

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

**Applicant/Program:** Upper Highlands Neighborhood Association  
**Applicant Requested Amount:** \$500  
**Appropriation Request Amount:** \$500

**Executive Summary of Request**  
\$500 to help cover costs for Upper Highlands Neighborhood Festival

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 #       Primary Sponsor Signature      \$500 Amount      5/11/17 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

**Legal Name of Applicant Organization** Upper Highlands Neighborhood Association

**Program Name and Request Amount** Upper Highlands Neighborhood Festival \$500

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

Prepared by: *Jasmine Masterson*

Date: *5/11/17*

## LOUISVILLE METRO COUNCIL NEIGHBORHOOD DEVELOPMENT FUND APPLICATION

SECTION 1 - APPLICANT INFORMATION			
<b>Legal Name of Applicant Organization:</b>		Upper Highlands Neighborhood Association <small>(as listed on: <a href="http://www.sos.ky.gov/business/records">http://www.sos.ky.gov/business/records</a>)</small>	
<b>Main Office Street &amp; Mailing Address:</b> PO BOX 5782, Louisville, KY 40255			
<b>Website:</b> <a href="https://upperhighlandslouisville.org/">https://upperhighlandslouisville.org/</a>			
<b>Applicant Contact:</b>	Mary Ellen Cassidy	<b>Title:</b>	Vice President
<b>Phone:</b>	5025995502	<b>Email:</b>	uhna05@outlook.com
<b>Financial Contact:</b>	same	<b>Title:</b>	same
<b>Phone:</b>	same	<b>Email:</b>	same
<b>Organization's Representative who attended NDF Training:</b> Maureen Gaynor			
SECTION 2 - PROGRAM REQUIREMENTS & FINANCIAL INFORMATION			
<b>GEOGRAPHICAL AREA(S) WHERE PROGRAM ACTIVITIES ARE (WILL BE) PROVIDED</b>			
<b>Program Facility Location(s):</b>	Atherton High School, 3000 Dundee Rd, Louisville		
<b>Council District(s):</b>	8	<b>Zip Code(s):</b>	40205
<b>PROGRAM/PROJECT NAME:</b> Upper Highlands Neighborhood Festival			
<b>Total Request: (\$)</b>	500	<b>Total Metro Award (this program) in previous year: (\$)</b>	800
<b>Purpose of Request (check all that apply):</b>			
<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)			
<b>The Following are Required Attachments:</b>			
<input checked="" type="checkbox"/> IRS Exempt Status Determination Letter <input checked="" type="checkbox"/> Current year projected budget Current financial statement <i>+ Bylaws</i> Most recent IRS Form 990 or 1120-H Articles of Incorporation (current & signed) Cost estimates from proposed vendor if request is for capital expense		Signed lease if rent costs are being requested IRS Form W9 Evaluation forms if used in the proposed program Annual audit (if required by organization) Faith Based Organization Certification Form, if applicable	
<b>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.</b>			
<b>Source:</b>		<b>Amount: (\$)</b>	0
<b>Source:</b>		<b>Amount: (\$)</b>	
<b>Source:</b>		<b>Amount: (\$)</b>	
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 purpose of the Upper Highlands Neighborhood Association is to:

Promote the social and economic interest of the neighborhood

Act as a liaison in matters involving needs related to neighborhood

Afford opportunity for expression and interchange of opinions of special interest to all members

Educate residents and the community at large on issues of concern to the neighborhood

Work with local government and similar agencies in promoting the neighborhood

Aid and support worthy legislation and community efforts to improve the neighborhood

*M&C*



**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.):**

Upper Highlands Neighborhood Association's 13th Annual Festival is scheduled for Saturday, June 10th, 2017 at Atherton High School, 3000 Dundee Rd from 11am to 3pm. The Festival is open to anyone who would like to attend. It is promoted through out our neighbors and surrounding neighborhoods.

We have a combination of activities, non profit organizations, government agencies and commercial vendors. Examples are below:

Activities include - a petting zoo, face painting, and a balloon artist.

Non profits attending include - Animal Care Society, Farmington Historic Plantation, and American Red Cross.

Government agencies attending include - LMFd brings a firetruck, hands out plastic helmets and educates on fire safety. LMPD - discusses safety and provides Child ID registration and a Prescription Drug Disposal box.

Commercial vendors include - several food trucks and local businesses selling merchandise such as art, clothing and jewelry .

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

The \$500 funding will be spent to reimburse our out of pocket costs, like the petting zoo, balloon artist, and face painting artist.

**LOUISVILLE METRO COUNCIL NEIGHBORHOOD DEVELOPMENT FUND APPLICATION**

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

The funds raised from vendor booth space fees are used to off set the cost of the event.

**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:**

The festival is open any one who would like to attend. Last year we had over 800 people attend, and this year we are expecting more than 1,000 as we continue to grow the festival in terms of activities, community services (such as drug disposal drop box, Child ID...) vendors and food services.

We have numerous drawings for prizes including a Metro Services recycle bin and prizes donated by our local businesses. It is difficult to track neighborhood good will but this is our biggest event of the year and is well attended.

**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.**

Government agencies and non profit partners are provided free space and a forum to promote and encourage civic engagement and provide services.

Examples of those that are already scheduled to attend are:

Government agencies: LMPD, LMF and Voter Registration.

Non profit organizations: The Arrow Fund, Animal Care Society, American Red Cross, Farmington Historic Plantation and Books for Prisoners.

Festival attendees have the opportunity to utilize and learn about a variety of services and meet with other neighbors.



**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	0	0
<b>B: Rent/Utilities</b>	0	0	0
<b>C: Office Supplies</b>	0	0	0
<b>D: Telephone</b>	0	0	0
<b>E: In-town Travel</b>	0	0	0
<b>F: Client Assistance (See Detailed List on Page 8)</b>	0	0	0
<b>G: Professional Service Contracts</b>	0	0	0
<b>H: Program Materials</b>	0	0	0
<b>I: Community Events &amp; Festivals (See Detailed List on Page 8)</b>	500	4160	4660
<b>J: Machinery &amp; Equipment</b>	0	0	0
<b>K: Capital Project</b>	0	0	0
<b>L: Other Expenses (See Detailed List on Page 8)</b>	0	0	0
<b>*TOTAL PROGRAM/PROJECT FUNDS</b>			
% of Program Budget	11 %	89 %	100%

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

Other State, Federal or Local Government	
United Way	
Private Contributions (do not include individual donor names)	
Fees Collected from Program Participants	875 - Vendor Booth Space
Other (please specify)	3285 - UHNA
Total Revenue for Column 2 Expenses **	

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

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

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Detail 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
Upper Highlands Neighborhood Festival 2017	500	4,160	4,660
<b>Total</b>	500	4,160	4,660

Applicant's Initials MEC

**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
Atherton High School / Grounds Use		
Volunteers		
Businesses / Door Prizes		estimated retail
<i>Total Value of In-Kind (to match Program Budget Line Item. Volunteer Contribution &amp; 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:**

## LOUISVILLE METRO COUNCIL NEIGHBORHOOD DEVELOPMENT FUND APPLICATION

### SECTION 7 - CERTIFICATIONS & ASSURANCES

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

#### Standard Assurances

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

#### Standard Certifications

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

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

### SECTION 8 - CERTIFICATIONS & ASSURANCES

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

<b>Signature of Legal Signatory:</b>	<i>Mary Ellen Cassidy</i> Mary Ellen Cassidy	<b>Date:</b>	4.24.17
<b>Legal Signatory: (please print):</b>	Mary Ellen Cassidy	<b>Title:</b>	Vice President
<b>Phone:</b>	502-599-5502	<b>Extension:</b>	
<b>Email:</b>	uhna05@outlook.com		

**UPPER HIGHLANDS NEIGHBORHOOD ASSOCIATION, INC.**  
**BY-LAWS, as amended on May 18, 2017**

**ARTICLE I. NAME**

1. The name of the Association shall be Upper Highlands Neighborhood Association, Inc. (UHNA)
2. Upper Highlands Neighborhood Association is organized and incorporated under and by virtue of the laws of the Commonwealth of Kentucky.
3. This corporation is not organized for material or pecuniary profit, and shall have no capital stock.
4. The principal office shall be the mailing address of UHNA. The registered agent shall be a member of the Executive Board of UHNA.
5. All changes in principal office and registered agent shall be filed yearly with the Secretary of State in a timely manner.

**ARTICLE II. PURPOSE**

1. To promote the social and economic interest of the neighborhood.
2. To act on behalf of members in matters involving their needs as related to the neighborhood.
3. To afford opportunity for expression and interchange of opinions of special interest to all members.
4. To educate residents and the community at large on issues of concern to the neighborhood.
5. To work with local government and similar agencies in promoting the neighborhood.
6. To aid and support worthy legislation and community efforts to improve the neighborhood.
7. Maintain the integrity of the neighborhood.

### **ARTICLE III. MEETINGS**

1. Notice of all meetings will be made public at least five days in advance, unless otherwise provided for, either by written notice, website, social media, email or by a personal contact, giving time and place of meeting.
2. There shall be an annual meeting of the membership to be held in September of each year at a place, date and time as determined by the Executive Board.

### **ARTICLE IV. MEMBERSHIP**

1. Eligibility: Any household, property owner or business in the area bound by the Watterson Expressway, Bardstown Road, Newburg Road and Dundee Road/Emerson Avenue.
2. Active Member: The annual membership dues will be evaluated and determined by the Executive Board and Directors each year and reported at the annual meeting.

### **ARTICLE V. OFFICERS**

SECTION A. The Executive officers of UHNA shall be President, Vice President, Secretary and Treasurer.

SECTION B. Officers must be active members in good standing, having attended at least four meetings during the previous year.

SECTION C. DUTIES OF THE OFFICERS, as determined as needed by the Executive Board.

#### 1. The President

- a) The President shall be the executive officer of UHNA. The term of office shall be for two years, ending on September 30.
- b) The President shall carry out rules and regulations and policies as set forth by the Board of UHNA.
- c) The President shall make an annual report to the membership.

#### 2. The Vice President

- a) The Vice President shall serve as President in the absence of the President.

- b) The Vice President shall assist the President at such functions and times as requested by the President of the Board.
3. The Secretary
- a) The Secretary shall take minutes of all meetings and make reports on such minutes.
  - b) The Secretary shall inform the membership of all meetings.
  - c) The Secretary shall maintain the membership list.
  - d) The Secretary shall maintain the official record of minutes of all prior meetings.
4. The Treasurer
- a) The Treasurer shall be responsible for keeping full and accurate accounts of all receipts and disbursements.
  - b) The Treasurer shall be responsible for making reports to the Board and the general meetings.

#### SECTION D. REMOVAL OF OFFICERS

Officers may be removed from office when 2/3 of the Board of Directors of the Upper Highlands Neighborhood Association recommends such action to the membership. Removal shall take place upon ratification of such recommendation by 2/3 of the voting membership.

#### ARTICLE VI. UHNA BOARD

1. The UHNA Board shall consist of:
  - a) Officers and Directors of the Association.
  - b) A maximum of 18 UHNA Board members may be elected at the annual meeting; all Board members shall serve a two (2)-year term.
  - c) The Board shall meet at least four times a year.
  - d) The President, as chairperson, may vote in case of a tie.
  - e) The President or a majority of the Board may call a meeting.
2. Board members must be active members, in good standing.
3. Board members may be removed in the same manner as in Article V, Section D, above.

## **ARTICLE VII. NOMINATIONS AND ELECTIONS**

1. A slate for all Officers and Directors shall be presented to the annual meeting for election. A ballot may be prepared for the use of the membership. Such ballot may allow write-in votes. Nominations may be made from the floor.
2. The Executive Board shall have authority to fill any vacancy. Any vacancy so filled shall be for the remainder of the terms of office.
3. Proxy voting is not allowed.
4. Voters may cast one vote per board seat.
5. An effort will be made to provide at least two candidates from each district.

## **ARTICLE VIII. COMMITTEES**

1. Executive Board shall consist of the President, Vice President, Secretary and Treasurer.
2. Executive Board shall act for the Association between meetings of the Board and in addition shall have sole responsibility for any matter expressly delegated to it by the Board.
3. Committees shall be appointed by the President with the approval of the Executive Board and select their own chairpersons, unless otherwise specified.

## **ARTICLE IX. TERMS OF OFFICE**

The term of office shall be for two years, except where specified otherwise.  
Vacancies shall be filled for the unexpired balance of the term.

## **ARTICLE X. QUORUM**

1. A quorum for any membership meeting shall be the members present.
2. A quorum for a Board meeting shall require a majority of the Board members be present.
3. The President shall have a vote in case of a tie.



## **ARTICLE XI. AMENDMENTS**

1. No part of these by-laws shall be amended or suspended unless presented in writing prior to voting on the proposed change/s.
2. Amendments must be approved by at least two-thirds of the members present.
3. Said approved amendment shall become effective immediately.

## **ARTICLE XII. RULES OF PROCEDURE**

The most recent of Robert's Rules of Order shall be the authority governing all matters of procedure provided by these By-laws.

## **ARTICLE XIII. FISCAL MEMBERSHIP YEAR**

The fiscal year of the UHNA shall begin January 1 to December 31.

## **ARTICLE XIV. FINANCES**

1. Checks may be signed by any two of these three officers: President, Vice President or Treasurer.
2. The duties of receiving and disbursing monies shall be performed by separate individuals.
3. An individual who does not receive or disburse monies shall receive all financial transaction reports directly from third parties and review them for reasonableness.
4. The Board shall require a strict procedure of anyone handling money on behalf of UHNA, and may require a bond if the Board finds it advisable.

## **ARTICLE XV. ADOPTION AND EFFECTIVE DATE**

The by-laws shall become effective upon adoption.

## **ARTICLE XVI. CORPORATE SEAL**

The corporation, having been duly incorporated under the laws of the Commonwealth of Kentucky, adopts as its corporate seal a circle containing the word Upper Highlands Neighborhood Association.



DEPARTMENT OF THE TREASURY  
INTERNAL REVENUE SERVICE  
CINCINNATI OH 45999

DATE OF THIS NOTICE: 06-12-2000  
NUMBER OF THIS NOTICE: CP 575 F  
EMPLOYER IDENTIFICATION NUMBER: [REDACTED]  
FORM: SS-4  
1752204233 0

UPPER HIGHLANDS NEIGHBORHOOD  
% PAUL J SCHUHMAN  
2901 FAMOUTH DR  
LOUISVILLE KY 40205

FOR ASSISTANCE CALL US AT:  
1-800-829-1040

OR WRITE TO THE ADDRESS  
SHOWN AT THE TOP LEFT.

IF YOU WRITE, ATTACH THE  
STUB OF THIS NOTICE.

WE ASSIGNED YOU AN EMPLOYER IDENTIFICATION NUMBER (EIN)

Thank you for your Form SS-4 Application for Employer Identification Number (EIN). We assigned you EIN [REDACTED]. This EIN will identify your business account, tax returns, and documents, even if you have no employees. Please keep this notice in your permanent records.

Use your complete name and EIN as shown above on all federal tax forms, payments, and related correspondence. If you use any variation in your name or EIN, it may cause a delay in processing, incorrect information in your account, or cause you to be assigned more than one EIN.

Please use the label IRS provided when filing tax documents. If that isn't possible, you should use your EIN and complete name and address as shown below to identify your account and to avoid delays in processing.

UPPER HIGHLANDS NEIGHBORHOOD  
ASSOCIATION  
% PAUL J SCHUHMAN  
2901 FAMOUTH DR  
LOUISVILLE KY 40205

If this information isn't correct, please correct it using page 2 of this notice. Return it to us at the address shown so we can correct your account.

If you want to apply to receive a ruling or a determination letter recognizing your organization as tax exempt, and have not already done so, you should file Form 1023/1024, Application for Recognition of Exemption, with the IRS Ohio Key District Office. Publication 557, Tax Exempt Status for Your Organization, is available at most IRS offices and has details on how you can apply.

Thank you for your cooperation.

*Corrected*

*Letter  
147C*

*800-829-4933  
Business Tax line*



**UPPER HIGHLANDS NEIGHBORHOOD ASSOCIATION, INC.****General Information**

<b>Organization Number</b>	0479290
<b>Name</b>	UPPER HIGHLANDS 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>	8/25/1999
<b>Organization Date</b>	8/25/1999
<b>Last Annual Report</b>	2/1/2017
<b>Principal Office</b>	UPPER HIGHLANDS NEIGHBORHOOD ASSN PO BOX 5782 LOUISVILLE, KY 40255
<b>Registered Agent</b>	HONI MARLEEN GOLDMAN UPPER HIGHLANDS NEIGHBORHOOD ASSN 2727 LAMONT RD LOUISVILLE, KY 40205

**Current Officers**

<b>President</b>	<u>Honi Marleen Goldman</u>
<b>Vice President</b>	<u>Mary Ellen Cassidy</u>
<b>Secretary</b>	<u>Lisa Crabtree</u>
<b>Treasurer</b>	<u>Mike Kolb</u>
<b>Director</b>	<u>Dwayne Adams</u>
<b>Director</b>	<u>Rick Shuster</u>
<b>Director</b>	<u>Maureen Gaynor</u>
<b>Director</b>	<u>Lisa Shoff</u>

**Individuals / Entities listed at time of formation**

<b>Director</b>	<u>JILL EDWARDS</u>
<b>Director</b>	<u>EMILY GRIFFIN</u>
<b>Director</b>	<u>HOLLEY HOLLAND</u>
<b>Director</b>	<u>TAMMY KEENAN</u>
<b>Director</b>	<u>MIKE KOLB</u>
<b>Director</b>	<u>JIM MCCALL</u>
<b>Director</b>	<u>DOUG POHL</u>
<b>Director</b>	<u>KEVIN SCANLAN</u>
<b>Director</b>	<u>PAUL SCHUHMANN</u>
<b>Director</b>	<u>CHARLES SHACKLETTE</u>
<b>Director</b>	<u>FRANZ VONDERHAAR</u>

**Incorporator****PAUL SCHUHMANN****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.

<a href="#"><u>Registered Agent name/address change</u></a>	2/1/2017 9:13:51 PM	1 page	<a href="#"><u>PDF</u></a>
<a href="#"><u>Principal Office Address Change</u></a>	2/1/2017 9:08:41 PM	1 page	<a href="#"><u>PDF</u></a>
<a href="#"><u>Annual Report</u></a>	2/1/2017	1 page	<a href="#"><u>PDF</u></a>
<a href="#"><u>Annual Report</u></a>	3/20/2016	1 page	<a href="#"><u>PDF</u></a>
<a href="#"><u>Registered Agent name/address change</u></a>	6/22/2015 6:36:58 PM	1 page	<a href="#"><u>PDF</u></a>
<a href="#"><u>Principal Office Address Change</u></a>	6/22/2015 6:33:17 PM	1 page	<a href="#"><u>PDF</u></a>
<a href="#"><u>Annual Report</u></a>	6/22/2015	1 page	<a href="#"><u>PDF</u></a>
<a href="#"><u>Annual Report</u></a>	2/24/2014	1 page	<a href="#"><u>PDF</u></a>
<a href="#"><u>Annual Report</u></a>	6/24/2013	1 page	<a href="#"><u>PDF</u></a>
<a href="#"><u>Annual Report</u></a>	3/21/2012	1 page	<a href="#"><u>PDF</u></a>
<a href="#"><u>Unhonored Check Letter</u></a>	7/14/2011	1 page	<a href="#"><u>tiff</u></a> <a href="#"><u>PDF</u></a>
<a href="#"><u>Annual Report</u></a>	6/30/2011	1 page	<a href="#"><u>PDF</u></a>
<a href="#"><u>Annual Report</u></a>	6/2/2010	1 page	<a href="#"><u>PDF</u></a>
<a href="#"><u>Annual Report</u></a>	7/14/2009	1 page	<a href="#"><u>PDF</u></a>
<a href="#"><u>Annual Report</u></a>	6/25/2008	1 page	<a href="#"><u>PDF</u></a>
<a href="#"><u>Annual Report</u></a>	3/29/2007	1 page	<a href="#"><u>tiff</u></a> <a href="#"><u>PDF</u></a>
<a href="#"><u>Annual Report</u></a>	9/14/2006	1 page	<a href="#"><u>tiff</u></a> <a href="#"><u>PDF</u></a>
<a href="#"><u>Annual Report</u></a>	4/29/2005	1 page	<a href="#"><u>tiff</u></a> <a href="#"><u>PDF</u></a>
<a href="#"><u>Annual Report</u></a>	7/16/2003	1 page	<a href="#"><u>tiff</u></a> <a href="#"><u>PDF</u></a>
<a href="#"><u>Annual Report</u></a>	7/25/2001	1 page	<a href="#"><u>tiff</u></a> <a href="#"><u>PDF</u></a>
<a href="#"><u>Annual Report</u></a>	5/17/2000	1 page	<a href="#"><u>tiff</u></a> <a href="#"><u>PDF</u></a>
<a href="#"><u>Articles of Incorporation</u></a>	8/25/1999	7 pages	<a href="#"><u>tiff</u></a> <a href="#"><u>PDF</u></a>

**Assumed Names****Activity History**

<b>Filing</b>	<b>File Date</b>	<b>Effective Date</b>	<b>Org. Referenced</b>
Annual report	2/1/2017 9:27:17 PM	2/1/2017 9:27:17 PM	
Registered agent address change	2/1/2017 9:13:51 PM	2/1/2017 9:13:51 PM	
Principal office change	2/1/2017 9:08:41 PM	2/1/2017 9:08:41 PM	
Annual report	3/20/2016 10:36:54 AM	3/20/2016 10:36:54 AM	
Annual report	6/22/2015 6:48:48 PM	6/22/2015 6:48:48 PM	
Registered agent address change	6/22/2015 6:36:58 PM	6/22/2015 6:36:58 PM	
Principal office change	6/22/2015	6/22/2015	

	6:33:17 PM	6:33:17 PM
Annual report	2/24/2014 12:28:35 PM	2/24/2014 12:28:35 PM
Annual report	6/24/2013 11:17:59 AM	6/24/2013 11:17:59 AM
Annual report	3/21/2012 3:42:53 PM	3/21/2012 3:42:53 PM
Annual report	6/30/2011 2:16:01 PM	6/30/2011 2:16:01 PM
Annual report	6/2/2010 4:58:59 PM	6/2/2010 4:58:59 PM
Annual report	7/14/2009 9:24:55 PM	7/14/2009 9:24:55 PM
Annual report	6/25/2008 10:33:05 AM	6/25/2008 10:33:05 AM
Annual report	3/29/2007 1:34:00 PM	3/29/2007
Annual report	9/14/2006 10:41:06 AM	9/14/2006
Add	8/25/1999	8/25/1999

## Microfilmed Images

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

Annual Report	4/22/2005	1 page
Annual Report	7/15/2004	1 page
Annual Report	7/16/2003	1 page
Annual Report	7/30/2002	1 page
Annual Report	7/25/2001	1 page
Annual Report	5/17/2000	1 page
Articles of Incorporation	8/25/1999	7 pages







**UPPER HIGHLANDS NEIGHBORHOOD ASSOCIATION**

**PO Box 5782 Louisville KY 40255**

**uhna05@outlook.com**

**www.UpperHighlandsLouisville.org**

*Established in 1999, serving all of the Upper Highlands*

Brandon Coan  
Jasmine Masterson  
Metro Council District 8  
601 West Jefferson Street  
Louisville, KY 40202

Brandon and Jasmine:

Per your email from Jess Helton dated May 19, 2017, please see my answers in **bold**:

1. *The applicant did not check yes or no to the last questions on page 1 of the application*

**As UHNA is NOT a 501c3, (a charity) this BBB Charity Review Participation does not apply to us. If I am incorrect, please let me know.**

2. *The IRS letter included is not the IRS determination letter. We need the letter from the IRS showing the organization is 501 C (3) or (4) or such*

**ATTACHED**

3. *The by-laws were included but not the article of incorporation which is what is needed*

**ATTACHED**

4. *Current year projected budget*

**Because UHNA has so little income/expenses, there has not been a need to have a full budget. I believe a draft of the budget for this year's UHNA festival was sent to you.**

5. *Most recent IRS form 990 or 1120-H*

**Because UHNA was just designated a 501c4 in December 2016, we have not had to fill out a IRS 990 or 1120-H**

6. *IRS form W9*

**ATTACHED (pls note that we do not provide any W9 to anyone nor are we obligated to file any income tax return)**

Thank you,

Honi Marleen Goldman

*President*



479290

RECEIVED & FILED

\$8.00

AUG 25 11 58 AM '99

JOHN Y. BROWN III  
SECRETARY OF STATE  
KENTUCKY

ARTICLES OF INCORPORATION  
OF

UPPER HIGHLANDS NEIGHBORHOOD ASSOCIATION, INC.

WE, THE UNDERSIGNED, having associated for the purpose of forming a non-profit, non-stock corporation, under and pursuant to the laws of the Commonwealth of Kentucky, and more particularly Chapter 273, Kentucky Revised Statutes (KRS), hereby certify as follows:

ARTICLE I

The name of the Corporation shall be the

UPPER HIGHLANDS NEIGHBORHOOD ASSOCIATION, INC. <sup>WAR</sup>

ARTICLE II

The duration of the Corporation shall be perpetual.

ARTICLE III

The address of the registered office of the corporation is:

2901 Falmouth Drive, Louisville, KY 40205

The name of the initial registered agent located at such address is:

Paul Schuhmann

The principal office of the Corporation is located at:

Upper Highlands Neighborhood Association  
c/o Paul Schuhmann  
2901 Falmouth Drive  
Louisville, KY 40205

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

ARTICLE IV

The Corporation is organized and shall be operated exclusively for the promotion of social welfare within the meaning of Section 501 © (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 © (4).

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

1. To promote the economic and social interest of the neighborhood.
2. To act on behalf of members in matters involving their needs as related to the neighborhood.
3. To afford opportunity for expression and interchange of opinions of special interest to all members.
4. To educate residents and the community at large on issues of concern to the neighborhood.
5. To work with local government and similar agencies in promoting the neighborhood.
6. To aid and support worthy legislation and community efforts to improve the neighborhood.
7. To maintain the integrity of the neighborhood.

#### 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**

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 © (4) of the Internal Revenue Code of 1954, or the corresponding provisions of any subsequent Federal tax laws.

**ARTICLE VII**

The name and address of the incorporator is:

**INCORPORATOR**

**ADDRESS**

Mr. Paul Shuhmann

2901 Falmouth Dr.  
Louisville, Kentucky 40205

**ARTICLE VIII**

The initial Board of Directors shall consist of no more than eighteen (18) Directors. The names and addresses of the members of the initial Board of Directors are:

**DIRECTOR**

**ADDRESS**

Jill Edwards

2129 Gladstone Avenue  
Louisville, KY 40205

Emily Griffin

2838 Hoock Avenue  
Louisville, KY 40205

Holley Holland

2827 Hoock Avenue  
Louisville, KY 40205

Tammy Keenan

2901 Tremont Drive  
Louisville, KY 40205

Mike Kolb

1908 Gladstone Avenue  
Louisville, KY 40205

**Jim McCall**

**3015 Wickland Drive  
Louisville, KY 40205**

**Doug Pohl**

**2828 Tremont Drive  
Louisville, KY 40205**

**Kevin Scanlan**

**2028 Lancashire Avenue  
Louisville, KY 40205**

**Paul Schuhmann**

**2901 Falmouth Drive  
Louisville, KY 40205**

**Charles Shacklette**

**2840 Tremont Drive  
Louisville, KY 40205**

**Franz VonderHaar**

**1908 Tyler Lane  
Louisville, KY 40205**

#### **ARTICLE IX**

**The initial By-Laws shall be adopted by the initial Board of Directors.  
Thereafter, the Corporation shall be governed by the By-Laws.**

**Any director may be removed for cause pursuant to By-Laws provisions  
regarding grounds and procedures for such removal.**

## ARTICLE X

- a) The directors, officers, employees and members of this Corporation shall not be held personally liable for any debt or obligation of the Corporation solely because of their position in the Corporation. The Corporation may make any indemnification permitted by law as authorized by its Articles of Incorporation, its By-laws, or by a resolution adopted by the Corporation's Board of Directors.

Any person serving on the Board of Directors of this Corporation shall not be held personally liable for monetary damages resulting from the breach of his/her duties as a director unless such act, omission or breach:

- 1) concerned or concerns a transaction in which the director's personal financial interest was or is in conflict with the financial interests of the Corporation;
- 2) was not in good faith or involved or involves intentional misconduct on the part of the director;
- 3) was known by the director to be a violation of law; or
- 4) resulted in an improper personal benefit to the director.

This paragraph b) applies only to acts or omissions or breaches of duty occurring after July 15, 1998.

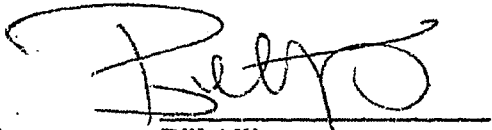
## ARTICLE XI

Any director or officer or former director or 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/he is made a part by reason of being or having been such director or officer, except in relation to matters as to which she/he 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 its Articles of Incorporation, or its By-laws or a resolution adopted after notice to members entitled to vote.





**This Document Prepared by:**

A handwritten signature in black ink, appearing to read "Bill Allison", written over a horizontal line.

**Bill Allison**  
**Attorney at law**

1012 S. 4th Street  
Louisville, Ky. 40203







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

DEPARTMENT OF THE TREASURY

Date: **DEC 22 2016**

Employer Identification Number:

DLN:

17053279325016

Contact Person:

HARRY J DAMRON

ID# 31499

Contact Telephone Number:

(877) 829-5500

Accounting Period Ending:

December 31

Form 990/990-EZ/990-N Required:

Yes

Effective Date of Exemption:

September 29, 2016

Contribution Deductibility:

No

Addendum Applies:

No

UPPER HIGHLANDS NEIGHBORHOOD  
ASSOCIATION INC  
PO BOX 5782  
LOUISVILLE, KY 40255

Dear Applicant:

We're pleased to tell you we determined you're exempt from federal income tax under Internal Revenue Code (IRC) Section 501(c)(4). This letter could help resolve questions on your exempt status. Please keep it for your records.

Based on the information you submitted with your application, we approved your request for reinstatement under Revenue Procedure 2014-11. Your effective date of exemption, as listed at the top of this letter, is the postmark date of your application.

If we indicated at the top of this letter that you're required to file Form 990/990-EZ/990-N, our records show you're required to file an annual information return (Form 990 or Form 990-EZ) or electronic notice (Form 990-N, the e-Postcard). If you don't file a required return or notice for three consecutive years, your exempt status will be automatically revoked.

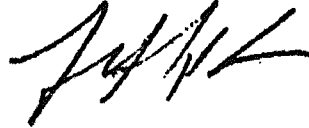
If we indicated at the top of this letter that an addendum applies, the enclosed addendum is an integral part of this letter.

For important information about your responsibilities as a tax-exempt organization, go to [www.irs.gov/charities](http://www.irs.gov/charities). Enter "4221-NC" in the search bar to view Publication 4221-NC, Compliance Guide for Tax-Exempt Organizations (Other than 501(c)(3) Public Charities and Private Foundations), which describes your recordkeeping, reporting, and disclosure requirements.

Letter 948

UPPER HIGHLANDS NEIGHBORHOOD

Sincerely,

A handwritten signature in black ink, appearing to read "J. Cooper". The signature is stylized and cursive.

Jeffrey I. Cooper  
Director, Exempt Organizations  
Rulings and Agreements