

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

**Applicant/Program:** Tyler Park Neighborhood Association  
**Applicant Requested Amount:** 500  
**Appropriation Request Amount:** 500

**Executive Summary of Request**  
500 to help with expenses related to the Tyler Park Jazz Festival, a free event which is open to the public.

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.

8  
District #

[Signature]  
Primary Sponsor Signature

500.00  
Amount

7.24.17  
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

Final Appropriations Amount: \_\_\_\_\_

**LOUISVILLE METRO COUNCIL  
NEIGHBORHOOD DEVELOPMENT FUND APPLICATION**

<b>Legal Name of Applicant Organization</b> Tyler Park Neighborhood Association	
<b>Program Name and Request Amount</b> Tyler Park Jazz Festival, \$500	
	<b>Yes/No/NA</b>
Is the NDF Transmittal Sheet Signed by all Council Member(s) Appropriating Funding?	Yes <input type="checkbox"/>
Is the funding proposed by Council Member(s) less than or equal to the request amount?	Yes <input type="checkbox"/>
Is the proposed public purpose of the program viable and well-documented?	Yes <input type="checkbox"/>
Will all of the funding go to programs specific to Louisville/Jefferson County?	Yes <input type="checkbox"/>
Has Council or Staff relationship to the Agency been adequately disclosed on the cover sheet?	Yes <input type="checkbox"/>
Has prior Metro Funds committed/granted been disclosed?	Yes <input type="checkbox"/>
Is the application properly signed and dated by authorized signatory?	Yes <input type="checkbox"/>
Is proof of Tax Exempt status of 501(c) 3, 4, 6, 19, 1120-H included?	Yes <input type="checkbox"/>
If Metro funding is for a separate taxing district is the funding appropriated for a program outside the legal responsibility of that taxing district?	N/A <input type="checkbox"/>
Is the entity in good standing with: <ul style="list-style-type: none"> <li>▶ Kentucky Secretary of State?</li> <li>▶ Louisville Metro Revenue Commission?</li> <li>▶ Louisville Metro Government?</li> <li>▶ Internal Revenue Service?</li> <li>▶ Louisville Metro Human Relations Commission?</li> </ul>	Yes <input type="checkbox"/>
Is the current Fiscal Year Budget included?	Yes <input type="checkbox"/>
Is the entity's board member list (with term length/term limits) included?	Yes <input type="checkbox"/>
Is recommended funding less than 33% of total agency operating budget?	Yes <input type="checkbox"/>
Does the application budget reflect only the revenue and expenses of the project/program?	Yes <input type="checkbox"/>
Is the cost estimate(s) from proposed vendor (if request is for capital expense) included?	N/A <input type="checkbox"/>
Is the most recent annual audit (if required by organization) included?	N/A <input type="checkbox"/>
Is a copy of Signed Lease (if rent costs are requested) included?	N/A <input type="checkbox"/>
Is the Supplemental Questionnaire for churches/religious organizations (if requesting organization is faith-based) included?	N/A <input type="checkbox"/>
Are the Articles of Incorporation of the Agency included?	Yes <input type="checkbox"/>
Is the IRS Form W-9 included?	... <input type="checkbox"/>
Is the IRS Form 990 included?	Yes <input type="checkbox"/>
Are the evaluation forms (if program participants are given evaluation forms) included?	N/A <input type="checkbox"/>
Affirmative Action/Equal Employment Opportunity plan and/or policy statement included (if required to do so)?	N/A <input type="checkbox"/>
Has the Agency agreed to participate in the BBB Charity review program? If so, has the applicant met the BBB Charity Review Standards?	N/A <input type="checkbox"/>
Prepared by: Jasmine Masterson	Date: 8.24.17

## TYLER PARK NEIGHBORHOOD ASSOCIATION, INC.

### General Information

<b>Organization Number</b>	0052883
<b>Name</b>	TYLER PARK NEIGHBORHOOD ASSOCIATION, INC.
<b>Profit or Non-Profit</b>	N - Non-profit
<b>Company Type</b>	KCO - Kentucky Corporation
<b>Status</b>	A - Active
<b>Standing</b>	G - Good
<b>State</b>	KY
<b>File Date</b>	5/1/1974
<b>Organization Date</b>	5/1/1974
<b>Last Annual Report</b>	5/4/2017
<b>Principal Office</b>	P. O. BOX 4452 LOUISVILLE, KY 40204
<b>Registered Agent</b>	KRISTEN MILLWOOD 1612 BEECHWOOD AVENUE LOUISVILLE, KY 40204

### Current Officers

<b>President</b>	<u>Kristen Millwood</u>
<b>Vice President</b>	<u>Brian Caudill</u>
<b>Vice President</b>	<u>Ken Baker</u>
<b>Secretary</b>	<u>Janet Dakan</u>
<b>Treasurer</b>	<u>Manny Carralero</u>
<b>Director</b>	<u>Mike Gramig</u>
<b>Director</b>	<u>Ray Brundige</u>
<b>Director</b>	<u>Stan Esterle</u>
<b>Director</b>	<u>Denis Hommich</u>
<b>Director</b>	<u>JoAnn Mosier</u>
<b>Director</b>	<u>Kristen Millwood</u>
<b>Director</b>	<u>Chip Nold</u>
<b>Director</b>	<u>Jo Shipley</u>
<b>Director</b>	<u>Doug Thrasher</u>
<b>Director</b>	<u>Rebecca Watson</u>
<b>Director</b>	<u>Jeanette Westbrook</u>
<b>Director</b>	<u>Clark Cox</u>
<b>Director</b>	<u>Shawn Reilly</u>
<b>Director</b>	<u>Stephanie Callen</u>

### Individuals / Entities listed at time of formation

<b>Director</b>	<u>JOHN V ENGLERT</u>
<b>Director</b>	<u>STAN ESTERLE</u>

**Director** CATHY BAILEY  
**Director** JAMES OWENS  
**Incorporator** JOHN V ENGLERT

## 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>Amended and Restated Articles</u>	5/9/2017	5 pages	<u>tiff</u>	<u>PDF</u>
<u>Annual Report</u>	5/4/2017	1 page	<u>PDF</u>	
<u>Registered Agent name/address change</u>	6/28/2016 6:13:33 PM	1 page	<u>PDF</u>	
<u>Annual Report</u>	6/28/2016	1 page	<u>PDF</u>	
<u>Annual Report</u>	6/30/2015	1 page	<u>PDF</u>	
<u>Annual Report</u>	6/21/2014	1 page	<u>PDF</u>	
<u>Registered Agent name/address change</u>	2/10/2013 4:27:23 PM	1 page	<u>PDF</u>	
<u>Annual Report</u>	2/10/2013	1 page	<u>PDF</u>	
<u>Annual Report</u>	5/1/2012	1 page	<u>tiff</u>	<u>PDF</u>
<u>Annual Report</u>	3/24/2011	1 page	<u>PDF</u>	
<u>Annual Report</u>	9/5/2010	1 page	<u>PDF</u>	
<u>Annual Report</u>	6/29/2009	1 page	<u>PDF</u>	
<u>Registered Agent name/address change</u>	5/6/2008	1 page	<u>tiff</u>	<u>PDF</u>
<u>Annual Report</u>	4/2/2008	1 page	<u>tiff</u>	<u>PDF</u>
<u>Annual Report</u>	1/19/2007	1 page	<u>tiff</u>	<u>PDF</u>
<u>Annual Report</u>	6/28/2006	1 page	<u>PDF</u>	
<u>Annual Report</u>	6/29/2005	1 page	<u>PDF</u>	
<u>Annual Report</u>	4/3/2004	1 page	<u>tiff</u>	<u>PDF</u>
<u>Annual Report</u>	10/30/2003	1 page	<u>tiff</u>	<u>PDF</u>
<u>Annual Report</u>	6/10/2002	1 page	<u>tiff</u>	<u>PDF</u>
<u>Annual Report</u>	7/23/2001	1 page	<u>tiff</u>	<u>PDF</u>
<u>Annual Report</u>	7/20/2000	1 page	<u>tiff</u>	<u>PDF</u>
<u>Annual Report</u>	12/9/1999	2 pages	<u>tiff</u>	<u>PDF</u>
<u>Statement of Change</u>	10/13/1999	2 pages	<u>tiff</u>	<u>PDF</u>
<u>Reinstatement</u>	10/13/1999	2 pages	<u>tiff</u>	<u>PDF</u>
<u>Administrative Dissolution</u>	11/1/1994	1 page	<u>tiff</u>	<u>PDF</u>
<u>Annual Report</u>	7/1/1994	1 page	<u>tiff</u>	<u>PDF</u>
<u>Annual Report</u>	7/1/1993	1 page	<u>tiff</u>	<u>PDF</u>
<u>Annual Report</u>	7/1/1992	1 page	<u>tiff</u>	<u>PDF</u>
<u>Annual Report</u>	7/1/1991	1 page	<u>tiff</u>	<u>PDF</u>
<u>Annual Report</u>	7/1/1990	3 pages	<u>tiff</u>	<u>PDF</u>
<u>Annual Report</u>	7/1/1989	1 page	<u>tiff</u>	<u>PDF</u>
<u>Letters</u>	4/26/1988	2 pages	<u>tiff</u>	<u>PDF</u>
<u>Reinstatement</u>	4/22/1988	1 page	<u>tiff</u>	<u>PDF</u>
<u>Statement of Change</u>	4/22/1988	1 page	<u>tiff</u>	<u>PDF</u>
<u>Amendment</u>	4/22/1988	7 pages	<u>tiff</u>	<u>PDF</u>
<u>Revocation of Certificate of Authority</u>	3/15/1987	2 pages	<u>tiff</u>	<u>PDF</u>

<u>Six Month Notice</u>	9/1/1986	1 page	<u>tiff</u>	<u>PDF</u>
<u>Statement of Change</u>	7/29/1985	1 page	<u>tiff</u>	<u>PDF</u>
<u>Statement of Change</u>	7/29/1985	1 page	<u>tiff</u>	<u>PDF</u>
<u>Annual Report</u>	6/30/1982	1 page	<u>tiff</u>	<u>PDF</u>
<u>Annual Report</u>	6/30/1981	1 page	<u>tiff</u>	<u>PDF</u>
<u>Statement of Change</u>	9/10/1980	2 pages	<u>tiff</u>	<u>PDF</u>
<u>Statement of Change</u>	9/10/1980	2 pages	<u>tiff</u>	<u>PDF</u>
<u>Annual Report</u>	7/1/1976	1 page	<u>tiff</u>	<u>PDF</u>
<u>Annual Report</u>	7/1/1976	4 pages	<u>tiff</u>	<u>PDF</u>
<u>Articles of Incorporation</u>	5/1/1974	4 pages	<u>tiff</u>	<u>PDF</u>
<u>Articles of Incorporation</u>	5/1/1974	4 pages	<u>tiff</u>	<u>PDF</u>

## Assumed Names

## Activity History

Filing	File Date	Effective Date	Org. Referenced
Amendment - Amended and restated articles / CLP	5/9/2017 12:52:39 PM	5/9/2017	
Annual report	5/4/2017 9:52:24 AM	5/4/2017 9:52:24 AM	
Annual report	6/28/2016 6:33:12 PM	6/28/2016 6:33:12 PM	
Registered agent address change	6/28/2016 6:13:33 PM	6/28/2016 6:13:33 PM	
Annual report	6/30/2015 12:41:47 PM	6/30/2015 12:41:47 PM	
Annual report	6/21/2014 11:26:12 AM	6/21/2014 11:26:12 AM	
Annual report	2/10/2013 4:31:56 PM	2/10/2013 4:31:56 PM	
Registered agent address change	2/10/2013 4:27:23 PM	2/10/2013 4:27:23 PM	
Annual report	5/1/2012 2:28:24 PM	5/1/2012	
Annual report	3/24/2011 1:14:23 PM	3/24/2011 1:14:23 PM	
Annual report	9/5/2010 10:55:47 AM	9/5/2010 10:55:47 AM	
Annual report	6/29/2009 1:51:17 PM	6/29/2009 1:51:17 PM	
Registered agent address change	5/6/2008 2:40:54 PM	5/6/2008	
Annual report	4/2/2008 8:11:08 AM	4/2/2008	
Annual report	1/19/2007 3:40:30 PM	1/19/2007	
Annual report	6/28/2006 11:08:04 PM	6/28/2006 11:08:04 PM	
Annual report	6/29/2005	6/29/2005	
Reinstatement	10/13/1999	10/13/1999	
Registered agent address change	10/13/1999	10/13/1999	

Admin Dis. A. report not in	11/1/1994	11/1/1994
Amendment - Miscellaneous amendments	4/22/1988	4/22/1988

## Microfilmed Images

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

Annual Report	5/5/2004	1 page
Annual Report	10/30/2003	1 page
Annual Report	6/10/2002	1 page
Annual Report	7/23/2001	1 page
Annual Report	7/20/2000	1 page
Annual Report	12/9/1999	2 pages
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Annual Report	7/1/1994	1 page
Annual Report	7/1/1993	1 page
Annual Report	7/1/1992	1 page
Annual Report	7/1/1991	1 page
Annual Report	7/1/1990	3 pages
Annual Report	7/1/1989	1 page
Amendment	4/22/1988	7 pages
Statement of Change	4/22/1988	1 page
Reinstatement	4/22/1988	1 page
Revocation of Certificate of Authority	3/15/1987	2 pages
Six Month Notice	9/1/1986	1 page
Statement of Change	7/29/1985	1 page
Statement of Change	9/10/1980	2 pages
Annual Report	7/1/1976	4 pages
Articles of Incorporation	5/1/1974	3 pages

LOUISVILLE METRO COUNCIL NEIGHBORHOOD DEVELOPMENT FUND APPLICATION

SECTION 1 - APPLICANT INFORMATION			
Legal Name of Applicant Organization: Tyler Park Neighborhood Association <i>(as listed on: <a href="http://www.sas.ky.gov/business/records">http://www.sas.ky.gov/business/records</a>)</i>			
Main Office Street & Mailing Address: P.O.Box 4452, Louisville Ky. 40204			
Website: WWW Tylerpark.org			
Applicant Contact:	Brian Caudill + Kristen Millwood	Title:	Vice Pres. & Chair Jazz Committee
Phone:	502 439 8030 (502) 281-7635	Email:	brian.Caudill@att.net
Financial Contact:	Manny Carralero	Title:	Treasurer
Phone:	502 451 5198	Email:	manuel.carralero@yahoo.com
Organization's Representative who attended NDF Training: CD Thrasher and others			
GEOGRAPHICAL AREA(S) WHERE PROGRAM ACTIVITIES ARE (WILL BE) PROVIDED			
Program Facility Location(s):	Tyler Park		
Council District(s):	8	Zip Code(s):	40204
SECTION 2 - PROGRAM REQUEST & FINANCIAL INFORMATION			
PROGRAM/PROJECT NAME: Tyler Park Jazz Festival			
Total Request: (\$)	500	Total Metro Award (this program) in previous year: (\$)	\$500
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:			
IRS Exempt Status Determination Letter	Signed lease if rent costs are being requested		
Current year projected budget	IRS Form W9		
Current financial statement	Evaluation forms if used in the proposed program		
Most recent IRS Form 990 or 1120-H	Annual audit (if required by organization)		
Articles of Incorporation (current & signed)	Faith Based Organization Certification Form, if applicable		
Cost estimates from proposed vendor if request is for capital expense			
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:	none	Amount: (\$)	
Source:		Amount: (\$)	
Source:		Amount: (\$)	
Has the applicant contacted the BBB Charity Review for participation? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
Has the applicant met the BBB Charity Review Standards? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			

**LOUISVILLE METRO COUNCIL NEIGHBORHOOD DEVELOPMENT FUND APPLICATION**

**SECTION 3 – AGENCY DETAILS**

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

The Tyler Park Neighborhood Association (TPNA) is a voluntary action group of members who reside in the Tyler Park Neighborhood. The general purposes of the TPNA are to:

- disseminating information concerning the the neighborhood to members of TPNA and other residents
- encouraging the maintenance and beautification of Tyler Park and the streets and open areas of the neighborhood
- organizing social events for the TPNA members and other residents including annual festivals in Tyler Park





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.):**

The Tyler Park Neighborhood Association organizes these events:  
as a community service,  
to build a sense of neighborhood community and awareness.  
and to foster appreciation of Tyler Park.

TPNA organizes a series of 3 Jazz concerts that are open to all residents of Louisville for no charge. These concerts employ live musicians, playing outdoors in Tyler Park on the last 3 Sundays in September. Residents are encouraged to bring lawn chairs blankets etc to enjoy the music on the big lawn in Tyler Park. Local musicians are employed including the U of L Jazz Band.

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

The Funding will be used to help defray the rental fees for the picnic shelter which is used as a covered space for the concert musicians.

## LOUISVILLE METRO COUNCIL NEIGHBORHOOD DEVELOPMENT FUND APPLICATION

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

This event 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.

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:

Providing free cultural programming to the public and bringing a good use to, and engendering love of, Tyler Park.

We take photos and videos of the concert, attendees, and the myriad of activities going on in Tyler Park during these concerts.

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

We fundraise and advertise in the Tyler Park neighborhood and are supported by local businesses.

**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
<b>A: Personnel Costs Including Benefits</b>			0
<b>B: Rent/Utilities</b>	500	647.50	1147.50
<b>C: Office Supplies</b>			0
<b>D: Telephone</b>			0
<b>E: In-town Travel</b>			0
<b>F: Client Assistance (See Detailed List on Page 8)</b>			0
<b>G: Professional Service Contracts</b>		2090.00	2090.00
<b>H: Program Materials</b>		650.00	650.00
<b>I: Community Events &amp; Festivals (See Detailed List on Page 8)</b>			
<b>J: Machinery &amp; Equipment</b>		250.00	250.00
<b>K: Capital Project</b>			
<b>L: Other Expenses (See Detailed List on Page 8)</b>		622.98	622.98
<b>*TOTAL PROGRAM/PROJECT FUNDS</b>	10.5	89.5	4760.48
Total Program/Project Budget	%	%	<b>100%</b>

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)	\$2050
Fees Collected from Program Participants	0
Other (please specify)	\$1440

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

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

**LOUISVILLE METRO COUNCIL NEIGHBORHOOD DEVELOPMENT FUND APPLICATION**

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
Musicians	0	2,090	2,090
Park Fees to metro parks	500	647.5	1,147.5
Event Insurance		397.98	397.98
Security person		225	225
Sound System		250	250
T shirts		500	500
Other such as raffle tickets, signs for raffle		150	150
<b>Total</b>	500	4,260.98	4,760.98

**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
<i>Many in-kind raffle donors</i>		
<p align="center"><i>Total Value of In-Kind</i>                      (to match Program Budget Line Item.                      Volunteer Contribution &amp; 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: *July*

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 (cancelled 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.

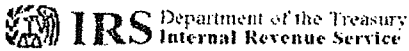
**Relationship Disclosure:** List below any relationship you or any member of your Board of Directors or employees has with any Councilperson, Councilperson's family, Councilperson's staff or any Louisville Metro Government employee.

**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:		Date:	8/10/17
Legal Signatory: (please print):	Kristen Millwood	Title:	President
Phone: (502) 287-7035	Extension:	Email:	kristennicolee@lmta.gov





Department of the Treasury  
Internal Revenue Service

P.O. Box 2508  
Cincinnati OH 45201

In reply refer to: 0248667584

Oct. 13, 2010 LTR 4168C E0

000000 00

00013563

BODC: TE

TYLER PARK NEIGHBORHOOD ASSOCIATION  
PO BOX 4452  
LOUISVILLE KY 40204-0452

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

Dear Taxpayer:

This is in response to your Oct. 01, 2010, request for information regarding your tax-exempt status.

Our records indicate that you were recognized as exempt under section 501(c)(4) of the Internal Revenue Code in a determination letter issued in April 1981.

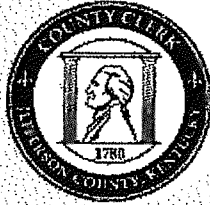
Because you are not an organization described in section 170(c) of the Code, donors may not deduct contributions made to you. You should advise your contributors to that effect.

Please refer to our website [www.irs.gov/eo](http://www.irs.gov/eo) for information regarding filing requirements. Specifically, section 6032(j) of the Code provides that failure to file an annual information return for three consecutive years results in revocation of tax-exempt status as of the filing due date of the third return for organizations required to file.

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

Sincerely yours,

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



**Bobbie Holsclaw**  
Jefferson County Clerk's Office

As evidenced by the instrument number shown below, this document  
has been recorded as a permanent record in the archives of the  
Jefferson County Clerk's Office.



**INST # 2017123755**

**BATCH # 78554**

**JEFFERSON CO, KY FEE \$17.00**

PRESENTED ON: 05-31-2017 7 02:19:15 PM

LODGED BY: TYLER PARK NEIGHBORHOOD ASSOCIATION INC

RECORDED: 05-31-2017 02:19:15 PM

BOBBIE HOLSCRAW

CLERK

BY: YOLANDA LOGAN

RECORDING CLERK

**BK: C 747**

**PG: 509-514**

527 W Jefferson St ~ Louisville, KY 40202 (502) 574-5700

Website: [www.jeffersoncountyclerk.org](http://www.jeffersoncountyclerk.org) | Email: [countyclerk@jeffersoncountyclerk.org](mailto:countyclerk@jeffersoncountyclerk.org)

0052883.09

amcray  
AMD

Alison Lundergan Grimes  
Kentucky Secretary of State  
Received and Filed:  
5/9/2017 12:52 PM  
Fee Receipt: \$16.00

**AMENDED AND RESTATED ARTICLES OF INCORPORATION  
OF**

**TYLER PARK NEIGHBORHOOD ASSOCIATION, INC.**

THE UNDERSIGNED, duly elected secretary of Tyler Park Neighborhood Association, Inc., hereby certifies that said corporation is a non-stock, non-profit corporation incorporated on May 1, 1974 under the laws of the Commonwealth of Kentucky, and, more particularly, Chapter 273 of the Kentucky Revised Statutes.

I further certify that Articles IV and V and VII through XIII through incorporate amendments to the Articles of Incorporation (as heretofore amended) and that they supersede said Articles of Incorporation.

I further certify that the following Restated Articles of Incorporation were adopted at a meeting of the members of the corporation entitled to vote thereon held on October 27, 2016, that a quorum was present, and that said Articles received at least 2/3 of the votes cast.

**ARTICLE I**

The name of the Corporation is:

Tyler Park Neighborhood Association, Inc.

**ARTICLE II**

The duration of the Corporation shall be perpetual.

**ARTICLE III**

For the purposes of these Articles of Incorporation and of any By-laws that may be promulgated under them, the following terms are specially defined:

- a) "Tyler Park" shall mean the park area bounded by Tyler Park Drive, Edenside Drive, and Castlewood Avenue in the City of Louisville.
- b) "Tyler Park Neighborhood" or "Neighborhood" shall mean the area in the City of Louisville surrounding Tyler Park and within the boundaries specified in the bylaws.

#### **ARTICLE IV**

The Corporation is organized and shall be operated exclusively for the promotion of social welfare within the meaning of Section 501(c)(4) of the Internal Revenue Code of 1954 (or corresponding provisions of any later Federal tax laws), including for such purposes the making of distributions to organizations and individuals for the purpose of engaging in activity falling within the purposes of the Corporation and permitted for an organization exempt under said Section 501(c)(4).

The purposes of the Corporation shall be more specifically stated as including the following:

- (a) disseminating information concerning the Neighborhood to members of the Corporation and other Neighborhood residents;
- (b) encouraging the maintenance and beautification of Tyler Park and of the streets and open areas in the Neighborhood;
- (c) encouraging responsible and civic behavior by businesses located in the neighborhood;
- (d) organizing social events for the Corporation's members and other Neighborhood residents;
- (e) cooperating with other neighborhoods, governmental units or agencies, churches, charitable organizations, and other entities on projects or programs that may benefit the Corporation's members or other Neighborhood residents;
- (f) raising funds to effectuate the above purposes; and
- (g) engaging on other activities that promote social welfare consistent with these purposes.

#### **ARTICLE V**

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

## ARTICLE VI

The members of the Corporation shall be:

- (a) those individuals over the age of 18 who reside in a household in Tyler Park Neighborhood whose membership dues are paid for the current year;
- (b) those persons who own real property in Tyler Park Neighborhood who have paid their membership dues for the current year; and
- (c) those businesses operating within Tyler Park Neighborhood which have paid their membership dues for the current year.

The Board of Directors shall set the amount of dues which shall be payable by resident, real property owners and businesses (which may vary among groups).

## ARTICLE VII

The principal office of the Corporation is located at:

P.O. Box 4452  
Louisville, KY 40204

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

## ARTICLE VIII

In carrying out the corporate purposes described in Article IV, the Corporation shall have all the powers granted by the laws of the State of Kentucky, including in particular those listed in KRS. 273.171 Kentucky Statutes, except as follows and as otherwise stated in these Articles.

Notwithstanding any other provision of these Articles, the Corporation shall not carry on any other activities not permitted to be carried on by a corporation exempt from Federal income tax under Section 501(c)(4) of the Internal Revenue Code of 1954, or the corresponding provisions of any subsequent Federal tax laws.

## ARTICLE IX

The Corporation shall be governed by the bylaws currently in effect, as they may in the future from time to time be amended.

Any director may be removed by vote of the board of directors, acting in accordance with the bylaws, whenever in the board's sole judgment the best interests of

the Corporation would be served thereby. Any director subject to removal shall be given prior notice of the proposed removal and an opportunity to object prior to the vote of the board.

#### **ARTICLE X**

A director, officer, employee or member of the Corporation shall not be personally liable for the acts or debts of the Corporation, except insofar as the member may become personally liable by reason of his or her own acts or conduct pursuant to KRS 273.187 (or corresponding provision of any later Kentucky statute).

No director of the Corporation shall be held personally liable to the corporation for monetary damages for breach of his or her duties as a director, except for under the following circumstances:

- (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 derived an improper personal benefit.

#### **ARTICLE XI**

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

#### **ARTICLE XII**

In the event of dissolution of the Corporation, the Board of Directors shall, after paying or making provision for the payment of all liabilities of the Corporation, dispose of all assets of the Corporation exclusively for the purposes of the Corporation, in such manner, or to such organizations organized and operated exclusively for charitable or educational purposes as shall at the time qualify as an exempt organization under Section 501(c)(4) or Section 501(c)(3) of the Internal Revenue Code (or corresponding

provisions of any later Federal tax laws), or to a state or local government for a public purpose as the Board of Directors shall determine.

**ARTICLE XIII**

Amendments to these Articles shall be made by the Board of Directors pursuant to the provisions of KRS 273.263 (or corresponding provision of any later State statute).

IN TESTIMONY WHEREOF, witness the signature of the secretary of this Corporation this 27<sup>th</sup> day of October, 2016.

  
\_\_\_\_\_  
Janet Dakan, Secretary

Tyler Park Jazz Festival  
2017 Budget

Beginning cash balance: \$2,481.76

Receipts:

Donations:

Metro Council grant 500.00

\$500 grants:

Back Door 500.00

TPNA 500.00

Jazz Society 500.00

Other:

Jamey Aebersold 300.00

Yoga on Baxter 150.00

Farleigh 100.00

Total Donations 2,550.00

Raffles and T-shirt sales 1,440.00

Total Receipts \$ 3,990.00

Expenses

Musicians:

9/3/2017 (Labor Day)

9/10/2017 Jamey Aebersold 595.00

9/17/2017 U of L Jazz Ensemble with Anne Drummond 900.00

9/24/2017 Bruno Median Pegoraro 595.00

Total Musicians 2,090.00

Park Fees 1,147.50

Insurance 397.98

Other Expense:

Sound System 250.00

Security 225.00

Yard signs 0.00

Flyers 0.00

T shirts 500.00

Other 150.00

Total Other 1,125.00

Total Expenses \$4,760.48

Ending Balance \$ 1,711.28



**Caudill, Brian L**

---

**From:** Brian Caudill [brian.caudill@att.net]  
**Sent:** Tuesday, February 02, 2016 12:45 PM  
**To:** Caudill, Brian L  
**Subject:** Fwd: Form 990-N E-filing Receipt - IRS Status: Accepted

Begin forwarded message:

**From:** <epostcard@urban.org>  
**Subject:** **Form 990-N E-filing Receipt - IRS Status: Accepted**  
**Date:** February 2, 2016 at 12:41:00 PM EST  
**To:** <brian.caudill@att.net>

Organization: TYLER PARK NEIGHBORHOOD ASSOCIATION  
EIN: 61-0936958  
Submission Type: Form 990-N  
Year: 2014  
Submission ID: 7800582016033cp12174  
e-File Postmark: 2/2/2016 12:35:05 PM  
Accepted Date: 2/2/2016

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

Thank you for filing.

-----  
e-Postcard technical support  
Phone: 866-255-0654 (toll free)  
email: ePostcard@urban.org  
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TYLER PARK NEIGHBORHOOD ASSOCIATION  
PO Box 4452  
Louisville, KY 40204


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

## Control Panel

TYLER PARK NEIGHBORHOOD ASSOCIATION						
Click on the <i>Action</i> to the right of the filing you want to access.						
Tax Year	Start Date	End Date	Created On	IRS Form	Status	Action
2014	9/1/2014	8/31/2015	02/02/2016	990N	Accepted	<a href="#">View</a>
2013	9/1/2013	8/31/2014	01/29/2015	990N	Accepted	<a href="#">View</a>
2012	9/1/2012	8/31/2013	02/27/2014	990N	Accepted	<a href="#">View</a>
2011	9/1/2011	8/31/2012	02/08/2013	990N	Accepted	<a href="#">View</a>
2010	9/1/2010	8/31/2011	01/30/2012	990N	Accepted	<a href="#">View</a>
2009	9/1/2009	8/31/2010	01/13/2011	990N	Accepted	<a href="#">View</a>
2008	9/1/2008	8/31/2009	05/17/2010	990N	Accepted	<a href="#">View</a>

[Create a New Filing](#)

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

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

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

Last modified: December 31, 2015.

# 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 9/1/2014, and ending 8/31/2015.

B Check if applicable  
 Terminated, Out of Business

Gross receipts are normally \$50,000 or less

C Name of organization: TYLER PARK NEIGHBORHOOD ASSOCIATION  
d/b/a:

PO Box 4452  
Louisville, KY, US, 40204

D Employer Identification Number



F Name of Principal Officer: Brian L Caudill

E Website:

1647 Beechwood Avenue  
Louisville, KY, US, 40204

**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 2/2/2016.

**Request for Taxpayer  
 Identification Number and Certification**

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

1 Name (as shown on your income tax return). Name is required on this line; do not leave this line blank.  
*Tyler Park Neighborhood Association, Inc.*

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

3 Check appropriate box for federal tax classification; check only one of the following seven boxes:  
 Individual/sole proprietor or single-member LLC  
 Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=partnership) ▶ \_\_\_\_\_  
 Note. For a single-member LLC that is disregarded, do not check LLC; check the appropriate box in the line above for the tax classification of the single-member owner.  
 Other (see instructions) ▶ \_\_\_\_\_  
 C Corporation  
 S Corporation  
 Partnership  
 Trust/estate

4 Exemptions (codes apply only to certain entities, not individuals; see instructions on page 3):  
 Exempt payee code (if any) \_\_\_\_\_  
 Exemption from FATCA reporting code (if any) \_\_\_\_\_  
*(Applies to accounts maintained outside the U.S.)*

5 Address (number, street, and apt. or suite no.)  
*P.O. Box 4452*

6 City, state, and ZIP code  
*Louisville KY 40204*

7 List account number(s) here (optional)

Requester's name and address (optional)

**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 Part I instructions on page 3. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN* on page 3.

Note. If the account is in more than one name, see the instructions for line 1 and the chart on page 4 for guidelines on whose number to enter.

**Social security number**

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

or

**Employer identification number**

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

**Part II Certification**

Under penalties of perjury, I certify that:

- The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me); and
- I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding; and
- I am a U.S. citizen or other U.S. person (defined below); 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 on page 3.

**Sign Here** Signature of U.S. person ▶ *[Signature]*

Date ▶ *8/30/17*

**General Instructions**

Section references are to the Internal Revenue Code unless otherwise noted.  
**Future developments.** Information about developments affecting Form W-9 (such as legislation enacted after we release it) is at [www.irs.gov/fw9](http://www.irs.gov/fw9).

**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?* on page 2.
- By signing the filled-out form, you:
1. Certify that the TIN you are giving is correct (or you are waiting for a number to be issued).
  2. Certify that you are not subject to backup withholding, or
  3. 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, and
  4. Certify that FATCA code(s) entered on this form (if any) indicating that you are exempt from the FATCA reporting, is correct. See *What is FATCA reporting?* on page 2 for further information.

**Note.** If you are a U.S. person and 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 under section 1446 on any foreign partners' share of effectively connected taxable income from such business. Further, in certain cases where a Form W-9 has not been received, the rules under section 1446 require a partnership to presume that a partner is a foreign person, and pay the section 1446 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 section 1446 withholding on your share of partnership income.

In the cases below, the following person must give Form W-9 to the partnership for purposes of establishing its U.S. status and avoiding withholding on its allocable share of net income from the partnership conducting a trade or business in the United States:

- In the case of a disregarded entity with a U.S. owner, the U.S. owner of the disregarded entity and not the entity;
- In the case of a grantor trust with a U.S. grantor or other U.S. owner, generally, the U.S. grantor or other U.S. owner of the grantor trust and not the trust; and
- In the case of a U.S. trust (other than a grantor trust), the U.S. trust (other than a grantor trust) and not the beneficiaries of the trust.

**Foreign person.** If you are a foreign person or the U.S. branch of a foreign bank that has elected to be treated as a U.S. person, do not use Form W-9. Instead, use the appropriate Form W-8 or Form 8233 (see Publication 515, Withholding of Tax on Nonresident Aliens and Foreign Entities).

**Nonresident alien who becomes a resident alien.** Generally, only a nonresident alien individual may use the terms of a tax treaty to reduce or eliminate U.S. tax on certain types of income. However, most tax treaties contain a provision known as a "saving clause." Exceptions specified in the saving clause may permit an exemption from tax to continue for certain types of income even after the payee has otherwise become a U.S. resident alien for tax purposes.

If you are a U.S. resident alien who is relying on an exception contained in the saving clause of a tax treaty to claim an exemption from U.S. tax on certain types of income, you must attach a statement to Form W-9 that specifies the following five items:

1. The treaty country. Generally, this must be the same treaty under which you claimed exemption from tax as a nonresident alien.
2. The treaty article addressing the income.
3. The article number (or location) in the tax treaty that contains the saving clause and its exceptions.
4. The type and amount of income that qualifies for the exemption from tax.
5. Sufficient facts to justify the exemption from tax under the terms of the treaty article.

**Example.** Article 20 of the U.S.-China income tax treaty allows an exemption from tax for scholarship income received by a Chinese student temporarily present in the United States. Under U.S. law, this student will become a resident alien for tax purposes if his or her stay in the United States exceeds 5 calendar years. However, paragraph 2 of the first Protocol to the U.S.-China treaty (dated April 30, 1984) allows the provisions of Article 20 to continue to apply even after the Chinese student becomes a resident alien of the United States. A Chinese student who qualifies for this exception (under paragraph 2 of the first protocol) and is relying on this exception to claim an exemption from tax on his or her scholarship or fellowship income would attach to Form W-9 a statement that includes the information described above to support that exemption.

If you are a nonresident alien or a foreign entity, give the requester the appropriate completed Form W-8 or Form 8233.

## Backup Withholding

**What is backup withholding?** Persons making certain payments to you must under certain conditions withhold and pay to the IRS 28% of such payments. This is called "backup withholding." Payments that may be subject to backup withholding include interest, tax-exempt interest, dividends, broker and barter exchange transactions, rents, royalties, nonemployee pay, payments made in settlement of payment card and third party network transactions, and certain payments from fishing boat operators. Real estate transactions are not subject to backup withholding.

You will not be subject to backup withholding on payments you receive if you give the requester your correct TIN, make the proper certifications, and report all your taxable interest and dividends on your tax return.

**Payments you receive will be subject to backup withholding if:**

1. You do not furnish your TIN to the requester,
2. You do not certify your TIN when required (see the Part II instructions on page 3 for details),

3. The IRS tells the requester that you furnished an incorrect TIN,

4. The IRS tells you that you are subject to backup withholding because you did not report all your interest and dividends on your tax return (for reportable interest and dividends only), or

5. You do not certify to the requester that you are not subject to backup withholding under 4 above (for reportable interest and dividend accounts opened after 1983 only).

Certain payees and payments are exempt from backup withholding. See *Exempt payee code* on page 3 and the separate instructions for the Requester of Form W-9 for more information.

Also see *Special rules for partnerships* above.

## What is FATCA reporting?

The Foreign Account Tax Compliance Act (FATCA) requires a participating foreign financial institution to report all United States account holders that are specified United States persons. Certain payees are exempt from FATCA reporting. See *Exemption from FATCA reporting code* on page 3 and the instructions for the Requester of Form W-9 for more information.

## Updating Your Information

You must provide updated information to any person to whom you claimed to be an exempt payee if you are no longer an exempt payee and anticipate receiving reportable payments in the future from this person. For example, you may need to provide updated information if you are a C corporation that elects to be an S corporation, or if you no longer are tax exempt. In addition, you must furnish a new Form W-9 if the name or TIN changes for the account; for example, if the grantor of a grantor trust dies.

## Penalties

**Failure to furnish TIN.** If you fail to furnish your correct TIN to a requester, you are subject to a penalty of \$50 for each such failure unless your failure is due to reasonable cause and not to willful neglect.

**Civil penalty for false information with respect to withholding.** If you make a false statement with no reasonable basis that results in no backup withholding, you are subject to a \$500 penalty.

**Criminal penalty for falsifying information.** Willfully falsifying certifications or affirmations may subject you to criminal penalties including fines and/or imprisonment.

**Misuse of TINs.** If the requester discloses or uses TINs in violation of federal law, the requester may be subject to civil and criminal penalties.

## Specific Instructions

### Line 1

You must enter one of the following on this line; do not leave this line blank. The name should match the name on your tax return.

If this Form W-9 is for a joint account, list first, and then circle, the name of the person or entity whose number you entered in Part I of Form W-9.

a. **Individual.** Generally, enter the name shown on your tax return. If you have changed your last name without informing the Social Security Administration (SSA) of the name change, enter your first name, the last name as shown on your social security card, and your new last name.

**Note.** (TIN applicant) Enter your individual name as it was entered on your Form W-7 application, line 1a. This should also be the same as the name you entered on the Form 1040/1040A/1040EZ you filed with your application.

b. **Sole proprietor or single-member LLC.** Enter your individual name as shown on your 1040/1040A/1040EZ on line 1. You may enter your business, trade, or "doing business as" (DBA) name on line 2.

c. **Partnership, LLC that is not a single-member LLC, C Corporation, or S Corporation.** Enter the entity's name as shown on the entity's tax return on line 1 and any business, trade, or DBA name on line 2.

d. **Other entities.** Enter your name as shown on required U.S. federal tax documents on line 1. This name should match the name shown on the charter or other legal document creating the entity. You may enter any business, trade, or DBA name on line 2.

e. **Disregarded entity.** For U.S. federal tax purposes, an entity that is disregarded as an entity separate from its owner is treated as a "disregarded entity." See Regulations section 301.7701-2(c)(2)(ii). Enter the owner's name on line 1. The name of the entity entered on line 1 should never be a disregarded entity. The name on line 1 should be the name shown on the income tax return on which the income should be reported. For example, if a foreign LLC that is treated as a disregarded entity for U.S. federal tax purposes has a single owner that is a U.S. person, the U.S. owner's name is required to be provided on line 1. If the direct owner of the entity is also a disregarded entity, enter the first owner that is not disregarded for federal tax purposes. Enter the disregarded entity's name on line 2, "Business name/disregarded entity name." If the owner of the disregarded entity is a foreign person, the owner must complete an appropriate Form W-8 instead of a Form W-9. This is the case even if the foreign person has a U.S. TIN.

**Line 2**

If you have a business name, trade name, DBA name, or disregarded entity name, you may enter it on line 2.

**Line 3**

Check the appropriate box in line 3 for the U.S. federal tax classification of the person whose name is entered on line 1. Check only one box in line 3.

**Limited Liability Company (LLC).** If the name on line 1 is an LLC treated as a partnership for U.S. federal tax purposes, check the "Limited Liability Company" box and enter "P" in the space provided. If the LLC has filed Form 8832 or 2553 to be taxed as a corporation, check the "Limited Liability Company" box and in the space provided enter "C" for C corporation or "S" for S corporation. If it is a single-member LLC that is a disregarded entity, do not check the "Limited Liability Company" box; instead check the first box in line 3 "Individual/sole proprietor or single-member LLC."

**Line 4, Exemptions**

If you are exempt from backup withholding and/or FATCA reporting, enter in the appropriate space in line 4 any code(s) that may apply to you.

**Exempt payee code.**

- Generally, individuals (including sole proprietors) are not exempt from backup withholding.
- Except as provided below, corporations are exempt from backup withholding for certain payments, including interest and dividends.
- Corporations are not exempt from backup withholding for payments made in settlement of payment card or third party network transactions.
- Corporations are not exempt from backup withholding with respect to attorneys' fees or gross proceeds paid to attorneys, and corporations that provide medical or health care services are not exempt with respect to payments reportable on Form 1099-MISC.

The following codes identify payees that are exempt from backup withholding. Enter the appropriate code in the space in line 4.

- 1—An organization exempt from tax under section 501(a), any IRA, or a custodial account under section 403(b)(7) if the account satisfies the requirements of section 401(f)(2)
- 2—The United States or any of its agencies or instrumentalities
- 3—A state, the District of Columbia, a U.S. commonwealth or possession, or any of their political subdivisions or instrumentalities
- 4—A foreign government or any of its political subdivisions, agencies, or instrumentalities
- 5—A corporation
- 6—A dealer in securities or commodities required to register in the United States, the District of Columbia, or a U.S. commonwealth or possession
- 7—A futures commission merchant registered with the Commodity Futures Trading Commission
- 8—A real estate investment trust
- 9—An entity registered at all times during the tax year under the Investment Company Act of 1940
- 10—A common trust fund operated by a bank under section 584(a)
- 11—A financial institution
- 12—A middleman known in the investment community as a nominee or custodian
- 13—A trust exempt from tax under section 664 or described in section 4947

The following chart shows types of payments that may be exempt from backup withholding. The chart applies to the exempt payees listed above, 1 through 13.

IF the payment is for . . .	THEN the payment is exempt for . . .
Interest and dividend payments	All exempt payees except for 7
Broker transactions	Exempt payees 1 through 4 and 6 through 11 and all C corporations. S corporations must not enter an exempt payee code because they are exempt only for sales of noncovered securities acquired prior to 2012.
Barter exchange transactions and patronage dividends	Exempt payees 1 through 4
Payments over \$600 required to be reported and direct sales over \$5,000 <sup>1</sup>	Generally, exempt payees 1 through 5 <sup>2</sup>
Payments made in settlement of payment card or third party network transactions	Exempt payees 1 through 4

<sup>1</sup> See Form 1099-MISC, Miscellaneous Income, and its Instructions.

<sup>2</sup> However, the following payments made to a corporation and reportable on Form 1099-MISC are not exempt from backup withholding: medical and health care payments, attorneys' fees, gross proceeds paid to an attorney reportable under section 6045(f), and payments for services paid by a federal executive agency.

**Exemption from FATCA reporting code.** The following codes identify payees that are exempt from reporting under FATCA. These codes apply to persons submitting this form for accounts maintained outside of the United States by certain foreign financial institutions. Therefore, if you are only submitting this form for an account you hold in the United States, you may leave this field blank. Consult with the person requesting this form if you are uncertain if the financial institution is subject to these requirements. A requester may indicate that a code is not required by providing you with a Form W-9 with "Not Applicable" (or any similar indication) written or printed on the line for a FATCA exemption code.

- A—An organization exempt from tax under section 501(a) or any individual retirement plan as defined in section 7701(a)(37)
- B—The United States or any of its agencies or instrumentalities
- C—A state, the District of Columbia, a U.S. commonwealth or possession, or any of their political subdivisions or instrumentalities
- D—A corporation the stock of which is regularly traded on one or more established securities markets, as described in Regulations section 1.1472-1(c)(1)(i)
- E—A corporation that is a member of the same expanded affiliated group as a corporation described in Regulations section 1.1472-1(c)(1)(i)
- F—A dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any state
- G—A real estate investment trust
- H—A regulated investment company as defined in section 851 or an entity registered at all times during the tax year under the Investment Company Act of 1940
- I—A common trust fund as defined in section 584(a)
- J—A bank as defined in section 581
- K—A broker
- L—A trust exempt from tax under section 664 or described in section 4947(a)(1)
- M—A tax exempt trust under a section 403(b) plan or section 457(g) plan

**Note.** You may wish to consult with the financial institution requesting this form to determine whether the FATCA code and/or exempt payee code should be completed.

**Line 5**

Enter your address (number, street, and apartment or suite number). This is where the requester of this Form W-9 will mail your information returns.

**Line 6**

Enter your city, state, and ZIP code.

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

**Enter your TIN in the appropriate box.** If you are a resident alien and you do not have and are not eligible to get an SSN, your TIN is your IRS individual taxpayer identification number (ITIN). Enter it in the social security number box. If you do not have an ITIN, see *How to get a TIN* below.

If you are a sole proprietor and you have an EIN, you may enter either your SSN or EIN. However, the IRS prefers that you use your SSN.

If you are a single-member LLC that is disregarded as an entity separate from its owner (see *Limited Liability Company (LLC)* on this page), enter the owner's SSN (or EIN, if the owner has one). Do not enter the disregarded entity's EIN. If the LLC is classified as a corporation or partnership, enter the entity's EIN.

**Note.** See the chart on page 4 for further clarification of name and TIN combinations.

**How to get a TIN.** If you do not have a TIN, apply for one immediately. To apply for an SSN, get Form SS-5, Application for a Social Security Card, from your local SSA office or get this form online at [www.ssa.gov](http://www.ssa.gov). You may also get this form by calling 1-800-772-1213. Use Form W-7, Application for IRS Individual Taxpayer Identification Number, to apply for an ITIN, or Form SS-4, Application for Employer Identification Number, to apply for an EIN. You can apply for an EIN online by accessing the IRS website at [www.irs.gov/businesses](http://www.irs.gov/businesses) and clicking on Employer Identification Number (EIN) under Starting a Business. You can get Forms W-7 and SS-4 from the IRS by visiting [IRS.gov](http://IRS.gov) or by calling 1-800-TAX-FORM (1-800-829-3676).

If you are asked to complete Form W-9 but do not have a TIN, apply for a TIN and write "Applied For" in the space for the TIN, sign and date the form, and give it to the requester. For interest and dividend payments, and certain payments made with respect to readily tradable instruments, generally you will have 60 days to get a TIN and give it to the requester before you are subject to backup withholding on payments. The 60-day rule does not apply to other types of payments. You will be subject to backup withholding on all such payments until you provide your TIN to the requester.

**Note.** Entering "Applied For" means that you have already applied for a TIN or that you intend to apply for one soon.

**Caution:** A disregarded U.S. entity that has a foreign owner must use the appropriate Form W-8.

**Part II. Certification**

To establish to the withholding agent that you are a U.S. person, or resident alien, sign Form W-9. You may be requested to sign by the withholding agent even if items 1, 4, or 5 below indicate otherwise.

For a joint account, only the person whose TIN is shown in Part I should sign (when required). In the case of a disregarded entity, the person identified on line 1 must sign. Exempt payees, see *Exempt payee code* earlier.

**Signature requirements.** Complete the certification as indicated in items 1 through 5 below.

**1. Interest, dividend, and barter exchange accounts opened before 1984 and broker accounts considered active during 1983.** You must give your correct TIN, but you do not have to sign the certification.

**2. Interest, dividend, broker, and barter exchange accounts opened after 1983 and broker accounts considered inactive during 1983.** You must sign the certification or backup withholding will apply. If you are subject to backup withholding and you are merely providing your correct TIN to the requester, you must cross out item 2 in the certification before signing the form.

**3. Real estate transactions.** You must sign the certification. You may cross out item 2 of the certification.

**4. Other payments.** You must give your correct TIN, but you do not have to sign the certification unless you have been notified that you have previously given an incorrect TIN. "Other payments" include payments made in the course of the requester's trade or business for rents, royalties, goods (other than bills for merchandise), medical and health care services (including payments to corporations), payments to a nonemployee for services, payments made in settlement of payment card and third party network transactions, payments to certain fishing boat crew members and fishermen, and gross proceeds paid to attorneys (including payments to corporations).

**5. Mortgage interest paid by you, acquisition or abandonment of secured property, cancellation of debt, qualified tuition program payments (under section 529), IRA, Coverdell ESA, Archer MSA or HSA contributions or distributions, and pension distributions.** You must give your correct TIN, but you do not have to sign the certification.

**What Name and Number To Give the Requester**

For this type of account:	Give name and SSN of:
1. Individual	The individual
2. Two or more individuals (joint account)	The actual owner of the account or, if combined funds, the first individual on the account <sup>1</sup>
3. Custodian account of a minor (Uniform Gift to Minors Act)	The minor <sup>2</sup>
4. a. The usual revocable savings trust (grantor is also trustee) b. So-called trust account that is not a legal or valid trust under state law	The grantor-trustee <sup>1</sup> The actual owner <sup>1</sup>
5. Sole proprietorship or disregarded entity owned by an individual	The owner <sup>3</sup>
6. Grantor trust filing under Optional Form 1099 Filing Method 1 (see Regulations section 1.671-4(b)(2)(i)(A))	The grantor <sup>3</sup>
For this type of account:	Give name and EIN of:
7. Disregarded entity not owned by an individual	The owner
8. A valid trust, estate, or pension trust	Legal entity <sup>4</sup>
9. Corporation or LLC electing corporate status on Form 8832 or Form 2553	The corporation
10. Association, club, religious, charitable, educational, or other tax-exempt organization	The organization
11. Partnership or multi-member LLC	The partnership
12. A broker or registered nominee	The broker or nominee
13. Account with the Department of Agriculture in the name of a public entity (such as a state or local government, school district, or prison) that receives agricultural program payments	The public entity
14. Grantor trust filing under the Form 1041 Filing Method or the Optional Form 1099 Filing Method 2 (see Regulations section 1.671-4(b)(2)(i)(B))	The trust

<sup>1</sup> List first and circle the name of the person whose number you furnish. If only one person on a joint account has an SSN, that person's number must be furnished.

<sup>2</sup> Circle the minor's name and furnish the minor's SSN.

<sup>3</sup> You must show your individual name and you may also enter your business or DBA name on the "Business name/disregarded entity" name line. You may use either your SSN or EIN (if you have one), but the IRS encourages you to use your SSN.

<sup>4</sup> List first and circle the name of the trust, estate, or pension trust. (Do not furnish the TIN of the personal representative or trustee unless the legal entity itself is not designated in the account title.) Also see *Special rules for partnerships* on page 2.

\*Note. Grantor also must provide a Form W-9 to trustee of trust.

Note. If no name is circled when more than one name is listed, the number will be considered to be that of the first name listed.

**Secure Your Tax Records from Identity Theft**

Identity theft occurs when someone uses your personal information such as your name, SSN, or other identifying information, without your permission, to commit fraud or other crimes. An identity thief may use your SSN to get a job or may file a tax return using your SSN to receive a refund.

To reduce your risk:

- Protect your SSN,
- Ensure your employer is protecting your SSN, and
- Be careful when choosing a tax preparer.

If your tax records are affected by identity theft and you receive a notice from the IRS, respond right away to the name and phone number printed on the IRS notice or letter.

If your tax records are not currently affected by identity theft but you think you are at risk due to a lost or stolen purse or wallet, questionable credit card activity or credit report, contact the IRS Identity Theft Hotline at 1-800-908-4490 or submit Form 14039.

For more information, see Publication 4535, Identity Theft Prevention and Victim Assistance.

Victims of identity theft who are experiencing economic harm or a system problem, or are seeking help in resolving tax problems that have not been resolved through normal channels, may be eligible for Taxpayer Advocate Service (TAS) assistance. You can reach TAS by calling the TAS toll-free case intake line at 1-877-777-4778 or TTY/TDD 1-800-829-4059.

**Protect yourself from suspicious emails or phishing schemes.** Phishing is the creation and use of email and websites designed to mimic legitimate business emails and websites. The most common act is sending an email to a user falsely claiming to be an established legitimate enterprise in an attempt to scam the user into surrendering private information that will be used for identity theft.

The IRS does not initiate contacts with taxpayers via emails. Also, the IRS does not request personal detailed information through email or ask taxpayers for the PIN numbers, passwords, or similar secret access information for their credit card, bank, or other financial accounts.

If you receive an unsolicited email claiming to be from the IRS, forward this message to [phishing@irs.gov](mailto:phishing@irs.gov). You may also report misuse of the IRS name, logo, or other IRS property to the Treasury Inspector General for Tax Administration (TIGTA) at 1-800-366-4484. You can forward suspicious emails to the Federal Trade Commission at: [spam@uce.gov](mailto:spam@uce.gov) or contact them at [www.ftc.gov/idtheft](http://www.ftc.gov/idtheft) or 1-877-IDTHEFT (1-877-438-4338).

Visit [irs.gov](http://irs.gov) to learn more about identity theft and how to reduce your risk.

**Privacy Act Notice**

Section 6109 of the Internal Revenue Code requires you to provide your correct TIN to persons (including federal agencies) who are required to file information returns with the IRS to report interest, dividends, or certain other income paid to you; mortgage interest you paid; the acquisition or abandonment of secured property; the cancellation of debt; or contributions you made to an IRA, Archer MSA, or HSA. The person collecting this form uses the information on the form to file information returns with the IRS, reporting the above information. Routine uses of this information include giving it to the Department of Justice for civil and criminal litigation and to cities, states, the District of Columbia, and U.S. commonwealths and possessions for use in administering their laws. The information also may be disclosed to other countries under a treaty, to federal and state agencies to enforce civil and criminal laws, or to federal law enforcement and intelligence agencies to combat terrorism. You must provide your TIN whether or not you are required to file a tax return. Under section 3406, payers must generally withhold a percentage of taxable interest, dividend, and certain other payments to a payee who does not give a TIN to the payer. Certain penalties may also apply for providing false or fraudulent information.