

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

Applicant/Program: Highland Douglass Neighborhood Association-High School Freshman Tree Give Away

Executive Summary of Request:
 CM Owen would like to give \$437.00 NDF to Highland Douglass Neighborhood Association for their High School Freshman Tree Give Away. It is an education for the freshmen for these two schools about planting and maintaining trees as well connecting with the neighborhoods that will be receiving the trees at give away.

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.

8th Tom Owen \$ 437.⁰⁰ 3-3-2016
 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.

Approved by:

 Appropriations Committee Chairman Date

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

**LOUISVILLE METRO COUNCIL
NEIGHBORHOOD DEVELOPMENT FUND APPLICATION CHECKLIST**

Legal Name of Applicant Organization: Highland Douglass Neighborhood Assoc, High School Freshman Tree Give Away

Program Name and Request Amount:

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

Prepared by:

Date:

Long, Terra L

From: Owen, Tom
Sent: Thursday, March 03, 2016 3:50 PM
To: Long, Terra L
Cc: Ott, Stephen; Helton, Jessamyn
Subject: RE: Permission to sign for CM Owen on HDNA grant for 437.00 NDF for tree give away at Assumption and Atherton HS

My aide, TERRA LONG, has my permission to sign my name to a NDF grant of \$437.00 for a tree give away at Assumption and Atherton High Schools.

Tom Owen
8th

From: Long, Terra L
Sent: Thursday, March 03, 2016 2:35 PM
To: Owen, Tom
Cc: Ott, Stephen; Helton, Jessamyn
Subject: Permission to sign for CM Owen on HDNA grant for 437.00 NDF for tree give away at Assumption and Atherton HS

Can you please give Terra Long permission to sign this grant and submit into Granicus?



Terra Long

Legislative Assistant to CM Tom Owen
8th District Metro Council
601 W. Jefferson Street
Louisville KY.40202
FAX (502)574-1170
(502)574-1108
TerraL.Long@LouisvilleKy.gov

NARP

0521594
Alison Lundergan Grimes
KY Secretary of State
Received and Filed
5/31/2015 10:56:09 PM
Fee receipt: \$15.00

Commonwealth of Kentucky Alison Lundergan Grimes, Secretary of State

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:	THE HIGHLANDS-DOUGLASS NEIGHBORHOOD ASSOCIATION, INC.
Company ID:	0521594
State of origin:	Kentucky
Formation date:	8/27/2001 12:00:00 AM
Date filed:	5/31/2015 10:56:09 PM
Fee:	\$15.00

Principal Office

P O BOX 5194
LOUISVILLE, KY 40255-0194

Registered Agent Name/Address

JOSHUA WHITE
2134 WOODBOURNE AV
LOUISVILLE, KY 40205-1912

Current Officers

President	Jay Douds	2326 Valletta Lane, Louisville, KY 40205
Secretary	Sherry Connell	2019 Woodford Place. Louisville, Kentucky 40205
Treasurer	Brandt Ford	2119 Douglass Blvd, Louisville KY 40205
Vice President	Malinda Durban	2201 Woodbourne Ave, Louisville, KY 40205

Directors

Director	Muriel Handmaker	2064 Douglass Blvd, Louisville, KY 40205
Director	Barbara Dorf	2314 Village Dr. Louisville KY 40205
Director	Valerie Desalvo	2142 Woodbourne Ave Louisville KY 40205
Director	Meghan Greenwell	2230 Kaelin Ave. Louisville KY 40205
Director	Jordan Davis	2134 Woodbourne Ave Louisville KY 40205
Director	Erik Siegel	1921 Spring Dr. Louisville Kentucky 40205
Director	Ed Flynn	1843 Lauderdale Rd. Louisville Kentucky 40205
Director	Shelly Piquard	2122 Douglass Blvd, Louisville, KY 40205
Director	Barbara Ford	2119 Douglass Blvd, Louisville, Ky 40205
Director	Joshua White	2134 Woodbourne Ave., Louisville, KY 40205

Signatures

Signature	Andrew J Douds
Title	President





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Check Filing Status

HIGHLANDS-DOUGLASS NEIGHBORHOOD ASSOCIATION INC



2014 IRS Form 990-N (e-Postcard)
1/1/2014 - 12/31/2014

[Links](#)

[View e-Postcard Image](#)

[Control Panel](#)



[View Form 990-N \(e-Postcard\)](#)

Current Status: Accepted

Congratulations, the IRS accepted your Form 990-N (e-Postcard).

Next Step: Your next e-Postcard will be due after 12/31/2015.

Delivery Status

<u>No.</u>	<u>Filing</u>	<u>Delivery</u>	<u>Status</u>	<u>Postmark</u>
1	Form 990-N	E-file	Accepted on 6/30/2015	6/30/2015 8:43:09 PM

Questions or problems regarding this web site should be directed to [Tech Support](#)

Concerned about your privacy? Please view our [privacy](#) policy.

This website is best viewed with Microsoft Internet Explorer 6.0+ or Mozilla Firefox with a screen resolution of 1024 X 768.

Last modified: June 22, 2015.



LOUISVILLE METRO COUNCIL NEIGHBORHOOD DEVELOPMENT FUND APPLICATION

SECTION 1 – APPLICANT INFORMATION			
Legal Name of Applicant Organization: Highlands-Douglass Neighborhood Association <i>(as listed on: http://www.sos.ky.gov/business/records)</i>			
Main Office Street & Mailing Address: HDNA P.O. BOX 5194 Louisville KY 40255			
Website: Highloundsouglass.org			
Applicant Contact:	Joshua White	Title:	Reforestation Project Manager
Phone:	502-767-1722	Email:	joshuaiwhite1@gmail.com
Financial Contact:	Robert S. Harlow	Title:	Treasurer
Phone:	502-5622462	Email:	rsharlowjr@gmail.com
Organization's Representative who attended NDF Training:			
GEOGRAPHICAL AREA(S) WHERE PROGRAM ACTIVITIES ARE (WILL BE) PROVIDED			
Program Facility Location(s):	Atherton High School, Assumption High School		
Council District(s):	District 8	Zip Code(s):	40205
SECTION 2 – PROGRAM REQUEST & FINANCIAL INFORMATION			
PROGRAM/PROJECT NAME: High School Freshman Tree Give Away			
Total Request: (\$)	422.00 437.00	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 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 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 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			

Applicant's Initials



LOUISVILLE METRO COUNCIL NEIGHBORHOOD DEVELOPMENT FUND APPLICATION

SECTION 3 – AGENCY DETAILS

Describe Agency's Vision, Mission and Services:

To unite residents and property owners in the Highlands-Douglass Community (the "Community");

2. To promote neighborhood harmony;
3. To promote beautification;
4. To represent the Community before public and private agencies/gathers;
5. To assist the neighborhood in understanding and making decisions about its collective future and/or responses with respect to proposed changes in zoning, development or other matters that could affect the nature and character of the neighborhood; and
6. To promote Community activities of a civic, education or artistic nature, including an annual Jazz concert in or relating to the Community, all subject to the discretion and approval of the board of directors of the Corporation (the "Board of Directors").

Since 2014 the Neighborhood Association has spend considerable time, money, and energy toward the goals of Urban Reforestation.



LOUISVILLE METRO COUNCIL NEIGHBORHOOD DEVELOPMENT FUND APPLICATION

SECTION 4 – PROGRAM/PROJECT NARRATIVE

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

The Highlands Douglass Neighborhood Association (HDNA) would like to host a tree giveaway to all High School Freshman in District 8 High Schools. The goal is to create a sustainable tree planting program for the district. If the number of trees planted every year equals or surpasses the number of trees that die every year, then we will achieve sustainability. Finding an economical long term method is necessary to help our tree canopy recover. A tree giveaway in either sufficient number, and/or with sufficient survival rates to maturity and old age could show to be the most economical long term solution. By engaging and recruiting students, we are helping utilize all members of the community to take ownership of our urban forest.

Weather Permitting, the trees will be distributed to Freshmen on a Friday afternoon from sometime in Mid March to Mid April 2016. Trees will be of an assortment and will all be canopy promoting classes A and B

B: Describe specifically how the funding will be spent including identification of funding to sub grantee(s):
See Attached Spread Sheet with Budget.

Atherton High School and Assumption High School have agreed to work in partnership with the HDNA to educate freshman on how to plant and maintain trees. Participation of the students is voluntary. We have two different options we are trying, which will determine what yields the most long term cost effective method. We will be planting \$0.55 trees which are 1' in height. They are bare root. We will also be planting trees that are between 1' and 2' and are in air pruned containers. Some trees will be given chicken wire mesh; others will not. We will compare the survival rate of the trees as the freshmen progress toward senior year.

We would like to request a grant in the amount of \$437.00 based on the following numbers:

A handwritten signature in black ink, appearing to be the initials of the applicant.



LOUISVILLE METRO COUNCIL NEIGHBORHOOD DEVELOPMENT FUND APPLICATION

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

N/A

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

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

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

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.

All expenditures are likely to be incurred before the execution of the grant agreement



LOUISVILLE METRO COUNCIL NEIGHBORHOOD DEVELOPMENT FUND APPLICATION

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

Freshmen have been selected because most will continue to be enrolled at the High School for the following four years. This will result in the ability to survey the students each year to determine the survival rate of their trees, and to coach them on best practices for continuing maintenance. We are hoping to cultivate a youth culture which yields pride in their planted trees which will persist into adulthood. Upperclassmen in following years will indoctrinate incoming freshmen as they regale their stories about their trees that they have planted.

Survival rates above 5% will surpass the economics of even the most efficient tree plantings in Louisville (Highlands Douglass). We are targeting a 30% survival rate, and will be distributing both bare root and root pruned trees with and without wire mesh cages to gauge the differences in tree mortality.

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.

Highlands Douglass is working in cooperation with Upper Highlands Neighborhood and other participating neighborhoods of the Highlands Tree Planting Initiative to ensure that the distributed trees have high survival rates.

A handwritten signature in black ink, appearing to be initials, written over the 'Applicant's Initials' label.



LOUISVILLE METRO COUNCIL NEIGHBORHOOD DEVELOPMENT FUND APPLICATION

SECTION 5 – PROGRAM/PROJECT BUDGET SUMMARY

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

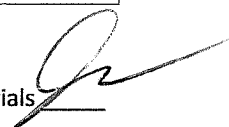
Program/Project Expenses	Column 1	Column 2	Column (1+2)=3
	Proposed Metro Funds	Non-Metro Funds	Total Funds
A: Personnel Costs Including Benefits	0	0	0
B: Rent/Utilities	0	0	0
C: Office Supplies	0	0	0
D: Telephone	0	0	0
E: In-town Travel	0	0	0
F: Client Assistance (Attach Detailed List)	0	0	0
G: Professional Service Contracts	0	0	0
H: Program Materials	50.00	0	50
I: Community Events & Festivals (Attach Detail List)	0	0	0
J: Machinery & Equipment	0	0	0
K: Capital Project	0	0	0
L: Other Expenses (Attach Detail List)	387.00	0	387.00
*TOTAL PROGRAM/PROJECT FUNDS	437.00	0	437.00
<i>% of Program Budget</i>	%	%	100%

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

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

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

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

Applicant's Initials 



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
Newspapers	30.00	Market Value
Plastic Tree Bags	50.00	Market Value
Volunteers	200.00	10.00\$ per hour
<i>Total Value of In-Kind (to match Program Budget Line Item. Volunteer Contribution & Other In Kind)</i>		

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

Agency Fiscal Year Start Date: **January 1st**

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

If YES, please explain:

Applicant's Initials 



LOUISVILLE METRO COUNCIL NEIGHBORHOOD DEVELOPMENT FUND APPLICATION

SECTION 6 – CERTIFICATIONS & ASSURANCES

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

Standard Assurances

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

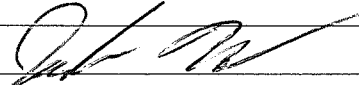
Standard Certifications

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

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

SECTION 7 – CERTIFICATIONS & ASSURANCES

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

Signature of Legal Signatory:		Date:	3/3/2016
Legal Signatory: (please print):	Joshua White	Title:	Planting Manager
Phone:	502-767-1722	Extension:	
Email:	joshuaiwhite1@gmail.com		

Applicant's Initials 



Louisville Metro Government
Office of Management and Budget

Neighborhood Development Fund Training Attestation

Organization Name: Highlands Douglas Neighborhood Assoc
Participant Name: Joshua White

I agree that I am an authorized representative and/or signatory of the organization named above and attest to having participated in Neighborhood Development Fund training. In addition, I understand the requirements of the Neighborhood Development Fund grant process.

Please check:

I viewed the NDF training material on the website

Participant Signature

3/3/2016

Date

NOTE: Please return to Roxanne Steele:

E-mail address: Roxanne.Steele@louisvilleky.gov or Fax: 502-574-3219

Mailing Address: Louisville Metro Government ATTN: NDF Coordinator 611 West Jefferson St.

First Name	Last Name	Position	Email	Phone	Address	Term End
Sherry	Correll	Secretary				2018
Valerie	DeSalvo					2018
Jay	Dourls					2018
Malinda	Durbin	President				2019
Ed	Flynn					2017
Barbara	Ford					2018
Brandt	Ford	Vice-President				2018
Muriel	Hanklmer	Membership Chair				2017
Bob	Hartlow	Treasurer				2017
Shelley	Piquard	Beautification Chair				2018
Erik	Stegall	Communication Chair				2017
Josy	Whites	Safety & Compliance Chair				2017
Barbara	Berman					2019
Debbie	McLechlan	Events Chair				2019
Angus	McLechlan					2019
D.C.	Mawin	Sergeant at Arms				2019



current as of
1/30/16

HDNA Treasurer's Report January 2016

Park Community Credit Union 01/31/16

Organizational Savings Withdrawal:	00.00
Organizational Savings Deposit:	00.00
Organizational Savings Interest:	00.00
Organizational Savings Balance:	\$16,751.49
Small Business Checking Deposits:	\$1,270.00
Small Business Checking Withdrawals:	110.94
01/20/16 159 Proforma Annual Mtg. Post Cards	110.94
Small Business Checking Balance:	\$3,719.78
Save Our Center Savings:	\$3,593.17
TOTAL Park Community C.U. Balance:	\$24,064.44

Commonwealth Bank & Trust 01/31/16 - Checking Acct

<u>Check #</u>	<u>Date</u>	<u>Written To:</u>	<u>For:</u>	<u>Amount:</u>
ETF	01/04/15	Liberty Mutual	Insurance	48.94
Total Checks				48.94
Total Deposits				.00
Checking Account Balance 01/31/16				185.12
Total Bank Funds Available				\$24,249.56

- PAYPAL Balance: as of 01/31/16 = \$435.98

521594

**ARTICLES OF INCORPORATION
OF
THE HIGHLANDS-DOUGLASS NEIGHBORHOOD ASSOCIATION, INC.**

The undersigned Incorporator, Robert F. Patrick, executes these Articles of Incorporation for the purpose of forming and does hereby form a nonstock, nonprofit corporation under the laws of the Commonwealth of Kentucky (KRS 273.161 et seq.), with all the rights, privileges and immunities of a corporation organized for civic and social welfare purposes within the meaning of Section 501(c)(4) of the Internal Revenue Code of 1986, as amended (the "Code"), or its successor provisions, in accordance with the following provisions:

0521594-09
John W. Brown III
Secretary of State
Received and Filed
08/27/2011 03:00 PM
File Receipt \$8.00
Fcraine - NAOI

ARTICLE I

Name

The name of the corporation is The Highlands-Douglass Neighborhood Association, Inc. (the "Corporation").

ARTICLE II

Purposes and Powers

The purposes for which the Corporation is formed, the business and objectives to be carried on and promoted by it, and the powers granted to it, are as follows:

(a) The Corporation is irrevocably dedicated to and is organized and operated exclusively for the promotion of social welfare within the meaning of Section 501(c)(4) of the Code (or its successor provision). Consistent with this general purpose, the particular purposes of the Corporation shall be (1) to unite residents and property owners in the Highlands-Douglass community (the "Community"), (2) to promote neighborhood harmony in the Community, (3) to promote beautification of the Community, and (4) to promote community activities, including an annual jazz concert, in or relating to the Community, all subject to the discretion and approval of the Board of Directors. The Corporation shall receive contributions and fees, and shall distribute its funds for such purposes as are set forth in these Articles. In carrying out its corporate purposes, the Corporation shall have all the powers allowed corporations by the Kentucky Nonprofit Corporation Acts, KRS 273.161 et seq.; provided, however, that the Corporation shall not have or exercise any



power inconsistent with or prohibited by the provisions of Paragraphs (a), (b) or (c) of this Article
ii.

(b) As limited by Section 501(c)(3) of the Code, it is expressly not the purpose of the Corporation and the Corporation is not empowered to participate or intervene in (including the publication or distributing of statements) any political campaign on behalf of or in opposition to any candidate for public office.

(c) Any other provision of these Articles to the contrary notwithstanding, the Corporation shall have no capital stock and no power to issue certificates of stock nor to declare dividends; no part of the net earnings of the Corporation shall inure to the benefit of any private shareholder or individual; and the Corporation shall not carry on any activities denied to a corporation described in Section 501(c)(4) of the Code, including activities prohibited by Section 501(m) of the Code.

ARTICLE III

Initial Registered Office and Agent

The street address of the Corporation's initial registered office and the name of its initial registered agent at that address is:

WT&C Corporate Services, Inc.
2800 Citizens Plaza
Louisville, Kentucky 40202

ARTICLE IV

Mailing Address

The mailing address of the Corporation's principal office is:

2407 Douglass Blvd.
Louisville, Kentucky 40205

ARTICLE V

Duration

The Corporation shall have perpetual existence.

ARTICLE VI

Directors

The affairs of the Corporation shall be managed by a Board of Directors consisting of not less than five (5) members nor more than twenty (20) members, with the exact number to be set in the manner provided in the Bylaws. The initial Board of Directors shall consist of sixteen (16) persons who shall serve until their successors are elected and qualified or as otherwise provided in the Bylaws. The names and addresses of the initial Directors are:

Mary Greenbaum
2233 Douglass Blvd.
Louisville, Kentucky 40205

Cynthia Norton
P. O. Box 5144
Louisville, Kentucky 40205

Erna Gwinn
2228 Village Drive
Louisville, Kentucky 40205

John Norton
P. O. Box 5144
Louisville, Kentucky 40205

Joel Gwinn
2228 Village Drive
Louisville, Kentucky 40205

Robert F. Patrick
2222 Village Drive
Louisville, Kentucky 40205

Mary K. Korfhage
2183 Millvale Road
Louisville, Kentucky 40205

Kathleen Payette
2407 Douglass Blvd.
Louisville, Kentucky 40205

Alice McKinley
2204 Village Drive
Louisville, Kentucky 40205

Tom Payette
2407 Douglass Blvd.
Louisville, Kentucky 40205

Sallie Niehoff
2344 Carolina Ave.
Louisville, Kentucky 40205

Malcolm Roessler
2186 Park Boundary Rd.
Louisville, Kentucky 40205



R. Ray Schindler
2116 Douglass Blvd.
Louisville, Kentucky 40205

John Turner
2054 Douglass Blvd.
Louisville, Kentucky 40205

Anne Ringo Smith
2212 Douglass Blvd.
Louisville, Kentucky 40205

Each Director shall continue as Director as provided in the Bylaws; however, notwithstanding any contrary provision in the Bylaws, any Director may be removed, with or without cause, at any time, by vote of seventy-five percent (75%) of the Directors entitled to vote. Upon such removal, the resulting vacancy shall be filled as provided in the Bylaws.

ARTICLE VII

Members

The members of the Corporation, if any, and voting rights of such members, if any, shall be as provided in the Bylaws.

ARTICLE VIII

Contracts or Transaction of Business with Directors

No pecuniary profit shall be received by any Director from the operations of the Corporation by reason of his or her status as a Director. Any contract or transaction of business between the Corporation and one or more of its Directors, or with any corporation or association in which any of its Directors is a stockholder, director or officer, shall not be invalidated or affected solely by the fact that such Director or Directors have or may have interests therein which are or might be adverse to the interests of the Corporation; provided, however, a Director having an interest adverse to that of the Corporation shall disclose such interest to the Board of Directors. The Corporation shall be prohibited from making loans to any of its Directors or officers.

ARTICLE IX

Indemnification

Each person who is or was a member, Director, trustee or officer of the Corporation, whether elected or appointed, and each person who is or was serving at the request of the Corporation as a member, director, trustee or officer of another corporation, whether elected or appointed, including the heirs, executors, administrators or estate of any such person, shall be indemnified by the Corporation to the full amount against any liability, and the reasonable cost, or expense (including attorneys' fees, monetary or other judgments, fines, excise taxes or penalties and amounts paid or to be paid in settlement) incurred by such person in such person's capacity as a member, director, trustee, officer or employee or arising out of such person's status as a member, director, trustee, officer or employee; provided, however, that no such person shall be indemnified against any such liability, cost or expense incurred in connection with any action, suit or proceeding in which such person shall have been adjudged liable on the basis that personal benefit was improperly received by such person, or if such indemnification would be prohibited by law. Such right of indemnification shall be a contract right and shall include the right to be paid by the Corporation the reasonable expenses incurred in defending any threatened or pending action, suit or proceeding in advance of its final disposition; provided, however, that such advance payment of expenses shall be made only after delivery to the Corporation of an undertaking by or on behalf of such person to repay all amounts so advanced if it shall be determined that such person is not entitled to such indemnification. Any repeal or modification of this Article shall not affect any rights or obligations then existing. If any indemnification payment required by this Article is not paid by the Corporation within ninety (90) days after a written claim has been received by the Corporation, the member, director, trustee, officer or employee may at any time thereafter bring suit against the Corporation to recover the unpaid amount and, if successful in whole or in part, such person shall be entitled to be paid also the expense of prosecuting such claim. The Corporation may maintain insurance, at its own expense, to protect itself and any such person against any such liability, cost or expense, whether or not the Corporation would have the power to indemnify such person against such liability, cost or expense, under the Kentucky Nonprofit Corporation Acts, or under this Article, but it shall not be obligated to do so. The indemnification provided by this Article shall not be

deemed exclusive of any other rights which those seeking indemnification may have or hereafter acquire under any Bylaw, agreement, statute, vote of members or Board of Directors or otherwise. If this Article or any portion thereof shall be invalidated on any ground by any court of competent jurisdiction, then the Corporation nevertheless shall indemnify each such person, to the full extent permitted by any applicable portion of this Article that shall not have been invalidated or that remains enforceable under any other applicable law.

ARTICLE X

Dissolution

Dissolution shall be accomplished in accordance with Chapter 273 of the Kentucky Revised Statutes or its successor. Upon dissolution of the Corporation, the Board of Directors shall, after paying or making adequate provision for the payment of all liabilities of the Corporation, dispose of all corporate assets by distributing such assets to one or more organizations then described in Section 501(c)(3) or Section 501(c)(4) of the Code, or their successor provision, to be used consistent with the general purposes set out above and in accordance with the plan of distribution adopted pursuant to KRS 273.307. Any such assets not disposed of by the Board of Directors shall be disposed of by the Circuit Court of the County in which the principal office of the Corporation is then located, in the manner described above in this Article X.

ARTICLE XI

Limitation of Director Liability

No Director shall be personally liable to the Corporation for monetary damages for breach of his or her duties as a Director except for liability:

- (a) For any transaction in which the Director's personal financial interest is in conflict with the financial interests 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; or
- (c) For any transaction from which the Director derives an improper personal benefit.



If the Kentucky Revised Statutes are amended after approval of this Article to authorize corporate action further eliminating or limiting the personal liability of Directors, then the liability of a Director of the Corporation shall be deemed to be eliminated or limited by this provision to the fullest extent then permitted by the Kentucky Revised Statutes, as so amended. Any repeal or modification of this Article shall not adversely affect any right or protection of a Director of the Corporation existing at the time of such repeal or modification.

ARTICLE XII

Amendment of Articles

These Articles may amended by affirmative vote of seventy-five percent (75%) of the Directors entitled to vote. The members of the Corporation, if any, shall not have any voting rights with respect to any such amendment and therefore approval of the members shall not be required for amendment of the Articles.

ARTICLE XIII

Incorporator

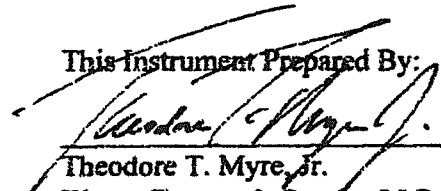
The name and address of the Incorporator is:

Robert F. Patrick
2222 Village Drive
Louisville, Kentucky 40205

Signed by the Incorporator at Louisville, Kentucky, effective this 21st day of August, 2001.


Robert F. Patrick

This Instrument Prepared By:


Theodore T. Myre, Jr.
Wyatt, Tarrant & Combs, LLP
2800 PNC Plaza
Louisville, Kentucky 40202
(502) 589-5235
19096546.1

COMMONWEALTH OF KENTUCKY
JOHN Y. BROWN III
SECRETARY OF STATE



STATEMENT OF CONSENT OF REGISTERED AGENT

Pursuant to the provisions of KRS Chapter 271B, 273, 275 or 362, the undersigned hereby consents to act as registered agent on behalf of the business entity named below and for that purpose submits the following statements:

1. The business entity is a corporation (KRS 271B or KRS 273)
 a limited liability company (KRS 275)
 a limited partnership (KRS 362)

2. The name of the business entity is

The Highlands-Douglass Neighborhood Association, Inc.

3. The state or country of incorporation, organization or formation is Kentucky

4. The name of the initial registered agent is

WT&C CORPORATE SERVICES, INC.

5. The street address of the registered office address in Kentucky is

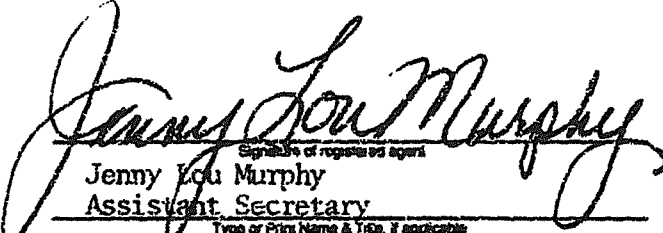
500 West Jefferson Street, Suite 2800, Louisville, Kentucky 40202

Street

City

State

Zip Code


Signature of registered agent
Jenny Lou Murphy
Assistant Secretary
Type or Print Name & Title, if applicable

Date: August 27 2001

0521594.09

amcray
AMD

Allison Lundergan Grimes
Kentucky Secretary of State
Received and Filed:
5/28/2015 3:39 PM
Fee Receipt: \$8.00

**ARTICLES OF AMENDMENT
TO THE
ARTICLES OF INCORPORATION
OF
THE HIGHLANDS-DOUGLASS
NEIGHBORHOOD ASSOCIATION, INC.**

Pursuant to the provisions of KRS 273.263 and KRS 273.267, the undersigned corporation executes these Articles of Amendment to its Amended and Restated Articles of Incorporation, as heretofore amended:

1. The name of the corporation is The Highlands-Douglass Neighborhood Association, Inc. (the "Corporation").

2. Article II of the Corporation's Articles of Incorporation, is amended to read in its entirety as follows:

Purposes and Powers

The purposes for which the Corporation is formed, the business and objectives to be carried on and promoted by it, and the powers granted to it, are as follows:

- (a) The Corporation is irrevocably dedicated to and is organized and shall be operated for charitable purposes within the meaning of Section 501(c)(3) of the Code, or its successor provision. In furtherance of such purposes, the Corporation may receive contributions and fees, and shall distribute its funds for such purposes as are set forth in these Articles. In carrying out its purposes, the Corporation shall have all the powers allowed corporations by the Kentucky Nonprofit Corporation Act, KRS 273.161, et seq; provided, however, that the Corporation shall not have or exercise any power inconsistent with or prohibited by the provisions of Paragraphs (a),(b) or (c) of this Article II.
- (b) No substantial part of the activities of the Corporation shall be the carrying on of propaganda, or otherwise attempting to influence legislation, and the Corporation shall not participate in, or intervene in (including the publishing or distribution of statements) any political campaign on behalf of or in opposition to any candidate for public office.
- (c) Any other provision of these Articles to the contrary notwithstanding, the Corporation shall have no capital stock and no power to issue certificates of stock nor to declare dividends; no part of the net earnings of the Corporation shall inure to the benefit of any private shareholder or individual; and the Corporation shall not carry on any activities denied to an organization described in Section 501(c)(3) of the Code, including



activities prohibited by Section 501(m) of the Code, or to an organization contributions to which are deductible under Section 170(c)(2) of the Code.

3. Article X of the Corporation's Articles of Incorporation is amended to read in its entirety as follows:

Dissolution

Dissolution shall be accomplished in accordance with Chapter 273 of the Kentucky Revised Statutes or its successor. Upon dissolution of the Corporation, the Board of Directors shall, after paying or making adequate provision for the payment of all liabilities of the Corporation, dispose of all corporate assets to one or more organizations then described in Section 501(c)(3) of the Code, or its successor provision, to be used consistent with the general purposes set out above and in accordance with the plan of distribution adopted pursuant to KRS 273.307. Any such assets not disposed of by the Board of Directors shall be disposed of by the Circuit Court of the County in which the principal office of the Corporation is then located, in the manner described above in this Article X.

4. Other than the amendments above, all other Articles of the Corporation's Amended and Restated Articles of Incorporation, as heretofore amended, have not been amended and shall remain in full force and effect.

5. There being no members of the Corporation entitled to vote on amendments to the Corporation's Articles of Incorporation, the foregoing amendments were adopted and approved at a meeting of the Board of Directors of the Corporation held on May 27, 2015.


6. These Articles of Amendment to the Corporation's Articles of Incorporation, as heretofore amended, shall become effective upon filing by the Kentucky Secretary of State.

[END OF TEXT; SIGNATURE PAGE FOLLOWS]

A handwritten signature in black ink, appearing to be a stylized 'P' or similar character, located in the bottom right corner of the page.

IN WITNESS WHEREOF, the undersigned duly authorized officer has executed these Articles of Amendment on May 27, 2015.

THE HIGHLANDS-DOUGLASS NEIGHBORHOOD ASSOCIATION, INC.

By:  _____

Name: Jay Douds

Title: President

THIS INSTRUMENT PREPARED BY:

 _____

James A. Nitsche
WYATT, TARRANT & COMBS, LLP
500 West Jefferson Street, Suite 2800
Louisville, Kentucky 40202
(502) 589-5235

61347391.1

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

DEPARTMENT OF THE TREASURY

Date: **MAR 10 2003**

HIGHLANDS-DOUGLASS NEIGHBORHOOD
ASSOCIATION INC
C/O KATHLEEN PAYETTE
2407 DOUGLASS BLVD
LOUISVILLE, KY 40205-1761

Employer Identification Number:

DLN:

17053324030032

Contact Person:

MARC KENNEDY

ID# 52413

Contact Telephone Number:

(877) 829-5500

Internal Revenue Code

Section 501(c)(04)

Accounting Period Ending:

December 31

FORM 990 Required:

Yes

Addendum Applies:

Yes

Dear Applicant:

Based on information 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 the section indicated above.

Unless specifically excepted, you are liable for taxes under the Federal Insurance Contributions Act (social security taxes) for each employee to whom you pay \$100 or more during a calendar year. And, unless excepted, you are also liable for tax under the Federal Unemployment Tax Act for each employee to whom you pay \$50 or more during a calendar quarter if, during the current or preceding calendar year, you had one or more employees at any time in each of 20 calendar weeks or you paid wages of \$1,500 or more in any calendar quarter. If you have any questions about excise, employment, or other Federal taxes, please address them to this office.

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

In the heading of this letter we have indicated whether you must file Form 990, Return of Organization Exempt From Income Tax. If Yes is indicated, you are required to file Form 990 only if your gross receipts each year are normally more than \$25,000. However, if you receive a Form 990 package in the mail, please file the return even if you do not exceed the gross receipts test. If you are not required to file, 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.

Letter 948 (DO/CG)



HIGHLANDS-DOUGLASS NEIGHBORHOOD

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, a number will be assigned to you and you will be advised of it. Please use that number on all returns you file and in all correspondence with the Internal Revenue Service.

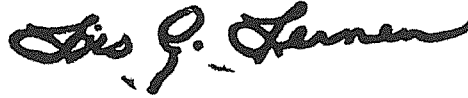
If we have indicated in the heading of this letter that an addendum applies, the enclosed addendum is an integral part of this letter.

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

HIGHLANDS-DOUGLASS NEIGHBORHOOD

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



Enclosure:
Addendum

1827381

HIGHLANDS BRIGADES HISTORICAL SOCIETY

Exemption Number

Name of Exempt Institution

PURCHASE EXEMPTION CERTIFICATE

Check Applicable Block
Blanket
Single Purchase

Important - Certificate not valid unless completed.

I hereby certify that HIGHLANDS BRIGADES HISTORICAL SOCIETY is a Kentucky resident, nonprofit educational, charitable or religious institution or Kentucky historical site, located at LEESVILLE, Kentucky and that the tangible personal property, digital property or services to be purchased from _____

Name of Exempt Institution

Name of Vendor

Address

will be used solely within the exempt function of a charitable, educational or religious institution or historical site.

Description of property to be purchased: _____

In the event that the property purchased is not used for an exempt purpose, it is understood that I am required to pay the tax measured by the purchase price of the property.

Any official or employee who uses this certificate to make tax-free purchases for his own personal use or that of any other person will be subject to the penalties provided in KRS 139.990 and other applicable laws.

Under penalties of perjury, I swear or affirm that the information on this certificate is true and correct as to every material matter.

[Signature]

Authorized Signature

TREASURE HAWK

Title

8.6.15

Date

CAUTION TO SELLER: This certificate cannot be issued or used in any way by a construction contractor to purchase property to be used in fulfilling a contract with an exempt institution. Sellers accepting certificates for such purchases will be held liable for the sales or use tax.

DEPARTMENT OF REVENUE
Frankfort, Kentucky 40620

51A128(12-09)

[Handwritten mark]

Information copy. Do not send to IRS.

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

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

OMB No. 1545-
2085

2014

Open to Public
Inspection

A For the 2014 calendar year, or tax year beginning 1/1/2014, and ending 12/31/2014.

B Check if applicable

- Terminated, Out of Business
 Gross receipts are normally
\$50,000 or less

C Name of organization: HIGHLANDS-DOUGLASS
NEIGHBORHOOD ASSOCIATION INC
d/b/a:

PO Box 5194
Louisville, KY, US, 40255

D Employer
Identification
Number

E Website:

highlandsdouglass.org

F Name of Principal Officer: Andrew Jay Douds

PO Box 5194
Louisville, KY, US, 40255

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

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

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

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

This Form 990-N (e-Postcard) was accepted by the IRS on 6/30/2015.

Request for Taxpayer Identification Number and Certification

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

Print or type See Specific Instructions on page 2.	Name (as shown on your income tax return) The Highland-Douglass Neighborhood Association, Inc.	
	Business name/disregarded entity name, if different from above	
	Check appropriate box for federal tax classification: <input type="checkbox"/> Individual/sole proprietor <input type="checkbox"/> C Corporation <input type="checkbox"/> S Corporation <input type="checkbox"/> Partnership <input type="checkbox"/> Trust/estate <input type="checkbox"/> Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=partnership) ▶ _____ <input type="checkbox"/> Other (see instructions) ▶ _____	
	<input checked="" type="checkbox"/> Exempt payee	
Address (number, street, and apt. or suite no.) PO Box 5194		Requester's name and address (optional)
City, state, and ZIP code Louisville, KY 40255		
List account number(s) here (optional)		

Part I Taxpayer Identification Number (TIN)																																																				
Enter your TIN in the appropriate box. The TIN provided must match the name given on the "Name" line to avoid backup withholding. For individuals, this is your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the Part I instructions on page 3. For other entities, it is your employer identification number (EIN). If you do not have a number, see <i>How to get a TIN</i> on page 3.																																																				
Note. If the account is in more than one name, see the chart on page 4 for guidelines on whose number to enter.	<table border="1" style="margin: auto;"> <tr> <td colspan="10" style="text-align: center;">Social security number</td> </tr> <tr> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> </tr> <tr> <td colspan="3"></td> <td style="text-align: center;">-</td> <td colspan="3"></td> <td style="text-align: center;">-</td> <td colspan="3"></td> </tr> </table> <table border="1" style="margin: auto;"> <tr> <td colspan="10" style="text-align: center;">Employer identification number</td> </tr> <tr> <td colspan="10" style="background-color: red; height: 30px;"></td> </tr> </table>	Social security number																							-				-				Employer identification number																			
Social security number																																																				
			-				-																																													
Employer identification number																																																				

Part II Certification	
Under penalties of perjury, I certify that:	
1. 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 2. 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 3. I am a U.S. citizen or other U.S. person (defined below).	
Certification instructions. You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions on page 4.	

Sign Here	Signature of U.S. person ▶	Date ▶
------------------	----------------------------	--------

General Instructions

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

Purpose of Form

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

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

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

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

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

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

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

THE HIGHLANDS-DOUGLASS NEIGHBORHOOD ASSOCIATION, INC.

General Information

Organization Number	0521594
Name	THE HIGHLANDS-DOUGLASS NEIGHBORHOOD ASSOCIATION, INC.
Profit or Non-Profit	N - Non-profit
Company Type	KCO - Kentucky Corporation
Status	A - Active
Standing	G - Good
State	KY
File Date	8/27/2001
Organization Date	8/27/2001
Last Annual Report	5/31/2015
Principal Office	P O BOX 5194 LOUISVILLE, KY 40255-0194
Registered Agent	JOSHUA WHITE 2134 WOODBOURNE AV LOUISVILLE, KY 40205-1912

Current Officers

President	<u>Jay Douds</u>
Vice President	<u>Malinda Durban</u>
Secretary	<u>Sherry Connell</u>
Treasurer	<u>Brandt Ford</u>
Director	<u>Muriel Handmaker</u>
Director	<u>Barbara Dorf</u>
Director	<u>Valerie Desalvo</u>
Director	<u>Meghan Greenwell</u>
Director	<u>Jordan Davis</u>
Director	<u>Erik Siegel</u>
Director	<u>Ed Flynn</u>
Director	<u>Shelly Piquard</u>
Director	<u>Barbara Ford</u>
Director	<u>Ioshua White</u>

Individuals / Entities listed at time of formation

Director	<u>R RAY SCHINDLER</u>
Director	<u>ANNE RINGO SMITH</u>
Director	<u>JOHN TURNER</u>
Director	<u>SALLIE NIEHOFF</u>
Director	<u>ALICE LMCKINLEY</u>
Director	<u>MARY K KORFHAGE</u>

Director	<u>JOEL GWINN</u>
Director	<u>ERNA GWINN</u>
Director	<u>MARY GREENBAUM</u>
Director	<u>CYNTHIA NORTON</u>
Director	<u>JOHN NORTON</u>
Director	<u>ROBERT F PATRICK</u>
Director	<u>KATHLEEN PAYETTE</u>
Director	<u>TOM PAYETTE</u>
Director	<u>MALCOLM ROESSLER</u>
Incorporator	<u>ROBERT F PATRICK</u>

Images available online

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

<u>Annual Report</u>	5/31/2015	1 page	<u>PDF</u>	
<u>Amendment</u>	5/28/2015	3 pages	<u>tiff</u>	<u>PDF</u>
<u>Registered Agent name/address change</u>	5/25/2014 10:11:19 AM	1 page	<u>PDF</u>	
<u>Annual Report</u>	5/25/2014	1 page	<u>PDF</u>	
<u>Annual Report</u>	5/28/2013	1 page	<u>PDF</u>	
<u>Annual Report</u>	5/29/2012	1 page	<u>PDF</u>	
<u>Annual Report</u>	5/6/2011	1 page	<u>PDF</u>	
<u>Annual Report</u>	6/30/2010	1 page	<u>tiff</u>	<u>PDF</u>
<u>Annual Report</u>	7/17/2009	1 page	<u>tiff</u>	<u>PDF</u>
<u>Annual Report</u>	10/16/2008	1 page	<u>PDF</u>	
<u>Annual Report</u>	3/28/2007	1 page	<u>tiff</u>	<u>PDF</u>
<u>Annual Report</u>	5/24/2006	1 page	<u>tiff</u>	<u>PDF</u>
<u>Annual Report</u>	4/21/2005	3 pages	<u>tiff</u>	<u>PDF</u>
<u>Statement of Change</u>	8/27/2003	1 page	<u>tiff</u>	<u>PDF</u>
<u>Annual Report</u>	8/15/2003	3 pages	<u>tiff</u>	<u>PDF</u>
<u>Agent Resignation</u>	8/7/2003	2 pages	<u>tiff</u>	<u>PDF</u>
<u>Principal Office Address Change</u>	1/14/2003	1 page	<u>tiff</u>	<u>PDF</u>
<u>Annual Report</u>	12/13/2002	1 page	<u>tiff</u>	<u>PDF</u>
<u>Articles of Incorporation</u>	8/27/2001	8 pages	<u>tiff</u>	<u>PDF</u>

Assumed Names

Activity History

Filing	File Date	Effective Date	Org. Referenced
Annual report	5/31/2015 10:56:09 PM	5/31/2015 10:56:09 PM	
Amendment - Miscellaneous amendments	5/28/2015 3:39:44 PM	5/28/2015	
Annual report	5/25/2014 11:10:33 AM	5/25/2014 11:10:33 AM	
Registered agent address change	5/25/2014 10:11:19 AM	5/25/2014 10:11:19 AM	

