 PM	
Annual report	2/23/2007 12:24:39 PM	2/23/2007 12:24:39 PM	
Annual report	8/2/2006	8/2/2006	

	2:06:46 PM	2:06:46 PM
Registered agent address change	1/26/2006 11:56:46 AM	1/26/2006
Principal office change	1/26/2006 11:54:23 AM	1/26/2006
Reinstatement	1/26/2006 11:51:56 AM	1/26/2006
Admin Dis. A. report not in	11/1/2005	11/1/2005
Add	4/15/2004 3:30:59 PM	4/15/2004

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.

Articles of Incorporation

4/15/2004

5 pages