



# LOUISVILLE METRO COUNCIL NEIGHBORHOOD DEVELOPMENT FUND APPLICATION

SECTION 1 - APPLICANT INFORMATION			
Legal Name of Applicant Organization:		Harbor House of Louisville, Inc.	
<small>(as listed on: <a href="http://www.sos.ky.gov/business/records">http://www.sos.ky.gov/business/records</a>)</small>			
Main Office Street & Mailing Address: 2231 Lower Hunters Trace, Louisville, KY 40216			
Website: www.hhlou.org			
Applicant Contact:	Maria Smith	Title:	CEO
Phone:	502-719-0072 x539	Email:	msmith@hhlou.org
Financial Contact:	Tom Evans	Title:	Controller
Phone:	502-719-0072 x517	Email:	tevans@hhlou.org
Organization's Representative who attended NDF Training: Jane White			
GEOGRAPHICAL AREA(S) WHERE PROGRAM ACTIVITIES ARE (WILL BE) PROVIDED			
Program Facility Location(s):	2231 Lower Hunters Trace, Louisville, KY		
Council District(s):	District 12	Zip Code(s):	40216
SECTION 2 - PROGRAM REQUEST & FINANCIAL INFORMATION			
PROGRAM/PROJECT NAME: The Ken-Ducky Derby Festival			
Total Request: (\$)	\$52,000	Total Metro Award (this program) in previous year: (\$)	\$14,200
Purpose of Request (check all that apply):			
<input type="checkbox"/> Operating Funds (generally cannot exceed 33% of agency's total operating budget)			
<input checked="" type="checkbox"/> Programming/services/events for direct benefit to community or qualified individuals			
<input type="checkbox"/> Capital Project of the organization (equipment, furnishing, building, etc)			
The Following are Required Attachments:			
<input checked="" type="checkbox"/> IRS Exempt Status Determination Letter		<input type="checkbox"/> Signed lease if rent costs are being requested	
<input checked="" type="checkbox"/> Current Year Projected Budget		<input checked="" type="checkbox"/> IRS Form W9	
<input checked="" type="checkbox"/> List of Board of Directors (include term & term limits)		<input type="checkbox"/> Evaluation forms if used in the proposed program	
<input checked="" type="checkbox"/> Current financial statement		<input checked="" type="checkbox"/> Annual audit (if required by organization)	
<input checked="" type="checkbox"/> Most recent IRS Form 990 or 1120-H		<input type="checkbox"/> Faith Based Organization Certification Form, if required	
<input checked="" type="checkbox"/> Articles of Incorporation		<input checked="" type="checkbox"/> Staff including the 3 highest paid staff	
<input type="checkbox"/> 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:	NDF	Amount: (\$)	\$14,200
Source:	External Agency	Amount: (\$)	\$25,000
Source:		Amount: (\$)	
Has the applicant contacted the BBB Charity Review for participation? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No			
Has the applicant met the BBB Charity Review Standards? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No			



## LOUISVILLE METRO COUNCIL NEIGHBORHOOD DEVELOPMENT FUND APPLICATION

### SECTION 3 - AGENCY DETAILS

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

The vision of Harbor House of Louisville, Inc. is for the 30,000 Louisville-area residents living with developmental and intellectual disabilities to feel part of their community by providing opportunities for socialization and employment. The mission of Harbor House of Louisville, Inc is to empower individuals with disabilities and their families to lead fulfilled and productive lives. The services of Harbor House include:

**Case Management** - Helps families coordinate the services they want and need.

**Supported Employment** - Employment Coordinators help candidates find jobs in the community based on their skills and interests.

**Bulk Mail and Fulfillment Services** - On-site employment that allows participants to work and earn a paycheck

**Adult Day Training** - Program teaches responsibility and self-sufficiency

**Bramer Respite House** - Provides short-term respite for family members of people with disabilities



## LOUISVILLE METRO COUNCIL NEIGHBORHOOD DEVELOPMENT FUND APPLICATION

### SECTION 4 - PROGRAM/PROJECT NARRATIVE

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

The Ken-Ducky Derby Family Festival is a community-wide event that raises money for the mission of Harbor House. In its 11 year, the event has captivated the community each year with the annual launching of 25,000 rubber ducks in the Ohio River.

The 25,000 ducks that race in the river comprise the most significant part of the event. People in the community adopt the 25,000 ducks over an 8 week period leading up to the festival. The first place winner receives a car donated by Sam Swope Honda World. Adopters of the second and third place finishers receive a cash prize. In 2014, we have also secured a Million Dollar Duck sponsor. If the duck who finishes third has been anonymously selected prior to the race, the adopter of that duck may win \$1,000,000. All proceeds from the Ken-Ducky Derby benefit the programs and services at Harbor House.

Marketing efforts for the event includes the distribution of 100,000 duck adoption forms around the community through retail outlets including Republic Bank, The Comfy Cow, Starbucks and Texas Roadhouse. Additionally, social media and other advertising will be used to advertise the event.

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

The funds requested would be used towards the payment of our contract with Great American Merchandise Event (Game) and for marketing of the festival at other community festivals and events.

Harbor House contracts with Great American Merchandise Event (GAME) who developed the concept of the duck race. The contract (\$22,000) gives Harbor House the exclusive rights to the trademarked duck race within a certain range of Metro Louisville. The contract also includes the shipping and rental of the ducks, printing for the duck adoption forms (100,000) and access to an online site, e-Quack, for securing duck adoptions on line.

The remainder of the funds (\$3,000) will be used to fees for selling ducks at various community events. During the course of the summer, Harbor House attends many community festivals as well as the Kentucky State Fair. The remainder of the funds requested would go toward fees associated with participation at these events.



## LOUISVILLE METRO COUNCIL NEIGHBORHOOD DEVELOPMENT FUND APPLICATION

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

The request for funding from the Louisville Metro Council Neighborhood Development Fund is for sponsorship of the Harbor House Ken-Ducky Derby Family Festival on September 28, 2014 at Waterfront Park. All net proceeds from the event supports programming at Harbor House of Louisville.

Case Management - Helps families coordinate the services they want and need.

Supported Employment - Employment Coordinators help candidates find jobs in the community based on their skills and interests.

Bulk Mail and Fulfillment Services - On-site employment that allows participants to work and earn a paycheck

Adult Day Training - Program teaches responsibility and self-sufficiency

Bramer Respite House - Provides short-term respite for family members of people with disabilities

The Ken-Ducky Derby gives Harbor House the opportunity to raise awareness of services and options to thousands in the community needing specialized services.

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

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

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

☒ The funding request is a reimbursement of the following expenditures that will probably be incurred after the application date, but prior to the execution of the grant agreement:

- ✓ If selecting this option, the invoice, receipt and payment documentation should not be available as of the date of this application.

The Grantee will be required to submit financial reporting in accordance with the reporting schedule provided in the grant agreement.



## 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:**

By staging the Ken-Ducky Derby Festival, a community-wide event, Harbor House is able to raise awareness in Louisville about the organization and the services provided to adults with intellectual and developmental disabilities while also raising money to benefit programming.

Our overall goal is to increase awareness and money raised to support the programming needs at Harbor House.

- 1) To increase the number of ducks adopted by 20% (from 21,000 to 26,000)
- 2) To increase the total revenue of the event by 10% (from \$186,555 to \$209,596)

In order to meet these goals we will track:

- 1) Track duck adoptions through our online purchasing software, e-Quack
- 2) Track financial reports

**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.**

Harbor House has collaborative relationships with the following community organizations:

- 1) Jewish and Saints Mary & Elizabeth's Hospital where participants volunteer in various departments.
- 2) Meals on Wheels and SeniorCare Experts - Participants from Harbor House deliver meals to the elderly
- 3) Bellarmine University's School of Nursing, Spalding University's School of Occupational Therapy and the University of Louisville's Kent School of Social Work students complete a portion of their training at Harbor House giving students the opportunity to work with disabled population.
- 4) The Kentucky Humane Society - Harbor House participants volunteer to feed animals and to clean the cages at KHS.



# LOUISVILLE METRO COUNCIL NEIGHBORHOOD DEVELOPMENT FUND APPLICATION

## SECTION 5 – PROGRAM/PROJECT BUDGET SUMMARY

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

Program/Project Expenses	Column 1	Column 2	Column (1+2)=3
	Proposed Metro Funds	Non- Metro Funds	Total Funds
A: Personnel Costs Including Benefits			
B: Rent/Utilities			
C: Office Supplies			
D: Telephone			
E: In-town Travel			
F: Client Assistance (Attach Detailed List)			
G: Professional Service Contracts			
H: Program Materials			
I: Community Events & Festivals (Attach Detail List)	52,000	45,700	\$97,700
J: Small Equipment			
K: Capital Equipment			
L: Other Expenses (Attach Detail List)		19,000	19,000
<b>*TOTAL PROGRAM/PROJECT FUNDS</b>	<b>52,000</b>	<b>64,700</b>	<b>\$116,700</b>
% of Program Budget	45 %	55 %	100%

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

Other State, Federal or Local Government	- 0 -
United Way	- 0 -
Private Contributions (do not include individual donor names)	78,629 (Projected sponsors)
Fees Collected from Program Participants	91,800 (projected duck adoptions)
Other (please specify)	39,167 (in-kind, sales of merchandise)
Total Revenue for Column 2 Expenses **	\$209,596

\*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 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
Donation of car for prize/Sam Swoboda	18,000	dealer invoice
Auction items for kick-off (attached)	1,000	
<i>Total Value of In-Kind (to match Program Budget Line Item. Volunteer Contribution &amp; Other In Kind)</i>	19,000	

\* 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 1, 2014

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 6 - CERTIFICATIONS & ASSURANCES

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

#### Standard Assurances

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

#### Standard Certifications

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

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

### SECTION 7 - CERTIFICATIONS & ASSURANCES

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

Signature of Legal Signatory:	<i>Maria Smith</i>	Date:	
Legal Signatory: (please print):	Maria Smith	Title:	CEO
Phone:	502-719-0072	Extension:	x539
Email:	msmith@hhlou.org		



**Internal Revenue Service**

**Department of the Treasury  
P. O. Box 2508  
Cincinnati, OH 45201**

**Date:** April 21, 2005

**Person to Contact:**

Stephanie Swartzbaugh 31-07594  
Customer Service Specialist

**Toll Free Telephone Number:**

8:30 a.m. to 5:30 p.m. ET  
877-829-5500

**Fax Number:**

513-263-3756

**HARBOR HOUSE OF LOUISVILLE INC  
2231 LOWER HUNTERS TRCE  
LOUISVILLE KY 40216-1358**

Dear Sir or Madam:

This is in response to your request of April 21, 2005, regarding your organization's tax-exempt status.

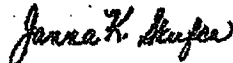
In August 1992 we issued a determination letter that recognized your organization as exempt from federal income tax. Our records indicate that your organization is currently exempt under section 501(c)(3) of the Internal Revenue Code.

Our records indicate that your organization is also classified as a public charity under section 509(a)(2) of the Internal Revenue Code.

Our records indicate that contributions to your organization are deductible under section 170 of the Code, and that you are qualified to receive tax deductible bequests, devises, transfers or gifts under section 2055, 2106 or 2522 of the Internal Revenue Code.

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

Sincerely,



Janna K. Skufca, Director, TE/GE  
Customer Account Services

## BUDGET FOR FISCAL YEAR 2015

### REVENUES:

In-Kind Contributions	38,000.00
Contributions	50,000.00
Contributions Benevon	104,000.00
Grants	118,000.00
Pvt Pay Services	8,700.00
Participant Act. Fees	2,400.00
Medicaid CLS	125,700.00
Medicaid Case Mgmt	16,500.00
Medicaid Respite	21,000.00
Medicaid SE	400.00
Medicaid OT	2,000.00
Medicaid ST	32,500.00
Medicaid PT	9,700.00
Medicaid DME	11,000.00
Medicaid ADT On-Site	710,000.00
Vocational Rehab	185,000.00
Mail Revenue	90,000.00
Promotional Sales	3,000.00
KDD Spons. Revenue	68,000.00
KDD Duck Sales	100,000.00
KDD Merchandise	4,000.00
KDD Booth Sponsor	600.00
KDD Donation	22,700.00
Miscellaneous Income	350.00
<b>TOTAL REVENUE</b>	<b>\$1,723,550.00</b>

### EXPENSES:

PR/Marketing	80,000.00
HH Autos	10,000.00
Dues & Subscriptions	9,000.00
Equip Maint/Contracts	15,000.00
Liability Insurance	16,700.00
Workers Comp	10,000.00
KY Unemployment	570.00
Interest Expense	3,500.00
Janitorial	3,000.00
Bank Charges	2,000.00
Depreciation	70,000.00
Provider Tax	30,000.00
Rent	3,700.00
Printing	12,000.00
Supplies	32,000.00
DME	11,000.00
Postage	30,000.00
Delivery Chgs - Sales	2,500.00
Bld. Maintenance	6,000.00
Employee Benefits	105,000.00
Payroll Expense	997,000.00
Payroll Tax Expense	76,271
Telephone	7,000.00
Activities Expense	2,500.00
Meals	23,500.00
Travel	22,200.00
Professional Fees	85,500.00
Licenses & Fees	6,000.00
Utility Expense	16,500.00
Training	3,500.00
Bad Debt Expense	9,500.00
<b>TOTAL EXPENSES:</b>	<b>1,701,440.50</b>

### NET INCOME:

**22,109.50**

Harbor House Ken-Ducky Derby  
Projected Budget 2014

Revenue

In-Kind Donations	23,942
Ken-Ducky Derby Sponsors	78,629
Duck Adoptions	91,800
Duck Derby Merchandise	4,806
Ken-Ducky Derby Booth Sponsors	751
Other KDD Donations	14,610

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TOTAL PROJECTED INCOME	\$214,538
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Expenses

PR/Marketing	61,800
Bank Service Charges	400
Rent Expense	2,000
Printing and Reproduction	600
Supplies	14,000
Postage	7,100
Training	300
Travel	1,500
Feathers & Friends Catering	12,500
Professional Fees (Special Event Consultant)	12,000
Licenses and Fees	4,500

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TOTAL PROJECTED EXPENSES	\$116,700
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NET PROCEEDS TO BENEFIT HARBOR HOUSE	\$ 97,838
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Harbor House Board of Directors

Reba Doutrick  
Retired from Insight Communications

[REDACTED]  
[REDACTED]  
[REDACTED]

August 2011

Rick Farrar  
Retired from IBM Corporation in Field Engineering, Management and COS

[REDACTED]  
[REDACTED]

January 2010  
Interim board - March 2006

Pat Fallon  
Operations Manager for AVI

[REDACTED]  
[REDACTED]  
[REDACTED]

January 2010  
Interim board - March 2006

Alicia Heazlitt – Vice President  
Innovate LTC Market Research Manager  
201 East Jefferson St. Ste 100-Louisville, KY 40202

[REDACTED]

Wk: 502-569-0301

[REDACTED]

[aheazlitt@innovateltc.com](mailto:aheazlitt@innovateltc.com)

August 2012

Darrell Jarrett  
JCPS Administrator

[REDACTED]  
[REDACTED]

[djarrett@insightbb.com](mailto:djarrett@insightbb.com)

November 2012

David Jett - Secretary  
Sales-CI Agent Solutions  
11760 Commonwealth Drive, Louisville, KY 40299

[REDACTED]

Wk: 502-267-0101

[REDACTED]

[davej@ciagent.com](mailto:davej@ciagent.com)

January 2010

Interim board – March 2008

Dr. Sam Kad  
Physician Dept. of Corrections  
KY State Reformatory  
3001 West Highway 146, LaGrange, KY 40032

[REDACTED]

[REDACTED]

May 2014

Rene' Kesterson  
Community and Public Relations  
Papa John's International  
2002 Papa Johns Blvd.- Louisville, KY 40299

[REDACTED]

Wk: 502-261-4209

[REDACTED]

[rene\\_kesterson@papajohns.com](mailto:rene_kesterson@papajohns.com)

August 2012

Roger LeMaster  
Director of Internal Audit, Louisville Water Co.  
550 S 3<sup>rd</sup> St., Louisville, KY 40202

[REDACTED]

Wk: 502-569-3647

[REDACTED]

[rlemaster@lwcky.com](mailto:rlemaster@lwcky.com)

May 2012

Pat MacDonald  
Managing Partner- W. M. Holdings, LLC

[REDACTED]

[REDACTED]

January 2010

Interim board – March 2008

Father Christian Moore  
Pastor of Incarnation Catholic Church

[REDACTED]  
Wk: 502-448-6277  
[REDACTED]  
[REDACTED]

January 2010  
Interim board – March 2006

Jim Morris – President  
Retired Administrator at Jefferson Manor

[REDACTED]  
[REDACTED]  
January 2010  
Interim board – August 2009

Phil Stuecker – Treasurer  
Retired CFO of Thomas Industries

[REDACTED]  
[REDACTED]  
January 2010  
Interim board – March 2006

Diana Sumner  
Manager – UPS  
2200 Outer Loop, Bldg. 1, Louisville, KY 40219

[REDACTED]  
Wk: 502-961-1234  
[REDACTED]

[dlbullen@ups.com](mailto:dlbullen@ups.com)  
February 2014

Wayne Thieneman  
Jefferson County Public School Bus Driver

[REDACTED]  
[REDACTED]  
January 2010  
Interim board – January 2007

Michael Valenti  
Lawyer at Valenti, Hanley & Robinson  
401 W Main St, Suite 1950 Louisville, KY 40202

[REDACTED]  
Wk: 502-568-2100  
[REDACTED]

[mvalenti@vhrlaw.com](mailto:mvalenti@vhrlaw.com)

January 2010

Interim board – January 2007

John Zoeller  
CEO/President of Zoeller Company  
3649 Cane Run Road – Louisville, KY 40211

[REDACTED]  
Wk: 502-778-2731 ext: 8126  
[REDACTED]

[johnz@zoeller.com](mailto:johnz@zoeller.com)

May 2010

updated 7/14/14

According to the bylaws, tenure is defined as a three year term from time of election and each member is eligible for re-election to a consecutive three year term. After two three-year terms, member is ineligible for re-election for a minimum of one year.

The bylaws were adopted in January 2010. Interim board members were “grandfathered” in the existing board and their terms started in January 2010 when the by-laws were adopted.

**Income Statement**  
**For The 12 Periods Ended 6/30/2014**  
**Harbor House of Louisville, Inc.**

	<u>Year to Date</u>
<b>Revenue</b>	
In Kind Contributions	\$ 37,059
Contributions	\$ 133,393
Grants	\$ 141,213
Tuition Clients	\$ 7,800
Participant Fees	\$ 2,735
Medicaid	\$ 952,974
Vocational Rehab	\$ 183,960
Mail Sales Revenue	\$ 66,060
Mail Postage Revenue	\$ 21,990
Pickup/Delivery Mail Revenue	\$ 20
Appreciation DEV SPON	\$ 5
Promotional Sales	\$ 3,374
KDD-Sponsor	\$ 70,870
Duck Sales	\$ 79,819
KDD Merchandise	\$ 4,222
KDD Booth Fee	\$ 653
KDD Donation	\$ 12,704
Vending Machine Revenue	\$ 34
Miscellaneous Income	\$ 83
Interest Income	\$ 9
	<u>\$ 1,718,977</u>
	<u>\$ 1,718,977</u>
<b>Expenses</b>	
PR/Marketing	\$ 73,905
HH Auto PRO CH	\$ 5,015
Dues & Subscription	\$ 8,834
Eqpt Maint/Contract	\$ 11,544
MAS90 Maint/Contracts	\$ 3,943
Liability Insurance	\$ 18,459
Workmans Comp	\$ 8,398
KY Unemployment Insurance	\$ 408
Interest Expense	\$ 3,377
Janitorial	\$ 2,428
Bank Service Charge	\$ 1,946
Depreciation Expense	\$ 64,630
Health Care Provider Tax	\$ 33,890
Rent Expense	\$ 3,319
Printing	\$ 10,978
Supplies	\$ 30,333
Durable Medical Equipment	\$ 10,252
Postage & Delivery	\$ 9,657
Postage Mail Sales	\$ 22,080
Delivery Charges	\$ 1,899
Building Maintenance	\$ 7,818
Office Equip/Maint	\$ 5,768
Building Supplies Respite Hous	\$ 6
Activities Expense	\$ 2,838
Employee Benefits	\$ 93,583
Payroll Salary Expense	\$ 971,980
Payroll Tax Expense	\$ 72,573
Telephone Expense	\$ 7,234
Utilities Expense	\$ 15,531
Training	\$ 3,342



Travel	\$	22,503
Meal & Entertainment	\$	31,903
Professional Fees	\$	76,419
Licenses & Permits	\$	4,642
Bad Debt/Write Off	\$	4,000
Contractual Medicaid	\$	42,526
	\$	1,687,961

<b>NET INCOME (LOSS)</b>	<b>\$</b>	<b>31,016</b>
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Russell, Smith & Associates  
4165 Westport Road  
Louisville, KY 40207

Harbor House of Louisville, Inc.  
2231 Lower Hunters Trace  
Louisville, KY 40216

1. The first group of variables is the set of variables that are used to describe the characteristics of the individual. These variables are: age, sex, education, income, and occupation. These variables are used to describe the individual's characteristics and are used to explain the variation in the dependent variable.

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CLIENT'S COPY

## Filing Instructions

**Prepared for:**

Harbor House of Louisville, Inc.  
2231 Lower Hunters Trace  
Louisville, KY 40216

**Prepared by:**

Russell, Smith & Associates  
4165 Westport Road  
Louisville, KY 40207

2012 FORM 990

**Electronic Filing:**

This return has qualified for electronic filing. After you have reviewed the return for completeness and accuracy, please sign, date and return Form 8879-EO to our office. We will transmit the return electronically to the IRS and no further action is required. Return Form 8879-EO to us by February 18, 2014.

Form **990**Department of the Treasury  
Internal Revenue Service**Return of Organization Exempt From Income Tax**

Under section 501(c), 527, or 4947(a)(1) of the Internal Revenue Code (except black lung benefit trust or private foundation)

▶ The organization may have to use a copy of this return to satisfy state reporting requirements.

OMB No. 1545-0047

**2012**Open to Public  
Inspection**A** For the **2012** calendar year, or tax year beginning **JUL 1, 2012** and ending **JUN 30, 2013****B** Check if applicable:

- ☐ Address change  
☐ Name change  
☐ Initial return  
☐ Terminated  
☐ Amended return  
☐ Application pending

**C** Name of organization**Harbor House of Louisville, Inc.**

Doing Business As

Number and street (or P.O. box if mail is not delivered to street address)

**2231 Lower Hunters Trace**

Room/suite

City, town, or post office, state, and ZIP code

**Louisville, KY 40216****F** Name and address of principal officer: **Maria Smith**  
same as C above**D** Employer identification number**E** Telephone number**502-719-0072****G** Gross receipts \$ **1,671,160.****H(a)** Is this a group return for affiliates? ☐ Yes ☒ No**H(b)** Are all affiliates included? ☐ Yes ☐ No

If "No," attach a list. (see instructions)

**H(c)** Group exemption number ▶**I** Tax-exempt status: ☒ 501(c)(3) ☐ 501(c) ( ) (Insert no.) ☐ 4947(a)(1) or ☐ 527**J** Website: ▶ **www.hhlou.org****K** Form of organization: ☒ Corporation ☐ Trust ☐ Association ☐ Other ▶**L** Year of formation: **1992** **M** State of legal domicile: **KY****Part I Summary**

<b>Activities &amp; Governance</b>	<b>1</b> Briefly describe the organization's mission or most significant activities: <b>To empower disabled individuals and their families to lead fulfilled and productive lives.</b>		
	<b>2</b> Check this box <input type="checkbox"/> If the organization discontinued its operations or disposed of more than 25% of its net assets.		
	<b>3</b> Number of voting members of the governing body (Part VI, line 1a)	<b>3</b>	<b>17</b>
	<b>4</b> Number of independent voting members of the governing body (Part VI, line 1b)	<b>4</b>	<b>17</b>
	<b>5</b> Total number of individuals employed in calendar year 2012 (Part V, line 2a)	<b>5</b>	<b>103</b>
	<b>6</b> Total number of volunteers (estimate if necessary)	<b>6</b>	<b>300</b>
	<b>7a</b> Total unrelated business revenue from Part VIII, column (C), line 12	<b>7a</b>	<b>0.</b>
<b>b</b> Net unrelated business taxable income from Form 990-T, line 34	<b>7b</b>	<b>0.</b>	
<b>Revenue</b>	<b>8</b> Contributions and grants (Part VIII, line 1h)	<b>Prior Year</b>	<b>Current Year</b>
	<b>9</b> Program service revenue (Part VIII, line 2g)	<b>210,161.</b>	<b>301,581.</b>
	<b>10</b> Investment income (Part VIII, column (A), lines 3, 4, and 7d)	<b>1,131,005.</b>	<b>1,211,923.</b>
	<b>11</b> Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e)	<b>5.</b>	<b>23.</b>
	<b>12</b> Total revenue - add lines 8 through 11 (must equal Part VIII, column (A), line 12)	<b>74,037.</b>	<b>44,059.</b>
	<b>12</b> Total revenue - add lines 8 through 11 (must equal Part VIII, column (A), line 12)	<b>1,415,208.</b>	<b>1,557,586.</b>
<b>Expenses</b>	<b>13</b> Grants and similar amounts paid (Part IX, column (A), lines 1-3)	<b>0.</b>	<b>0.</b>
	<b>14</b> Benefits paid to or for members (Part IX, column (A), line 4)	<b>0.</b>	<b>0.</b>
	<b>15</b> Salaries, other compensation, employee benefits (Part IX, column (A), lines 5-10)	<b>940,556.</b>	<b>1,032,441.</b>
	<b>16a</b> Professional fundraising fees (Part IX, column (A), line 11e)	<b>0.</b>	<b>0.</b>
	<b>b</b> Total fundraising expenses (Part IX, column (D), line 25) ▶ <b>22,759.</b>		
	<b>17</b> Other expenses (Part IX, column (A), lines 11a-11d, 11f-24e)	<b>445,004.</b>	<b>435,963.</b>
<b>Net Assets or Fund Balances</b>	<b>18</b> Total expenses. Add lines 13-17 (must equal Part IX, column (A), line 25)	<b>1,385,560.</b>	<b>1,468,404.</b>
	<b>19</b> Revenue less expenses. Subtract line 18 from line 12	<b>29,648.</b>	<b>89,182.</b>
	<b>20</b> Total assets (Part X, line 16)	<b>Beginning of Current Year</b>	<b>End of Year</b>
	<b>21</b> Total liabilities (Part X, line 26)	<b>1,387,463.</b>	<b>1,416,527.</b>
<b>22</b> Net assets or fund balances. Subtract line 21 from line 20	<b>220,775.</b>	<b>160,657.</b>	
		<b>1,166,688.</b>	<b>1,255,870.</b>

**Part II Signature Block**

Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete. Declaration of preparer (other than officer) is based on all information of which preparer has any knowledge.

<b>Sign Here</b>	Signature of officer		Date
	<b>Maria Smith, Chief Executive Officer</b>		
<b>Paid Preparer Use Only</b>	Print/Type preparer's name	Preparer's signature	Date
	<b>David L. Smith, CPA</b>		<b>11/30/13</b>
	Firm's name ▶ <b>Russell, Smith &amp; Associates</b>	Firm's EIN	
	Firm's address ▶ <b>4165 Westport Road</b> <b>Louisville, KY 40207</b>	Phone no. <b>502-897-9495</b>	

May the IRS discuss this return with the preparer shown above? (see instructions)

☒ Yes ☐ No

**Part III** Statement of Program Service AccomplishmentsCheck if Schedule O contains a response to any question in this Part III ☐**1** Briefly describe the organization's mission:

To empower individuals with disabilities and their families to lead fulfilled and productive lives. Harbor House empowers individuals through employment, education, and community building opportunities.

**2** Did the organization undertake any significant program services during the year which were not listed on the prior Form 990 or 990-EZ? ☐ Yes ☒ No

If "Yes," describe these new services on Schedule O.

**3** Did the organization cease conducting, or make significant changes in how it conducts, any program services? ☐ Yes ☒ No

If "Yes," describe these changes on Schedule O.

**4** Describe the organization's program service accomplishments for each of its three largest program services, as measured by expenses. Section 501(c)(3) and 501(c)(4) organizations are required to report the amount of grants and allocations to others, the total expenses, and revenue, if any, for each program service reported.

**4a** (Code: ) (Expenses \$ 1,285,422. including grants of \$ ) (Revenue \$ 1,211,923.)  
 Provided support to individuals with disabilities by allowing them to enjoy integration into the community through on-site and community employment, workshops, vocational training, and activities.

**4b** (Code: ) (Expenses \$ including grants of \$ ) (Revenue \$ )

**4c** (Code: ) (Expenses \$ including grants of \$ ) (Revenue \$ )

**4d** Other program services (Describe in Schedule O.)

(Expenses \$ including grants of \$ ) (Revenue \$ )

**4e** Total program service expenses **1,285,422.**

**Part IV Checklist of Required Schedules**

	Yes	No
1 Is the organization described in section 501(c)(3) or 4947(a)(1) (other than a private foundation)? If "Yes," complete Schedule A	X	
2 Is the organization required to complete Schedule B, Schedule of Contributors?	X	
3 Did the organization engage in direct or indirect political campaign activities on behalf of or in opposition to candidates for public office? If "Yes," complete Schedule C, Part I		X
4 <b>Section 501(c)(3) organizations.</b> Did the organization engage in lobbying activities, or have a section 501(h) election in effect during the tax year? If "Yes," complete Schedule C, Part II		X
5 Is the organization a section 501(c)(4), 501(c)(5), or 501(c)(6) organization that receives membership dues, assessments, or similar amounts as defined in Revenue Procedure 98-19? If "Yes," complete Schedule C, Part III		X
6 Did the organization maintain any donor advised funds or any similar funds or accounts for which donors have the right to provide advice on the distribution or investment of amounts in such funds or accounts? If "Yes," complete Schedule D, Part I		X
7 Did the organization receive or hold a conservation easement, including easements to preserve open space, the environment, historic land areas, or historic structures? If "Yes," complete Schedule D, Part II		X
8 Did the organization maintain collections of works of art, historical treasures, or other similar assets? If "Yes," complete Schedule D, Part III		X
9 Did the organization report an amount in Part X, line 21, for escrow or custodial account liability; serve as a custodian for amounts not listed in Part X; or provide credit counseling, debt management, credit repair, or debt negotiation services? If "Yes," complete Schedule D, Part IV		X
10 Did the organization, directly or through a related organization, hold assets in temporarily restricted endowments, permanent endowments, or quasi-endowments? If "Yes," complete Schedule D, Part V		X
11 If the organization's answer to any of the following questions is "Yes," then complete Schedule D, Parts VI, VII, VIII, IX, or X as applicable.		
a Did the organization report an amount for land, buildings, and equipment in Part X, line 10? If "Yes," complete Schedule D, Part VI	X	
b Did the organization report an amount for investments - other securities in Part X, line 12 that is 5% or more of its total assets reported in Part X, line 16? If "Yes," complete Schedule D, Part VII		X
c Did the organization report an amount for investments - program related in Part X, line 13 that is 5% or more of its total assets reported in Part X, line 16? If "Yes," complete Schedule D, Part VIII		X
d Did the organization report an amount for other assets in Part X, line 15 that is 5% or more of its total assets reported in Part X, line 16? If "Yes," complete Schedule D, Part IX		X
e Did the organization report an amount for other liabilities in Part X, line 25? If "Yes," complete Schedule D, Part X	X	
f Did the organization's separate or consolidated financial statements for the tax year include a footnote that addresses the organization's liability for uncertain tax positions under FIN 48 (ASC 740)? If "Yes," complete Schedule D, Part X	X	
12a Did the organization obtain separate, independent audited financial statements for the tax year? If "Yes," complete Schedule D, Parts XI and XII	X	
b Was the organization included in consolidated, independent audited financial statements for the tax year? If "Yes," and if the organization answered "No" to line 12a, then completing Schedule D, Parts XI and XII is optional		X
13 Is the organization a school described in section 170(b)(1)(A)(ii)? If "Yes," complete Schedule E		X
14a Did the organization maintain an office, employees, or agents outside of the United States?		X
b Did the organization have aggregate revenues or expenses of more than \$10,000 from grantmaking, fundraising, business, investment, and program service activities outside the United States, or aggregate foreign investments valued at \$100,000 or more? If "Yes," complete Schedule F, Parts I and IV		X
15 Did the organization report on Part IX, column (A), line 3, more than \$5,000 of grants or assistance to any organization or entity located outside the United States? If "Yes," complete Schedule F, Parts II and IV		X
16 Did the organization report on Part IX, column (A), line 3, more than \$5,000 of aggregate grants or assistance to individuals located outside the United States? If "Yes," complete Schedule F, Parts III and IV		X
17 Did the organization report a total of more than \$15,000 of expenses for professional fundraising services on Part IX, column (A), lines 6 and 11e? If "Yes," complete Schedule G, Part I		X
18 Did the organization report more than \$15,000 total of fundraising event gross income and contributions on Part VIII, lines 1c and 8a? If "Yes," complete Schedule G, Part II	X	
19 Did the organization report more than \$15,000 of gross income from gaming activities on Part VIII, line 9a? If "Yes," complete Schedule G, Part III		X
20a Did the organization operate one or more hospital facilities? If "Yes," complete Schedule H		X
b If "Yes" to line 20a, did the organization attach a copy of its audited financial statements to this return?		

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**Part IV Checklist of Required Schedules** (continued)

	Yes	No
<b>21</b> Did the organization report more than \$5,000 of grants and other assistance to any government or organization in the United States on Part IX, column (A), line 1? If "Yes," complete Schedule I, Parts I and II		X
<b>22</b> Did the organization report more than \$5,000 of grants and other assistance to individuals in the United States on Part IX, column (A), line 2? If "Yes," complete Schedule I, Parts I and III		X
<b>23</b> Did the organization answer "Yes" to Part VII, Section A, line 3, 4, or 5 about compensation of the organization's current and former officers, directors, trustees, key employees, and highest compensated employees? If "Yes," complete Schedule J		X
<b>24a</b> Did the organization have a tax-exempt bond issue with an outstanding principal amount of more than \$100,000 as of the last day of the year, that was issued after December 31, 2002? If "Yes," answer lines 24b through 24d and complete Schedule K. If "No," go to line 25		X
<b>b</b> Did the organization invest any proceeds of tax-exempt bonds beyond a temporary period exception?		
<b>c</b> Did the organization maintain an escrow account other than a refunding escrow at any time during the year to defease any tax-exempt bonds?		
<b>d</b> Did the organization act as an "on behalf of" issuer for bonds outstanding at any time during the year?		
<b>25a</b> <b>Section 501(c)(3) and 501(c)(4) organizations.</b> Did the organization engage in an excess benefit transaction with a disqualified person during the year? If "Yes," complete Schedule L, Part I		X
<b>b</b> Is the organization aware that it engaged in an excess benefit transaction with a disqualified person in a prior year, and that the transaction has not been reported on any of the organization's prior Forms 990 or 990-EZ? If "Yes," complete Schedule L, Part I		X
<b>26</b> Was a loan to or by a current or former officer, director, trustee, key employee, highest compensated employee, or disqualified person outstanding as of the end of the organization's tax year? If "Yes," complete Schedule L, Part II		X
<b>27</b> Did the organization provide a grant or other assistance to an officer, director, trustee, key employee, substantial contributor or employee thereof, a grant selection committee member, or to a 35% controlled entity or family member of any of these persons? If "Yes," complete Schedule L, Part III		X
<b>28</b> Was the organization a party to a business transaction with one of the following parties (see Schedule L, Part IV instructions for applicable filing thresholds, conditions, and exceptions):		
<b>a</b> A current or former officer, director, trustee, or key employee? If "Yes," complete Schedule L, Part IV		X
<b>b</b> A family member of a current or former officer, director, trustee, or key employee? If "Yes," complete Schedule L, Part IV		X
<b>c</b> An entity of which a current or former officer, director, trustee, or key employee (or a family member thereof) was an officer, director, trustee, or direct or indirect owner? If "Yes," complete Schedule L, Part IV		X
<b>29</b> Did the organization receive more than \$25,000 in non-cash contributions? If "Yes," complete Schedule M	X	
<b>30</b> Did the organization receive contributions of art, historical treasures, or other similar assets, or qualified conservation contributions? If "Yes," complete Schedule M		X
<b>31</b> Did the organization liquidate, terminate, or dissolve and cease operations? If "Yes," complete Schedule N, Part I		X
<b>32</b> Did the organization sell, exchange, dispose of, or transfer more than 25% of its net assets? If "Yes," complete Schedule N, Part II		X
<b>33</b> Did the organization own 100% of an entity disregarded as separate from the organization under Regulations sections 301.7701-2 and 301.7701-3? If "Yes," complete Schedule R, Part I		X
<b>34</b> Was the organization related to any tax-exempt or taxable entity? If "Yes," complete Schedule R, Part II, III, or IV, and Part V, line 1		X
<b>35a</b> Did the organization have a controlled entity within the meaning of section 512(b)(13)?		X
<b>b</b> If "Yes" to line 35a, did the organization receive any payment from or engage in any transaction with a controlled entity within the meaning of section 512(b)(13)? If "Yes," complete Schedule R, Part V, line 2		
<b>36</b> <b>Section 501(c)(3) organizations.</b> Did the organization make any transfers to an exempt non-charitable related organization? If "Yes," complete Schedule R, Part V, line 2		X
<b>37</b> Did the organization conduct more than 5% of its activities through an entity that is not a related organization and that is treated as a partnership for federal income tax purposes? If "Yes," complete Schedule R, Part VI		X
<b>38</b> Did the organization complete Schedule O and provide explanations in Schedule O for Part VI, lines 11b and 19?	X	

Note. All Form 990 filers are required to complete Schedule O

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**Part V** Statements Regarding Other IRS Filings and Tax ComplianceCheck if Schedule O contains a response to any question in this Part V ☐

	1a	1b	1c	2a	2b	3a	3b	4a	4b	5a	5b	5c	6a	6b	7a	7b	7c	7d	7e	7f	7g	7h	8	9a	9b	10a	10b	11a	11b	12a	12b	13a	13b	13c	14a	14b
<b>1a</b> Enter the number reported in Box 3 of Form 1096. Enter -0- if not applicable	8																																			
<b>b</b> Enter the number of Forms W-2G included in line 1a. Enter -0- if not applicable		0																																		
<b>c</b> Did the organization comply with backup withholding rules for reportable payments to vendors and reportable gaming (gambling) winnings to prize winners?			X																																	
<b>2a</b> Enter the number of employees reported on Form W-3, Transmittal of Wage and Tax Statements, filed for the calendar year ending with or within the year covered by this return		103																																		
<b>b</b> If at least one is reported on line 2a, did the organization file all required federal employment tax returns? <b>Note.</b> If the sum of lines 1a and 2a is greater than 250, you may be required to e-file (see instructions)			X																																	
<b>3a</b> Did the organization have unrelated business gross income of \$1,000 or more during the year?																																				
<b>b</b> If "Yes," has it filed a Form 990-T for this year? If "No," provide an explanation in Schedule O																																				
<b>4a</b> At any time during the calendar year, did the organization have an interest in, or a signature or other authority over, a financial account in a foreign country (such as a bank account, securities account, or other financial account)?																																				
<b>b</b> If "Yes," enter the name of the foreign country: See instructions for filing requirements for Form TD F 90-22.1, Report of Foreign Bank and Financial Accounts.																																				
<b>5a</b> Was the organization a party to a prohibited tax shelter transaction at any time during the tax year?																																				
<b>b</b> Did any taxable party notify the organization that it was or is a party to a prohibited tax shelter transaction?																																				
<b>c</b> If "Yes," to line 5a or 5b, did the organization file Form 8886-T?																																				
<b>6a</b> Does the organization have annual gross receipts that are normally greater than \$100,000, and did the organization solicit any contributions that were not tax deductible as charitable contributions?																																				
<b>b</b> If "Yes," did the organization include with every solicitation an express statement that such contributions or gifts were not tax deductible?																																				
<b>7 Organizations that may receive deductible contributions under section 170(c).</b>																																				
<b>a</b> Did the organization receive a payment in excess of \$75 made partly as a contribution and partly for goods and services provided to the payor?																																				
<b>b</b> If "Yes," did the organization notify the donor of the value of the goods or services provided?																																				
<b>c</b> Did the organization sell, exchange, or otherwise dispose of tangible personal property for which it was required to file Form 8822?																																				
<b>d</b> If "Yes," indicate the number of Forms 8822 filed during the year																																				
<b>e</b> Did the organization receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?																																				
<b>f</b> Did the organization, during the year, pay premiums, directly or indirectly, on a personal benefit contract?																																				
<b>g</b> If the organization received a contribution of qualified intellectual property, did the organization file Form 8899 as required?																																				
<b>h</b> If the organization received a contribution of cars, boats, airplanes, or other vehicles, did the organization file a Form 1098-C?																																				
<b>8 Sponsoring organizations maintaining donor advised funds and section 509(a)(3) supporting organizations.</b> Did the supporting organization, or a donor advised fund maintained by a sponsoring organization, have excess business holdings at any time during the year?																																				
<b>9 Sponsoring organizations maintaining donor advised funds.</b>																																				
<b>a</b> Did the organization make any taxable distributions under section 4966?																																				
<b>b</b> Did the organization make a distribution to a donor, donor advisor, or related person?																																				
<b>10 Section 501(c)(7) organizations.</b> Enter:																																				
<b>a</b> Initiation fees and capital contributions included on Part VIII, line 12																																				
<b>b</b> Gross receipts, included on Form 990, Part VIII, line 12, for public use of club facilities																																				
<b>11 Section 501(c)(12) organizations.</b> Enter:																																				
<b>a</b> Gross income from members or shareholders																																				
<b>b</b> Gross income from other sources (Do not net amounts due or paid to other sources against amounts due or received from them.)																																				
<b>12a Section 4947(a)(1) non-exempt charitable trusts.</b> Is the organization filing Form 990 in lieu of Form 1041?																																				
<b>b</b> If "Yes," enter the amount of tax-exempt interest received or accrued during the year																																				
<b>13 Section 501(c)(29) qualified nonprofit health insurance issuers.</b>																																				
<b>a</b> Is the organization licensed to issue qualified health plans in more than one state? <b>Note.</b> See the instructions for additional information the organization must report on Schedule O.																																				
<b>b</b> Enter the amount of reserves the organization is required to maintain by the states in which the organization is licensed to issue qualified health plans																																				
<b>c</b> Enter the amount of reserves on hand																																				
<b>14a</b> Did the organization receive any payments for indoor tanning services during the tax year?																																				
<b>b</b> If "Yes," has it filed a Form 720 to report these payments? If "No," provide an explanation in Schedule O																																				

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**Part VI Governance, Management, and Disclosure** For each "Yes" response to lines 2 through 7b below, and for a "No" response to line 8a, 8b, or 10b below, describe the circumstances, processes, or changes in Schedule O. See instructions.Check if Schedule O contains a response to any question in this Part VI ☒**Section A. Governing Body and Management**

	Yes	No
<b>1a</b> Enter the number of voting members of the governing body at the end of the tax year ..... <b>17</b> If there are material differences in voting rights among members of the governing body, or if the governing body delegated broad authority to an executive committee or similar committee, explain in Schedule O.		
<b>b</b> Enter the number of voting members included in line 1a, above, who are independent ..... <b>17</b>		
<b>2</b> Did any officer, director, trustee, or key employee have a family relationship or a business relationship with any other officer, director, trustee, or key employee? .....		X
<b>3</b> Did the organization delegate control over management duties customarily performed by or under the direct supervision of officers, directors, or trustees, or key employees to a management company or other person? .....		X
<b>4</b> Did the organization make any significant changes to its governing documents since the prior Form 990 was filed? .....		X
<b>5</b> Did the organization become aware during the year of a significant diversion of the organization's assets? .....		X
<b>6</b> Did the organization have members or stockholders? .....		X
<b>7a</b> Did the organization have members, stockholders, or other persons who had the power to elect or appoint one or more members of the governing body? .....		X
<b>b</b> Are any governance decisions of the organization reserved to (or subject to approval by) members, stockholders, or persons other than the governing body? .....		X
<b>8</b> Did the organization contemporaneously document the meetings held or written actions undertaken during the year by the following:		
<b>a</b> The governing body? .....	X	
<b>b</b> Each committee with authority to act on behalf of the governing body? .....	X	
<b>9</b> Is there any officer, director, trustee, or key employee listed in Part VII, Section A, who cannot be reached at the organization's mailing address? If "Yes," provide the names and addresses in Schedule O .....		X

**Section B. Policies** (This Section B requests information about policies not required by the Internal Revenue Code.)

	Yes	No
<b>10a</b> Did the organization have local chapters, branches, or affiliates? .....		X
<b>b</b> If "Yes," did the organization have written policies and procedures governing the activities of such chapters, affiliates, and branches to ensure their operations are consistent with the organization's exempt purposes? .....		
<b>11a</b> Has the organization provided a complete copy of this Form 990 to all members of its governing body before filing the form? .....	X	
<b>b</b> Describe in Schedule O the process, if any, used by the organization to review this Form 990.		
<b>12a</b> Did the organization have a written conflict of interest policy? If "No," go to line 13 .....	X	
<b>b</b> Were officers, directors, or trustees, and key employees required to disclose annually interests that could give rise to conflicts? .....	X	
<b>c</b> Did the organization regularly and consistently monitor and enforce compliance with the policy? If "Yes," describe in Schedule O how this was done .....	X	
<b>13</b> Did the organization have a written whistleblower policy? .....	X	
<b>14</b> Did the organization have a written document retention and destruction policy? .....	X	
<b>15</b> Did the process for determining compensation of the following persons include a review and approval by independent persons, comparability data, and contemporaneous substantiation of the deliberation and decision?		
<b>a</b> The organization's CEO, Executive Director, or top management official .....	X	
<b>b</b> Other officers or key employees of the organization .....	X	
If "Yes" to line 15a or 15b, describe the process in Schedule O (see instructions).		
<b>16a</b> Did the organization invest in, contribute assets to, or participate in a joint venture or similar arrangement with a taxable entity during the year? .....		X
<b>b</b> If "Yes," did the organization follow a written policy or procedure requiring the organization to evaluate its participation in joint venture arrangements under applicable federal tax law, and take steps to safeguard the organization's exempt status with respect to such arrangements? .....		

**Section C. Disclosure**

**17** List the states with which a copy of this Form 990 is required to be filed **KY**

**18** Section 6104 requires an organization to make its Forms 1023 (or 1024 if applicable), 990, and 990-T (Section 501(c)(3)s only) available for public inspection. Indicate how you made these available. Check all that apply.  
☒ Own website ☒ Another's website ☒ Upon request ☐ Other (explain in Schedule O)

**19** Describe in Schedule O whether (and if so, how), the organization made its governing documents, conflict of interest policy, and financial statements available to the public during the tax year.

**20** State the name, physical address, and telephone number of the person who possesses the books and records of the organization: **The Organization - 502-719-0072**  
**2231 Lower Hunters Trace, Louisville, KY 40216**

**Part VII Compensation of Officers, Directors, Trustees, Key Employees, Highest Compensated Employees, and Independent Contractors**Check if Schedule O contains a response to any question in this Part VII ☐**Section A. Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees****1a** Complete this table for all persons required to be listed. Report compensation for the calendar year ending with or within the organization's tax year.

- List all of the organization's **current** officers, directors, trustees (whether individuals or organizations), regardless of amount of compensation. Enter -0- in columns (D), (E), and (F) if no compensation was paid.

- List all of the organization's **current** key employees, if any. See instructions for definition of "key employee."

- List the organization's five **current** highest compensated employees (other than an officer, director, trustee, or key employee) who received reportable compensation (Box 5 of Form W-2 and/or Box 7 of Form 1099-MISC) of more than \$100,000 from the organization and any related organizations.

- List all of the organization's **former** officers, key employees, and highest compensated employees who received more than \$100,000 of reportable compensation from the organization and any related organizations.

- List all of the organization's **former** directors or trustees that received, in the capacity as a former director or trustee of the organization, more than \$10,000 of reportable compensation from the organization and any related organizations.

List persons in the following order: individual trustees or directors; institutional trustees; officers; key employees; highest compensated employees; and former such persons.

☐ Check this box if neither the organization nor any related organization compensated any current officer, director, or trustee.

(A) Name and Title	(B) Average hours per week (list any hours for related organizations below line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)						(D) Reportable compensation from the organization (W-2/1099-MISC)	(E) Reportable compensation from related organizations (W-2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Institutional trustee	Officer	Key employee	Highest compensated employee	Former			
(1) Christian Moore Board member	1.00	X						0.	0.	0.
(2) Patrick Fallon Board member	1.00	X						0.	0.	0.
(3) Pat Franc Board member	1.00	X						0.	0.	0.
(4) Rick Farrar Board member	1.00	X						0.	0.	0.
(5) Glenn Jennings Board member	1.00	X						0.	0.	0.
(6) David Jett Board member	1.00	X						0.	0.	0.
(7) Wayne Thieneman Board member	1.00	X						0.	0.	0.
(8) Pat McDonald Board member	1.00	X						0.	0.	0.
(9) Dan Neal Board member	1.00	X						0.	0.	0.
(10) Jim Morris Board member	1.00	X						0.	0.	0.
(11) Michael Valenti Board member	1.00	X						0.	0.	0.
(12) Phil Stuecker Board member	1.00	X						0.	0.	0.
(13) John Zoeller Board member	1.00	X						0.	0.	0.
(14) Roger Lemaster Board member	1.00	X						0.	0.	0.
(15) Reba Doutrick Board member	1.00	X						0.	0.	0.
(16) Alicia Heazlitt Board member	1.00	X						0.	0.	0.
(17) Rene Kesterson Board member	1.00	X						0.	0.	0.

(A) Name and title	(B) Average hours per week (list any hours for related organizations below line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)						(D) Reportable compensation from the organization (W-2/1099-MISC)	(E) Reportable compensation from related organizations (W-2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Institutional trustee	Officer	Key employee	Highest compensated employee	Former			
(18) Maria Smith Chief Executive Officer	40.00			X				104,515.	0.	3,873.
(19) Phil Kremer Chief Operating Officer	40.00			X				62,301.	0.	2,821.
<b>1b Sub-total</b>								166,816.	0.	6,694.
<b>c Total from continuation sheets to Part VII, Section A</b>								0.	0.	0.
<b>d Total (add lines 1b and 1c)</b>								166,816.	0.	6,694.

2	Total number of individuals (including but not limited to those listed above) who received more than \$100,000 of reportable compensation from the organization	1
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		Yes	No
3	Did the organization list any <b>former</b> officer, director, or trustee, key employee, or highest compensated employee on line 1a? If "Yes," complete Schedule J for such individual .....	3	X
4	For any individual listed on line 1a, is the sum of reportable compensation and other compensation from the organization and related organizations greater than \$150,000? If "Yes," complete Schedule J for such individual .....	4	X
5	Did any person listed on line 1a receive or accrue compensation from any unrelated organization or individual for services rendered to the organization? If "Yes," complete Schedule J for such person .....	5	X

<b>1</b> Complete this table for your five highest compensated independent contractors that received more than \$100,000 of compensation from the organization. Report compensation for the calendar year ending with or within the organization's tax year.		
<b>(A)</b> Name and business address	<b>(B)</b> Description of services	<b>(C)</b> Compensation
NONE		
<b>2</b> Total number of independent contractors (including but not limited to those listed above) who received more than \$100,000 of compensation from the organization ►		0

**Part VIII** Statement of RevenueCheck if Schedule O contains a response to any question in this Part VIII ☐

				(A) Total revenue	(B) Related or exempt function revenue	(C) Unrelated business revenue	(D) Revenue excluded from tax under sections 512, 513, or 514
<b>Contributions, Gifts, Grants and Other Similar Amounts</b>	1 a Federated campaigns	1a					
	b Membership dues	1b					
	c Fundraising events	1c					
	d Related organizations	1d					
	e Government grants (contributions)	1e	16,500.				
	f All other contributions, gifts, grants, and similar amounts not included above	1f	285,081.				
	g Noncash contributions included in lines 1a-1f: \$		36,627.				
	<b>h Total. Add lines 1a-1f</b>			301,581.			
<b>Program Service Revenue</b>	2 a <u>Medicaid reimbursement</u>	Business Code	900099	977,293.	977,293.		
	b <u>Mail fulfillment</u>		900099	221,612.	221,612.		
	c <u>Tuition and fees</u>		900099	13,018.	13,018.		
	d						
	e						
	f All other program service revenue						
	<b>g Total. Add lines 2a-2f</b>			1,211,923.			
	<b>Other Revenue</b>	3 Investment income (including dividends, interest, and other similar amounts)			23.		
4 Income from investment of tax-exempt bond proceeds							
5 Royalties							
6 a Gross rents		(i) Real	(ii) Personal				
b Less: rental expenses							
c Rental income or (loss)							
d Net rental income or (loss)							
7 a Gross amount from sales of assets other than inventory		(i) Securities	(ii) Other				
b Less: cost or other basis and sales expenses							
c Gain or (loss)							
d Net gain or (loss)							
8 a Gross income from fundraising events (not including \$ _____ of contributions reported on line 1c). See Part IV, line 18		a		157,633.			
b Less: direct expenses		b		113,574.			
c Net income or (loss) from fundraising events				44,059.			44,059.
9 a Gross income from gaming activities. See Part IV, line 19		a					
b Less: direct expenses		b					
c Net income or (loss) from gaming activities							
10 a Gross sales of inventory, less returns and allowances		a					
b Less: cost of goods sold		b					
c Net income or (loss) from sales of inventory							
<b>Miscellaneous Revenue</b>			Business Code				
11 a							
b							
c							
d All other revenue							
<b>e Total. Add lines 11a-11d</b>							
<b>12 Total revenue. See instructions.</b>				1,557,586.	1,211,923.	0.	44,082.

**Part IX Statement of Functional Expenses**

Section 501(c)(3) and 501(c)(4) organizations must complete all columns. All other organizations must complete column (A).

Check if Schedule O contains a response to any question in this Part IX ☐

Do not include amounts reported on lines 6b, 7b, 8b, 9b, and 10b of Part VIII.	(A) Total expenses	(B) Program service expenses	(C) Management and general expenses	(D) Fundraising expenses
1 Grants and other assistance to governments and organizations in the United States. See Part IV, line 21				
2 Grants and other assistance to individuals in the United States. See Part IV, line 22				
3 Grants and other assistance to governments, organizations, and individuals outside the United States. See Part IV, lines 15 and 16				
4 Benefits paid to or for members				
5 Compensation of current officers, directors, trustees, and key employees	166,816.	153,471.	11,677.	1,668.
6 Compensation not included above, to disqualified persons (as defined under section 4958(f)(1)) and persons described in section 4958(c)(3)(B)				
7 Other salaries and wages	721,575.	663,849.	50,510.	7,216.
8 Pension plan accruals and contributions (include section 401(k) and 403(b) employer contributions)	15,862.	14,593.	1,110.	159.
9 Other employee benefits	63,469.	58,392.	4,443.	634.
10 Payroll taxes	64,719.	59,541.	4,530.	648.
11 Fees for services (non-employees):				
a Management				
b Legal				
c Accounting	5,600.	2,912.	2,688.	
d Lobbying				
e Professional fundraising services. See Part IV, line 17				
f Investment management fees				
g Other. (If line 11g amount exceeds 10% of line 25, column (A) amount, list line 11g expenses on Sch O.)	59,464.	30,921.	28,543.	
12 Advertising and promotion	14,907.	5,963.		8,944.
13 Office expenses	122,532.	91,600.	28,226.	2,706.
14 Information technology	11,812.	9,718.	2,094.	
15 Royalties				
16 Occupancy	24,142.	21,048.	2,898.	196.
17 Travel	29,396.	22,929.	5,879.	588.
18 Payments of travel or entertainment expenses for any federal, state, or local public officials				
19 Conferences, conventions, and meetings				
20 Interest				
21 Payments to affiliates				
22 Depreciation, depletion, and amortization	62,119.	62,119.		
23 Insurance	26,698.	18,689.	8,009.	
24 Other expenses. Itemize expenses not covered above. (List miscellaneous expenses in line 24e. If line 24e amount exceeds 10% of line 25, column (A) amount, list line 24e expenses on Schedule O.)				
a Healthcare provider tax	33,627.	33,627.		
b Meals and entertainment	19,687.	15,750.	3,937.	
c Bad debts	14,804.	14,804.		
d Training	6,175.	5,496.	679.	
e All other expenses	5,000.		5,000.	
25 Total functional expenses. Add lines 1 through 24e	1,468,404.	1,285,422.	160,223.	22,759.
26 Joint costs. Complete this line only if the organization reported in column (B) joint costs from a combined educational campaign and fundraising solicitation.				

Check here ☐ if following SOP 98-2 (ASC 958-720)

**Part X Balance Sheet**Check if Schedule O contains a response to any question in this Part X ☐

		(A) Beginning of year		(B) End of year
<b>Assets</b>	1 Cash - non-interest-bearing	3,514.	1	6,653.
	2 Savings and temporary cash investments	7,593.	2	16,763.
	3 Pledges and grants receivable, net	108,569.	3	140,943.
	4 Accounts receivable, net	95,305.	4	152,486.
	5 Loans and other receivables from current and former officers, directors, trustees, key employees, and highest compensated employees. Complete Part II of Schedule L		5	
	6 Loans and other receivables from other disqualified persons (as defined under section 4958(f)(1)), persons described in section 4958(c)(3)(B), and contributing employers and sponsoring organizations of section 501(c)(9) voluntary employees' beneficiary organizations (see instr). Complete Part II of Sch L		6	
	7 Notes and loans receivable, net		7	
	8 Inventories for sale or use		8	
	9 Prepaid expenses and deferred charges	23,602.	9	20,170.
	10a Land, buildings, and equipment: cost or other basis. Complete Part VI of Schedule D	10a 1,683,502.		
	b Less: accumulated depreciation	10b 603,990.		
		1,117,938.	10c	1,079,512.
	11 Investments - publicly traded securities		11	
	12 Investments - other securities. See Part IV, line 11		12	
	13 Investments - program-related. See Part IV, line 11		13	
	14 Intangible assets		14	
15 Other assets. See Part IV, line 11	30,942.	15	0.	
16 <b>Total assets.</b> Add lines 1 through 15 (must equal line 34)	1,387,463.	16	1,416,527.	
<b>Liabilities</b>	17 Accounts payable and accrued expenses	54,142.	17	52,897.
	18 Grants payable		18	
	19 Deferred revenue	475.	19	27,480.
	20 Tax-exempt bond liabilities		20	
	21 Escrow or custodial account liability. Complete Part IV of Schedule D		21	
	22 Loans and other payables to current and former officers, directors, trustees, key employees, highest compensated employees, and disqualified persons. Complete Part II of Schedule L		22	
	23 Secured mortgages and notes payable to unrelated third parties	150,788.	23	61,972.
	24 Unsecured notes and loans payable to unrelated third parties		24	
	25 Other liabilities (including federal income tax, payables to related third parties, and other liabilities not included on lines 17-24). Complete Part X of Schedule D	15,370.	25	18,308.
	26 <b>Total liabilities.</b> Add lines 17 through 25	220,775.	26	160,657.
<b>Net Assets or Fund Balances</b>	<b>Organizations that follow SFAS 117 (ASC 958), check here <input checked="" type="checkbox"/> and complete lines 27 through 29, and lines 33 and 34.</b>			
	27 Unrestricted net assets	1,047,177.	27	1,129,927.
	28 Temporarily restricted net assets	119,511.	28	125,943.
	29 Permanently restricted net assets		29	
	<b>Organizations that do not follow SFAS 117 (ASC 958), check here <input type="checkbox"/> and complete lines 30 through 34.</b>			
	30 Capital stock or trust principal, or current funds		30	
	31 Paid-in or capital surplus, or land, building, or equipment fund		31	
	32 Retained earnings, endowment, accumulated income, or other funds		32	
	33 <b>Total net assets or fund balances</b>	1,166,688.	33	1,255,870.
	34 <b>Total liabilities and net assets/fund balances</b>	1,387,463.	34	1,416,527.

Form 990 (2012)

**Part XI Reconciliation of Net Assets**Check if Schedule O contains a response to any question in this Part XI ☐

1	Total revenue (must equal Part VIII, column (A), line 12)	1	1,557,586.
2	Total expenses (must equal Part IX, column (A), line 25)	2	1,468,404.
3	Revenue less expenses. Subtract line 2 from line 1	3	89,182.
4	Net assets or fund balances at beginning of year (must equal Part X, line 33, column (A))	4	1,166,688.
5	Net unrealized gains (losses) on investments	5	
6	Donated services and use of facilities	6	
7	Investment expenses	7	
8	Prior period adjustments	8	
9	Other changes in net assets or fund balances (explain in Schedule O)	9	0.
10	Net assets or fund balances at end of year. Combine lines 3 through 9 (must equal Part X, line 33, column (B))	10	1,255,870.

**Part XII Financial Statements and Reporting**Check if Schedule O contains a response to any question in this Part XII ☐1 Accounting method used to prepare the Form 990: ☐ Cash ☒ Accrual ☐ Other

If the organization changed its method of accounting from a prior year or checked "Other," explain in Schedule O.

2a Were the organization's financial statements compiled or reviewed by an independent accountant?

If "Yes," check a box below to indicate whether the financial statements for the year were compiled or reviewed on a separate basis, consolidated basis, or both:

☐ Separate basis ☐ Consolidated basis ☐ Both consolidated and separate basis

b Were the organization's financial statements audited by an independent accountant?

If "Yes," check a box below to indicate whether the financial statements for the year were audited on a separate basis, consolidated basis, or both:

☒ Separate basis ☐ Consolidated basis ☐ Both consolidated and separate basis

c If "Yes" to line 2a or 2b, does the organization have a committee that assumes responsibility for oversight of the audit, review, or compilation of its financial statements and selection of an independent accountant?

If the organization changed either its oversight process or selection process during the tax year, explain in Schedule O.

3a As a result of a federal award, was the organization required to undergo an audit or audits as set forth in the Single Audit Act and OMB Circular A-133?

b If "Yes," did the organization undergo the required audit or audits? If the organization did not undergo the required audit or audits, explain why in Schedule O and describe any steps taken to undergo such audits

	Yes	No
2a		X
2b	X	
2c	X	
3a		X
3b		

Form 990 (2012)



**SCHEDULE A**  
(Form 990 or 990-EZ)

Department of the Treasury  
Internal Revenue Service

**Public Charity Status and Public Support**

Complete if the organization is a section 501(c)(3) organization or a section 4947(a)(1) nonexempt charitable trust.

▶ Attach to Form 990 or Form 990-EZ. ▶ See separate instructions.

OMB No. 1545-0047

**2012**

Open to Public  
Inspection

Name of the organization

Harbor House of Louisville, Inc.

Employer identification number

**Part I Reason for Public Charity Status** (All organizations must complete this part.) See instructions.

The organization is not a private foundation because it is: (For lines 1 through 11, check only one box.)

- 1 ☐ A church, convention of churches, or association of churches described in section 170(b)(1)(A)(i).
- 2 ☐ A school described in section 170(b)(1)(A)(ii). (Attach Schedule E.)
- 3 ☐ A hospital or a cooperative hospital service organization described in section 170(b)(1)(A)(iii).
- 4 ☐ A medical research organization operated in conjunction with a hospital described in section 170(b)(1)(A)(iii). Enter the hospital's name, city, and state: \_\_\_\_\_
- 5 ☐ An organization operated for the benefit of a college or university owned or operated by a governmental unit described in section 170(b)(1)(A)(iv). (Complete Part II.)
- 6 ☐ A federal, state, or local government or governmental unit described in section 170(b)(1)(A)(v).
- 7 ☐ An organization that normally receives a substantial part of its support from a governmental unit or from the general public described in section 170(b)(1)(A)(vi). (Complete Part II.)
- 8 ☐ A community trust described in section 170(b)(1)(A)(vi). (Complete Part II.)
- 9 ☒ An organization that normally receives: (1) more than 33 1/3% of its support from contributions, membership fees, and gross receipts from activities related to its exempt functions - subject to certain exceptions, and (2) no more than 33 1/3% of its support from gross investment income and unrelated business taxable income (less section 511 tax) from businesses acquired by the organization after June 30, 1975. See section 509(a)(2). (Complete Part III.)
- 10 ☐ An organization organized and operated exclusively to test for public safety. See section 509(a)(4).
- 11 ☐ An organization organized and operated exclusively for the benefit of, to perform the functions of, or to carry out the purposes of one or more publicly supported organizations described in section 509(a)(1) or section 509(a)(2). See section 509(a)(3). Check the box that describes the type of supporting organization and complete lines 11e through 11h.
  - a ☐ Type I      b ☐ Type II      c ☐ Type III - Functionally integrated      d ☐ Type III - Non-functionally integrated
- e ☐ By checking this box, I certify that the organization is not controlled directly or indirectly by one or more disqualified persons other than foundation managers and other than one or more publicly supported organizations described in section 509(a)(1) or section 509(a)(2).
- f If the organization received a written determination from the IRS that it is a Type I, Type II, or Type III supporting organization, check this box ☐
- g Since August 17, 2006, has the organization accepted any gift or contribution from any of the following persons?
 

	Yes	No
(i) A person who directly or indirectly controls, either alone or together with persons described in (ii) and (iii) below, the governing body of the supported organization?		
(ii) A family member of a person described in (i) above?		
(iii) A 35% controlled entity of a person described in (i) or (ii) above?		
- h Provide the following information about the supported organization(s).

(i) Name of supported organization	(ii) EIN	(iii) Type of organization (described on lines 1-9 above or IRC section (see instructions))	(iv) Is the organization in col. (i) listed in your governing document?		(v) Did you notify the organization in col. (i) of your support?		(vi) Is the organization in col. (i) organized in the U.S.?		(vii) Amount of monetary support
			Yes	No	Yes	No	Yes	No	
<b>Total</b>									

LHA For Paperwork Reduction Act Notice, see the Instructions for Form 990 or 990-EZ.

Schedule A (Form 990 or 990-EZ) 2012

232021  
12-04-12

**Part II Support Schedule for Organizations Described in Sections 170(b)(1)(A)(iv) and 170(b)(1)(A)(vi)**

(Complete only if you checked the box on line 5, 7, or 8 of Part I or if the organization failed to qualify under Part III. If the organization fails to qualify under the tests listed below, please complete Part III.)

**Section A. Public Support**

Calendar year (or fiscal year beginning in) ▶	(a) 2008	(b) 2009	(c) 2010	(d) 2011	(e) 2012	(f) Total
1 Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grants.") .....						
2 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf .....						
3 The value of services or facilities furnished by a governmental unit to the organization without charge .....						
4 <b>Total.</b> Add lines 1 through 3 .....						
5 The portion of total contributions by each person (other than a governmental unit or publicly supported organization) included on line 1 that exceeds 2% of the amount shown on line 11, column (f) .....						
6 <b>Public support.</b> Subtract line 5 from line 4.						

**Section B. Total Support**

Calendar year (or fiscal year beginning in) ▶	(a) 2008	(b) 2009	(c) 2010	(d) 2011	(e) 2012	(f) Total
7 Amounts from line 4 .....						
8 Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources .....						
9 Net income from unrelated business activities, whether or not the business is regularly carried on .....						
10 Other income. Do not include gain or loss from the sale of capital assets (Explain in Part IV.) .....						
11 <b>Total support.</b> Add lines 7 through 10						
12 Gross receipts from related activities, etc. (see instructions) .....					12	
13 <b>First five years.</b> If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and stop here .....						<input type="checkbox"/>

**Section C. Computation of Public Support Percentage**

14 Public support percentage for 2012 (line 6, column (f) divided by line 11, column (f)) .....	14	%
15 Public support percentage from 2011 Schedule A, Part II, line 14 .....	15	%
16a <b>33 1/3% support test - 2012.</b> If the organization did not check the box on line 13, and line 14 is 33 1/3% or more, check this box and stop here. The organization qualifies as a publicly supported organization .....		<input type="checkbox"/>
b <b>33 1/3% support test - 2011.</b> If the organization did not check a box on line 13 or 16a, and line 15 is 33 1/3% or more, check this box and stop here. The organization qualifies as a publicly supported organization .....		<input type="checkbox"/>
17a <b>10% -facts-and-circumstances test - 2012.</b> If the organization did not check a box on line 13, 16a, or 16b, and line 14 is 10% or more, and if the organization meets the "facts-and-circumstances" test, check this box and stop here. Explain in Part IV how the organization meets the "facts-and-circumstances" test. The organization qualifies as a publicly supported organization .....		<input type="checkbox"/>
b <b>10% -facts-and-circumstances test - 2011.</b> If the organization did not check a box on line 13, 16a, 16b, or 17a, and line 15 is 10% or more, and if the organization meets the "facts-and-circumstances" test, check this box and stop here. Explain in Part IV how the organization meets the "facts-and-circumstances" test. The organization qualifies as a publicly supported organization .....		<input type="checkbox"/>
18 <b>Private foundation.</b> If the organization did not check a box on line 13, 16a, 16b, 17a, or 17b, check this box and see instructions .....		<input type="checkbox"/>

Schedule A (Form 990 or 990-EZ) 2012

**Part III Support Schedule for Organizations Described in Section 509(a)(2)**

(Complete only if you checked the box on line 9 of Part I or if the organization failed to qualify under Part II. If the organization fails to qualify under the tests listed below, please complete Part II.)

**Section A. Public Support**

Calendar year (or fiscal year beginning in) ▶	(a) 2008	(b) 2009	(c) 2010	(d) 2011	(e) 2012	(f) Total
1 Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grants.")	355,109.	232,102.	291,131.	210,161.	301,581.	1,390,084.
2 Gross receipts from admissions, merchandise sold or services performed, or facilities furnished in any activity that is related to the organization's tax-exempt purpose	934,059.	1,030,275.	1,040,411.	1,131,005.	1,211,923.	5,347,673.
3 Gross receipts from activities that are not an unrelated trade or business under section 513	146,079.	138,216.	135,140.	177,790.	157,633.	754,858.
4 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf						
5 The value of services or facilities furnished by a governmental unit to the organization without charge						
6 Total. Add lines 1 through 5	1,435,247.	1,400,593.	1,466,682.	1,518,956.	1,671,137.	7,492,615.
7a Amounts included on lines 1, 2, and 3 received from disqualified persons	20,000.	12,000.	47,425.	56,000.	44,758.	180,183.
b Amounts included on lines 2 and 3 received from other than disqualified persons that exceed the greater of \$5,000 or 1% of the amount on line 13 for the year	701,594.	766,478.	774,487.	842,006.	961,369.	4,045,934.
c Add lines 7a and 7b	721,594.	778,478.	821,912.	898,006.	1,006,127.	4,226,117.
8 Public support (Subtract line 7c from line 6.)						3,266,498.

**Section B. Total Support**

Calendar year (or fiscal year beginning in) ▶	(a) 2008	(b) 2009	(c) 2010	(d) 2011	(e) 2012	(f) Total
9 Amounts from line 6	1,435,247.	1,400,593.	1,466,682.	1,518,956.	1,671,137.	7,492,615.
10a Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources	256.	135.	44.	5.	23.	463.
b Unrelated business taxable income (less section 511 taxes) from businesses acquired after June 30, 1975						
c Add lines 10a and 10b	256.	135.	44.	5.	23.	463.
11 Net income from unrelated business activities not included in line 10b, whether or not the business is regularly carried on						
12 Other income. Do not include gain or loss from the sale of capital assets (Explain in Part IV.)						
13 Total support. (Add lines 9, 10c, 11, and 12.)	1,435,503.	1,400,728.	1,466,726.	1,518,961.	1,671,160.	7,493,078.

14 First five years. If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and stop here ☐

**Section C. Computation of Public Support Percentage**

15 Public support percentage for 2012 (line 8, column (f) divided by line 13, column (f))	15	43.59 %
16 Public support percentage from 2011 Schedule A, Part III, line 15	16	55.28 %

**Section D. Computation of Investment Income Percentage**

17 Investment income percentage for 2012 (line 10c, column (f) divided by line 13, column (f))	17	.01 %
18 Investment income percentage from 2011 Schedule A, Part III, line 17	18	.01 %

19a 33 1/3% support tests - 2012. If the organization did not check the box on line 14, and line 15 is more than 33 1/3%, and line 17 is not more than 33 1/3%, check this box and stop here. The organization qualifies as a publicly supported organization ☒

b 33 1/3% support tests - 2011. If the organization did not check a box on line 14 or line 19a, and line 16 is more than 33 1/3%, and line 18 is not more than 33 1/3%, check this box and stop here. The organization qualifies as a publicly supported organization ☐

20 Private foundation. If the organization did not check a box on line 14, 19a, or 19b, check this box and see instructions ☐

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doornish  
AMD

Trey Grayson, Secretary of State  
Received and Filed:  
11/18/2010 12:56 PM  
Fee Receipt: \$16.00

**SECOND AMENDED AND RESTATED  
ARTICLES OF INCORPORATION  
OF HARBOR HOUSE OF LOUISVILLE, INC.**

Know All Persons By These Presents:

That we, the undersigned, have this day voluntarily associated ourselves together for the purposes of forming a non-profit corporation under the laws of the Commonwealth of Kentucky, and to that end do hereby adopt articles of incorporation as follows:

**ARTICLE I  
(Name)**

The name of the corporation is HARBOR HOUSE OF LOUISVILLE, INC. (the "Corporation") and by such name it shall be known as a body corporate and its duration shall be perpetual, and it shall have all powers granted under Kentucky Revised Statutes.

**ARTICLE II  
(Purpose)**

The purpose of the Corporation is:

To engage in and operate a training and development center for adults with Mental Retardation/Developmental Disabilities (MR/DD) emphasizing relationship building and life skills training, including, but not limited to, workshop activities, physical education, therapeutic activities and crafts, for and on behalf of those individuals and to offer recreational, social, cultural and athletic activities.

**ARTICLE III  
(Charitable Organization)**

This corporation is organized exclusively for charitable, educational, and scientific purposes, including for such purposes, the making of distributions to organizations that qualify as exempt organizations under Section 501(c)(3) of the Internal Revenue Code, or corresponding section of any future federal tax code.

ARTICLE IV  
(Registered Office/Principal Office)

The address of the Registered Office of the Corporation in the Commonwealth of Kentucky is 2231 Lower Hunters Trace, Louisville, Kentucky 40216. The name of the Registered Agent of the Corporation is Maria A. Smith. The mailing address of the Corporation's Principal Office is 2231 Lower Hunters Trace, Louisville, Kentucky 40216.

ARTICLE V  
(Directors)

The number of Directors shall be set by the Bylaws of this Corporation.

ARTICLE VI  
(Corporate Powers)

Under the name of the Corporation it may adopt a corporate seal, and it has the power to contract and be contracted with, to sue and be sued, and it may receive, accept, purchase or acquire and hold in any other lawful manner real and personal property, and it may dispose of same by gift, deed, or in any other lawful manner, for the benefit of the Corporation.

ARTICLE VII  
(Not For Profit Status)

The Corporation is not organized for pecuniary profit nor shall it have any power to issue certificates of stock or declare dividends, and no part of its net earnings shall inure to the benefit of any member or director. However, this does not prevent a member or director from being a paid employee of this corporation. The balance, if any of all money received by the Corporation from its operations after the payment in full of all debts and obligations of the corporation, of whatsoever kind and nature, shall be used and distributed exclusively for purposes as enumerated in Article II herein.

ARTICLE VIII  
(Members)

The Corporation formed hereby shall have no capital stock and shall be composed of members rather than shareholders.

ARTICLE IX  
(Classes of Members)

The various classes of members of the Corporation and the requirements for becoming a part thereof, shall be set forth in the Bylaws of the Corporation, as may be amended from time to time.

ARTICLE X  
(Articles/Bylaws-Amendment)

The Articles of Incorporation and Bylaws of the Corporation may be adopted or amended by a two-thirds (2/3) majority vote of the Voting Members of the Corporation in accordance with the procedures set forth in the Bylaws.

ARTICLE XI  
(Termination of Membership)

Membership in the Corporation may be terminated in the manner provided in the Bylaws of the Corporation, and unless otherwise provided in the Bylaws, all rights of a member in the Corporation shall cease on termination of his membership.

ARTICLE XII  
(Removal of Directors)

The Voting Members of the Corporation may remove any director of the Corporation in accordance with the procedures for removal of directors set forth in the Corporation's Bylaws.

**ARTICLE XIII**  
**(No Personal Liability)**

Members, directors, officers and employees of the Corporation shall not be personally liable for any debt or obligation of the Corporation.

**ARTICLE XIV**  
**(Limitation on Activities Related to 501(c)(3) Status)**

No part of the net earnings of the Corporation shall inure to the benefit of, or be distributable to its members, trustees, 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 XIV. No substantial part of the activities of the Corporation shall be the carrying on of propaganda, or otherwise attempting to influence legislation, and the Corporation shall not participate in, or intervene in (including the publishing or distribution of statements) any political campaign on behalf of or in opposition to any candidate for public office. Notwithstanding any other provision of these Articles of Incorporation, and any amendment thereto, the Corporation shall not carry on any other activities not permitted to be carried on (a) by a corporation exempt from federal income tax under Section 501(c)(3) of the Internal Revenue Code, or any corresponding section of any future tax code, or (b) by a corporation, contributions to which are deductible under Section 170(c)(2) of the Internal Revenue Code, or corresponding section of any future federal tax code.


**ARTICLE XV**  
**(Dissolution)**

Upon the dissolution of the Corporation, assets shall be distributed to one or more exempt purposes within the meaning of Section 501(c)(3) of the Internal Revenue Code, or corresponding section of any future tax code, or shall be distributed to the federal government, or

**CERTIFICATION OF ADOPTION**

Julie Greuter  
Secretary of the Corporation

Subscribed and sworn to before me this 11th day of November, 2010, by Julie Guethner, Secretary of the Corporation.

  
Notary Public



## Request for Taxpayer Identification Number and Certification

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

Print or type  
See Specific instructions on page 2.

Name (as shown on your income tax return)

**Harbor House of Louisville, Inc**

Business name, if different from above

Check appropriate box: ☐ Individual/Sole proprietor ☒ Corporation ☐ Partnership

☐ Limited liability company. Enter the tax classification (D=disregarded entity, C=corporation, P=partnership) ▶ .....

☐ Other (see instructions) ▶

☐ Exempt  
payee

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

**2231 Lower Hunters Trace**

City, state, and ZIP code

**Louisville, KY 40218**

Requester's name and address (optional)

List account number(s) here (optional)

### Part I Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. The TIN provided must match the name given on Line 1 to avoid backup withholding. For individuals, this is your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the Part I instructions on page 3. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN* on page 3.

Social security number

or

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

### Part II Certification

Under penalties of perjury, I certify that:

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

**Certification instructions.** You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the Certification, but you must provide your correct TIN. See the instructions on page 4.

Sign  
Here

Signature of  
U.S. person ▶

Date ▶

### General Instructions

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

#### Purpose of Form

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

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

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.

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

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

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

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

The person who gives 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 is in the following cases:

- The U.S. owner of a disregarded entity and not the entity,

- The U.S. grantor or other owner of a grantor trust and not the trust, and
- The U.S. trust (other than a grantor trust) and not the beneficiaries of the trust.

**Foreign person.** If you are a foreign person, do not use Form W-9. Instead, use the appropriate Form W-8 (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 not subject to backup withholding, give the requester the appropriate completed Form W-8.

**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, 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 the instructions below and the separate Instructions for the Requester of Form W-9.

Also see *Special rules for partnerships* on page 1.

## 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

### Name

If you are an individual, you must generally enter the name shown on your income tax return. However, if you have changed your last name, for instance, due to marriage without informing the Social Security Administration of the name change, enter your first name, the last name shown on your social security card, and your new last name.

If the account is in joint names, list first, and then circle, the name of the person or entity whose number you entered in Part I of the form.

**Sole proprietor.** Enter your individual name as shown on your income tax return on the "Name" line. You may enter your business, trade, or "doing business as (DBA)" name on the "Business name" line.

**Limited liability company (LLC).** Check the "Limited liability company" box only and enter the appropriate code for the tax classification ("D" for disregarded entity, "C" for corporation, "P" for partnership) in the space provided.

For a single-member LLC (including a foreign LLC with a domestic owner) that is disregarded as an entity separate from its owner under Regulations section 301.7701-3, enter the owner's name on the "Name" line. Enter the LLC's name on the "Business name" line.

For an LLC classified as a partnership or a corporation, enter the LLC's name on the "Name" line and any business, trade, or DBA name on the "Business name" line.

**Other entities.** Enter your business name as shown on required federal tax documents on the "Name" line. 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 the "Business name" line.

**Note.** You are requested to check the appropriate box for your status (individual/sole proprietor, corporation, etc.).

### Exempt Payee

If you are exempt from backup withholding, enter your name as described above and check the appropriate box for your status, then check the "Exempt payee" box in the line following the business name, sign and date the form.

Generally, individuals (including sole proprietors) are not exempt from backup withholding. Corporations are exempt from backup withholding for certain payments, such as interest and dividends.

**Note.** If you are exempt from backup withholding, you should still complete this form to avoid possible erroneous backup withholding.

The following payees are exempt from backup withholding:

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 possession of the United States, or any of their political subdivisions or instrumentalities,
4. A foreign government or any of its political subdivisions, agencies, or instrumentalities, or
5. An international organization or any of its agencies or instrumentalities.

Other payees that may be exempt from backup withholding include:

6. A corporation,
7. A foreign central bank of issue,
8. A dealer in securities or commodities required to register in the United States, the District of Columbia, or a possession of the United States,
9. A futures commission merchant registered with the Commodity Futures Trading Commission,
10. A real estate investment trust,
11. An entity registered at all times during the tax year under the Investment Company Act of 1940,
12. A common trust fund operated by a bank under section 584(a),
13. A financial institution,
14. A middleman known in the investment community as a nominee or custodian, or
15. A trust exempt from tax under section 664 or described in section 4947.

The chart below shows types of payments that may be exempt from backup withholding. The chart applies to the exempt payees listed above, 1 through 15.

IF the payment is for . . .	THEN the payment is exempt for . . .
Interest and dividend payments	All exempt payees except for 9
Broker transactions	Exempt payees 1 through 13. Also, a person registered under the Investment Advisers Act of 1940 who regularly acts as a broker
Barter exchange transactions and patronage dividends	Exempt payees 1 through 5
Payments over \$600 required to be reported and direct sales over \$5,000 <sup>1</sup>	Generally, exempt payees 1 through 7 <sup>2</sup>

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

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

## 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 page 2), 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 Social Security Administration 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 [www.irs.gov](http://www.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, 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 domestic 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, and 5 below indicate otherwise.

For a joint account, only the person whose TIN is shown in Part I should sign (when required). Exempt payees, see *Exempt Payee* on page 2.

**Signature requirements.** Complete the certification as indicated in 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 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
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)	The grantor-trustee <sup>1</sup>
b. So-called trust account that is not a legal or valid trust under state law	The actual owner <sup>1</sup>
5. Sole proprietorship or disregarded entity owned by an individual	The owner <sup>3</sup>
For this type of account:	Give name and EIN of:
6. Disregarded entity not owned by an individual	The owner
7. A valid trust, estate, or pension trust	Legal entity <sup>4</sup>
8. Corporate or LLC electing corporate status on Form 8832	The corporation
9. Association, club, religious, charitable, educational, or other tax-exempt organization	The organization
10. Partnership or multi-member LLC	The partnership
11. A broker or registered nominee	The broker or nominee
12. 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

<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 second 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 1.

**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, social security number (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.

Call the IRS at 1-800-829-1040 if you think your identity has been used inappropriately for tax purposes.

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 personal property to the Treasury Inspector General for Tax Administration 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.consumer.gov/idtheft](http://www.consumer.gov/idtheft) or 1-877-IDTHEFT(438-4338).

Visit the IRS website at [www.irs.gov](http://www.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 who must file information returns with the IRS to report interest, dividends, and certain other income paid to you, mortgage interest you paid, the acquisition or abandonment of secured property, cancellation of debt, or contributions you made to an IRA, or Archer MSA or HSA. The IRS uses the numbers for identification purposes and to help verify the accuracy of your tax return. The IRS may also provide this information to the Department of Justice for civil and criminal litigation, and to cities, states, the District of Columbia, and U.S. possessions to carry out their tax laws. We may also disclose this information to other countries under a tax treaty, to federal and state agencies to enforce federal nontax 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. Payers must generally withhold 28% of taxable interest, dividend, and certain other payments to a payee who does not give a TIN to a payer. Certain penalties may also apply.

**Harbor House of Louisville, Inc.**  
**Financial Statements**  
**Years Ended June 30, 2013 and 2012**

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**Russell, Smith & Associates**  
**Certified Public Accountants**

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**Russell, Smith & Associates**  
*Certified Public Accountants*

4165 Westport Road  
Suite 202  
Louisville, Kentucky 40207-2785  
Phone: 502-897-9495  
Fax: 502-896-9723

**Independent Auditor's Report**

To the Board of Directors  
Harbor House of Louisville, Inc.  
Louisville, Kentucky

We have audited the accompanying financial statements of Harbor House of Louisville, Inc. (a not-for-profit organization), which comprise the statements of financial position as of June 30, 2013 and 2012, and the related statements of activities, statements of functional expenses, and statements of cash flows for the years then ended, and the related notes to the financial statements.

**Management's Responsibility for the Financial Statements**

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

**Auditors' Responsibility**

Our responsibility is to express an opinion on these financial statements based on our audits. We conducted our audits in accordance with auditing standards generally accepted in the United States of America. Those standards require that we plan and perform the audits to obtain reasonable assurance about whether the financial statements are free of material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditors' judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error.

(continued)

In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. Accordingly, we express no such opinion.

An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

### **Opinion**

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of Harbor House of Louisville, Inc. as of June 30, 2013 and 2012, and the changes in its net assets and cash flows for the years then ended, in accordance with accounting principles generally accepted in the United States of America.

*Russell, Smith & Associates, CPA's, PLLC*

Louisville, Kentucky  
September 16, 2013



**Harbor House of Louisville, Inc.**  
**Statements of Financial Position**  
**June 30, 2013 and 2012**

**Assets**

	<u>2013</u>	<u>2012</u>
<b>Current Assets</b>		
Cash (Note B)	\$ 23,416	\$ 11,107
Accounts receivable (Note C)	152,486	95,305
Unconditional promises to give (Note D)	53,389	58,602
Contributions and grants receivable (Note E)	20,500	30,942
Prepaid expenses	20,170	23,602
	<u>269,961</u>	<u>219,558</u>
<b>Total current assets</b>		
	<u>269,961</u>	<u>219,558</u>
<b>Unconditional promises to give--long term (Note D)</b>	<u>67,054</u>	<u>49,967</u>
<b>Property and Equipment (Notes F and G)</b>		
Equipment, furniture and vehicles	354,354	377,127
Building and leasehold improvements	1,329,148	1,282,682
	<u>1,683,502</u>	<u>1,659,809</u>
Less accumulated depreciation	<u>603,990</u>	<u>541,871</u>
	<u>1,079,512</u>	<u>1,117,938</u>
<b>Total assets</b>	<u>\$ 1,416,527</u>	<u>\$ 1,387,463</u>

**Liabilities and Net Assets**

<b>Current Liabilities</b>		
Line of credit (Note F)	\$ -	\$ 47,066
Accounts payable	1,102	8,453
Accrued and withheld payroll taxes	18,307	15,370
Accrued expenses	51,796	45,689
Current portion of long-term debt (Note G)	61,972	41,750
Deferred revenue (Note A)	27,480	475
	<u>160,657</u>	<u>158,803</u>
<b>Total current liabilities</b>		
	<u>160,657</u>	<u>158,803</u>
<b>Long-Term Debt, less current portion (Note G)</b>	<u>-</u>	<u>61,972</u>
<b>Total liabilities</b>	<u>160,657</u>	<u>220,775</u>
<b>Net Assets (Notes A and H)</b>		
Unrestricted	1,129,927	1,047,177
Temporarily restricted	125,943	119,511
	<u>1,255,870</u>	<u>1,166,688</u>
<b>Total net assets</b>		
	<u>1,255,870</u>	<u>1,166,688</u>
<b>Total liabilities and net assets</b>	<u>\$ 1,416,527</u>	<u>\$ 1,387,463</u>

**See Notes to Financial Statements**

**Harbor House of Louisville, Inc.**  
**Statements of Activities**  
**Years Ended June 30, 2013 and 2012**

	2013			2012		
	Unrestricted	Temporarily Restricted	Total	Unrestricted	Temporarily Restricted	Total
<b>Revenues and Support:</b>						
Program service income (Notes A,B,C)	\$ 1,211,923	\$ -	\$ 1,211,923	\$ 1,131,005	\$ -	\$ 1,131,005
Contributions and grants (Notes A,D, E)	90,518	211,063	301,581	63,120	147,041	210,161
Fund raising events	157,633	-	157,633	177,790	-	177,790
Interest income	23	-	23	5	-	5
	<u>1,460,097</u>	<u>211,063</u>	<u>1,671,160</u>	<u>1,371,920</u>	<u>147,041</u>	<u>1,518,961</u>
Net assets released from restrictions	<u>204,631</u>	<u>(204,631)</u>		<u>193,614</u>	<u>(193,614)</u>	<u>-</u>
Total revenues and support	<u>1,664,728</u>	<u>6,432</u>	<u>1,671,160</u>	<u>1,565,534</u>	<u>(46,573)</u>	<u>1,518,961</u>
<b>Expenses: (Note A)</b>						
Program services	1,285,422	-	1,285,422	1,201,421	-	1,201,421
Management and general	160,223	-	160,223	163,984	-	163,984
Fund raising (Note K)	136,333	-	136,333	123,908	-	123,908
	<u>1,581,978</u>	<u>-</u>	<u>1,581,978</u>	<u>1,489,313</u>	<u>-</u>	<u>1,489,313</u>
<b>Increase (decrease) in net assets</b>	<u>82,750</u>	<u>6,432</u>	<u>89,182</u>	<u>76,221</u>	<u>(46,573)</u>	<u>29,648</u>
<b>Net assets at beginning of year</b>	<u>1,047,177</u>	<u>119,511</u>	<u>1,166,688</u>	<u>970,956</u>	<u>166,084</u>	<u>1,137,040</u>
<b>Net assets at end of year (Note H)</b>	<u>\$ 1,129,927</u>	<u>\$ 125,943</u>	<u>\$ 1,255,870</u>	<u>\$ 1,047,177</u>	<u>\$ 119,511</u>	<u>\$ 1,166,688</u>

See Notes to Financial Statements

**Harbor House of Louisville, Inc.**  
**Statements of Functional Expenses**  
**Years Ended June 30, 2013 and 2012**

	2013				2012			
	Program Services	Management and general	Fund raising	Total	Program Services	Management and general	Fund raising	Total
Wages and salaries	\$ 817,320	\$ 62,187	\$ 8,884	\$ 888,391	\$ 740,418	\$ 56,336	\$ 8,048	\$ 804,802
Payroll taxes	59,541	4,530	648	64,719	55,350	4,211	602	60,163
Employee benefits	72,985	5,553	793	79,331	69,544	5,291	756	75,591
Postage & delivery	23,434	1,496	-	24,930	38,952	1,486	-	40,438
Rent	1,908	-	-	1,908	2,854	-	-	2,854
Depreciation	62,119	-	-	62,119	62,334	-	-	62,334
Supplies	24,386	16,258	-	40,644	23,507	20,426	-	43,933
Repairs and maintenance	32,818	670	-	33,488	26,441	660	-	27,101
Professional fees	35,934	33,170	-	69,104	32,329	29,842	-	62,171
Printing and production	4,171	2,085	2,085	8,341	2,243	1,022	2,021	5,286
Utilities	11,731	2,169	183	14,083	12,034	1,925	187	14,146
Advertising	5,963	-	8,944	14,907	5,056	-	7,561	12,617
Janitorial services	3,803	535	13	4,351	7,677	380	27	8,084
Interest	5,881	-	-	5,881	10,151	-	-	10,151
Telephone	5,780	1,849	77	7,706	5,777	1,848	77	7,702
Insurance	18,689	8,009	-	26,698	25,071	10,745	-	35,816
Travel	22,929	5,879	588	29,396	20,889	5,333	559	26,781
Meals and entertainment	15,750	3,937	-	19,687	9,332	2,333	-	11,665
Training	5,496	679	-	6,175	2,306	285	-	2,591
Bank charges	2,034	-	-	2,034	2,418	-	-	2,418
Licenses and fees	277	20	-	297	2,504	355	-	2,859
Miscellaneous	2,798	211	-	3,009	3,017	227	-	3,244
Dues and subscriptions	1,244	5,986	544	7,774	726	2,993	317	4,036
Uncollectible fees	14,804	-	-	14,804	7,830	-	-	7,830
Provider tax	33,627	-	-	33,627	32,661	-	-	32,661
Uncollectible pledges	-	5,000	-	5,000	-	18,286	-	18,286
	<u>1,285,422</u>	<u>160,223</u>	<u>22,759</u>	<u>1,468,404</u>	<u>1,201,421</u>	<u>163,984</u>	<u>20,155</u>	<u>1,385,560</u>
Fund raising events direct expenses			<u>113,574</u>	<u>113,574</u>			<u>103,753</u>	<u>103,753</u>
	<u>\$ 1,285,422</u>	<u>\$ 160,223</u>	<u>\$ 136,333</u>	<u>\$ 1,581,978</u>	<u>\$ 1,201,421</u>	<u>\$ 163,984</u>	<u>\$ 123,908</u>	<u>\$ 1,489,313</u>

See Notes to Financial Statements

**Harbor House of Louisville, Inc.**  
**Statements of Cash Flows**  
**Years Ended June 30, 2013 and 2012**

	<u>2013</u>	<u>2012</u>
<b>Cash flows from operating activities:</b>		
Cash received from program services	\$ 1,139,938	\$ 1,108,894
Cash received from contributions and grants	285,527	196,464
Cash received from special events and fundraising activities	157,633	177,790
Interest received	23	5
Cash paid for payroll, employee benefits, and payroll taxes	(1,023,397)	(952,452)
Cash paid to suppliers	(429,025)	(442,221)
Cash paid for interest	(5,881)	(10,151)
<b>Net cash provided by operating activities</b>	<u>124,818</u>	<u>78,329</u>
<b>Cash flows from investing activities:</b>		
Purchase of property and equipment	(23,693)	(42,478)
<b>Net cash used in investing activities</b>	<u>(23,693)</u>	<u>(42,478)</u>
<b>Cash flows from financing activities:</b>		
Net repayments on line of credit	(47,066)	-
Principal payments on long-term debt	(41,750)	(39,227)
<b>Net cash used in financing activities</b>	<u>(88,816)</u>	<u>(39,227)</u>
<b>Net increase (decrease) in cash</b>	12,309	(3,376)
<b>Cash at beginning of year</b>	<u>11,107</u>	<u>14,483</u>
<b>Cash at end of year</b>	<u>\$ 23,416</u>	<u>\$ 11,107</u>
<b>Reconciliation of increase in net assets to net cash provided by operating activities:</b>		
<b>Increase in net assets</b>	\$ 89,182	\$ 29,648
<b>Adjustments to reconcile increase in net assets to net cash provided by operating activities:</b>		
Depreciation	62,119	62,334
Allowance for doubtful accounts	(4,500)	-
Allowance for uncollectible pledges	3,000	1,000
Changes in assets and liabilities:		
(Increase) decrease in:		
Accounts receivable	(52,681)	(14,281)
Pledges receivable	(14,874)	1,515
Grants receivable	10,442	19,058
Prepaid expenses	3,432	(631)
Increase (decrease) in:		
Accounts payable	(7,351)	1,307
Accrued and withheld payroll taxes	2,937	(6,005)
Accrued expenses	6,107	(5,891)
Deferred revenue	27,005	(9,725)
<b>Total adjustments</b>	<u>35,636</u>	<u>48,681</u>
<b>Net cash provided by operating activities</b>	<u>\$ 124,818</u>	<u>\$ 78,329</u>

See Notes to Financial Statements

**Harbor House of Louisville, Inc.  
Notes to Financial Statements  
June 30, 2013 and 2012**

**Note A      Nature of Operations and Significant Accounting Policies**

**Nature of Operations:**

Harbor House of Louisville, Inc. (Harbor House), a not-for-profit organization located in Louisville, Kentucky, is a certified training and development center for individuals with developmental disabilities and other mental limitations that can affect their ability to find suitable employment opportunities. Harbor House was founded by a group of parents of adult children with disabilities who recognized the importance of having a place where their adult children and others could receive the training and confidence to become involved in community activities that would enhance the lives of the individuals served. The individuals served are given employment opportunities through the onsite Mail Fulfillment Services program or through employers in the community identified by Harbor House staff.

Harbor House reaches out and serves individuals from every zip code within Jefferson County, Kentucky. The individuals receive not only training intended to improve their job skills, but also training that teaches them how to improve their specific life skills by being involved in activities such as creative arts projects, serving as community volunteers, and participating in various recreational activities. The intent is to give these individuals the same life experiences that are available for everyone.

The primary sources of revenue for Harbor House are payments from the Kentucky Medicaid program for providing training and development services to the aforementioned individuals; revenue from customers of the Mail Fulfillment Services program; and donations from the general public.

**Significant Accounting Policies:**

**Basis of Accounting**

The financial statements have been prepared on the accrual basis of accounting and, accordingly, reflect all significant receivables, payables, and other liabilities.

**Harbor House of Louisville, Inc.**  
**Notes to Financial Statements**  
**June 30, 2013 and 2012**

**Basis of Presentation**

Harbor House is required to report financial information regarding its financial position and activities according to three classes of net assets:

Unrestricted: net assets that are not subject to donor-imposed restrictions; available for purposes deemed necessary by management.

Temporarily restricted: net assets restricted by donors or grantors to a specific time period or purpose. When the restriction expires, that is, when a stipulated restriction ends or a purpose restriction is accomplished, these net assets are reclassified to unrestricted net assets and reported in the statement of activities as net assets released from restrictions.

Permanently restricted: Net assets that are permanently restricted by the donor, such as endowment funds.

**Accounts Receivable**

Accounts receivable are stated at unpaid balances, less an allowance for doubtful accounts. The allowance is based on experience, third-party contracts, analysis of past due accounts, and other circumstances which may affect the collectability of the amount receivable. Uncollectible accounts receivable are written-off when management determines the receivable will not be collected.

**Property and Equipment**

Property and equipment is stated at cost if purchased. Donations of property and equipment are recorded as contributions at estimated fair value on the date of the donation and are recorded as increases in unrestricted net assets unless the donor has restricted the donated asset to a specific purpose. Items in excess of \$1,000 are capitalized and depreciated using the straight-line method over their estimated useful lives, which range from three to thirty-nine years. Items not meeting this threshold are charged to expense accounts as incurred.

**Harbor House of Louisville, Inc.  
Notes to Financial Statements  
June 30, 2013 and 2012**

**Deferred Revenue**

Harbor House conducts an annual fund raising event. Cash is sometimes received from sponsors and other participants in this event prior to the fiscal year in which the event is held. These receipts are not recorded as revenue when received since the sponsors and other participants receive advertising space and other ancillary benefits in return for their payment. These amounts received are recorded as deferred revenue and will be recognized as revenue in the fiscal year in which the event is held.

**Promises to Give**

Unconditional promises to give (pledges) are recognized as revenues or gains in the period received and as assets, decreases of liabilities, or expenses, depending on the form of the benefits received. Conditional promises to give are recognized only when the conditions on which they depend are substantially met and the promises become unconditional.

Unconditional promises to give are reported at net realizable value if, at the time the promise is made, collection is expected in one year or less. Unconditional promises that are expected to be collected in more than one year are reported at fair value initially and in subsequent periods because management has elected the fair value option in accordance with generally accepted accounting principles. Management believes that the use of fair value reduces the cost of measuring unconditional promises to give in periods subsequent to their receipt and provides equal or better information to users of its financial statements. Also see note D.

**Contributions**

Contributions received are recorded as increases in unrestricted, temporarily restricted, or permanently restricted net assets, depending on the existence and nature of any donor restrictions. Contributions other than cash are recorded at fair market value.

**Advertising Costs**

Advertising costs are expensed as incurred.

**Harbor House of Louisville, Inc.**  
**Notes to Financial Statements**  
**June 30, 2013 and 2012**

**Donated Services**

Many individuals volunteer their time and perform a variety of tasks that assist Harbor House. Donated services are recognized as revenue if the services create or enhance nonfinancial assets or require specialized skills, are provided by individuals possessing those skills, and would otherwise be purchased if not provided by donation. Donated services that do not meet the above criteria are not recognized as revenues and are not reported in the financial statements.

**Functional Expense Allocation**

Directly identifiable expenses are charged to programs and supporting services. Expenses related to more than one function are charged to programs and supporting services on the basis of periodic time and expense studies; square footage of space occupied; and miscellaneous other objective methods. Management and general expenses include those expenses that are not directly identifiable with any other specific function but provide for the overall support and direction of Harbor House.

**Shipping and Handling Costs**

Shipping and handling costs related to the mail fulfillment program are expensed as incurred and are included in the postage and delivery amount on the statement of functional expenses.

**Exemption From Income Taxes**

Harbor House is exempt from federal income tax under Section 501(c)(3) of the Internal Revenue Code and qualifies for the charitable contribution deduction under Section 170(b)(1)(A) and has been classified as an organization other than a private foundation under Section 509(a)(2). However, net income from certain activities not directly related to Harbor House's tax-exempt purpose is subject to taxation as unrelated business income. Management believes that it has appropriate support for any tax positions taken, and as such, does not have any uncertain tax positions that are material to the financial statements, including any net income from activities that could be subject to taxation as unrelated business income. Therefore, no provision for income taxes has been made in the financial statements.



**Harbor House of Louisville, Inc.  
Notes to Financial Statements  
June 30, 2013 and 2012**

The statute of limitations for the examination of tax returns is generally three years from the due date of the return, including extensions. The following years ended were open under the statute at June 30, 2013:

Fiscal year ended June 30:	2013
	2012
	2011
	2010

**Estimates**

Management uses estimates and assumptions in preparing financial statements. Those estimates and assumptions affect the reported amounts of assets and liabilities, the disclosure of contingent assets and liabilities, and the reported revenues and expenses. Actual results could differ from those estimates.

**Fair Value Measurements**

Assets and liabilities subject to fair value measurements are valued using a hierarchy that defines three levels of inputs. Level 1 inputs are based on quoted market prices within active markets. Level 2 inputs are based on observable market-based inputs other than quoted prices within active markets. Level 3 inputs are based on management's assumptions and unobservable inputs.

**Reclassifications**

Certain amounts in the prior year financial statements have been reclassified for comparative purposes to conform with the presentation in the current year financial statements.

**Note B      Concentrations**

Commonwealth of Kentucky charitable gaming regulations require Harbor House to maintain a bank account specifically for fund raising activities that involve charitable gaming. This account and other operating accounts are maintained at a bank located in Louisville, Kentucky. These accounts are insured by the Federal Deposit Insurance Corporation up to \$250,000 per depositor. In the normal course of business, there may be deposits in excess of the insured balance. There were no deposits in excess of the insured balance at June 30, 2013.

**Harbor House of Louisville, Inc.**  
**Notes to Financial Statements**  
**June 30, 2013 and 2012**

Harbor House receives payments from the Kentucky Medicaid program for providing services to eligible participants. Net service revenue from Medicaid was approximately \$977,000 and \$852,000 for the years ended June 30, 2013 and 2012, respectively. These amounts were approximately 58% and 56% of total support and revenue for the years ended June 30, 2013 and 2012, respectively.

Also see Notes C, D, and E for additional concentrations.

**Note C      Accounts Receivable**

Accounts receivable consists primarily of amounts due from the Kentucky Medicaid program; from customers for providing mail fulfillment services, and from program participants:

	<u>June 30</u>	
	<u>2013</u>	<u>2012</u>
Kentucky Medicaid program	\$ 119,907	\$ 60,259
Less: contractual allowances	<u>2,500</u>	<u>5,000</u>
	117,407	55,259
 Mail fulfillment customers	 12,040	 13,244
 Program participants (less \$8,000 and \$10,000 allowance for doubtful accounts in 2013 and 2012, respectively)	 <u>23,039</u>	 <u>26,802</u>
	<u>\$ 152,486</u>	<u>\$ 95,305</u>

Approximately 49% of the mail fulfillment customers balance at June 30, 2013 was due from one customer.

**Harbor House of Louisville, Inc.**  
**Notes to Financial Statements**  
**June 30, 2013 and 2012**

**Note D      Unconditional Promises to Give**

Unconditional promises to give (pledges) are as follows:

	<u>June 30</u>	
	<u>2013</u>	<u>2012</u>
Gross unconditional promises to give	\$ 127,443	\$ 112,569
Less: allowance for uncollectible amounts	<u>7,000</u>	<u>4,000</u>
Carrying amount	<u>\$ 120,443</u>	<u>\$ 108,569</u>

Future collections are as follows:

Less than one year (net realizable value):	\$ 53,389	\$ 58,602
One to five years (fair value):	<u>67,054</u>	<u>49,967</u>
	<u>\$ 120,443</u>	<u>\$ 108,569</u>

Future collections in the one to five years category are based on Level 3 inputs.

Changes in unconditional promises to give for the years ended June 30, 2013 and 2012 are as follows:

Beginning balance	\$ 112,569	\$ 114,084
New promises	59,662	36,421
Collections	(43,193)	(31,186)
Management write-offs	<u>(1,595)</u>	<u>(6,750)</u>
Ending balance	<u>\$ 127,443</u>	<u>\$ 112,569</u>

Approximately 20% of the unconditional promises to give receivable at June 30, 2013 was due from one individual.

**Note E      Grants and Contributions Receivable**

Grants and contributions receivable consist primarily of amounts receivable from entities and individuals for sponsorship of the annual fund raising event. Approximately 73% of the grants and contributions receivable amount reported on the statement of financial position at June 30, 2013 was due from one entity.

**Harbor House of Louisville, Inc.**  
**Notes to Financial Statements**  
**June 30, 2013 and 2012**

**Note F      Line of Credit**

Harbor House has a \$100,000 line of credit expiring on November 21, 2013. Interest on the outstanding balance is computed at the prime rate. However, the minimum interest rate on borrowings will not be less than 4.0%. The interest rate at June 30, 2013 was 4.25%. The line of credit is secured by the building.

**Note G      Long-Term Debt**

Long-term debt consists of the following:

	<u>June 30</u>	
	<u>2013</u>	<u>2012</u>
Mortgage note payable to a bank, payable in monthly installments of \$3,921, including interest, through November 21, 2013. The interest rate is fixed at 6.25% per annum. The note is secured by the building.	\$ 61,972	\$ 103,722
Less: current portion	<u>61,972</u>	<u>41,750</u>
	<u>\$ -</u>	<u>\$ 61,972</u>

Future maturities of long-term debt are as follows:

Years ending June 30:	2014	<u>\$ 61,972</u>
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**Note H      Temporarily Restricted Net Assets**

Temporarily restricted net assets are available for the following purposes or periods:

	<u>June 30</u>	
	<u>2013</u>	<u>2012</u>
For subsequent years operating activities and purchase of fixed assets	<u>\$ 125,943</u>	<u>\$ 119,511</u>

**Harbor House of Louisville, Inc.**  
**Notes to Financial Statements**  
**June 30, 2013 and 2012**

**Note I      In-Kind Contributions**

Included in the contributions and grants caption on the statement of activities are in-kind contributions of approximately \$37,000 and \$7,000 for the years ended June 30, 2013 and 2012, respectively.

**Note J      Retirement Plan**

Harbor House sponsors a Simple IRA plan. Employees are eligible to participate in the plan after 90 days of full-time employment and the earning of at least \$5,000 in compensation during a calendar year. Harbor House contributes \$100 on behalf of an employee once the employee makes an initial contribution.

Harbor House also matches employee contributions. The match is the lesser of employee contributions or 3% of the employee's gross wages. Total contributions and employer matches recognized as expense was \$15,862 and \$11,139 for the years ended June 30, 2013 and 2012, respectively.

**Note K      Fund Raising Events Direct Expenses**

Fund raising events direct expenses are primarily for an annual fund raising event and consist of the following:

	June 30	
	2013	2012
Rent	\$ 2,121	\$ 1,438
Supplies	15,465	18,781
Professional fees	6,864	4,131
Advertising and marketing	65,571	52,785
Travel	1,112	1,174
Meals and entertainment	14,575	16,084
Licenses and fees	6,537	5,503
Miscellaneous	1,329	3,857
	<u>\$ 113,574</u>	<u>\$103,753</u>

Included in the above are donated amounts recognized as in-kind contributions of approximately \$27,000 and \$1,400 for the years ended June 30, 2013 and 2012, respectively.

**Harbor House of Louisville, Inc.  
Notes to Financial Statements  
June 30, 2013 and 2012**

**Note L**

**Subsequent Events**

Management has evaluated subsequent events through September 16, 2013 which is the date the financial statements were available to be issued.

## Staff List

### Highest paid Staff:

Maria Smith – Chief Executive Officer  
Phil Kremer - Chief Operating Officer  
Tom Evans - Controller

Corey Anthony  
Patricia Ash  
Sara Beck  
Brittany Cook  
Kaye Dalton  
Russell Deakins  
Larry Eisenbeis  
Diane Hunter  
Robyn Lee  
Katie McWhorter  
Celena Olliges  
Laura Perdue  
Pat Pierce  
Dee Pilkerton  
Beth Poole  
Erin Ray  
Abby Skaggs  
Jane White  
Nancy Wissink  
Coletta Zernick



## Reservation Worksheet/Invoice

Group	Reservation:	660
Ina Miller	Event Name:	Ken-Ducky Derby
Harbor House of Louisville	Status:	Tentative
2231 Lower Hunters Trace	Phone:	502.719.0072
Louisville, Kentucky 40216	Fax:	502.468.1516
	Event Type:	Charitable Fundraiser (other)
	Refund Payable To:	Harbor House of Louisville

Bookings / Details	Quantity	Price	Amount
Full Balance Due (Due Date: 8/27/2014)			
Load In/Out Schedule Due (Due Date: 9/12/2014)			
<i>A load in/load out schedule is due no later than 2 weeks before your event takes place.</i>			
Map Layout (Due Date: 9/12/2014)			
<i>A layout, drawn to scale is required no later than 2 weeks before your event takes place. Please include all infrastructure used for your event such as tents, chairs, tables and/or stage.</i>			
Completed Application Received			
Yes			
Daily Attendance Expected			
475			
Defined Map Received			
No			
Insurance Received			
No			
Load In Schedule Received			
No			
Refund Payable To:			
Harbor House of Louisville 2231 Lower Hunter Trace Louisville, KY 40216			
Signed Agreement Received			
Yes			

### Friday, September 26, 2014

#### 6:00 AM - 11:00 PM Ken-Ducky Derby (Set Up & Tear Down) Festival Plaza

setup & tear down

Venue Rental Charge:	1	1,210.00	1,210.00
Less 70% Discount			-847.00

#### Miscellaneous Charges:

Damage Deposit - W	1	1,375.00	1,375.00
Refundable Damage Deposit - Waterfront Park			
Electricity	1	165.00	165.00

A5, A6, A11  
 B1, B8, B10, B12, B14, B 17, B18  
 C16, C17, C18, C19, C20  
 D1, D2, D3, D4, D9, D10, D16, D17, D18, D19, D20

Bathroom Fee	1	77.00	77.00
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Bookings / Details	Quantity	Price	Amount
<i>Splitting the Bathroom Fee with another event.</i>			
Stage:			
Stage	1	484.00	484.00
WDC Maintenance Staff:			
9:00 AM - 5:00 PM General			
Restrooms	1		
<i>Group is using our restrooms on the Festival Plaza. Can you please ensure they are cleaned for Sunday? I am providing them a key to unlock the restrooms.</i>			
Stage	1		
<i>They will be using the WDC stage. Please see attached map for placement.</i>			
WDC Maintenance Staff:			
9:00 AM - 5:00 PM Irrigation			
Irrigation Instructions	1		
<i>Please ensure the green acre irrigation is turned Off. Thank you! - CCN</i>			
WDC Maintenance Staff:			
9:00 AM - 5:00 PM Electrical Outlets			
Electrical Outlets W	1		
A5, A6, A11			
B1, B8, B10, B12, B14, B 17, B18			
C16, C17, C18, C19, C20			
D1, D2, D3, D4, D9, D10, D16, D17, D18, D19, D20			
<b>6:00 AM - 11:00 PM Ken-Ducky Derby (Set Up &amp; Tear Down) Wharf</b>			
<b>6:00 AM - 11:00 PM Ken-Ducky Derby (Set Up &amp; Tear Down) Wharf Docking</b>			
<b><u>Saturday, September 27, 2014</u></b>			
<b>6:00 AM - 11:00 PM Ken-Ducky Derby (Set Up &amp; Tear Down) Festival Plaza</b>			
Festival			
Venue Rental Charge:	1	1,210.00	1,210.00
Less 70% Discount			-847.00
Stage:			
Stage	1		
<i>Stage Reserved</i>			
<b>6:00 AM - 11:00 PM Ken-Ducky Derby (Set Up &amp; Tear Down) Wharf</b>			
Festival			
<b>6:00 AM - 11:00 PM Ken-Ducky Derby (Set Up &amp; Tear Down) Wharf Docking</b>			
<b><u>Sunday, September 28, 2014</u></b>			
<b>6:00 AM - 11:00 PM Ken-Ducky Derby (Tentative) Festival Plaza</b>			
Venue Rental Charge:	1	1,210.00	1,210.00
Less 33% Discount			-399.30
Activities:			
1:00 PM - 5:00 PM Activities			
<i>The festival will include live music, vendors, kids activities, food and the duck race on the River.</i>			
Event Description:			
The Harbor House Ken-Ducky Derby Festival is a family - friendly event and host of the fastest 30 minutes in duck racing history. Join us on September 7, 2014 for food, music, games, vendors and to see 25,000 ducks race down the Ohio River. If your duck wins....you get a car!			
Garbage Cans:			
Recycling Cans	7	5.00	35.00
<i>Special Event Recycling Containers require a 55 gallon liner and will be used for more than one event whenever possible. Please take your recycling to a recycling center,. For example it can be taken to the Louisville Fire Department Recycling Center at 235 E Jefferson Street. Please stack your recycling boxes next to your garbage boxes in your area and the WDC Maintenance Staff will pick them up following your event.</i>			

Bookings / Details	Quantity	Price	Amount
Garbage Cans	7	5.00	35.00
<i>Event Producer: Please provide and use 55 gallon trash bags that meet the following specifications - 38" x 58" 1.4 mil heavy duty black plastic can liners. The special event garbage cans are used for more than one event whenever possible. After your event, please take your garbage bags to the dumpster and stack cardboard boxes flat and leave them in your area. WDC Maintenance staff will pick them up following your event. Please also remember to replace permanent trash cans with liners that meet the above listed specifications.</i>			
WDC Maintenance Staff:			
7:30 AM - 4:00 PM General			
Garbage Cans	7		
<i>Please remember to pick up garbage cans after the event.</i>			
Recycling Containers	7		
<i>Please remember to pick up recycling containers after the event.</i>			
<b>6:00 AM - 11:00 PM Ken-Ducky Derby (Tentative) Wharf</b>			
<b>6:00 AM - 11:00 PM Ken-Ducky Derby (Tentative) Wharf Docking</b>			
Subtotal			3,707.70
Grand Total			3,707.70

Item	Contact	Company Name	address1
\$25.00 Gift Certificate to Eyedia	Diane Stege	Eyedia	1631 Mellwood Avenue
Lucida Guitar Autographed by Jason Gray and CD of Jason Gray, Christian Singer	Tracy Sumner		690 Ritchey Ln
2 Tickets to the Louisville Ballet performance of Giselle	Melanie Horn	Louisville Ballet	315 East Main Street
4 Frazier Museum Passes	Erin Cooper	The Frazier Museum	829 West Main Street
4 Passes to the Kentucky Derby Museum	Julie Henry	Kentucky Derby Museum	704 Central Avenue
Chef dinner for 4 people at Bravo!	Michael Hieatt	Bravo! Louisville	206 Bullitt Lane
2 Passes to the Kentucky Science Center	Carrie Cooke Ketterman	Kentucky Science Center	727 West Main Street
12 Boot Camp Sessions	Mike Jett and Kellyn Kelley	Pure Fitness Training	waiting on address
1 hour Massage		Ms. Becky Priddy-Heuser	173 Sears Avenue, Suite 270
Bottle of Liquor (Dee pick up 7/14)	Bowman Field Wine & Spirits	Mr. Chris Keeling	2800 Taylorsville Rd.
A His and Her Bag filled with items from Knob Creek Range including a \$20.00 Gift Card, valued at \$250.00	Tracy Sumner		690 Ritchey Ln
A Gift Certificate to Uptown Art valued at \$50.00	Ms. Kelly Rains	Uptown Art Uncorked Louisville	2458 Bardstown Rd.
10 Tickets to PGA 2014 Championship on Monday August 4th			
Gift Certificate for \$30.00 Dinner for Two and Two Free Entrees Gift Certificates	Rosie Drury	Texas Roadhouse	
Two Tickets to Louisville Bats	Kate McGuire	Louisville Bats	
4 Tickets to Uptown Band Dance on July 27th	Tony Ratterman		
a shopping bag containing 3 coffee travel mugs and 6 boxes containing "stuff" to make Lattes. Total value is \$35.	Katie Peabody	Starbucks	
2 Gift Certificate to Timmy's Car Wash, value \$34.90		Timmy's Carwash	

[illegible]





Stop By Any Of These Local Retailers And Adopt Your Duck Today!



**KEN-DUCKY DERBY**  
HARBOR HOUSE OF LOUISVILLE, INC.  
P.O. BOX 37237  
LOUISVILLE, KY 40233-7237



HARBOR HOUSE OF LOUISVILLE, INC.  
P.O. BOX 37237  
LOUISVILLE, KY 40233-7237

PLACE  
STAMP  
HERE

## OFFICIAL RULES AND REGULATIONS OF THE KEN-DUCKY DERBY

1. The Ken-Ducky Derby benefits Harbor House of Louisville, a charitable organization under Section 501(c)(3) of the Internal Revenue Code. The following is a summary of official rules. Copies of the complete Rules and Regulations, a list of prizes and, after the event, a list of prize winners can be obtained from Harbor House of Louisville by sending a written request and a self-addressed stamped envelope to: Ken-Ducky Derby, c/o Harbor House of Louisville, 2231 Lower Hunters Trace, Louisville, KY 40216.
2. All ducks for the Ken-Ducky Derby will be launched into the Ohio River on September 28, 2014 at approximately 4:00 p.m. The race course will be established by Harbor House and will conclude at Waterfront Park. The presenter reserves the right to postpone or reschedule the race or to determine a winner by random drawing in the event of inclement weather, acts of God or other circumstances beyond Harbor House's reasonable control.
3. Once the Ducks are launched, there will be no attempt to free or interfere with any duck while the duck race is in progress.
4. The entry portion of each adoption paper must be completely filled out and delivered to Harbor House or an authorized representative of Harbor House, or mailed to Harbor House at the address set forth in the first paragraph, and actually received by Harbor House prior to the race for an entry to be eligible to win any prize. All adoption forms and money received after the race has started will be considered a donation to Harbor House of Louisville. Entrants assume the risk of non-delivery of any entries to Harbor House or an authorized representative of Harbor House.
5. At least 20,000 ducks will be entered in the race. Chances of winning depend on the total number of qualified entries. A number will be attached to each duck which corresponds to the number on its adoption paper. Multiple duck entries from one ticket will be assigned additional duck numbers for identification. Prizes will be awarded to the person whose name appears on the adoption paper corresponding to the first qualifying duck to finish and be gathered in the duck trap.
6. Prize winners will be announced following the race. Winners need not be present to win. If the winner does not claim his/her prize from Harbor House of Louisville within 30 days after the race date, Harbor House will select an alternate prize winner through a random drawing of adoption forms.
7. Free entries defeat the charitable fundraising purpose of this event and are not encouraged. However, one free entry per person may be obtained by presenting a written request on a 3x5 index card to Ken-Ducky Derby, 2231 Lower Hunters Trace, Louisville, KY 40216. A business size, self-addressed, stamped envelope must be included with the request for the request to be honored. Request must be made by 5:00 P.M. EST on Friday, September 6, 2014. Any request for free entries will not be honored if received after September 6, 2014 or after 20,000 ducks have been sold.
8. By adopting a duck, winners consent to the promotional use of their name and likenesses by Harbor House and its designees without additional compensation.
9. The Ken-Ducky Derby and its logo are registered trademarks of Harbor House and GAME and no other person or entity is authorized to copy or otherwise use either without the express written consent of Harbor House.
10. The Grand Prize will be a 2014 Honda Fit provided by Sam Swope Honda World. The winner of the grand prize must provide all necessary Federal and State tax reporting information before receiving the grand prize. All local, state and federal taxes, fees and license are the sole responsibility of the winner. The Grand Prize may not be exchanged for cash, another vehicle or other prize.
11. If a minor wins the Grand Prize, a 2014 Honda Fit, the transfer of the Grand Prize will be made to conservator for the minor or a custodian under the Uniform Transfers to Minors Act before the car can be claimed. If winner is present at time of announcement, winner also receives \$1,200 gas card from Kroger and gift certificate for oil changes from Sam Swope Honda World.
12. Steering Committee Members of the Ken-Ducky Derby, their spouses and household members are not eligible to win.
13. Prior to the start of the race, one out of every 1,500 ducks will be randomly selected. If the number on the bottom of the duck finishing 3rd in the Harbor House Ken-Ducky Derby matches one of the preselected Million Dollar Duck Numbers, the adopter of that duck will win the \$1,000,000 prize. In the event the number on the bottom of the 3rd duck does not match one of the preselected numbers, the \$1,000,000 prize will not be awarded. The \$1,000,000 prize, if awarded will be payable in 40 annual installments of \$25,000 annually. PRESENTER reserves the right to refuse to make the award due to any irregularity in the application of the contest rules. Directors and principals of PRESENTER shall be ineligible to participate in the Million Dollar Duck Promotion and shall be ineligible for any prize/winnings covered herein.
14. Prizes will not be awarded if adoptions were issued in exchange for a check issued for "insufficient funds" or credit card deemed "declined" "invalid" or "stolen."
15. The Derby Duck Race/Turbo Turtle Trek is a licensed fundraising event of GAME - Great American Merchandise and Events. The logo and the name Derby Duck Race/Turbo Turtle Trek are registered trademarks of GAME and cannot be used or copied without its written consent. For more information, please log onto [www.game-group.com](http://www.game-group.com) or call 602-957-3825.

License# - ORG0001797

000093  
Your Lucky Duck Number

**11<sup>TH</sup>**  
**KEN-DUCKY DERBY**  
HARBOR HOUSE OF LOUISVILLE

**September 28, 2014**  
**Waterfront Park**

You Could Win a  
**2014 Honda Fit**

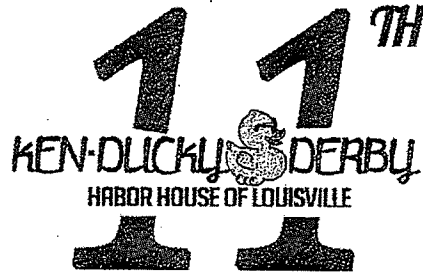
Presented by  
**Sam Swope**  
**HONDA WORLD**

**WLKY 32**

**Adopt a Duck**  
**Improve a Life!**

**www.harborhouseduckderby.org**

# One Lucky Duck Will Win a 2014 Honda Fit!

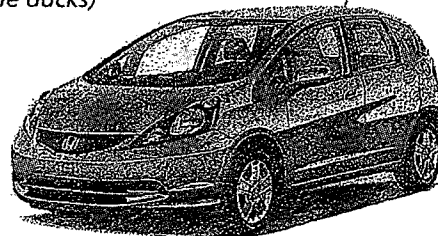


## Adopt a Duck

\$5 Adopts a Duck

Buy a Quack Pack and  
get a Duck FREE!

(Your Lucky Duck number is  
good for multiple ducks)



### Grand Prize

### 2014 Sam Swope Honda Fit

If your duck comes in third place and is a preselected  
MILLION DOLLAR DUCK you will win **\$1,000,000!!**

2nd-Place Prize – \$1,000 • 3rd-Place Prize – \$500

## Family Festival

Come down to the Louisville Waterfront for a  
**one-of-a-kind event! September 28, 2014, 12pm-5pm**

There will be fun for all: Live music, a food court, games and much  
more! Watch over 25,000 rubber ducks fill the Ohio River and cheer  
your ducks on to victory!

If you are the Grand Prize winner and are present when it is  
announced you will also receive a year's worth of gas from Kroger  
and oil changes courtesy of Sam Swope!

## Improve a Life

All proceeds of the Ken-Ducky Derby benefit  
Harbor House of Louisville, a non-profit  
training and development center that seeks to  
empower individuals with disabilities and their  
families to lead fulfilled and productive lives.



Adopt your Ducks online at [www.harborhouseduckderby.org](http://www.harborhouseduckderby.org)

DETACH FLAP  
BEFORE SEALING

To adopt rubber duck: Tear envelope off at perforation above, fill out adoption papers,  
and enclose your donation. Seal envelope by moistening gummed area.

DETACH FLAP  
BEFORE SEALING

### PLEASE PRINT

Name \_\_\_\_\_

Address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_

Zip \_\_\_\_\_ Year of Birth \_\_\_\_\_

Phone \_\_\_\_\_

Email \_\_\_\_\_

### Choose Your Package

Single Duck @ \$5

Quack Pack @ \$25  
(6 ducks)

Big Quack Pack @ \$50  
(14 ducks)

Flock of Ducks @ \$100  
(30 ducks)

Total Ducks \_\_\_\_\_ Total \$ \_\_\_\_\_

License# - ORG0001797

Checks payable to Harbor House. Use reverse side for credit cards.

ISORS



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Sponsor

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Maker's  
Mark

ISORS

Funeral Home  
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Dan Johnson (21)  
5) James Peden (23)  
Madonna Flood (24)  
David Yates(25)

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3 Cleaners  
Initiative Joni Jenkins

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