

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

Applicant/Program: Toonerville Trolley Neighborhood Association/ 5th Annual Old Louisville Spring Fest 2016

Executive Summary of Request:

Spring Fest is an annual Spring showcase of the Old Louisville Neighborhood bounded by Magnolia, 1st Street, Oak Street and Brook Street. Spring Fest will be held on May 20th-21st, 2016 and consist of music, food, fun and games for all.

This NDF request in the amount of \$5,000 is to fund the marketing, publicity and the Kidzone for this Spring Fest event.

Is this program/project a fundraiser?

☒ Yes ☐ No

Is this applicant a faith based organization?

☐ Yes ☒ No

Does this application include funding for sub-grantee(s)?

☐ Yes ☒ No

I have reviewed the attached Neighborhood Development Fund Application and have found it complete and within Metro Council guidelines and request approval of funding in the following amount(s). I have read the organization's statement of public purpose to be furthered by the funds requested and I agree that the public purpose is legitimate. I have also completed the disclosure section below, if required.

6
District #

[Signature]
Council Member Signature

\$ 3,500
Amount

8-23-2016
Date

Primary Sponsor Disclosure

List below any personal or business relationship you, your family or your legislative assistant have with this organization, its volunteers, its employees or members of its board of directors.

Approved by:

Appropriations Committee Chairman

Date

Clerk's Office Only:

Request Amount: _____ Committee Amended Appropriation: _____

Original Appropriation: _____ Council Amended Appropriation: _____

LOUISVILLE METRO COUNCIL NEIGHBORHOOD DEVELOPMENT FUND APPLICATION CHECKLIST

Legal Name of Applicant Organization: Toonerville Trolley Neighborhood Association

Program Name and Request Amount: 5th Annual Old Louisville Spring Fest

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

Prepared by: *Allison Oliver* Date: *3-21-16*



LOUISVILLE METRO COUNCIL NEIGHBORHOOD DEVELOPMENT FUND APPLICATION

| SECTION 1 – APPLICANT INFORMATION | | | |
|---|--|--|---|
| Legal Name of Applicant Organization: Toonerville Trolley Neighborhood Association <small>(as listed on: http://www.sos.ky.gov/business/records)</small> | | | |
| Main Office Street & Mailing Address: 1355 Bardstown Road suite 243 Louisville, KY 40204 | | | |
| Website: ttnalouisville.org..... email: info@toonerville.info | | | |
| Applicant Contact: | Joan Stewart/Dan Mason | Title: | Chairs SpringFest 2016 |
| Phone: | 502.593.1242/502.994.1856 | Email: | jagsaregreat@yahoo.com/dan@danielcmason.com |
| Financial Contact: | Doug Humble | Title: | Treasurer Toonerville NA |
| Phone: | 502.653.9574 | Email: | info@toonerville.info |
| Organization's Representative who attended NDF Training: Joan Stewart | | | |
| GEOGRAPHICAL AREA(S) WHERE PROGRAM ACTIVITIES ARE (WILL BE) PROVIDED | | | |
| Program Facility Location(s): | Old Louisville area bounded by 1st and Magnolia to 1st and Oak and Ormsby between Brook and 2nd Street | | |
| Council District(s): | 6 | Zip Code(s): | 40208 40203 |
| SECTION 2 – PROGRAM REQUEST & FINANCIAL INFORMATION | | | |
| PROGRAM/PROJECT NAME: Old Louisville SpringFest 2016---5th Annual | | | |
| Total Request: (\$) | 5000.00 | Total Metro Award (this program) in previous year: (\$) | 5000.00 |
| Purpose of Request (check all that apply): <input type="checkbox"/> Operating Funds (generally cannot exceed 33% of agency's total operating budget) <input checked="" type="checkbox"/> Programming/services/events for direct benefit to community or qualified individuals <input type="checkbox"/> Capital Project of the organization (equipment, furnishing, building, etc) | | | |
| The Following are Required Attachments: | | | |
| <input checked="" type="checkbox"/> IRS Exempt Status Determination Letter <input checked="" type="checkbox"/> Current Year Projected Budget <input checked="" type="checkbox"/> List of Board of Directors (include term & term limits) <input checked="" type="checkbox"/> Current financial statement <input type="checkbox"/> Most recent IRS Form 990 or 1120-H <input checked="" type="checkbox"/> Articles of Incorporation <input type="checkbox"/> Cost estimates from proposed vendor if request is for capital expense | | <input type="checkbox"/> Signed lease if rent costs are being requested <input checked="" type="checkbox"/> IRS Form W9 <input type="checkbox"/> Evaluation forms if used in the proposed program <input type="checkbox"/> Annual audit (if required by organization) <input type="checkbox"/> Faith Based Organization Certification Form, if required <input type="checkbox"/> Staff including the 3 highest paid staff | |
| For the current fiscal year ending June 30, list all funds appropriated and/or received from Louisville Metro Government for this or any other program or expense, including funds received through Metro Federal Grants, from any department or Metro Council Appropriation (Neighborhood Development Funds). Attach additional sheet if necessary. | | | |
| Source: | | Amount: (\$) | |
| Source: | | Amount: (\$) | |
| Source: | | Amount: (\$) | |
| Has the applicant contacted the BBB Charity Review for participation? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No | | | |
| Has the applicant met the BBB Charity Review Standards? <input type="checkbox"/> Yes <input type="checkbox"/> No | | | |



LOUISVILLE METRO COUNCIL NEIGHBORHOOD DEVELOPMENT FUND APPLICATION

SECTION 3 – AGENCY DETAILS

Describe Agency's Vision, Mission and Services:
See Attached...all of this information is in the ByLaws Section...



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.):

SpringFest is an annual Spring showcase of the Old Louisville Neighborhood bounded by Magnolia, 1st Street Oak Street and Brook Street. The Event has proven to be a successful Partnership between neighbors, businesses, neighborhood associations and our Councilman, David James. This event has brought positive publicity to the Old Louisville Neighborhood as well as providing funds for the operation of the Neighborhood Council and now for funding neighborhood projects in Tthe Toonerville Neighborhood Association boundaries and special projects in Old Louisville proper.

SpringFest will happen May 20-21, 2016. The Event times are May 20 noon to 9pm and May 21 10am to 9pm. Set up will happen May 20 from 8am to 11am.

SpringFest will consist of Vendor Booths, Non-Profit Information Booths, Food Trucks, Beer/Bourbon Vendor, Music and a magical KidsZone. Vendors will pay a Vendor Fee...everything else is free to the public. The KidsZone is always a huge attraction for the Neighborhood Kids from Old Louisville, Shelby Park, Smoketown, Limerick, Germantown and many other areas in the geographic surrounds.

The KidsZone consists of educational and fun activities involving parents and children.

The music and food are enjoyed by the many thousands of attendees and the Vendors have a beautiful area with interested and interesting people to offer their goods for individual and association benefit.

As far as Client population...we create publicity for all areas of the Metro and neighboring regions. The is no fee for attendance.

B: Describe specifically how the funding will be spent including identification of funding to sub grantee(s):
The requested funding will be spent in the following way...

Marketing and Publicity.....\$3000.00
Kidzone2000.00



LOUISVILLE METRO COUNCIL NEIGHBORHOOD DEVELOPMENT FUND APPLICATION

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

The proceeds earned from SpringFest will help beautify the Neighborhood (the Banners from last year...trees planted...clean-up of the Neighborhood year round...helping other entities in the Neighborhood...foster a positive image of the Eastern Part of Old Louisville...publicize the the positive attributes of living in Toonerville/Old Louisville)...and helping fund the 2017 SpringFest.

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.

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LOUISVILLE METRO COUNCIL NEIGHBORHOOD DEVELOPMENT FUND APPLICATION

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

The benefits to those being served are many. The most obvious one is that the family can have a wonderful excursion for free. For those who can not afford to visit for profit activities that the children under 10 enjoy, SpringFest offers them a chance to bring their children and have a great time. For those who can afford to visit the for profit venues, SpringFest offers them a way to have the same fun for free.

SpringFest offers local artists and craft vendors a place to showcase the talents and offers the attendees the opportunity to support those local artists who choose to be a SpringFest Vendor.

The method of determining the success of SpringFest is the returning of vendors from year to year, the support of the Sponsors from year to year, the attendance (returnees and new guests)...the smiles on the faces of those who attend...and on the faces of those who work diligently for the entire year to organize and plan for SpringFest!

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.

The partnerships include working with CM James, the residents of Old Louisville, Kosair Charties, Anhauser Bush, and the business owners in Old Louisville and beyond. We also partner with media outlets in order to be able to afford advertising for the event!



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) | 5000 | 19350 | 24350 |
| J: Small Equipment | | | |
| K: Capital Equipment | | | |
| L: Other Expenses (Attach Detail List) | | | |
| *TOTAL PROGRAM/PROJECT FUNDS | 5000 | 19350 | 24350 |
| % of Program Budget | 20. % | 79 % | 100% |

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

| | |
|---|-------------------------------|
| Other State, Federal or Local Government | |
| United Way | |
| Private Contributions (do not include individual donor names) | 20000 Sponsorships and grants |
| Fees Collected from Program Participants | 14000 |
| Other (please specify) | 11700 volunteer in kind |
| Total Revenue for Columns 2 Expenses ** | 65050 |

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

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

JSS



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 |
|--|-----------------------|-------------------------------------|
| volunteers (25 for each event hour | \$10000 | 500hours of volunteering*\$20=10000 |
| Committee Volunteers 85 hours | \$1700 | 85*20=\$1700 |
| | | |
| | | |
| <i>Total Value of In-Kind</i> <i>(to match Program Budget Line Item.</i> Volunteer Contribution & Other In Kind) | \$11700 | |

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

Agency Fiscal Year Start Date: January 1, 2016

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.

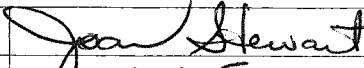
Standard Certifications

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: |  | Date: | 03/09/16 |
| Legal Signatory: (please print): | JOAN SCOGGINS STEWART | Title: | Chair SF |
| Phone: | 502 593 1242 | Extension: | — |
| Email: | jagsaregregreat@yahoo.com | | |

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

DEPARTMENT OF THE TREASURY

MAY 14 2015
Date:

TOONERVILLE TROLLEY NEIGHBORHOOD
ASSOCIATION INC
C/O DENNY LAW OFFICE PLLC
455 S FOURTH ST STE 1071
LOUISVILLE, KY 40204

Employer Identification Number:

DLN:

17053093318015

Contact Person:

DAVID L. SLAUGHTER

ID# 31188

Contact Telephone Number:

(877) 829-5500

Accounting Period Ending:

December 31

Public Charity Status:

509(a)(2)

Form 990 Required:

Yes

Effective Date of Exemption:

March 31, 2015

Contribution Deductibility:

Yes

Addendum Applies:

No

Dear Applicant:

We are pleased to inform you that upon review of your application for tax exempt status we have determined that you are exempt from Federal income tax under section 501(c)(3) of the Internal Revenue Code. Contributions to you are deductible under section 170 of the Code. You are also qualified to receive tax deductible bequests, devises, transfers or gifts under section 2055, 2106 or 2522 of the Code. Because this letter could help resolve any questions regarding your exempt status, you should keep it in your permanent records.

Organizations exempt under section 501(c)(3) of the Code are further classified as either public charities or private foundations. We determined that you are a public charity under the Code section(s) listed in the heading of this letter.

For important information about your responsibilities as a tax-exempt organization, go to www.irs.gov/charities. Enter "4221-PC" in the search bar to view Publication 4221-PC, Compliance Guide for 501(c)(3) Public Charities, which describes your recordkeeping, reporting, and disclosure requirements.

Old Louisville Neighborhood Council SpringFest, 2012 ~~2013~~

| Ordinary Income/Expense | | Budget | Jan '16 - Dec '16 |
|--|--|--------|-------------------|
| Income | | | |
| 43400 · Direct Public Support | | | |
| 43440 · Gifts in Kind - Goods | | - | |
| 43450 · Individ, NA, Business Contribs | | 450 | |
| 43460 · Sponsorships | | 20,000 | |
| 43460.1 · Band Sponsor | | - | |
| 43460.2 · Bronze Sponsor - \$250 | | | |
| 43460.3 · Gold Sponsor - \$1000 | | | |
| 43460.4 · Patron Sponsor - \$25 | | | |
| 43460.5 · Platinum Sponsor - \$2500 | | | |
| 43460.7 · Program Sponsor - \$10,000 | | | |
| 43460.8 · Silver Sponsor - \$500 | | | |
| 43460.9 · Yard Sign Sponsor - \$50 | | 2,000 | |
| 43460.a · Supporting - \$100 | | | |
| 44000 · Grants | | | |
| 47000 · Program Income | | | |
| 47210 · Advertising Income | | | |
| 47240 · Booth Rental | | 14,000 | |
| 47240.1 · Flat Fee | | - | |
| 47240.2 · % of Sales | | - | |
| 47250 · Food/Alcohol Sales | | | |
| 47250.1 · Alcohol Sales | | 5,000 | |
| 47250.2 · Cost of Goods Sold - Alcohol | | | |
| 47250.3 · Food Sales | | | |
| 47400 · T-shirts | | | |
| 47400.1 · Sales | | 1,400 | |
| 47400.2 · Cost of Goods Sold | | - | |
| Total 47400 · T-shirts | | 1,400 | |
| Total Income | | 44,250 | - |

Old Louisville Neighborhood Council
SpringFest, ~~2012-2013~~ 2016

| Expense | Budget | Jan '16 - Dec '16 |
|--|--------|-------------------|
| 50000 · Support of Other Organizations | - | |
| 60000 · Program Expenses | | |
| 60075 · Bad Debt Expense | - | |
| 60050 · Amort. of Start-Up Costs | - | |
| 60100 · Bands | - | |
| 60150 · Bank Fees | | |
| 60150.1 · MC/VISA Charges | - | |
| 60150 · Bank Fees - Other | 250 | |
| 60200 · Cleaning/Maintenance | 575 | |
| 60250 · Depreciation Expense | - | |
| 60300 · Equipment Rental | 3,500 | |
| 60400 · KidsZone | 3,000 | |
| 60500 · Labor | 1,635 | |
| 60700 · License & Fees | 4,735 | |
| 60800 · Marketing | | |
| 60800.1 · Ads | 2,500 | |
| 60800.2 · Banners & Posters | - | |
| 60800.3 · Brochures | - | |
| 60800.6 · Radio | 1,250 | |
| 60800.7 · Signs | 250 | |
| 60800.9 · Web Related | 500 | |
| 60800 · Marketing - Other | 500 | |
| 61100 · Postage & Mail Processing | 20 | |
| 61150 · Printing and Copying | 100 | |
| 61200 · Professional Fees | 1,535 | |
| 61300 · Prizes | - | |
| 61301 · Prize (Gift-In-Kind) | - | |
| 61400 · Refreshments | 1,500 | |
| 61700 · Supplies | 1,500 | |
| 61800 · Uniform | - | |

Old Louisville Neighborhood Council
SpringFest, ~~2012-2013~~ 2016

| | Budget | Jan '16 - Dec '16 |
|--|--------|-------------------|
| 61900 · Utilities | 300 | |
| 70000 · Operating Expenses | | |
| 71000 · Insurance | | |
| 71000.1 · Insurance - Liability, D and O | 700 | |
| 71000 · Insurance - Other | - | |
| Total Expense | 24,350 | - |
| Net Income | 19,900 | - |

Part V **Line 3a**

Dan Mason - President - Average hours worked 10 per week - As a resident of Old Louisville since 2008, Dan has been on many committees and community projects and have developed a strong network of local contacts, leaders, businesses, etc. to help drive real and sustainable change in our amazing neighborhood. Dan's focus has been community celebrations, fundraisers for key community needs (e.g. individuals in hardship, beautification projects, etc.) and urban park and green space renovation. Dan is also a local business owner with two successful locations.

Doug Wetzel - Vice President - Average hours worked 10 per week - As property owner in the Toonerville area of Old Louisville, Doug is committed to improving the neighborhood and community that he calls home. In his time of living in Louisville, he has volunteered and participated in multiple events ranging from cleaning parks, fund raising and serving on broader neighborhood community committees for Old Louisville. His corporate experience as President of National Staffing Firm and other executive positions in the business world has brought another strategic and planning point of view to the board.

Philip Beeson - Secretary - Average hours worked 10 per week - Philip graduated in 2009 from Miami University with a degree in Finance. He worked 3 years with Johnson & Johnson in corporate finance before taking a position with a local commodity risk management firm. He is currently pursuing his MBA @ UL and is an active member of his local church. His participation with the Toonerville Trolley Neighborhood Association as Secretary and business knowledge has been invaluable.

Doug Humble - Treasurer - Average hours worked 10 per week - With well over 10 years experience in the finance industry as a project manager and systems integration engineer, Doug's eye for detail has enabled him to assist the Toonerville Trolley Neighborhood Association with managing the finances for the association.

Nancy Woodcock - Director - Average hours worked 10 per week - Nancy has tirelessly worked to assist the association by managing our project to restore and preserve the Fort George Cemetery, a Revolutionary War cemetery, that had fallen into disrepair. Additionally Nancy provides valuable input to the association on the historic points of interest in the area.

Barry Kornstein - Director - Average hours worked 10 per week - Barry has served the association in the past as the treasurer. His understanding of not only the financial aspects of the organization, but also of local concerns and association with local universities has assisted the association on many occasions to move forward with it's carious efforts.

Toonerville Trolley Neighborhood Association
Profit & Loss
January through December 2015

| Toonerville 2015 Actual & 2016 Budget | Jan - Dec 15 Actual | Jan - Dec 16 Draft Budget | 2016 Budget Comments |
|---|------------------------|------------------------------|--|
| Ordinary Income/Expense | | | |
| Income | | | |
| 43200 · Sales Income | \$ 470 | \$ 500 | Based on 20 Members paying \$25 |
| 43400 · Direct Public Support | | | |
| 43450 · Individ, Business Contributions | \$ 411 | \$ - | |
| 43400 · Direct Public Support - Other | \$ 30,828 | \$ 44,250 | Springfest Revenue |
| Total 43400 · Direct Public Support | \$ 31,239 | \$ 44,250 | |
| 45000 · Investments | | | |
| 45030 · Interest-Savings, Short-term CD | \$ 5 | \$ 6 | |
| Total 45000 · Investments | \$ 5 | \$ 6 | |
| 47200 · Program Income | | | |
| 47210 · Bad debts, Est - Program Sales | \$ (2) | \$ - | |
| Total 47200 · Program Income | \$ (2) | \$ - | |
| 49000 · Special Events Income | | | |
| 49010 · Special Events Contributions | \$ 750 | \$ - | |
| Total 49000 · Special Events Income | \$ 750 | \$ - | |
| Total Income | \$ 32,462 | \$ 44,756 | |
| Cost of Goods Sold | | | |
| 50000 · *Cost of Goods Sold | \$ 188 | | |
| Total COGS | \$ 188 | \$ - | |
| Gross Profit | \$ 32,274 | \$ 44,756 | |
| Expense | | | |
| 60900 · Business Expenses | | | |
| Bank Fees | \$ 127 | \$ 150 | Based on 2015 Actual Expenses |
| 60900 · Business Expenses - Other | \$ 689 | \$ 165 | QuickBooks Upgrade \$50 Website Fees \$100 Secretary of State \$15 |
| Total 60900 · Business Expenses | \$ 815 | \$ 315 | |
| 62100 · Contract Services | | | |
| 62140 · Legal Fees | \$ 1,250 | \$ 1,000 | Filing fees and preparation for State and Local Government 501c3 Requirements |
| Total 62100 · Contract Services | \$ 1,250 | \$ 1,000 | |
| 65000 · Operations | | | |
| 65010 · Books, Subscriptions, Reference | \$ 25 | \$ - | |
| 65020 · Postage, Mailing Service | \$ 239 | \$ 500 | \$239 for PO Box Rental and balance for postage |
| 65040 · Supplies | \$ 187 | \$ 225 | QuickBooks Upgrade \$50 Website Fees \$100 Secretary of State \$15 |
| Total 65000 · Operations | \$ 451 | \$ 725 | |
| 65100 · Other Types of Expenses | | | |
| 65120 · Insurance - Liability, D and O | \$ 538 | \$ 550 | Based on 2015, does not include special event insurance for SpringFest |
| Total 65100 · Other Types of Expenses | \$ 538 | \$ 550 | |
| 69000 · Program Expenses | | | |
| 69010 · Fort George Restoration | \$ 225 | \$ 3,840 | Fence Repairs Assumed 128 linear feet at \$30/Foot |
| 69020 · Springfest | \$ 3,304 | \$ 24,350 | Springfest Related Expenses paid out of TTNA vs 2015 OLNC |
| 69030 · Street Cleaning | \$ 3,547 | \$ 8,000 | Private Street Cleaning |
| 69000 · Program Expenses - Other | \$ 5,251 | \$ 4,500 | Banners: Based on Number of Banners fabricated and installed in 2015 |
| Total 69000 · Program Expenses | \$ 12,327 | \$ 40,690 | |
| Total Expense | \$ 15,381 | \$ 43,280 | |
| Net Ordinary Income | \$ 16,893 | \$ 1,476 | |
| Net Income | \$ 16,893 | \$ 1,476 | |

Toonerville Trolley Neighborhood Association
Profit & Loss
January through December 2015

| Toonerville 2015 Actual & 2016 Budget | Jan - Dec 15 Actual | Jan - Dec 16 Draft Budget | 2016 Budget Comments |
|--|--------------------------------|--------------------------------------|--|
| Ordinary Income/Expense | | | |
| Income | | | |
| 43200 · Sales Income | \$ 470 | \$ 500 | Based on 20 Members paying \$25 |
| 43400 · Direct Public Support | | | |
| 43450 · Indivd, Business Contributions | \$ 411 | \$ - | |
| 43400 · Direct Public Support - Other | \$ 30,828 | \$ 44,250 | Springfest Revenue |
| Total 43400 · Direct Public Support | \$ 31,239 | \$ 44,250 | |
| 45000 · Investments | | | |
| 45030 · Interest-Savings, Short-term CD | \$ 5 | \$ 6 | |
| Total 45000 · Investments | \$ 5 | \$ 6 | |
| 47200 · Program Income | | | |
| 47210 · Bad debts, Est - Program Sales | \$ (2) | \$ - | |
| Total 47200 · Program Income | \$ (2) | \$ - | |
| 49000 · Special Events Income | | | |
| 49010 · Special Events Contributions | \$ 750 | \$ - | |
| Total 49000 · Special Events Income | \$ 750 | \$ - | |
| Total Income | \$ 32,462 | \$ 44,756 | |
| Cost of Goods Sold | | | |
| 50000 · *Cost of Goods Sold | \$ 188 | | |
| Total COGS | \$ 188 | \$ - | |
| Gross Profit | \$ 32,274 | \$ 44,756 | |
| Expense | | | |
| 60900 · Business Expenses | | | |
| Bank Fees | \$ 127 | \$ 150 | Based on 2015 Actual Expenses |
| 60900 · Business Expenses - Other | \$ 689 | \$ 165 | QuickBooks Upgrade \$50 Website Fees \$100 Secretary of State \$15 |
| Total 60900 · Business Expenses | \$ 815 | \$ 315 | |
| 62100 · Contract Services | | | |
| 62140 · Legal Fees | \$ 1,250 | \$ 1,000 | Filing fees and preparation for State and Local Government 501c3 Requirements |
| Total 62100 · Contract Services | \$ 1,250 | \$ 1,000 | |
| 65000 · Operations | | | |
| 65010 · Books, Subscriptions, Reference | \$ 25 | \$ - | |
| 65020 · Postage, Mailing Service | \$ 239 | \$ 500 | \$239 for PO Box Rental and balance for postage |
| 65040 · Supplies | \$ 187 | \$ 225 | QuickBooks Upgrade \$50 Website Fees \$100 Secretary of State \$15 |
| Total 65000 · Operations | \$ 451 | \$ 725 | |
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| Total Expense | \$ 15,381 | \$ 43,280 | |
| Net Ordinary Income | \$ 16,893 | \$ 1,476 | |
| Net Income | \$ 16,893 | \$ 1,476 | |

Toonerville Trolley Neighborhood Association

Balance Sheet

03/08/16

As of March 8, 2016

Cash Basis

| | Mar 8, 16 |
|---------------------------------------|------------------|
| ASSETS | |
| Current Assets | |
| Checking/Savings | |
| 5000 · US Bank Checking | |
| 5001 · Unrestricted Funds | 538.54 |
| 5020 · Restricted Funds | |
| 5021 · Toonerville Trolley Park | 12,272.00 |
| 5022 · Fort George Project | 2,241.79 |
| 5024 · Street Cleaning | -56.50 |
| 5026 · Toonerville Street Banners | 365.12 |
| 5027 · Springfest | 9,535.22 |
| Total 5020 · Restricted Funds | 24,357.63 |
| 5030 · Ouerbacker Court Funds | 240.26 |
| Total 5000 · US Bank Checking | 25,136.43 |
| Total Checking/Savings | 25,136.43 |
| Accounts Receivable | -268.47 |
| Other Current Assets | |
| 12000 · Undeposited Funds | 384.26 |
| 12100 · *Inventory Asset | -188.00 |
| Total Other Current Assets | 196.26 |
| Total Current Assets | 25,064.22 |
| TOTAL ASSETS | 25,064.22 |
| LIABILITIES & EQUITY | |
| Liabilities | |
| Current Liabilities | |
| Other Current Liabilities | |
| 25500 · Sales Tax Payable | 28.20 |
| Total Other Current Liabilities | 28.20 |
| Total Current Liabilities | 28.20 |
| Total Liabilities | 28.20 |
| Equity | |
| 30000 · Opening Balance Equity | -7,999.94 |
| 32000 · Retained Earnings | 33,515.96 |
| Net Income | -480.00 |
| Total Equity | 25,036.02 |
| TOTAL LIABILITIES & EQUITY | 25,064.22 |

Information copy. Do not send to IRS.


OMB No. 1545-2085

2014

Open to Public Inspection

Form **990-N**Department of the Treasury
Internal Revenue Service**Electronic Notice (e-Postcard)**
for Tax-Exempt Organizations not Required To File Form 990 or 990-EZ**A** For the 2014 calendar year, or tax year beginning 1/1/2014, and ending 12/31/2014.**B** Check if applicable

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

C Name of organization: TOONERVILLE TROLLEY
NEIGHBORHOOD ASSOCIATION INC
d/b/a:% Doug Humble
1355 Bardstown Rd ste 243
Louisville, KY, US, 40204**D** Employer
Identification
Number
**E** Website:**F** Name of Principal Officer: Daniel Mason1323 S 1st Street
Louisville, KY, US, 40208

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

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

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

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

Trey Grayson
Secretary of State
Received and Filed

07/28/2004 2:45:37 PM

Fee Receipt: \$8.00

ARTICLES OF INCORPORATION

OF

TOONERVILLE TROLLEY NEIGHBORHOOD ASSOCIATION, INC.

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

ARTICLE I

The name of the Corporation shall be:

TOONERVILLE TROLLEY NEIGHBORHOOD ASSOCIATION, INC.

ARTICLE II

The duration of the Corporation shall be perpetual.

ARTICLE III

The address of the registered office of the corporation is:

1416 South Brook Street
Louisville, Kentucky 40208

The name of the initial registered agent for service of process, located at such address is:

Chris Hart

The principal office of the Corporation is located at:

1416 South Brook Street
Louisville, Kentucky 40208

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

ARTICLE IV

The Corporation is organized and shall be operated exclusively for charitable and educational purposes as described within Section 501(c)(3) of the Internal Revenue Code (or corresponding provisions of any later Federal tax laws), including for such

ARTICLE V

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

ARTICLE VI

In carrying out the corporate purposes described in Article IV, the Corporation shall have all the powers granted by the laws of the State of Kentucky, including in particular those listed in KRS 273.171 (or corresponding provision of any later State statute), except as follows and as otherwise stated in these Articles:

a) 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 any candidate for public office.

b) Notwithstanding any other provision of these Articles, the Corporation shall not carry on any other activities not permitted to be carried on:

1) by a corporation exempt from Federal income tax under Section 501(c)(3) of the Internal Revenue Code, or the corresponding provisions of any subsequent Federal tax laws.

2) by a corporation, contributions to which are deductible under Section 170(c)(2) of the Internal Revenue Code, or corresponding provisions of any later Federal tax laws.

c) If and so long as the Corporation is a private foundation as defined in Section 509(a) of the Internal Revenue Code, or corresponding provisions of any later Federal tax laws:

1) The Corporation shall distribute its income for each taxable year at such time and in such manner as not to become subject to the tax on undistributed income imposed by Section 4942 of the Internal Revenue Code, or corresponding provisions of any later Federal tax laws.

2) The Corporation shall not engage in any act of self-dealing as defined in Section 4941(d) of the Internal Revenue Code, or corresponding provisions of any later Federal tax laws.

ARTICLE IX

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

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

ARTICLE X

a) The directors, officers, employees and members of this Corporation shall not be held personally liable for any debt or obligation of the Corporation solely because of their position in the Corporation.

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

1) concerned or concerns a transaction in which the director's personal financial interest was or is in conflict with the financial interests of the Corporation;

2) was not in good faith or involved or involves intentional misconduct on the part of the director;

3) was known by the director to be a violation of law;
or

4) resulted in an improper personal benefit to the director.

ARTICLE XI

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

Jan Marie Hemberger
JAN MARIE HEMBERGER,
INCORPORATOR

STATE OF KENTUCKY)
)
COUNTY OF JEFFERSON)

The foregoing Articles of Incorporation were acknowledged before me this 14th day of June, 2004, by JAN MARIE HEMBERGER. Witness my signature and seal of office.

My Commission Expires: January 8, 2005.

Jan Kibbelly
NOTARY PUBLIC
STATE AT LARGE, KENTUCKY

Dale Tucker
DALE TUCKER, INCORPORATOR

STATE OF KENTUCKY)
)
COUNTY OF JEFFERSON)

The foregoing Articles of Incorporation were acknowledged before me this 14th day of June, 2004, by DALE TUCKER. Witness my signature and seal of office.

My Commission Expires: January 8, 2005.

Jan Kibbelly
NOTARY PUBLIC
STATE AT LARGE, KENTUCKY

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. | 1 Name (as shown on your income tax return). Name is required on this line; do not leave this line blank. Toonerville Trolley Neighborhood Association Inc | |
| | 2 Business name/disregarded entity name, if different from above | |
| | 3 Check appropriate box for federal tax classification; check only one of the following seven boxes: <input type="checkbox"/> Individual/sole proprietor or single-member LLC <input type="checkbox"/> C Corporation <input type="checkbox"/> S Corporation <input type="checkbox"/> Partnership <input type="checkbox"/> Trust/estate <input type="checkbox"/> Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=partnership) ▶ Note. For a single-member LLC that is disregarded, do not check LLC; check the appropriate box in the line above for the tax classification of the single-member owner. <input checked="" type="checkbox"/> Other (see instructions) ▶ Nonprofit corporation exempt under IRS Code Section 501(c)(3) | |
| | 4 Exemptions (codes apply only to certain entities, not individuals; see instructions on page 3): Exempt payee code (if any) _____ Exemption from FATCA reporting code (if any) _____ <small>(Applies to accounts maintained outside the U.S.)</small> | |
| | 5 Address (number, street, and apt. or suite no.) 1355 Bardstown Rd Ste 243 | |
| | 6 City, state, and ZIP code Louisville, KY 40204 | |
| | 7 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 generally your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the Part I instructions on page 3. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN* on page 3.

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

| | | | | | | | | |
|------------------------|--|--|--|---|--|--|---|--|
| Social security number | | | | | | | | |
| | | | | - | | | - | |

OR

Employer identification number



Part II Certification

Under penalties of perjury, I certify that:

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

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

Sign Here Signature of U.S. person ▶ *Philip Bessa*

Date ▶ *2-27-2016*

General Instructions

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

Future developments. Information about developments affecting Form W-9 (such as legislation enacted after we release it) is at www.irs.gov/fw9.

Purpose of Form

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

- Form 1099-INT (interest earned or paid)
- Form 1099-DIV (dividends, including those from stocks or mutual funds)
- Form 1099-MISC (various types of income, prizes, awards, or gross proceeds)
- Form 1099-B (stock or mutual fund sales and certain other transactions by brokers)
- Form 1099-S (proceeds from real estate transactions)
- Form 1099-K (merchant card and third party network transactions)

- Form 1098 (home mortgage interest), 1098-E (student loan interest), 1098-T (tuition)
- Form 1099-C (canceled debt)
- Form 1099-A (acquisition or abandonment of secured property)

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN.

If you do not return Form W-9 to the requester with a TIN, you might be subject to backup withholding. See What is backup withholding? on page 2.

By signing the filled-out form, you:

1. Certify that the TIN you are giving is correct (or you are waiting for a number to be issued),
2. Certify that you are not subject to backup withholding, or
3. Claim exemption from backup withholding if you are a U.S. exempt payee. If applicable, you are also certifying that as a U.S. person, your allocable share of any partnership income from a U.S. trade or business is not subject to the withholding tax on foreign partners' share of effectively connected income, and
4. Certify that FATCA code(s) entered on this form (if any) indicating that you are exempt from the FATCA reporting, is correct. See *What is FATCA reporting?* on page 2 for further information.



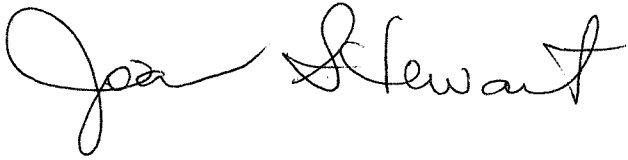
Addendum to the SpringFest Application for 2016

The TTNA has NO paid Staff Members, Officers or Board of Trustee Members.

The Officers and the Board of Trustee are elected annually (section 3 of the ByLaws) for one year terms.

The Affirmative Action Policy is incorporated in the By Laws.

Submitted by Joan Stewart Co Chair SpringFest Committee of the TTNA



Part II **Line 5**

BY-Laws of the Toonerville Trolley Neighborhood Association

By-Laws

TOONERVILLE TROLLEY NEIGHBORHOOD ASSOCIATION, INC.
BYLAWS

ARTICLE 1. NAME, SERVICE AREA AND OFFICES

Section 1. This organization shall be called the Toonerville Trolley Neighborhood Association, Inc, hereinafter referred to as "TTNA".

Section 2. For purposes of this organization, the boundaries will consist of First, Brook and Floyd Streets from Kentucky Street to Hill Street and adjacent cross streets within the Old Louisville Historic District in the City of Louisville, Kentucky.

Section 3. The principal office of the Corporation shall be located in Louisville, Kentucky. The Corporation may have such other office, either within or without the Commonwealth of Kentucky, as the business of the Corporation may require from time to time.

ARTICLE 2. PURPOSE AND RESPONSIBILITY

Section 1. TTNA is a membership organization governed by a Board of Trustees that has as its major responsibilities the formation of goals and implementation of strategies which lead to the betterment of the neighborhood.

Section 2. The authority of the organization derives from the expression of a democratic election by dues-paying members of TTNA.

Section 3. The objects and purposes of TTNA shall be:

1. to unify property owners, tenants, business people and others interested in the area;
2. to encourage neighborhood improvement and betterment;
3. to promote community activities and interests of an educational and charitable nature;
4. to preserve the historic and architectural character of the neighborhood.
5. to encourage upkeep of residential and business property and to eliminate vandalism and littering;
6. to encourage the planting of trees and shrubs;
7. to encourage high quality fire and police protection and traffic law enforcement;
8. to assist in the development of better traffic design and flow;
9. to be concerned with the youth of the area;
10. to be concerned for the senior citizens of the area;
11. to encourage reasonable and adequate zoning and zoning code enforcement;
12. to encourage friendliness and cooperative community spirit in the area and in relations with other neighborhood groups in the Old Louisville Neighborhood Council and throughout the City of Louisville;
13. to support other charitable, educational and cultural activities which advance the general welfare of the community and its people; and
14. to collect and solicit funds to enable the Corporation to carry out the above purposes.

ARTICLE 3. MEMBERSHIP AND VOTING RIGHTS

Section 1. Membership in the TTNA shall be open to all persons who reside or own property within the boundaries of the TTNA as set forth in Article 1, Section 2, or who are otherwise supportive of the purposes

Part II **Line 5**

BY-Laws of the Toonerville Trolley Neighborhood Association

and responsibilities of the TTNA as set forth in Article 2.

Section 2. TTNA shall have the following classes of membership:

Individual/Household: This class consists of dues-paying individuals or households who are residents of or own property within the TTNA boundaries and are at least 18 years of age. Each member of a household has one vote on matters submitted for a membership vote.

Organizational: This category includes dues-paying businesses and other organizations whose place of business lies within the boundaries of the association. Each organizational member has one vote on matters submitted for a membership vote. Organizational members shall appoint and notify the TTNA of the names and addresses of one delegate and one alternate.

Associate: This class consists of TTNA residents who are under the age of 18 or persons interested in the concerns and objectives of TTNA but do not live within the organizational boundaries. Associate members have no voting privileges.

Section 3. To be eligible to vote in regular or special meetings, members must meet the following criteria:

1. be individual/household members or organizational member delegates; and
2. have paid their dues for the current calendar year.

Section 4. The Board of Trustees shall recommend the amount of annual individual/household and organizational dues to the membership, who will accept or reject the recommendation by majority vote.

Section 5. The Board of Trustees may suspend or terminate the membership of any member for good cause. Good cause includes actions detrimental to the best interests of the Corporation. Notice of intent to remove must be sent to the member in question at least fourteen (14) days prior to the meeting at which such action is to be taken. Said notice shall give reasons for removal. A majority vote of the Board of Trustees shall be required for removal.

ARTICLE 4. ORGANIZATION

Section 1. TTNA shall be governed by a Board of Trustees elected from the membership.

Section 2. The officers of the organization are a President, Vice-President, Secretary and Treasurer.

Section 3. The Board of Trustees shall be no less than four (4) and no more than nine (9) in number.

Section 4. Standing committees may be established to oversee the continuing business of TTNA. The President may assign ad hoc committees to work on special projects and activities on a one-time basis.

ARTICLE 5. ELECTIONS, TERMS OF OFFICE AND REMOVAL FROM OFFICE

Section 1. The members of the TTNA shall annually from among themselves by a majority of members present select a President, Vice-President, Secretary and Treasurer for a term in office of one year from January 1 to December 31 and until said officer's successor shall have been elected. No person shall serve more than two consecutive terms in the same office.

Section 2. The President shall appoint a nominating committee. The nominating committee shall be charged

Part II **Line 5**

BY-Laws of the Toonerville Trolley Neighborhood Association

with putting together a slate of proposed Officers and Trustees for the following year. This slate shall be presented by the committee to the TTNA membership at the November meeting.

Section 3. The annual election shall be held at the December meeting of the TTNA. Notification of the election shall be announced at the TTNA meeting prior to the election.

Section 4. The initial Officers provided for in the Articles of Incorporation shall serve until the December 2004 Annual Meeting and until their successors shall have been elected.

Section 5 A vacancy in any office because of death, resignation, removal, or otherwise shall be filled for the remainder of the term by election at the meeting which most closely follows the creation of the vacancy.

Section 6. An Officer or Trustee may be removed from office for neglect of duty or violation of trust in the performance of duties. A petition stating the reasons for removal and bearing the signatures of at least ten percent of the voting members of TTNA, or at least three members of the Board of Trustees, shall be given to all voting members of the TTNA, including the Officer in question, at least ten (10) days prior to the TTNA meeting at which it will be presented. A two-thirds vote of the members present at this meeting is required for removal.

Section 7 An Officer or Trustee may resign at any time by delivering a written resignation to the President or to the Secretary in the event of resignation of the President. Said resignation shall become effective upon receipt by the President or Secretary.

ARTICLE 6. DUTIES OF OFFICERS

Section 1. The day-to-day business and affairs of the Corporation shall be managed by its Officers and Trustees.

Section 2. The President

1. shall be the Chief Executive Officer of the Corporation and shall, in general, supervise all of the day-to-day business and affairs of the Corporation;
2. shall preside at meetings of the TTNA membership, Executive Committee and Board of Trustees;
3. shall appoint members to serve on standing and special committees;
4. shall appoint members to chair committees, and appoint such special committees as are needed;
5. shall be an ex-officio member of all committees;
6. may authorize an expenditure of up to \$50.00 without specific approval by the TTNA;
7. may call special meetings of the TTNA membership, Executive Committee and Board of Trustees;
8. may appoint a Parliamentarian; and
9. shall carry out any other duties delegated by the Board of Trustees, Executive Committee or the membership.

Section 3. The Vice-President

1. shall assist the President in carrying out the President's duties;
2. shall, in the absence of the President, perform the duties of the President; and
3. shall carry out any other duties delegated by the Board of Trustees, Executive Committee or the membership.

Section 4. The Secretary

1. shall attend all membership, Executive Committee and Board of Trustees meetings and act as a clerk of each meeting, recording all votes and keeping the minutes of all proceedings in a book kept for that purpose;

Part II **Line 5**

BY-Laws of the Toonerville Trolley Neighborhood Association

2. shall be responsible for the giving of all notices in accordance with these bylaws or as required by law;
3. shall keep the official records, including all minutes, policy decisions, the original copy of the Articles of Incorporation and bylaws and all amendments thereto of the Corporation;
4. shall be responsible for authenticating the records of the Corporation
5. shall perform the duties of the President in the absence of the President and Vice-President; and
6. shall carry out any other duties delegated by the Board of Trustees, Executive Committee or the membership

Section 5. The Treasurer:

1. shall receive all money and deposit funds in the name of the TTNA in such banks, trust companies, or other depositories as shall be selected in accordance with the provisions of these by-laws;
2. shall pay all expenditures duly authorized by the TTNA and account to the TTNA for the condition of the treasury;
3. shall maintain and keep at the registered or principal office a record of the names and addresses of its members entitled to vote;
4. shall submit the current membership list and by-laws to the Old Louisville Neighborhood Council on an annual basis;
5. shall keep correct and complete books and records of account;
6. shall prepare an annual written financial report; and
7. shall carry out any other duties delegated by the Board of Trustees, Executive Committee or the membership.

Section 6. No Officer or Trustee shall receive compensation for services as an Officer of the Corporation; however, any expenses incurred by any Officer or Trustee by reason of their duties or responsibilities as such may be paid by the Corporation; provided, that nothing contained herein shall be construed to preclude any Officer from serving the Corporation in any other capacity and receiving compensation thereof.

ARTICLE 7. COMMITTEES

Section 1. The Executive Committee shall be comprised of the President, Vice-President, Secretary, Treasurer and the most recent past President, provided that person is still a member of the TTNA and does not hold another current Officer position. This committee is charged with the responsibility of carrying out the TTNA business in the interim of business meetings. Such decisions and activities shall be subject to approval by the Board of Trustees and ratification by the members at the next meeting of the TTNA.

Section 2. Standing committees may be authorized by the Board of Trustees to oversee the continuing business of the Corporation. The Executive Committee is a standing committee.

Section 3. Ad hoc committees may be established by the President to satisfy any special needs of the TTNA on a one-time basis. Among these committees is the nominating committee described in Article 5, Section 2 above.

Section 4. Each committee shall be chaired by a member of TTNA.

Section 5. Committees shall meet at times and places agreeable to the majority of the committee members.

Section 6. Any action required or permitted to be taken at a meeting of the Officers or Trustees, or any action which may be taken at a meeting of a committee, may be taken without a meeting if a consent, in writing, setting forth the action so taken shall be signed by all of the Officers, Trustees, or all members of the committee, as the case may be, and included in minutes or filed with the corporate records. Such consent shall have the effect of a unanimous vote.

Part II Line 5

BY-Laws of the Toonerville Trolley Neighborhood Association

ARTICLE 12. WAIVER OF NOTICE

Section 1. Whenever any notice is required to be given under the provisions of the by-laws, or under the provisions of the Articles of Incorporation, or under the provisions of the corporation laws of the Commonwealth of Kentucky, waiver thereof in writing, signed by the person or persons, entitled to such notice, whether before or after the time stated therein, shall be deemed equivalent to the giving of such notice.

ARTICLE 13. INDEMNIFICATION

Section 1. Each person who is or was a member, trustee, agent, officer or employee of the corporation, whether elected or appointed, and each person who is or was serving at the request of the corporation as a member, trustee, agent, officer or employee of another corporation, whether elected or appointed, including the heirs, executors, administrators, or estate of any such person, shall be indemnified by the corporation to the full amount against any liability, and the reasonable cost or expense (including attorney fees, monetary or other judgments, fines, excise taxes, or penalties and amounts paid or to be paid in settlement) incurred by such person in such person's capacity as a member, trustee, agent, officer, or employee or arising out of such person's status as a member, trustee, agent, officer, or employee; provided, however, no such person shall be indemnified against any such liability, cost, or expense incurred in connection with any action, suit, or proceeding in which such person shall have been adjudged liable on the basis that personal benefit was improperly received by such person, or if such indemnification would be prohibited by law. Such right of indemnification shall be a contract right and shall include the right to be paid by the corporation the reasonable expenses incurred in defending any threatened or pending action, suit, or proceeding in advance of its final disposition; provided, however, that such advance payment of expenses shall be made only after delivery to the corporation of an undertaking by or on behalf of such person to repay all amounts so advanced if it shall be determined that such person is not entitled to such indemnification. Any repeal or modification of this article shall not affect any rights or obligations then existing. If any indemnification payment required by this article is not paid by the corporation within 90 days after a written claim has been received by the corporation, the member, trustee, officer, agent, or employee may at any time thereafter bring suit against the corporation to recover the unpaid amount and, if successful in whole or in part, such person shall be entitled to be paid also the expense of prosecuting such claim. The corporation may maintain insurance, at its own expense, to protect itself and any such person against any such liability, cost, or expense, whether or not the corporation would have the power to indemnify such person against such liability, cost, or expense under the Kentucky Nonprofit Corporation Acts or under this article, but it shall not be obligated to do so. The indemnification provided by this article shall not be deemed exclusive of any other rights which those seeking indemnification may have or hereafter acquire under any bylaw, agreement, statute, vote of members, or officers, or otherwise. If this article or any portion thereof shall be invalidated on any ground by any court of competent jurisdiction, then the corporation shall nevertheless indemnify each such person to the full extent permitted by any applicable portion of this article that shall not have been invalidated or by any other applicable law. {Note: See KRS 273.171(14).}

ARTICLE 14. LIMITATION OF OFFICER LIABILITY

Section 1. No officer or trustee shall be personally liable to the corporation for monetary damages for breach of their duties as an officer except for liability:

- 1 For any transaction in which the officers' or trustees' personal financial interest is in conflict with the financial interests of the corporation;
- 2 For acts or omissions not in good faith or which involve intentional misconduct or are known to the officer or trustee to be a violation of law; or
- 3 For any transaction from which the officer or trustee derives an improper personal benefit.

Part II **Line 5**

BY-Laws of the Toonerville Trolley Neighborhood Association

ARTICLE 15. AMENDMENTS

Section 1. These by-laws may be changed or amended by a two-third (2/3) majority vote of the members present at any business meeting of the TTNA.

Section 2. Notice of any proposed changes shall be publicized at least 30 days prior to the TTNA meeting at which they will be on the agenda.

ARTICLE 16. RATIFICATION

Section 1. The initial bylaws adopted by the Board of Trustees after incorporation shall be ratified by a two thirds (2/3) majority vote of the TTNA members present at the next TTNA meeting. Notice of this proposed ratification shall be publicized at least 30 days prior to the TTNA meeting at which it will be considered.

ARTICLE 17. RULES OF PROCEDURE

Section 1. Robert's Rules of Order, the latest edition, shall govern the procedure of all meetings of this Corporation. In case of conflict, these by-laws shall take precedent.

ARTICLE 18. NONDISCRIMINATION

The members, officers, trustees, committee members, employees and persons served by TTNA shall be selected entirely on a nondiscriminatory basis with respect to age, ethnicity, familial status, gender, national origin, race, religion, sexual orientation, veterans' status, disability and all other categories providing nondiscriminatory treatment by law, statute or ordinance.

Adopted: August 11, 1988

(Revised): May 9, 1991 and March 18, 1993. Retyped and formatted November 21, 1995 and significantly revised and approved by the membership on January 13, 2000.

Revised: September, 2004, adopted by membership October 2004

General Information

| | |
|----------------------|---|
| Organization Number | 0591293 |
| Name | TOONERVILLE TROLLEY NEIGHBORHOOD ASSOCI |
| Profit or Non-Profit | N - Non-profit |
| Company Type | KCO - Kentucky Corporation |
| Status | A - Active |
| Standing | G - Good |
| State | KY |
| File Date | 7/28/2004 |
| Organization Date | 7/28/2004 |
| Last Annual Report | 1/14/2015 |
| Principal Office | 1355 BARDSTOWN RD STE 243 LOUISVILLE, KY 40204-1353 |
| Registered Agent | DANIEL MASON 1323 SOUTH 1ST STREET LOUISVILLE, KY 40208 |

Current Officers

| | |
|----------------|------------------------|
| President | <u>Daniel Mason</u> |
| Vice President | <u>Doug Wetzel</u> |
| Secretary | <u>Phil Beeson</u> |
| Treasurer | <u>Doug Humble</u> |
| Director | <u>Barry Kornstein</u> |
| Director | <u>Nancy Woodcock</u> |
| Director | <u>Erinn Lee</u> |

Individuals / Entities listed at time of formation

| | |
|--------------|----------------------------|
| Director | <u>CHRIS HART</u> |
| Director | <u>JAN MARIE HEMBERGER</u> |
| Director | <u>DALE TUCKER</u> |
| Director | <u>PHILIP J DIBLASI</u> |
| Incorporator | <u>CHRIS HART</u> |
| Incorporator | <u>JAN MARIE HEMBERGER</u> |
| Incorporator | <u>DALE TUCKER</u> |
| Incorporator | <u>PHILIP J DIBLASI</u> |

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|---------------------------------|-----------------------|-----------------------|
| Annual report | 6/17/2014 11:57:48 AM | 6/17/2014 11:57:48 AM |
| Registered agent address change | 6/17/2014 11:44:50 AM | 6/17/2014 11:44:50 AM |
| Principal office change | 6/17/2014 11:41:57 AM | 6/17/2014 11:41:57 AM |
| Annual report | 3/4/2013 9:51:22 AM | 3/4/2013 9:51:22 AM |
| Principal office change | 3/4/2013 9:43:58 AM | 3/4/2013 9:43:58 AM |
| Registered agent address change | 3/4/2013 9:42:23 AM | 3/4/2013 9:42:23 AM |
| Amendment to annual report | 6/16/2012 6:24:49 PM | 6/16/2012 6:24:49 PM |
| Annual report | 6/16/2012 6:19:46 PM | 6/16/2012 6:19:46 PM |
| Annual report | 6/25/2011 9:11:46 PM | 6/25/2011 9:11:46 PM |
| Registered agent address change | 6/25/2011 8:48:38 PM | 6/25/2011 8:48:38 PM |
| Annual report | 6/1/2010 8:59:35 AM | 6/1/2010 8:59:35 AM |
| Annual report | 1/14/2009 8:21:21 AM | 1/14/2009 8:21:21 AM |
| Registered agent address change | 5/2/2008 3:02:55 PM | 5/2/2008 |
| Annual report | 4/11/2008 8:49:44 AM | 4/11/2008 8:49:44 AM |
| Annual report | 1/18/2007 11:42:57 AM | 1/18/2007 11:42:57 AM |
| Annual report | 8/18/2006 10:50:36 AM | 8/18/2006 |
| Principal office change | 8/18/2006 10:46:50 AM | 8/18/2006 |
| Reinstatement | 8/18/2006 10:45:59 AM | 8/18/2006 |
| Admin Dis. A. report not in | 11/1/2005 | 11/1/2005 |
| Add | 7/28/2004 2:45:37 PM | 7/28/2004 |

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