



STATE OF ARIZONA  
CORPORATION COMMISSION  
CORPORATION ANNUAL REPORT  
& CERTIFICATE OF DISCLOSURE



DUE ON OR BEFORE 04/16/1998

FILING FEE \$10.00

The following information is required by A.R.S. §10-1622 & §10-2501 for all corporations organized pursuant to Arizona Revised Statutes, Title 10. The Commission's authority to prescribe this form is A.R.S. §10-121.A. & §10-2545.A. **YOUR REPORT MUST BE SUBMITTED ON THIS ORIGINAL FORM.** Make changes or corrections where necessary. See instructions for proper format. **REFER TO THE INSTRUCTIONS ON PAGE 4.**

RECEIVED

MAR 12 1998

ARIZONA CORP COMMISSION  
CORPORATIONS DIVISION

1. MARCH OF DIMES BIRTH DEFECTS FOUNDATION  
% LEGAL DEPT  
1275 MAMARONECK AVE \*\*\*  
WHITE PLAINS, NY 10605

Corporation File Number:

(Business phone is optional.)

Business Phone:

State of Domicile: NEW YORK

Type of Corporation: NON-PROFIT

0040966-0

2. Arizona Statutory Agent: PRENTICE-HALL CORP SYSTEM  
Street Address: 3636 N CENTRAL AVE  
(NOT P.O. BOX)  
City, State, Zip: PHOENIX AZ 85012-

A.C.C. CORPORATION  
DIV  
RECEIVED

AUG 21 '98

DOCUMENT IS SUBJECT  
TO REVIEW BEFORE  
FILING

ACC USE ONLY

Fee \$ 10  
Penalty \$  
Reinstate \$  
Expedite \$  
Total \$ 10  
FY97-98



If appointing a new statutory agent, the new agent MUST consent to that appointment by signing below.

I, (individual) or We, (corporation or limited liability company) having been designated the new Statutory Agent, do hereby consent to this appointment until my removal or resignation pursuant to law.

Signature

1616 E INDIAN SCHOOL RD #200  
PHOENIX, AZ 85016

3. Secondary Address:  
(Foreign Corporations are  
REQUIRED to complete  
this section.)

4. Check the one category below which best describes the CHARACTER OF BUSINESS of your corporation.

BUSINESS CORPORATIONS

- |                        |                                     |
|------------------------|-------------------------------------|
| 1. Accounting          | 20. Manufacturing                   |
| 2. Advertising         | 21. Mining                          |
| 3. Aerospace           | 22. News Media                      |
| 4. Agriculture         | 23. Pharmaceutical                  |
| 5. Architecture        | 24. Publishing/Printing             |
| 6. Banking/Finance     | 25. Ranching/Livestock              |
| 7. Barbers/Cosmetology | 26. Real Estate                     |
| 8. Construction        | 27. Restaurant/Bar                  |
| 9. Contractor          | 28. Retail Sales                    |
| 10. Credit/Collection  | 29. Science/Research                |
| 11. Education          | 30. Sports/Sporting Events          |
| 12. Engineering        | 31. Technology(Computers)           |
| 13. Entertainment      | 32. Technology(General)             |
| 14. General Consulting | 33. Television/Radio                |
| 15. Health Care        | 34. Tourism/Convention Services     |
| 16. Hotel/Motel        | 35. Transportation                  |
| 17. Import/Export      | 36. Utilities                       |
| 18. Insurance          | 37. Veterinary Medicine/Animal Care |
| 19. Legal Services     | 38. Other                           |

NON-PROFIT CORPORATIONS

- |   |
|---|
| 1. Charitable   |
| 2. Benevolent   |
| 3. Educational  |
| 4. Civic  |
| 5. Political  |
| 6. Religious  |
| 7. Social   |
| 8. Literary   |
| 9. Cultural   |
| 10. Athletic  |
| 11. Science/Research  |
| 12. Hospital/Health Care  |
| 13. Agricultural  |
| 14. Animal Husbandry  |
| 15. Homeowner's Association                                     |
| 16. Professional, commercial<br>industrial or trade association |
| 17. Other   |

**5. CAPITALIZATION:** (Business Corporations and Business Trusts are **REQUIRED** to complete this section.)

Business trusts must indicate the number of transferable certificates held by trustees evidencing their beneficial interest in the trust estate.

Number of Shares/Certificates Authorized                      Class                      Series Within Class (if any)

Number of Shares/Certificates Issued                      Class                      Series Within Class (if any)

**6. SHAREHOLDERS:** (Business Corporations and Business Trusts are **REQUIRED** to complete this section.)

List shareholders holding more than 20% of any class of shares issued by the corporation, or having more than a 20% beneficial interest in the corporation.

Name: \_\_\_\_\_ Name: \_\_\_\_\_

NONE ☐

Name: \_\_\_\_\_ Name: \_\_\_\_\_

**7. OFFICERS** (If no changes since last report, check here ☐ and go on to Section 8.)

Name: JENNIFER HOWSE                      Name: JANE MASSEY

Title: PRESIDENT/CEO                      Title: VICE-PRESIDENT

Address: 1275 MAMARONECK AVE                      Address: 1275 MAMARONECK AVE  
WHITE PLAINS, NY 10605-                      WHITE PLAINS, NY 10605-

Date taking office: \_\_\_\_\_ Date taking office: \_\_\_\_\_

Name: ANNE ROOSEVELT                      Name: EDWARD L. HENNESSY

Title: SECRETARY                      Title: TREASURER

Address: 1275 MAMARONECK AVE                      Address: 1275 MAMARONECK AVE  
WHITE PLAINS, NY 10605-                      WHITE PLAINS, NY 10605-

Date taking office: \_\_\_\_\_ Date taking office: \_\_\_\_\_

**8. DIRECTORS** Must List a Minimum of 3 Directors.

Name: Barbara Blum                      Name: Stanley Brewer

Address: 1275 Mamaroneck Avenue                      Address: 1275 Mamaroneck Avenue  
White Plains, NY 10605                      White Plains, NY 10605

Date taking office: \_\_\_\_\_ Date taking office: \_\_\_\_\_

Name: Francis Austin, Jr.                      Name: \_\_\_\_\_

Address: 1275 Mamaroneck Avenue                      Address: \_\_\_\_\_  
White Plains, NY 10605-                      \_\_\_\_\_

Date taking office: \_\_\_\_\_ Date taking office: \_\_\_\_\_

MARCH OF DIMES BIRTH DEFECTS FOUNDATION  
BOARD OF TRUSTEES

as of 12/97

Name	Business	Residence
Francis M. Austin, Jr.	none	50 Sutton Place South, #21L New York, NY 10022
Barbara B. Blum	Senior Fellow in Child & Family Policy National Center for Children in Poverty 154 Haven Avenue New York, NY 10032	1150 5th Avenue New York, NY 10028
Stanley R. Brewer	President S. Brewer & Co. 3810 Parkview Drive Salt Lake City, UT 84124-2330	3810 Parkview Drive Salt Lake City, UT 84124-2330
Mary Bush	President Bush & Company 4201 Cathedral Avenue, NW, #1016E Washington, DC 20016	4201 Cathedral Avenue, NW, #1016E Washington, DC 20016
Elizabeth Crow	Editor-in-Chief Mademoiselle Magazine 350 Madison Avenue - 7th Floor New York, NY 10016	not listed
Leigh-Wai Doo, Esq.	Carlsmith Ball Wichman Murray Case & Ichki 1001 Bishop Street Pacific Tower, Suite 2200 Honolulu, HI 96813	3300, Waiomao Road Honolulu, HI 96816
Gary D. Forsee	President & Chief Operating Officer Sprint Long Distance Division Sprint Corporation 8140 Ward Parkway Kansas City, MO 64114	11713 Brookwood Leawood, KS 66211

MARCH OF DIMES BIRTH DEFECTS FOUNDATION  
BOARD OF TRUSTEES

as of 12/97

Name	Business	Residence
Richard J. Freeman	Executive Vice President and Chief Operating Officer Pittsburgh Pirates 600 Stadium Circle Pittsburgh, PA 15212	not listed
Greg Gumbel	National Broadcasting Company, Inc. 30 Rockefeller Plaza New York, NY 10112	220 Heatherwood Court Winter Springs, FL 32708
Edward L. Hennessy, Jr.	Retired Chairman and Chief Executive Officer Allied Signal, Inc. 101 Columbia Road Morristown, NJ 07962-1057	not listed
Billy B. Hill, Jr.	Geneva Consulting 1750 East Golf Road, 2nd Floor Schaumburg, IL 60173	not listed
Simon M. Kornblit	none	195 North Mill Road Atlanta, GA 30328
Nancy T. Lukitsch	Director of Market Research Wellington Management Company 75 State Street Boston, MA 02109	52 Robbin Road Weston, MA 02193

MARCH OF DIMES BIRTH DEFECTS FOUNDATION  
BOARD OF TRUSTEES

as of 12/97

Name	Business	Residence
Mary Ann Mobley	none	2751 Hutton Drive Beverly Hills, CA 90210
Jennifer Nauert	none	4135 Jerseyhurst Lane Lake Geneva, WI 53147
James E. Oesterreicher	Vice Chairman and Chief Executive Officer J.C. Penney Company, Inc. 6501 Legacy Drive Plano, TX 75024-3698	not listed
Anne Roosevelt	Mayor's Office of Program Development City Hall - Room 604 121 N. LaSalle Street Chicago, IL 60602	613 Central Avenue Wilmette, IL 60091
David Semanchik	no current info	2815 9th Street South, #82C Arlington, VA 22204
Sheila M. Smythe	Executive Vice President and Dean Graduate School of Health Sciences The Learning Center New York Medical College Valhalla, NY 10595	2828 Wisconsin Avenue, NW Apt. #314 Washington, DC 20007
James E. Sproull, Jr.	President Sun Trust Bank North Central Florida 203 East Silver Springs Road Ocala, FL 34470	4707 N.W. 57th Drive Gainesville, FL 32606
Steve Stephens	President Stephens International, Inc. Quapaw Towers, Suite 11L 700 East 9th Street Little Rock, AR 72202	700 East 9th Street Suite #11L Little Rock, AR 72202

MARCH OF DIMES BIRTH DEFECTS FOUNDATION  
BOARD OF TRUSTEES

Name	Business	Residence
Mark Van Stekelenburg	no current info	11362 Homewood Road Ellicott City, MD 21042
Patricia O'Neill Ware	none	37 Oldham Circle Amarillo, TX 79109
Mary Alice Williams	Ice Blue Productions 190 Union Street Montclair, NJ 07042-2125	190 Union Street Montclair, NJ 07042-2125

**MARCH OF DIMES BIRTH DEFECTS FOUNDATION**  
**OFFICERS**

(as of January, 1998)

<u>Title</u>	<u>Name</u>	<u>City/State of Residence</u>	<u>Term Expires</u>
Chairman of the Board	Richard J. Freeman	Pittsburgh, PA	June, 1999
Vice Chairman	Gary D. Forsee	Kansas City, MO	June, 1998
President	Jennifer L. Howse, Ph.D.	Brooklyn, NY	June, 1998
Chief Operating Officer/Executive Vice President	Jane Massey	Tarrytown, NY	June, 1998
Medical Director	Richard B. Johnston, Jr., M.D.	Weston, CT	June, 1998
Secretary	Anne Roosevelt	Wilmette, IL	June, 1998
Assistant Secretary	Lisa Bellsey, Esq.	Larchmont, NY	June, 1998
Treasurer	Edward L. Hennessy, Jr.	Palm Beach, FL	June, 1998
Assistant Treasurer	Kathryn Morrison	New York, NY	June, 1998



March  
of Dimes  
*Saving babies, together*

*March of Dimes  
Birth Defects Foundation*

*National Office  
1275 Mamaroneck Avenue  
White Plains, NY 10605  
Telephone (914) 997-4534  
Fax (914) 997-4532*

Legal Department

March 9, 1998

Arizona Corporation Commission  
c/o Annual Reports – Corporations Division  
1300 West Washington  
Phoenix, AZ 85007-2929

RE: MARCH OF DIMES BIRTH DEFECTS FOUNDATION  
Federal I.D. No. 13-1846-366

Dear Sirs:

We are in receipt of your notice dated November 30, 1998 stating that our offices did not include the annual report for Financial Disclosure and the dates of officers and directors taking office.

Please find enclosed our Corporate Annual Report as of December 31, 1997 and the dates of officers and directors taking office. We hope you will find all of your paperwork to now be order.

Please file this report and evidence receipt of the advice by stamping the enclosed copy of this letter and returning it to me in the self-addressed envelope.

Very truly yours,

Sandra Allen  
Legal Assistant



**Balance Sheet**

March of Dimes Birth Defects Foundation

December 31, 1997, with comparative amounts as of December 31, 1996 (in thousands)

**Assets:**

	1997	1996
Cash and cash equivalents .....	\$ 40,927	\$ 31,764
Investments (note 2) .....	33,033	28,014
Contributions and other receivables - net .....	2,748	1,762
Inventory and prepaid expenses .....	2,981	2,359
Assets held in trust by others (note 3) .....	6,249	5,480
Land, building and equipment - net (notes 5 and 6) .....	16,148	16,724
<b>Total assets .....</b>	<b>\$ 102,086</b>	<b>\$ 86,103</b>

**Liabilities and Net Assets:**

Grants and awards payable .....	\$ 11,649	\$ 6,228
Accounts payable and accrued expenses .....	11,183	9,646
Refundable advances and deferred revenue .....	3,677	3,206
Accrued postretirement and pension benefit costs (notes 9 and 10) .....	30,674	28,310
Mortgage note payable (note 6) .....	8,485	8,873
<b>Total liabilities .....</b>	<b>65,668</b>	<b>56,263</b>




**Net assets:**

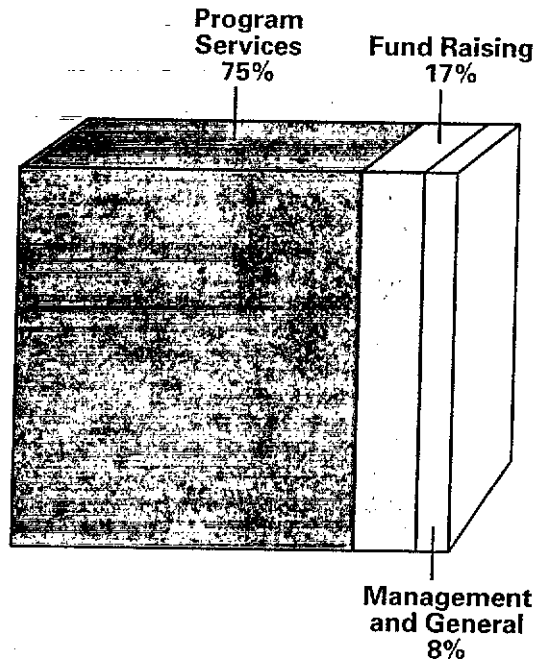
Unrestricted (including South Carolina research fund of \$1,257 and \$1,114, respectively) .....	22,488	18,460
Temporarily restricted (note 4) .....	4,064	2,362
Permanently restricted (note 4) .....	9,866	9,018
<b>Total net assets .....</b>	<b>36,418</b>	<b>29,840</b>
<b>Total liabilities and net assets .....</b>	<b>\$ 102,086</b>	<b>\$ 86,103</b>

See accompanying notes to financial statements.

## 1997 Expense Allocations

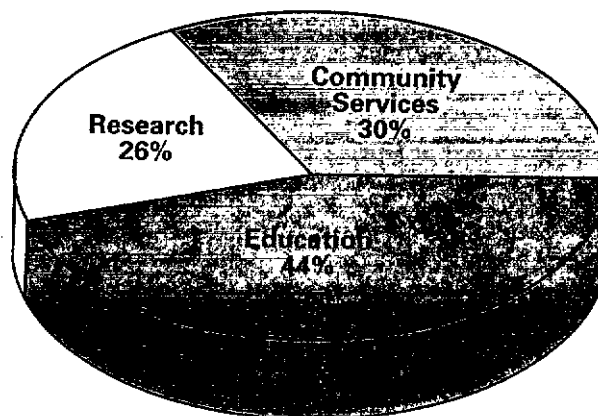
In 1997, 75 percent of all March of Dimes expenses supported program services.

75%	Program Services	
17%	Fund Raising	
8%	Management and General	



## 1997 Program Services

The March of Dimes supports programs of Education, Community Services, and Research and Medical Support. The Research and Medical Support category includes the California Birth Defects Monitoring Program, which is operated by the March of Dimes under a grant from the State of California.



**MARCH OF DIMES BIRTH DEFECTS FOUNDATION**  
**OFFICERS**

(as of January, 1998)

<u>Title</u>	<u>Name</u>	<u>of Residence</u>	<u>Expires</u>
Chairman of the Board	Richard J. Freeman	Pittsburgh, PA	June, 1999
Vice Chairman	Gary D. Forsee	Kansas City, MO	June, 1998
President	Jennifer L. Howse, Ph.D.	Brooklyn, NY	June, 1998
Chief Operating Officer/Executive Vice President	Jane Massey	Tarrytown, NY	June, 1998
Medical Director	Richard B. Johnston, Jr., M.D.	Weston, CT	June, 1998
Secretary	Anne Roosevelt	Wilmette, IL	June, 1998
Assistant Secretary	Lisa Bellsey, Esq.	Larchmont, NY	June, 1998
Treasurer	Edward L. Hennessy, Jr.	Palm Beach, FL	June, 1998
Assistant Treasurer	Kathryn Morrison	New York, NY	June, 1998

C. BRIEF STATEMENT OF THE CHARACTER OF BUSINESS IN WHICH THE CORPORATION IS ACTUALLY ENGAGED IN ARIZONA.

Program Services of research support public health education, professional health education, community services and medical services relating to the prevention of birth defects and the improvement of the outcome of pregnancy. The following are the beneficiaries of grants: University of Arizona (genetic control of a "checkpoint" in the cell cycle); University of Arizona (cell division integration into the growth and differentiation of complex tissues); MomMobile ( a mobile clinic providing medical care to pregnant women); Baby Arizona (an outreach program to get women into early prenatal care); Healthy Mothers Healthy Babies (administration of a grant for the Arizona Department of Health Services); BabyMobile (a transportation program for pregnant women); Yavapai County Health Department (to provide outreach and case management to low-income pregnant women).

We also provide subsidies for medical equipment to five residents of Arizona affected with poliomyelitis.

**9. FINANCIAL DISCLOSURE (A.R.S. §§10-1622.B & 10-2501.A.6)**

Only corporations that meet one or more of the following criteria must **attach** a financial statement (balance sheet including assets, liabilities and equity). The corporation is: 1) a **public service corporation** (e.g., public utility) as defined in Article XV, Section 2, Constitution of Arizona. 2) offers its **stock for sale** in transactions that are not exempt from A.R.S. §§ 44-1841 and 44-1842 as prescribed in §44-1844.A.1 (e.g., publicly traded). 3) a **nonprofit corporation**. All other forms of corporations are exempt from filing a financial disclosure.

**10. CERTIFICATE OF DISCLOSURE (A.R.S. §§10-1622.A.8 & 10-2505.A)**

Has ANY person serving either by election or appointment as an officer, director, trustee, incorporator and person controlling or holding more than 10% of the issued and outstanding common shares or 10% of any other proprietary, beneficial or membership interest in the corporation been:

1. Convicted of a felony involving a transaction in securities, consumer fraud or antitrust in any state or federal jurisdiction within the seven year period immediately preceding the execution of this certificate?
2. Convicted of a felony, the essential elements of which consisted of fraud, misrepresentation, theft by false pretenses or restraint of trade or monopoly in any state or federal jurisdiction within the seven year period immediately preceding execution of this certificate?
3. Or are subject to an injunction, judgment, decree or permanent order of any state or federal court entered within the seven year period immediately preceding execution of this certificate where such injunction, judgment, decree or permanent order involved the violation of:

- (a) fraud or registration provisions of the securities laws of that jurisdiction, or
- (b) the consumer fraud laws of that jurisdiction, or
- (c) the antitrust or restraint of trade laws of that jurisdiction?

**One box must be marked:**YES ☐NO ☒

If "YES", the following information must be submitted as an attachment to this report for each person subject to one or more of the actions stated in Items 1. through 3. above.

- |   |   |
|---|---|
| 1. Full name and prior names used.                          | 5. Date and location of birth.  |
| 2. Full birth name.   | 6. Social Security Number   |
| 3. Present home address.                                    | 7. The nature and description of each conviction or judicial action; the date and location; the court and public agency involved, and the file or cause number of the case. |
| 4. Prior addresses (for immediate preceding 7 year period). |   |

**11. STATEMENT OF BANKRUPTCY (A.R.S. §10-202.D.2)**

Has ANY person serving either by election or appointment as an officer, director, trustee, incorporator and person controlling or holding more than 20% of the issued and outstanding common shares or 20% of any other proprietary, beneficial or membership interest in the corporation served in such capacity or held a 20% interest in any other corporation during the bankruptcy, receivership, or charter revocation of the other corporation?

**One box must be marked:**YES ☐NO ☒**If YES, enter the following:**

Chapter \_\_\_\_\_ Date Filed \_\_\_\_\_ Case Number \_\_\_\_\_

**If "YES" the following information must be submitted as an attachment to this report for each person subject to the statement above:**  
 1) The names and addresses of each corporation and the person or persons involved. 2) The state in which each corporation was a) incorporated b) transacted business. 3) The dates of corporate operation.

**12. CAUTION: Signature requirements vary according to the type of corporation. See the instruction sheet for specific rules. Annual Reports submitted with incorrect signatures will be rejected.**

I DECLARE, UNDER PENALTY OF LAW, THAT ALL CORPORATE INCOME TAX RETURNS REQUIRED BY TITLE 43 OF THE ARIZONA REVISED STATUTES HAVE BEEN FILED WITH THE ARIZONA DEPARTMENT OF REVENUE.

I further declare under penalty of law that I (we) have examined this report and the certificate, including any attachments, and to the best of my (our) knowledge and belief they are true, correct and complete.

Name Jennifer Howse Date 3/25/98 Name Lisa Bellsey Date 3/25/98

Signature [Signature] Signature [Signature]

Title President Title Assistant Secretary

(Signator(s) must be duly authorized corporate officer(s) listed in section 7 of this report.)