

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

Applicant/Program: Highlands Douglass Neighborhood Association/ Big Rock Jazz and Blues Fest
Applicant Requested Amount: 500.00
Appropriation Request Amount: 500.00

Executive Summary of Request

\$500 toward expenses related to the Big Rock Jazz and Blues Fest, which will be held at the Big Rock Pavilion on October 7, 2018.

Is this program/project a fundraiser?

☒ Yes ☐ No

Is this applicant a faith based organization?

☐ Yes ☒ No

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

☐ Yes ☒ No

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

8
...
District #

[Signature]
Primary Sponsor Signature

500.00
Amount

9.20.18
Date

Primary Sponsor Disclosure

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

Approved by:

Appropriations Committee Chairman

Date

Final Appropriations Amount: _____

Applicant/Program:

Highlands Douglass Neighborhood Association Inc/ Big Rock Jazz and Blues Fest

Additional Disclosure and Signatures**Additional Council Office 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.

Council Member Signature and Amount

District 1	_____	\$ _____
District 2	_____	\$ _____
District 3	_____	\$ _____
District 4	_____	\$ _____
District 5	_____	\$ _____
District 6	_____	\$ _____
District 7	_____	\$ _____
District 8	_____	\$ _____
District 9	_____	\$ _____
District 10	_____	\$ _____
District 11	_____	\$ _____
District 12	_____	\$ _____
District 13	_____	\$ _____
District 14	_____	\$ _____
District 15	_____	\$ _____

Applicant/Program:

Highlands Douglass Neighborhood Association Inc/ Big Rock Jazz and Blues Fest

Additional Disclosure and Signatures**Additional Council Office 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.

District 16 _____ \$ _____

District 17 _____ \$ _____

District 18 _____ \$ _____

District 19 _____ \$ _____

District 20 _____ \$ _____

District 21 _____ \$ _____

District 22 _____ \$ _____

District 23 _____ \$ _____

District 24 _____ \$ _____

District 25 _____ \$ _____

District 26 _____ \$ _____

LOUISVILLE METRO COUNCIL NEIGHBORHOOD DEVELOPMENT FUND APPLICATION

Legal Name of Applicant Organization Highlands Douglass Neighborhood Association Inc

Program Name and Request Amount Big Rock Jazz and Blues Fest / \$ 500

	Yes/No/NA
Is the NDF Transmittal Sheet Signed by all Council Member(s) Appropriating Funding?	<input checked="" type="checkbox"/> Yes
Is the funding proposed by Council Member(s) less than or equal to the request amount?	<input checked="" type="checkbox"/> Yes
Is the proposed public purpose of the program viable and well-documented?	<input checked="" type="checkbox"/> Yes
Will all of the funding go to programs specific to Louisville/Jefferson County?	<input checked="" type="checkbox"/> Yes
Has Council or Staff relationship to the Agency been adequately disclosed on the cover sheet?	<input type="checkbox"/> N/A
Has prior Metro Funds committed/granted been disclosed?	<input type="checkbox"/> N/A
Is the application properly signed and dated by authorized signatory?	<input checked="" type="checkbox"/> Yes
Is proof of Tax Exempt status of 501(c) 3, 4, 6, 19, 1120-H included?	<input checked="" type="checkbox"/> Yes
If Metro funding is for a separate taxing district is the funding appropriated for a program outside the legal responsibility of that taxing district?	<input type="checkbox"/> 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 checked="" type="checkbox"/> Yes
Is the current Fiscal Year Budget included?	<input checked="" type="checkbox"/> Yes
Is the entity's board member list (with term length/term limits) included?	<input checked="" type="checkbox"/> Yes
Is recommended funding less than 33% of total agency operating budget?	<input checked="" type="checkbox"/> Yes
Does the application budget reflect only the revenue and expenses of the project/program?	<input checked="" type="checkbox"/> Yes
Is the cost estimate(s) from proposed vendor (if request is for capital expense) included?	<input type="checkbox"/> N/A
Is the most recent annual audit (if required by organization) included?	<input type="checkbox"/> N/A
Is a copy of Signed Lease (if rent costs are requested) included?	<input type="checkbox"/> N/A
Is the Supplemental Questionnaire for churches/religious organizations (if requesting organization is faith-based) included?	<input type="checkbox"/> N/A
Are the Articles of Incorporation of the Agency included?	<input checked="" type="checkbox"/> Yes
Is the IRS Form W-9 included?	<input checked="" type="checkbox"/> Yes
Is the IRS Form 990 included?	<input checked="" type="checkbox"/> Yes
Are the evaluation forms (if program participants are given evaluation forms) included?	<input type="checkbox"/> N/A
Affirmative Action/Equal Employment Opportunity plan and/or policy statement included (if required to do so)?	<input type="checkbox"/> N/A
Has the Agency agreed to participate in the BBB Charity review program? If so, has the applicant met the BBB Charity Review Standards?	<input type="checkbox"/> N/A
Prepared by: Jasmine Weatherby	Date: 9.20.18

THE HIGHLANDS-DOUGLASS NEIGHBORHOOD ASSOCIATION, INC.**General Information**

Organization Number	0521594
Name	THE HIGHLANDS-DOUGLASS NEIGHBORHOOD ASSOCIATION, INC.
Profit or Non-Profit	N - Non-profit
Company Type	KCO - Kentucky Corporation
Status	A - Active
Standing	G - Good
State	KY
File Date	8/27/2001
Organization Date	8/27/2001
Last Annual Report	6/5/2018
Principal Office	P O BOX 5194 LOUISVILLE, KY 40255-0194
Registered Agent	VCT SERVICES LOUISVILLE LLC 2303 RIVER ROAD SUITE 301 LOUISVILLE, KY 40206

Current Officers

President	<u>Sherry Cornell</u>
Vice President	<u>Ed Flynn</u>
Secretary	<u>Amy Kaikas</u>
Treasurer	<u>William Brandt Ford</u>
Director	<u>MARTHA SCHECTER</u>
Director	<u>JAY DOUDS</u>
Director	<u>ED FLYNN</u>
Director	<u>BARBARA FORD</u>
Director	<u>BRANDT FORD</u>
Director	<u>MUREIL HANDMAKER</u>
Director	<u>SHELLEY PIQUARD</u>
Director	<u>ERICA TURNER</u>
Director	<u>BARBARA BERMAN</u>
Director	<u>D G MAWN</u>
Director	<u>ROBERT HARLOW</u>
Director	<u>JOSHUA WHITE</u>

Individuals / Entities listed at time of formation

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

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

Images available online

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

<u>Registered Agent name/address change</u>	9/5/2018 12:51:03 PM	1 page	<u>PDF</u>	
<u>Annual Report</u>	6/5/2018	1 page	<u>PDF</u>	
<u>Annual Report</u>	6/28/2017	2 pages	<u>tiff</u>	<u>PDF</u>
<u>Annual Report</u>	4/7/2016	1 page	<u>PDF</u>	
<u>Annual Report</u>	5/31/2015	1 page	<u>PDF</u>	
<u>Amendment</u>	5/28/2015	3 pages	<u>tiff</u>	<u>PDF</u>
<u>Registered Agent name/address change</u>	5/25/2014 10:11:19 AM	1 page	<u>PDF</u>	
<u>Annual Report</u>	5/25/2014	1 page	<u>PDF</u>	
<u>Annual Report</u>	5/28/2013	1 page	<u>PDF</u>	
<u>Annual Report</u>	5/29/2012	1 page	<u>PDF</u>	
<u>Annual Report</u>	5/6/2011	1 page	<u>PDF</u>	
<u>Annual Report</u>	6/30/2010	1 page	<u>tiff</u>	<u>PDF</u>
<u>Annual Report</u>	7/17/2009	1 page	<u>tiff</u>	<u>PDF</u>
<u>Annual Report</u>	10/16/2008	1 page	<u>PDF</u>	
<u>Annual Report</u>	3/28/2007	1 page	<u>tiff</u>	<u>PDF</u>
<u>Annual Report</u>	5/24/2006	1 page	<u>tiff</u>	<u>PDF</u>
<u>Annual Report</u>	4/21/2005	3 pages	<u>tiff</u>	<u>PDF</u>
<u>Statement of Change</u>	8/27/2003	1 page	<u>tiff</u>	<u>PDF</u>
<u>Annual Report</u>	8/15/2003	3 pages	<u>tiff</u>	<u>PDF</u>
<u>Agent Resignation</u>	8/7/2003	2 pages	<u>tiff</u>	<u>PDF</u>
<u>Principal Office Address Change</u>	1/14/2003	1 page	<u>tiff</u>	<u>PDF</u>
<u>Annual Report</u>	12/13/2002	1 page	<u>tiff</u>	<u>PDF</u>
<u>Articles of Incorporation</u>	8/27/2001	8 pages	<u>tiff</u>	<u>PDF</u>

Assumed Names

Activity History

Filing	File Date	Effective Date	Org. Referenced
Registered agent address change	9/5/2018 12:51:03 PM	9/5/2018 12:51:03 PM	
Annual report	6/5/2018 9:17:40 AM	6/5/2018 9:17:40 AM	

LOUISVILLE METRO COUNCIL NEIGHBORHOOD DEVELOPMENT FUND APPLICATION

SECTION 1 – APPLICANT INFORMATION			
Legal Name of Applicant Organization: HIGHLANDS-DOUGLASS NEIGHBORHOOD ASSOCIATION, INC. <small>(as listed on: http://www.sos.ky.gov/business/records)</small>			
Main Office Street & Mailing Address: PO Box 5492, Louisville, KY. 40255			
Website: www.highlandsdouglass.org			
Applicant Contact:	Brandt Ford	Title:	HDNA Treasurer
Phone:	502-379-0152	Email:	fordbrandt@yahoo.com
Financial Contact:	Brandt Ford	Title:	HDNA Treasurer
Phone:	502-379-0152	Email:	fordbrandt@yahoo.com
Organization's Representative who attended NDF Training: Brandt Ford			
GEOGRAPHICAL AREA(S) WHERE PROGRAM ACTIVITIES ARE (WILL BE) PROVIDED			
Program Facility Location(s):	Cherokee Park at the Big Rock Pavilion		
Council District(s):	8th, Brandon Coan	Zip Code(s):	40205
SECTION 2 – PROGRAM REQUEST & FINANCIAL INFORMATION			
PROGRAM/PROJECT NAME: Big Rock Jazz & Blues Fest			
Total Request: (\$)	500	Total Metro Award (this program) in previous year: (\$)	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"/> Current financial statement <input checked="" type="checkbox"/> Most recent IRS Form 990 or 1120-H <input checked="" type="checkbox"/> Articles of Incorporation (current & signed) Cost estimates from proposed vendor if request is for capital expense		Signed lease if rent costs are being requested <input checked="" type="checkbox"/> IRS Form W9 Evaluation forms if used in the proposed program Annual audit (if required by organization) Faith Based Organization Certification Form, if applicable	
For the current fiscal year ending June 30, list all funds appropriated and/or received from Louisville Metro Government for this or any other program or expense, including funds received through Metro Federal Grants, from any department or Metro Council Appropriation (Neighborhood Development Funds). Attach additional sheet if necessary.			
Source:	None	Amount: (\$)	0
Source:		Amount: (\$)	
Source:		Amount: (\$)	
Has the applicant contacted the BBB Charity Review for participation? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Has the applicant met the BBB Charity Review Standards? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			

LOUISVILLE METRO COUNCIL NEIGHBORHOOD DEVELOPMENT FUND APPLICATION

SECTION 3 – AGENCY DETAILS

Describe Agency's Vision, Mission and Services:

The name of the corporation is the Highlands-Douglass Neighborhood Association. Inc. (the "Corporation"). The purposes of the Corporation shall be;

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

LOUISVILLE METRO COUNCIL NEIGHBORHOOD DEVELOPMENT FUND APPLICATION

SECTION 4 - BOARD OF DIRECTORS AND PAID STAFF

Board Member	Term End Date
Sherry Cornell, President	Jan 1, 2019
Amy Kaikas, Secretary	Jan 1, 2021
Brandt Ford, Treasurer	Jan 1, 2019
Barbara Berman	Jan 1, 2020
Jay Douds	Jan 1, 2019
Barbara Ford	Jan 1, 2019
Muriel Handmaker	Jan 1, 2021
Robert Harlow	Jan 1, 2021
D.G. Maun	Jan 1, 2020
Martha Jean Schechter	Jan 1, 2020
Erica Turner	Jan 1, 2021
Joshua White	Jan 1, 2021

Describe the Board term limit policy:

Directors each shall serve for a 3 year term such that if the Board of Directors consists of 18 members six (6) Directors shall be elected at each such annual meeting. Each Director shall continue as Director until the earlier of such time as the annual meeting at which his or her term expires and until his or her successor has been elected and qualified. Directors may serve for successive terms.

Three Highest Paid Staff Names	Annual Salary
No paid staff, all volunteer Board and Officers	0



LOUISVILLE METRO COUNCIL NEIGHBORHOOD DEVELOPMENT FUND APPLICATION

SECTION 5 – PROGRAM/PROJECT NARRATIVE

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

The Big Rock Jazz & Blues Fest is held the first Sunday in October, with this year being October 7 from 1:30 - 6:00pm at the Big Rock area of Cherokee Park. Three paid performing groups are on stage individually playing Jazz and Blues music for the neighbors and music lovers who attend.

The event is free and open to the public. It is publicized on Public Radio, via social media, posters placed in area businesses, yard signs and word of mouth.

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

The \$500.00 offered by Councilman Coan is to offset 1/2 of the \$1000.00 cost of the Parks City Stage which had for the past 5 years been provided at no cost to the Olmsted Conservancy that sponsored this event during this time. We paid Parks as soon as we received confirmation we would have the stage for this year's Jazz Fest to insure we would not lose it to another event.

LOUISVILLE METRO COUNCIL NEIGHBORHOOD DEVELOPMENT FUND APPLICATION

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

Funds will support the HDNA mission as stated above. Specifically, a portion of the funds will be allocated to the Douglass Community Center towards the renovation of the Stewart Home to allow continued service to the Highlands Neighborhoods and surrounding areas as a active community center that serves all segments of our residents from youth through senior programing in recreation, cultural activities, lecture series, summer camps, art classes, yoga,

Building is in need of structural reinforcement to allow use of the house, improved ADA accessibility and fire safety. Fundraising efforts are under way with the help of the HDNA and Parks Foundation.

HDNA also has a very active tree planting committee that plants trees in the neighborhood through the MSD Stormwater containment program. We have been involved in this for at least 5 years.

Last year HDNA had utility pole banners made and installed around the neighborhood.

Each August we have a free Ice Cream Social on the grounds of the Douglass Community Center with live music, the Bubble Truck, and large Bouncy Castle. This is always well attended and quite a tradition.



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

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

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

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

- ☐ Reimbursements should not be made before application date unless an emergency can be demonstrated by the primary council sponsor. The funding request is a reimbursement of the following expenditures (attach invoices or proof of payment):

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

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

LOUISVILLE METRO COUNCIL NEIGHBORHOOD DEVELOPMENT FUND APPLICATION

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

Having live Jazz and Blues performed for free is of benefit to all who attend. Our food and beer vendor can provide numbers served, and a head count history of attendees has been 500 to nearly 2000 through the 19 years of the Fest. Exposure to the live music and coming together in an outdoor setting with folks of all ages, families with young children, combined with the "Week in the Highlands" as the lead off event has untold benefits that are difficult to measure data, yet speaks to our purpose and that of our District.

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.

Week in the Highlands- Annual Fall event; See attached flyer.

Belknap Neighborhood Association

HCM

Corporate Sponsors

Jazz Society

Private Donors

Louisville Metro Parks

AJ Synagogue

St. Andrews Episcopal Church

Olmsted Conservancy

Bellarine University

TARC

Silent Auction Donors

Doo Wop Shop

This is a partial list of community organizations, businesses and individuals that come together annually to help create this experience.



LOUISVILLE METRO COUNCIL NEIGHBORHOOD DEVELOPMENT FUND APPLICATION

SECTION 6 – PROGRAM/PROJECT BUDGET SUMMARY

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

Program/Project Expenses	Column 1	Column 2	Column (1+2)=3
	Proposed Metro Funds	Non- Metro Funds	Total Funds
A: Personnel Costs Including Benefits		.00	.00
B: Rent/Utilities		.00	.00
C: Office Supplies		.00	.00
D: Telephone		.00	.00
E: In-town Travel		.00	.00
F: Client Assistance (See Detailed List on Page 8)		.00	.00
G: Professional Service Contracts		.00	.00
H: Program Materials		.00	.00
I: Community Events & Festivals (See Detailed List on Page 8)	500.00	5300.00	5800.00
J: Machinery & Equipment		.00	.00
K: Capital Project		.00	.00
L: Other Expenses (See Detailed List on Page 8)		.00	.00
*TOTAL PROGRAM/PROJECT FUNDS	500.00	5300.00	5800.00
% of Program Budget	9 %	91. %	100%

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

Other State, Federal or Local Government	.00
United Way	.00
Private Contributions (do not include individual donor names)	1500.00 Patron Mailing
Fees Collected from Program Participants	2500.00 Commercial Sponsors
Other (please specify)	2000.00 Silent Auction
Total Revenue for Columns 2 Expenses **	6000.00

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

**Must equal or exceed total in column 2.

LOUISVILLE METRO COUNCIL NEIGHBORHOOD DEVELOPMENT FUND APPLICATION

Detail for Client Assistance, Community Events & Festivals or Other Expenses shown on Page 7 (circle one and use multiple sheets if necessary)	Column 1	Column 2	Column (1 + 2)=3
	Proposed Metro Funds	Non- Metro Funds	Total Funds
Big Rock Jazz & Blues Fest 2018			
Musicians	0	3,000	3,000
Yard Signs - TBD (Brunck)	0	150	150
Banner - Vistaprint - No new Banner needed	0	0	0
Programs	0	75	75
TShirts - Vistaprint	0	1,100	1,100
Metro Parks - Stage & Patch Box	500	625	1,125
Media Advertising	0	350	350
Total	500	5,300	5,800



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).

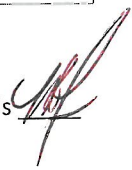
Donor*/Type of Contribution	Value of Contribution	Method of Valuation
Volunteers will set up and tear down, provide pa +		
<i>Total Value of In-Kind</i> (to match Program Budget Line Item. Volunteer Contribution & Other In Kind)		

* 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, 2018

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

If YES, please explain:



LOUISVILLE METRO COUNCIL NEIGHBORHOOD DEVELOPMENT FUND APPLICATION

SECTION 7 – CERTIFICATIONS & ASSURANCES

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

Standard Assurances

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

Standard Certifications

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

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

SECTION 8 – CERTIFICATIONS & ASSURANCES

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

Signature of Legal Signatory:		Date:	09-28-18
Legal Signatory: (please print):	Wm. Brandt Ford	Title:	Treasurer HDNA
Phone:	502-379-0152	Extension:	
Email:	fordbrandt@yahoo.com		



Department of the Treasury
Internal Revenue Service
Tax Exempt and Government Entities
PO Box 2508
Cincinnati, OH 45201

Date: DEC 21 2017

HIGHLANDS-DOUGLAS NEIGHBORHOOD
ASSOCIATION INC
PO BOX 5194
LOUISVILLE KY 40255-0194

Employer ID number:
61-1396404
Person to contact / ID number:
Jacob McDonald
ID# 0203230
Contact telephone number:
1-877-829-5500
Form 990/990-EZ/990-N required:
Yes

Dear Applicant:

In your letter dated September 21, 2017, you requested reclassification of foundation status as a public charity.

Our records indicate you are classified as a private foundation. You claim you're erroneously classified as a private foundation and are requesting correction of the error.

Based on the information you provided, we determined you meet the requirements for classification as a public charity described in IRC Sections 509(a)(1) and 170(b)(1)(A)(vi) and updated our records.

Because your tax-exempt status wasn't under consideration, you continue to be classified as an organization exempt from federal income tax under IRC Section 501(c)(3).

This letter could help resolve questions on your foundation status. Keep it for your records.

Sincerely,

A handwritten signature in cursive script that reads "Stephen A. Martin".

Stephen A. Martin
Director, Exempt Organizations
Rulings and Agreements

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

DEPARTMENT OF THE TREASURY

Date: **MAY 27 2015**

HIGHLANDS DOUGLASS NEIGHBORHOOD
ASSOCIATION
PO BOX 5194
LOUISVILLE, KY 40255-0000

Employer Identification Number:
61-1396404
DLN:
26053541002315
Contact Person:
CUSTOMER SERVICE ID# 31954
Contact Telephone Number:
(877) 829-5500
Accounting Period Ending:
December 31
Form 990-PF Required:
Yes
Effective Date of Exemption:
May 19, 2015
Addendum Applies:
No

Dear Applicant:

We're pleased to tell you we determined you're exempt from federal income tax under Internal Revenue Code (IRC) Section 501(c)(3). Donors can deduct contributions they make to you under IRC Section 170. You're also qualified to receive tax deductible bequests, devises, transfers or gifts under Section 2055, 2106, or 2522. This letter could help resolve questions on your exempt status. Please keep it for your records.

Organizations exempt under IRC Section 501(c)(3) are further classified as either public charities or private foundations. We determined you're a private foundation within the meaning of Section 509(a).

Your exemption under IRC Section 501(c)(3) is effective as of the date listed at the top of this letter. You were exempt under Section 501(c)(4) prior to this date.

You're required to file Form 990-PF, Return of Private Foundation or Section 4947(a)(1) Trust Treated as Private Foundation, annually, whether or not you have income or activity during the year. If you don't file a required return or notice for three consecutive years, your exempt status will be automatically revoked.

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

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

Letter 5437

HIGHLANDS DOUGLASS NEIGHBORHOOD

Sincerely,

A handwritten signature in cursive script, reading "Tamara Riggenda". The signature is written in dark ink and is positioned above the printed name and title.

Director, Exempt Organizations

Highlands Douglass Neighborhood Association

Profit & Loss Budget vs. Actual

January through December 2018

	Jan - Dec 18	Budget	\$ Over Budget	% of Budget
Ordinary Income/Expense				
Income				
43300 · Direct Public Grants				
43310 · Corporate and Business Grants	0.00	25,000.00	-25,000.00	0.0%
43320 · Discounts - Long-term Grants	0.00	0.00	0.00	0.0%
43330 · Foundation and Trust Grants	0.00	0.00	0.00	0.0%
43340 · Nonprofit Organization Grants	0.00	0.00	0.00	0.0%
43300 · Direct Public Grants - Other	0.00	3,000.00	-3,000.00	0.0%
Total 43300 · Direct Public Grants	0.00	28,000.00	-28,000.00	0.0%
43400 · Direct Public Support				
43410 · Corporate Contributions				
43430 · Advertisement Newsletter	180.00	2,000.00	-1,820.00	9.0%
43410 · Corporate Contributions - Other	802.00	0.00	802.00	100.0%
Total 43410 · Corporate Contributions	982.00	2,000.00	-1,018.00	49.1%
43420 · Donated Art	0.00	0.00	0.00	0.0%
43430* · Donated Prof Fees, Facilities	0.00	0.00	0.00	0.0%
43440 · Gifts in Kind - Goods	0.00	2,000.00	-2,000.00	0.0%
43450 · Individ, Business Contributions	0.00	0.00	0.00	0.0%
43480 · Volunteer Services - Non-GAAP	0.00	0.00	0.00	0.0%
43400 · Direct Public Support - Other	0.00	5,000.00	5,000.00	0.0%
Total 43400 · Direct Public Support	982.00	9,000.00	-8,018.00	10.9%
44400 · Government Contracts				
44410 · Agency (Government) Contracts	0.00	0.00	0.00	0.0%
44420 · Federal Contracts	0.00	0.00	0.00	0.0%
44430 · Local Government Contracts	0.00	0.00	0.00	0.0%
44450 · State Contracts	0.00	0.00	0.00	0.0%
44400 · Government Contracts - Other	0.00	0.00	0.00	0.0%
Total 44400 · Government Contracts	0.00	0.00	0.00	0.0%
44500 · Government Grants				
44510 · Agency (Government) Grants	0.00	0.00	0.00	0.0%
44520 · Federal Grants	0.00	0.00	0.00	0.0%
44530 · Local Government Grants	0.00	1,000.00	-1,000.00	0.0%
44540 · State Grants	0.00	0.00	0.00	0.0%
44500 · Government Grants - Other	0.00	0.00	0.00	0.0%
Total 44500 · Government Grants	0.00	1,000.00	-1,000.00	0.0%
44800 · Indirect Public Support				
44810 · Affiliated Org. Contributions	0.00	0.00	0.00	0.0%
44800 · Indirect Public Support - Other	0.00	0.00	0.00	0.0%
Total 44800 · Indirect Public Support	0.00	0.00	0.00	0.0%
45000 · Investments				
45030 · Interest-Savings, Short-term CD	0.00	24.00	-24.00	0.0%
45050 · Other Investment Revenue	0.00	0.00	0.00	0.0%
45000 · Investments - Other	0.00	0.00	0.00	0.0%
Total 45000 · Investments	0.00	24.00	-24.00	0.0%
46400 · Other Types of Income				
46410 · Advertising Sales	0.00	0.00	0.00	0.0%
46430 · Miscellaneous Revenue	0.00	0.00	0.00	0.0%
46400 · Other Types of Income - Other	0.00	0.00	0.00	0.0%
Total 46400 · Other Types of Income	0.00	0.00	0.00	0.0%
47200 · Program Income				
47205 · Lawn Movie	0.00	0.00	0.00	0.0%
47210 · Bad debts, Est - Program Sales	0.00	0.00	0.00	0.0%
47230 · Membership Dues	2,170.00	2,170.00	0.00	100.0%
47231 · Non-Member Contribution	0.00	1,200.00	-1,200.00	0.0%
47240 · Program Service Fees	0.00	0.00	0.00	0.0%
47200 · Program Income - Other	0.00	0.00	0.00	0.0%
Total 47200 · Program Income	2,170.00	3,370.00	-1,200.00	64.4%
47500 · Rentals	0.00	0.00	0.00	0.0%
49000 · Special Events Income				
49010 · Special Events Contributions	0.00	3,500.00	-3,500.00	0.0%
49020 · Special Events Sales (Nongift)	0.00	2,000.00	-2,000.00	0.0%
49000 · Special Events Income - Other	0.00	0.00	0.00	0.0%
Total 49000 · Special Events Income	0.00	5,500.00	-5,500.00	0.0%
49900 · Uncategorized Income	0.00	0.00	0.00	0.0%
Total Income	3,152.00	46,894.00	-43,742.00	6.7%
Cost of Goods Sold				
50000 · Cost of Goods Sold	0.00	0.00	0.00	0.0%
50700 · Cost of Sales - Inventory Sales	0.00	0.00	0.00	0.0%
Total COGS	0.00	0.00	0.00	0.0%
Gross Profit	3,152.00	46,894.00	43,742.00	6.7%
Expense				
60300 · Donations In Support of	0.00	0.00	0.00	0.0%

11:23 PM

04/30/18

Accrual Basis

Highlands Douglass Neighborhood Association

Profit & Loss Budget vs. Actual

January through December 2018

	Jan - Dec 18	Budget	\$ Over Budget	% of Budget
60300* · Awards and Grants				
60320 · Cash Awards and Grants	0.00	0.00	0.00	0.0%
60330 · Noncash Awards and Grants	0.00	0.00	0.00	0.0%
60340 · Specific Assist to Individuals	0.00	0.00	0.00	0.0%
60300* · Awards and Grants - Other	0.00	0.00	0.00	0.0%
Total 60300* · Awards and Grants	0.00	0.00	0.00	0.0%
60900 · Business Expenses				
60910 · Bad Debts	0.00	0.00	0.00	0.0%
60920 · Business Registration Fees	0.00	0.00	0.00	0.0%
60930 · Fines, Penalties, Judgments	0.00	0.00	0.00	0.0%
60940 · Taxes - Not UBIT	39.95	0.00	39.95	100.0%
60950 · UBITaxes	0.00	0.00	0.00	0.0%
60900 · Business Expenses - Other	0.00	0.00	0.00	0.0%
Total 60900 · Business Expenses	39.95	0.00	39.95	100.0%
62100 · Program Expenses				
62110 · Accounting Fees	0.00	0.00	0.00	0.0%
62120 · Icecream Social				
62101 · Musician Contract Fees	0.00	250.00	-250.00	0.0%
62102 · Face Painting-Ice Cream Social	0.00	150.00	-150.00	0.0%
62103 · Magician	0.00	0.00	0.00	0.0%
62104 · Bouncy-	0.00	150.00	-150.00	0.0%
62105 · Bubble Truck-Entertainment	0.00	250.00	-250.00	0.0%
62106 · Ice Cream Services	0.00	500.00	-500.00	0.0%
62120 · Icecream Social - Other	0.00	0.00	0.00	0.0%
Total 62120 · Icecream Social	0.00	1,300.00	-1,300.00	0.0%
62140 · Legal Fees	0.00	0.00	0.00	0.0%
62160 · Movie on the Lawn	0.00	0.00	0.00	0.0%
62170 · Reforestation	295.00	25,000.00	24,705.00	1.2%
62180 · Fundraising Events	0.00	0.00	0.00	0.0%
62190 · Jazz Festival				
62801 · Event Permit for Jazz Fest	0.00	250.00	-250.00	0.0%
62802 · Event Permit Ice Cream Social	0.00	275.00	-275.00	0.0%
62803 · Metro Parks Fee for Jazz Fest	0.00	150.00	-150.00	0.0%
62190 · Jazz Festival - Other	0.00	5,525.00	-5,525.00	0.0%
Total 62190 · Jazz Festival	0.00	6,200.00	-6,200.00	0.0%
62100 · Program Expenses - Other	0.00	0.00	0.00	0.0%
Total 62100 · Program Expenses	295.00	32,500.00	-32,205.00	0.9%
62100* · Contract Services				
62110* · Accounting Fees	0.00	0.00	0.00	0.0%
62120* · Donated Prof Fees - GAAP	0.00	0.00	0.00	0.0%
62130 · Fundraising Fees	0.00	0.00	0.00	0.0%
62140* · Legal Fees	0.00	0.00	0.00	0.0%
62150* · Outside Contract Services	0.00	0.00	0.00	0.0%
62160* · Volunteer Services - Non-GAAP	0.00	0.00	0.00	0.0%
62100* · Contract Services - Other	0.00	0.00	0.00	0.0%
Total 62100* · Contract Services	0.00	0.00	0.00	0.0%
62800 · Facilities and Equipment				
62804 · Gardens				
62808 · Douglass Park Garden	0.00	0.00	0.00	0.0%
62809 · Rose Gardens	0.00	0.00	0.00	0.0%
62804 · Gardens - Other	0.00	0.00	0.00	0.0%
Total 62804 · Gardens	0.00	0.00	0.00	0.0%
62810 · Depr and Amort - Allowable	0.00	0.00	0.00	0.0%
62820 · Depr and Amort - Non-allowable	0.00	0.00	0.00	0.0%
62830 · Donated Facilities	0.00	0.00	0.00	0.0%
62840 · Equip Rental and Maintenance	0.00	0.00	0.00	0.0%
62850 · Janitorial Services	0.00	0.00	0.00	0.0%
62870 · Property Insurance	0.00	0.00	0.00	0.0%
62890 · Rent, Parking, Utilities	0.00	0.00	0.00	0.0%
62800 · Facilities and Equipment - Other	0.00	0.00	0.00	0.0%
Total 62800 · Facilities and Equipment	0.00	0.00	0.00	0.0%
65000 · Operations				
65010 · Books, Subscriptions, Reference	0.00	0.00	0.00	0.0%
65020 · Postage, Mailing Service	0.00	90.00	-90.00	0.0%
65030 · Printing and Copying				
65031 · Signs and Decals	0.00	120.00	-120.00	0.0%
65030 · Printing and Copying - Other	457.16	4,700.00	-4,242.84	9.7%
Total 65030 · Printing and Copying	457.16	4,820.00	-4,362.84	9.5%
65040 · Supplies				
65041 · Beautification Materials	0.00	1,000.00	-1,000.00	0.0%
65040 · Supplies - Other	0.00	0.00	0.00	0.0%
Total 65040 · Supplies	0.00	1,000.00	-1,000.00	0.0%
65050 · Telephone, Telecommunications	0.00	250.00	-250.00	0.0%
65060 · Supplies- Paper/Poster Board	0.00	300.00	-300.00	0.0%
65000 · Operations - Other	0.00	0.00	0.00	0.0%
Total 65000 · Operations	457.16	6,460.00	-6,002.84	7.1%

HDNA TREASURER'S REPORT JULY 2018

PARK COMMUNITY CREDIT UNION

Small Business Checking Account Deposits

Deposits	From	Date	# Checks	For	Amount
1		7/3/18	8	4 Mem, 4 Ad Payments	738
2		7/11/18	5	2 Mem, 3 Ad Payments	347
3		7/26/18	4	3 Mem, Drexler Plumbing Ad	190
				Balance	6137.39

Save Our Center Savings

Deposits	For	Date	# Check	From	Amount
1	Interest	7/31/18		PCCU	0.48
2					
				Balance	3741.72

Gaming Account Setup for Lakeside Membership Raffle

Deposits	For	Date	Check #	From	Amount
				Balance	0

Organizational Savings

Deposits	For	Date	Check #	From	Amount
1	Interest			PCCU	1.78
				Balance	13945.34
Credit Union Total \$					23824.45

Checks Written in July

Date		Cleared	To	For	Amount
7/18/18	ETF	Yes	Liberty	Insurance	-52.71
6/24/18	282	Yes	D Flynn	HDNA Email Setup	-120
7/25/18	283	No	LMParks	ICS Fee	-275
7/25/18	285	Yes	Art Print	Layout, printing & delivery NL	-1783.59
7/25/18	284	Yes	Cinn Ins Co	Board Insurance	-954

PayPal Balance	459.12	Members paid in July	None
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FORM 990-NDepartment of Treasury
Internal Revenue Service**Electronic Notice (e-Postcard)**

For Tax Exempt Organizations not Required to File Form 990 or 990-EZ

OMB No. 1545-NNNN

2017

Open To Public Inspection

A For the <u>2017</u> calendar year, or tax year beginning <u>01/01/2017</u> , and ending <u>12/31/2017</u>	
B Check if applicable <input type="checkbox"/> Termination <input checked="" type="checkbox"/> Gross Receipts are \$50,000 or less	C Name of Organization <u>HIGHLANDS-DOUGLASS NEIGHBORHOOD ASSOCIATION</u> Number and Street (or P.O. box, if mail is not delivered to street address) <u>PO BOX 5194</u> City or town, state or country, and Zip + 4 <u>LOUISVILLE, KY 40255-0194</u>
E Website Address	D Employer ID number <u>611396404</u>
	F Name of Principal Officer <u>William Ford</u> Number of street (or P.O. box, if mail is not delivered to street address) of Principal Officer <u>PO BOX 5194</u> City or town, state or country, and ZIP + 4 <u>LOUISVILLE, KY 40255-0194</u>

Form 990-N

521594

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

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

05-21-594.09
John V Brown III
Secretary of State
Received and Filed
08/27/2001 03:00 PM
Fee Receipt: \$8.00
Peraine - NAOI

ARTICLE I

Name

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

ARTICLE II

Purposes and Powers

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

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

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

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

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

ARTICLE III

Initial Registered Office and Agent

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

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

ARTICLE IV

Mailing Address

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

2407 Douglass Blvd.
Louisville, Kentucky 40205

ARTICLE V

Duration

The Corporation shall have perpetual existence.

ARTICLE VI

Directors

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

Mary Greenbaum
2233 Douglass Blvd.
Louisville, Kentucky 40205

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

Erna Gwinn
2228 Village Drive
Louisville, Kentucky 40205

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

Joel Gwinn
2228 Village Drive
Louisville, Kentucky 40205

Robert F. Patrick
2222 Village Drive
Louisville, Kentucky 40205

Mary K. Korfhage
2183 Millvale Road
Louisville, Kentucky 40205

Kathleen Payette
2407 Douglass Blvd.
Louisville, Kentucky 40205

Alice McKinley
2204 Village Drive
Louisville, Kentucky 40205

Tom Payette
2407 Douglass Blvd.
Louisville, Kentucky 40205

Sallie Niehoff
2344 Carolina Ave.
Louisville, Kentucky 40205

Malcolm Roessler
2186 Park Boundary Rd.
Louisville, Kentucky 40205

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

John Turner
2054 Douglass Blvd.
Louisville, Kentucky 40205

Anne Ringo Smith
2212 Douglass Blvd.
Louisville, Kentucky 40205

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

ARTICLE VII

Members

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

ARTICLE VIII

Contracts or Transaction of Business with Directors

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

ARTICLE IX

Indemnification

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

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

ARTICLE X

Dissolution

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

ARTICLE XI

Limitation of Director Liability

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

- (a) For any transaction in which the Director's personal financial interest is in conflict with the financial interests of the Corporation;
- (b) For acts or omissions not in good faith or which involve intentional misconduct or are known to the Director to be a violation of law; or
- (c) For any transaction from which the Director derives an improper personal benefit.

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

ARTICLE XII

Amendment of Articles

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

ARTICLE XIII

Incorporator

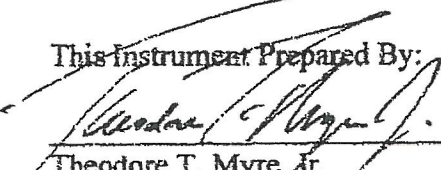
The name and address of the Incorporator is:

Robert F. Patrick
2222 Village Drive
Louisville, Kentucky 40205

Signed by the Incorporator at Louisville, Kentucky, effective this 24th day of August, 2001.


Robert F. Patrick

This Instrument Prepared By:


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

15096546.1

COMMONWEALTH OF KENTUCKY
JOHN Y. BROWN III
SECRETARY OF STATE



STATEMENT OF CONSENT OF REGISTERED AGENT

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

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

2. The name of the business entity is

The Highlands-Douglass Neighborhood Association, Inc.

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

4. The name of the initial registered agent is

WT&C CORPORATE SERVICES, INC.

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

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

Street

City

State

Zip Code


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

Date: August 27 2001

Request for Taxpayer Identification Number and Certification

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

► Go to www.irs.gov/FormW9 for instructions and the latest information.

Print or type.
See specific instructions on page 3.

1 Name (as shown on your income tax return). Name is required on this line; do not leave this line blank. Highlands-Douglass Neighborhood Association Inc	
2 Business name/disregarded entity name, if different from above Same	
3 Check appropriate box for federal tax classification of the person whose name is entered on line 1. Check only one of the following seven boxes. <input type="checkbox"/> Individual/sole proprietor or single-member LLC <input checked="" 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: Check the appropriate box in the line above for the tax classification of the single-member owner. Do not check LLC if the LLC is classified as a single-member LLC that is disregarded from the owner unless the owner of the LLC is another LLC that is not disregarded from the owner for U.S. federal tax purposes. Otherwise, a single-member LLC that is disregarded from the owner should check the appropriate box for the tax classification of its owner. <input type="checkbox"/> Other (see instructions) ►	
4 Exemptions (codes apply only to certain entities, not individuals; see instructions on page 3): Exempt payee code (if any) 1 Exemption from FATCA reporting code (if any) 1 <small>(Applies to accounts maintained outside the U.S.)</small>	
5 Address (number, street, and apt. or suite no.) See instructions. PO Box 5194, 2119 Douglass Blvd.	Requester's name and address (optional)
6 City, state, and ZIP code Louisville, KY, 402055-0194	
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 instructions for Part I, later. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN*, later.

Note: If the account is in more than one name, see the instructions for line 1. Also see *What Name and Number To Give the Requester* for guidelines on whose number to enter.

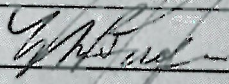
Social security number								
			-			-		
or								
Employer identification number								
6	1	-	1	3	9	6	4	0 4

Part II Certification

Under penalties of perjury, I certify that:

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

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

Sign Here	Signature of U.S. person ► 	Date ► 4-06-2018
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General Instructions

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

Future developments. For the latest information about developments related to Form W-9 and its instructions, such as legislation enacted after they were published, go to www.irs.gov/FormW9.

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*, later.



SUNDAY, OCTOBER 7, 1PM – 7PM

BIG ROCK in CHEROKEE PARK

LIVE MUSIC OUTDOORS ON STAGE

FREE AND OPEN TO THE PUBLIC

FOOD AND DRINK AVAILABLE ON SITE

We invite your donations to help support HDNA and the 2018 Jazz and Blues Fest!
Make checks payable to "HDNA"



HDNA PO Box 5194 Louisville, KY 40255
www.highlandsddouglass.org



DEPARTMENT OF METRO PARKS AND RECREATION
LOUISVILLE, KENTUCKY

GREG FISCHER
MAYOR

SEVE GHOSE, CPRE
DIRECTOR

June 28, 2018


Highland Douglass Neighborhood Association
c/o Mr. William Ford
2119 Douglass Blvd.
Louisville, KY 40205

Louisville Metro Ordinances generally prohibit the consumption of alcoholic beverages in public parks. The Director of Metro Parks and Recreation, however, is authorized to create exceptions to this rule for specific purposes and events.

Because Highland Douglass Neighborhood Association is presenting the Big Rock Jazz and Blues Festival at the Big Rock Pavilion in Cherokee Park, the proceeds from which will fund neighborhood improvements, I am authorizing the sale and consumption of alcoholic beverages for this event, October 7, 2018, from 12:30 to 6:30 pm. Please work with our Reservations Office at Iroquois Amphitheater to prove that your server, ValuMarket, has all the required permits and insurance for the service of alcoholic beverages.

Thank you for your service to the community. Best wishes for fair weather and a successful event.

Sincerely,


Seve Ghose, CPRE/MOL
Director,
Louisville Metro Parks and Recreation
1297 Trevilian Way
P. O. Box. 37280



A NATIONALLY ACCREDITED PARKS AND RECREATION AGENCY

WWW.LOUISVILLEKY.GOV

P. O. BOX 37280 LOUISVILLE, KENTUCKY 40233-7280 PHONE: 502.456.8100 FAX: 502.456.3269 TDD: 502.456.8183
WEB: METRO-PARKS.COM WEB: BESTPARKSEVER.COM EMAIL: PARKS@LOUISVILLEKY.GOV



HIGHNEI-01

LALI

CERTIFICATE OF LIABILITY INSURANCE

DATE (MM/DD/YYYY)
08/13/2018

THIS CERTIFICATE IS ISSUED AS A MATTER OF INFORMATION ONLY AND CONFERS NO RIGHTS UPON THE CERTIFICATE HOLDER. THIS CERTIFICATE DOES NOT AFFIRMATIVELY OR NEGATIVELY AMEND, EXTEND OR ALTER THE COVERAGE AFFORDED BY THE POLICIES BELOW. THIS CERTIFICATE OF INSURANCE DOES NOT CONSTITUTE A CONTRACT BETWEEN THE ISSUING INSURER(S), AUTHORIZED REPRESENTATIVE OR PRODUCER, AND THE CERTIFICATE HOLDER.

IMPORTANT: If the certificate holder is an ADDITIONAL INSURED, the policy(ies) must have ADDITIONAL INSURED provisions or be endorsed. If SUBROGATION IS WAIVED, subject to the terms and conditions of the policy, certain policies may require an endorsement. A statement on this certificate does not confer rights to the certificate holder in lieu of such endorsement(s).

PRODUCER Epic Insurance Solutions Agency, LLC 9700 Ormsby Station Rd Suite 200 Louisville, KY 40223	CONTACT NAME: Michael Rademaker		
	PHONE (A/C, No, Ext): (502) 400-3840 181	FAX (A/C, No): (502) 493-7943	
	E-MAIL ADDRESS: mrademaker@epicinsurancesolutions.com		
INSURED Highland-Douglass Neighborhood PO Box 5194 Louisville, KY 40255	INSURER(S) AFFORDING COVERAGE		NAIC #
	INSURER A : Ohio Security Ins Co		24082
	INSURER B :		
	INSURER C :		
	INSURER D :		
	INSURER E :		
	INSURER F :		

COVERAGES

CERTIFICATE NUMBER:

REVISION NUMBER:

THIS IS TO CERTIFY THAT THE POLICIES OF INSURANCE LISTED BELOW HAVE BEEN ISSUED TO THE INSURED NAMED ABOVE FOR THE POLICY PERIOD INDICATED. NOTWITHSTANDING ANY REQUIREMENT, TERM OR CONDITION OF ANY CONTRACT OR OTHER DOCUMENT WITH RESPECT TO WHICH THIS CERTIFICATE MAY BE ISSUED OR MAY PERTAIN, THE INSURANCE AFFORDED BY THE POLICIES DESCRIBED HEREIN IS SUBJECT TO ALL THE TERMS, EXCLUSIONS AND CONDITIONS OF SUCH POLICIES. LIMITS SHOWN MAY HAVE BEEN REDUCED BY PAID CLAIMS.

INSR LTR	TYPE OF INSURANCE	ADDL INSD	SUBR WVD	POLICY NUMBER	POLICY EFF (MM/DD/YYYY)	POLICY EXP (MM/DD/YYYY)	LIMITS
A	<input checked="" type="checkbox"/> COMMERCIAL GENERAL LIABILITY	X		BKS55541283	06/01/2018	06/01/2019	EACH OCCURRENCE \$ 1,000,000
	<input type="checkbox"/> CLAIMS-MADE <input checked="" type="checkbox"/> OCCUR						DAMAGE TO RENTED PREMISES (Ea occurrence) \$ 1,000,000
							MED EXP (Any one person) \$ 15,000
							PERSONAL & ADV INJURY \$ 1,000,000
							GENERAL AGGREGATE \$ 2,000,000
							PRODUCTS - COMP/OP AGG \$ 2,000,000
							EPLI \$ 10,000
							COMBINED SINGLE LIMIT (Ea accident) \$
							BODILY INJURY (Per person) \$
							BODILY INJURY (Per accident) \$
	PROPERTY DAMAGE (Per accident) \$						
	UMBRELLA LIAB <input type="checkbox"/> OCCUR						EACH OCCURRENCE \$
	EXCESS LIAB <input type="checkbox"/> CLAIMS-MADE						AGGREGATE \$
	DED <input type="checkbox"/> RETENTION \$ <input type="checkbox"/>						\$
	WORKERS COMPENSATION AND EMPLOYERS' LIABILITY <input type="checkbox"/> Y/N						PER STATUTE <input type="checkbox"/> OTH-ER <input type="checkbox"/>
	ANY PROPRIETOR/PARTNER/EXECUTIVE OFFICER/MEMBER EXCLUDED? (Mandatory in NH) <input type="checkbox"/> N/A						E.L. EACH ACCIDENT \$
	If yes, describe under DESCRIPTION OF OPERATIONS below						E.L. DISEASE - EA EMPLOYEE \$
							E.L. DISEASE - POLICY LIMIT \$

DESCRIPTION OF OPERATIONS / LOCATIONS / VEHICLES (ACORD 101, Additional Remarks Schedule, may be attached if more space is required)
The Louisville/Jefferson County Metro Government, its elected and appointed officials, employees, agents and successors are added as Additional Insured we respects to operations of the Named Insured performed relative to the contract per form CG2010 attached.

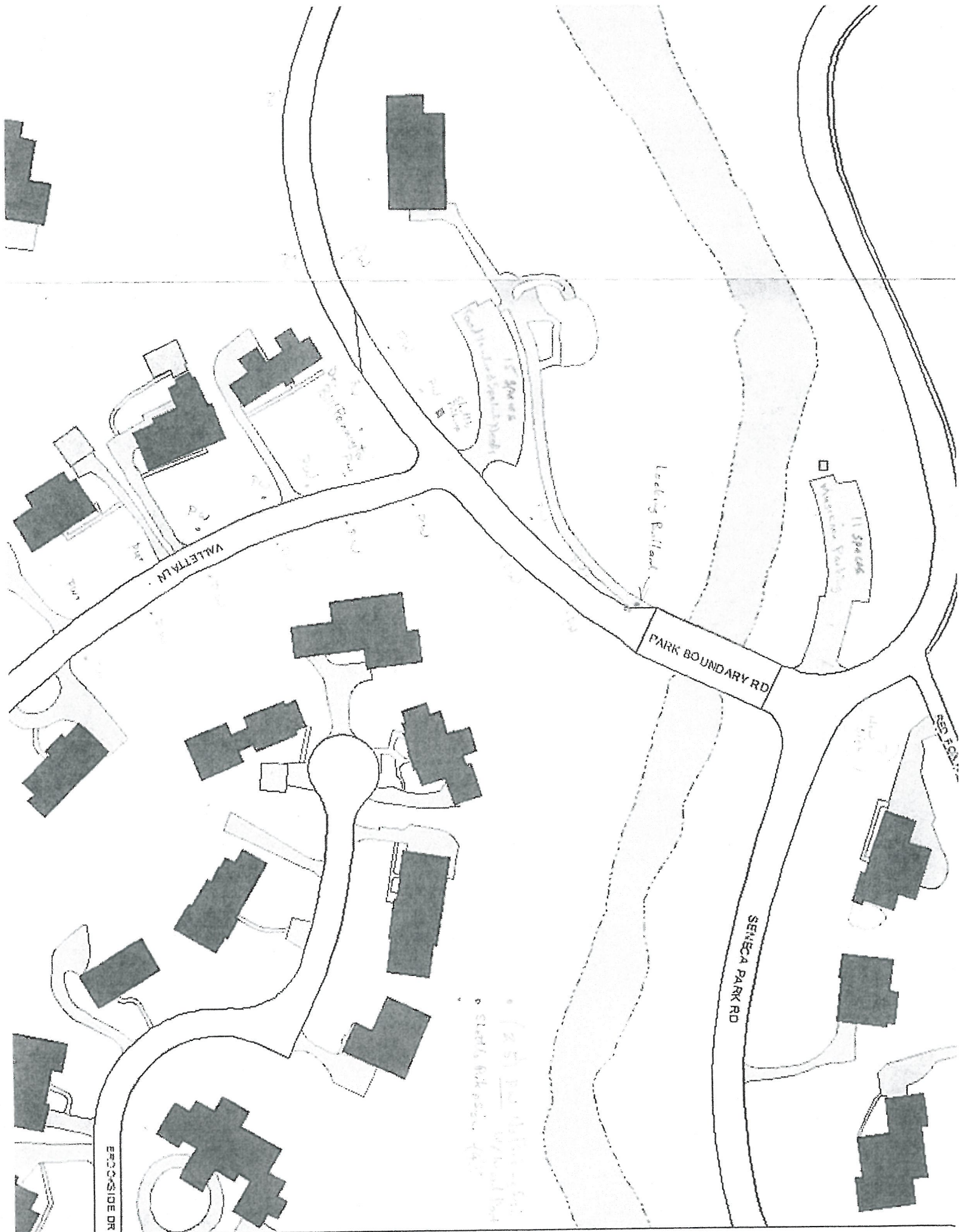
CERTIFICATE HOLDER

CANCELLATION

Louisville Jefferson County Metro Gov.
Finance Department, Risk Management Division
611 W. Jefferson Street
Louisville, KY 40202

SHOULD ANY OF THE ABOVE DESCRIBED POLICIES BE CANCELLED BEFORE THE EXPIRATION DATE THEREOF, NOTICE WILL BE DELIVERED IN ACCORDANCE WITH THE POLICY PROVISIONS.

AUTHORIZED REPRESENTATIVE





**Big Rock Jazz and Blues Fest
October 7, 2018, 1:00-6:30pm**

Highlands-Douglass Neighborhood Association (HDNA) hosts the Big Rock Jazz and Blues Fest each year to bring people to the Big Rock area of Cherokee Park and enjoy a day of great music. The event is free so we host a silent auction the day of the event to raise funds to cover event costs. This year's music: Gabe Evens Sextet, Sheryl Rouse & The Bluez Brothers, and The Don Krekel Orchestra.

IN-KIND DONATION FORM – BIG ROCK JAZZ & BLUES FEST

Highlands-Douglass Neighborhood Association, Inc.

DONOR INFORMATION

Company Name: _____

Contact Name: _____

Address: _____

Phone: _____

I wish to donate the item(s) as described below to the above-named project.

Value: \$ _____

As a donor, I understand that it is my responsibility to establish a value for the gift. I further understand that I will receive an official gift receipt from the Highlands-Douglass Neighborhood Association acknowledging my donation.

Donor Signature _____

The Highlands-Douglass Neighborhood Association is a Kentucky non-profit corporation which has tax exempt status under Section 501(c)3 of the Internal Revenue Code of 1954, as amended. Donations to the Highlands-Douglass Neighborhood Association may be tax deductible to the extent allowed under section 170 of the tax code. For specific information, please consult your tax preparer or the IRS.

Please return completed form to:
Brandt Ford, HDNA
PO Box 5194
Louisville, KY 40255
Thank you for your support!

BIG ROCK JAZZ & BLUES FEST Proposed 2018 Budget
Highlands-Douglass Neighborhood Association

October 7, 2018

DISCRIPTION	VENDOR	QUANTITY	ESTIMATED COST	NOTES
EXPENSES				
MUSIC			3000	
YARD SIGNS	TBD (Brunck)?	15	150	
BANNERS			75	
PROGRAMS	TBD		225	
T-SHIRTS	TBD		1400	Only short sleeve w 1 side print
STAGE, SOUND TENT	Doo Wop Shop		1000	
SOUND SYSTEM	Doo Wop Shop		500	Greg Walker
ADVERTISING	Louisville Public Media		670	
PERMITS	Parks	2	500	
TROLLY/BUS	TARC			In-Kind?
ELEC. PATCH BOX	Metro		125	
MISCELLANEOUS	Metro/other		500	Trash cans, Big Rock Shelter
TOTAL ESTIMATED EXPENSES			8145	
REVENUE				
INDIVIDUAL PATRONS			1000	
SPONSORS			4000	
SILENT AUCTION			7000	Depending on Lakeside Raffle
ANONYMOUS		1	1000	Donation for 1 musical group
CONSESSIONS	Valumarket/Great Fld		750	No historical data
TOTAL ESTIMATED REVENUE			13750	

Big Rock Jazz and Blues Fest

2018 Sponsorships

Bellarmino [Week in the Highlands Sponsorship]
PNC [Week in the Highlands Sponsorship]
ValuMarket [Week in the Highlands Sponsorship]
Drexler [Week in the Highlands Sponsorship]
LEO [Week -inkind]
French Lick [inkind -\$500 silent auction]
Limbwalker [inkind - \$500 silent auction]
Great Flood
Milestone Fitness
Doo Wop [inkind]
Kentucky Blues Society [inkind]
Louisville Jazz Society [inkind]
Olmsted Conservancy [inkind]
Adath Jeshurun [Inkind]
St. Andrews [inkind]
TARC [inkind]