



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

Arizona Corporation Commission



00004339

DUE ON OR BEFORE 04/21/1999

FILING FEE \$10.00

The following information is required by A.R.S. §10-1622 & §10-11622 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. & §10-3121.A. **YOUR REPORT MUST BE SUBMITTED ON THIS ORIGINAL FORM.** Make changes or corrections where necessary. Information for the report should reflect the current status of the corporation. See instructions for proper format. **REFER TO THE INSTRUCTIONS ON PAGE 4.**

1. THE BAIRD FOUNDATION, INCORPORATED  
% SHERWOOD E CARR  
101 N WILMOT RD #250  
TUCSON, AZ 85711-3332

Business Phone: 571-1111  
State of Domicile: ARIZONA

Corporation File Number:

-0039189-2

(Business phone is optional)

Type of Corporation: NON-PROFIT

RECEIVED

2. Arizona Statutory Agent: ~~J J HUMPHREY~~ HELEN D DAY  
Street Address: 101 N WILMOT RD #250  
(NOT P.O. BOX)  
City, State, Zip: TUCSON AZ 85711-3332

JUN 16 1999

ARIZONA CORP. COMMISSION  
CORPORATIONS DIVISION

ACC USE ONLY

Fee \$ 10  
Penalty \$  
Reinstate \$  
Expedite \$  
Total \$  
FY98-99

Use this box only if appointing a new Statutory Agent

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.

Helen D Day

Signature of new Statutory Agent

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
- ☐ 2. Advertising
- ☐ 3. Aerospace
- ☐ 4. Agriculture
- ☐ 5. Architecture
- ☐ 6. Banking/Finance
- ☐ 7. Barbers/Cosmetology
- ☐ 8. Construction
- ☐ 9. Contractor
- ☐ 10. Credit/Collection
- ☐ 11. Education
- ☐ 12. Engineering
- ☐ 13. Entertainment
- ☐ 14. General Consulting
- ☐ 15. Health Care
- ☐ 16. Hotel/Motel
- ☐ 17. Import/Export
- ☐ 18. Insurance
- ☐ 19. Legal Services
- ☐ 20. Manufacturing
- ☐ 21. Mining
- ☐ 22. News Media
- ☐ 23. Pharmaceutical
- ☐ 24. Publishing/Printing
- ☐ 25. Ranching/Livestock
- ☐ 26. Real Estate
- ☐ 27. Restaurant/Bar
- ☐ 28. Retail Sales
- ☐ 29. Science/Research
- ☐ 30. Sports/Sporting Events
- ☐ 31. Technology(Computers)
- ☐ 32. Technology(General)
- ☐ 33. Television/Radio
- ☐ 34. Tourism/Convention Services
- ☐ 35. Transportation
- ☐ 36. Utilities
- ☐ 37. Veterinary Medicine/Animal Care
- ☐ 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 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: JOHN P SCHAEFER  
Title: PRESIDENT/CEO  
Address: 7401 E KENYON DR  
TUCSON, AZ 85710-

Name: DAVID L WINDSOR  
Title: VICE-PRESIDENT  
Address: 2820 E 6TH ST  
TUCSON, AZ 85716-

Date taking office: 05-04-86

Date taking office: 09-01-84

Name: ~~J J HUMPHREY~~ Helen DAY  
Title: ~~SECRETARY~~ SECRETARY

Name: SHERWOOD E CARR  
Title: TREASURER

Address: ~~UNIV OF ARIZONA~~ 101 N Wilcox Suite 250  
TUCSON, AZ 85721-

Address: UNIV OF ARIZONA  
TUCSON, AZ 85721-

Date taking office: ~~03-22-78~~ 9/1998

Date taking office: 03-22-78

**8. DIRECTORS** (If no changes since last report, check here ☒ and go on to Section 9.)

Name: DAVID L WINDSOR  
Address: 2820 E 6TH ST  
TUCSON, AZ 85716-

Name: JOHN P SCHAEFER  
Address: 7401 E KENYON DR  
TUCSON, AZ 85710-

Date taking office: 09-01-84

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

Name: J J HUMPHREY  
Address: UNIV OF ARIZONA  
TUCSON, AZ 85721-

Name: SHERWOOD E CARR  
Address: UNIV OF ARIZONA  
TUCSON, AZ 85721-

Date taking office: 03-22-78

Date taking office: 3/22/78

THE BAIRD FOUNDATION, INC.  
SUMMARY OF INCOME, DISBURSEMENTS, AND FUND BALANCES  
FOR THE YEAR ENDED DECEMBER 31, 1998

0039189-2

	1998		
	LOCAL ACCOUNT	GUARDIAN TRUST	COMBINED
INCOME			
Dividends and Interest	\$ 1,116	\$ 116,637	\$ 117,753
Foreign Dividends		4,105	4,105
Gain on Securities		310,220	310,220
Total Income	<u>\$ 1,116</u>	<u>\$ 430,962</u>	<u>\$ 432,078</u>
DISBURSEMENTS			
Scholarships to University of Arizona	\$ 177,500		\$ 177,500
Administrative Support	4,000		4,000
Management Fees		\$ 18,605	18,605
Foreign Taxes		697	697
Auditing	3,038		3,038
Printing and Supplies	442		442
Student Support	1,355		1,355
Other Expense	357		357
Total Disbursements	<u>\$ 186,692</u>	<u>\$ 19,302</u>	<u>\$ 205,994</u>
EXCESS INCOME OVER DISBURSEMENTS	<u>\$ (185,576)</u>	<u>\$ 411,660</u>	<u>\$ 226,084</u>
TRANSFERS FROM FUND MANAGER	<u>\$ 190,000</u>	<u>\$ (190,000)</u>	<u>-0-</u>
FUND BALANCE BEGINNING OF YEAR	<u>\$ 6,884</u>	<u>\$4,047,296</u>	<u>\$4,054,180</u>
BALANCE, END OF YEAR (Cost)	<u>\$ 11,309</u>	<u>\$4,268,956</u>	<u>\$4,280,265</u>

THE BAIRD FOUNDATION, INC.  
SUMMARY OF INCOME, DISBURSEMENTS, AND FUND BALANCES  
FOR THE YEARS ENDED DECEMBER 31, 1997 AND 1998

0039189-2

	<u>1997</u>	<u>1998</u>	<u>INCREASE (DECREASE)</u>
INCOME			
Dividends and Interest	\$ 174,884	\$ 117,753	\$ ( 57,131)
Foreign Dividends	4,672	4,105	( 567)
Gain on Securities	<u>248,139</u>	<u>310,220</u>	<u>62,081</u>
Total Income	<u>\$ 427,695</u>	<u>\$ 432,078</u>	<u>\$ 4,383</u>
DISBURSEMENTS			
Scholarships to University of Arizona	\$ 165,600	\$ 177,500	\$ 11,900
Administrative Support	8,000	4,000	( 4,000)
Management Fees	16,373	18,605	2,232
Foreign Taxes	672	697	25
Auditing	3,012	3,038	26
Printing and Supplies		442	442
Student Support		1,355	1,355
Other Expense	<u>517</u>	<u>357</u>	<u>( 160)</u>
Total Disbursements	<u>\$ 193,574</u>	<u>\$ 705,994</u>	<u>\$ 12,420</u>
EXCESS INCOME OVER DISBURSEMENTS	<u>\$ 234,121</u>	<u>\$ 226,084</u>	<u>\$ ( 8,037)</u>
FUND BALANCE, BEGINNING OF YEAR	<u>\$3,820,059</u>	<u>\$4,054,180</u>	<u>\$ 234,121</u>
BALANCE, END OF YEAR (Cost)	<u>\$4,054,180</u>	<u>\$4,280,264</u>	<u>\$ 226,084</u>
OPERATING FUND, END OF YEAR	<u>\$ ( 98,663)</u>	<u>\$ ( 182,799)</u>	<u>\$ ( 84,136)</u>
ENDOWMENT FUND, END OF YEAR	<u>\$4,152,848</u>	<u>\$4,463,063</u>	<u>\$ 310,215</u>
UNREALIZED APPRECIATION	<u>483,435</u>	<u>731,732</u>	<u>248,297</u>
MARKET VALUE	<u><u>\$4,537,620</u></u>	<u><u>\$5,194,795</u></u>	<u><u>\$ 657,175</u></u>
FUND CONSISTS OF:			
Money Market Assets	\$ 6,884	\$ 11,309	
Custodial Fund	<u>4,530,730</u>	<u>5,000,687</u>	
TOTAL	<u><u>\$4,537,620</u></u>	<u><u>\$5,011,996</u></u>	

**9. FINANCIAL DISCLOSURE (A.R.S. §§10-1622.B & 10-11622.A.9)**

Only nonprofit corporations must attach a financial statement (balance sheet including assets, liabilities and equity). All other forms of corporations are exempt from filing a financial disclosure.

**9A. MEMBERS (A.R.S. § 10-11622.A.6) Nonprofit Corporations Only**

This corporation **does** ☐ **does not** ☒ have members.

0039189-2

**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. SIGNATURES**

**CAUTION:** Annual Reports must be signed by a duly authorized officer. 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 Helen D. Day Date 6/15/99 Name Shawood E. Carr Date 6/14/99

Signature Helen D. Day Signature Shawood E. Carr

Title Secretary of the Corporation Title Treasurer & Director

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