



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

Arizona Corporation Commission



00125389

DUE ON OR BEFORE 03/22/2000

FY99-00

FILING FEE \$45.00

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.**

-0131298-2

1. ROCKFORD CORPORATION  
PO BOX 1860  
546 S ROCKFORD DR  
TEMPE, AZ 85281

A.C.C. CORPORATIONS DIV.  
RECEIVED

MAR 21 2000

DOCUMENTS ARE SUBJECT  
TO REVIEW BEFORE FILING

Business Phone: \_\_\_\_\_ (Business phone is optional.)

State of Domicile: ARIZONA

Type of Corporation: PROFIT

2. Arizona Statutory Agent: ~~LAND R SERVICE CO~~  
Street Address: ~~40 N CENTRAL AVE #1500~~  
(NOT P.O. BOX)  
City, State, Zip: PHOENIX

~~Kevin Olson~~  
Stephoe + Johnson  
40 North Central Ave  
24th Floor  
AZ 85004-4429 OK

Use this box only if appointing a new Statutory Agent

ACC USE ONLY

Fee \$ 45  
Penalty \$ \_\_\_\_\_  
Reinstate \$ \_\_\_\_\_  
Expedite \$ \_\_\_\_\_  
Resubmit \$ \_\_\_\_\_

IPR

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 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

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

NON-PROFIT CORPORATIONS

- |  |
|--|
| <input type="checkbox"/> 1. Charitable   |
| <input type="checkbox"/> 2. Benevolent   |
| <input type="checkbox"/> 3. Educational  |
| <input type="checkbox"/> 4. Civic  |
| <input type="checkbox"/> 5. Political  |
| <input type="checkbox"/> 6. Religious  |
| <input type="checkbox"/> 7. Social   |
| <input type="checkbox"/> 8. Literary   |
| <input type="checkbox"/> 9. Cultural   |
| <input type="checkbox"/> 10. Athletic  |
| <input type="checkbox"/> 11. Science/Research  |
| <input type="checkbox"/> 12. Hospital/Health Care  |
| <input type="checkbox"/> 13. Agricultural  |
| <input type="checkbox"/> 14. Animal Husbandry  |
| <input type="checkbox"/> 15. Homeowner's Association                                     |
| <input type="checkbox"/> 16. Professional, commercial<br>industrial or trade association |
| <input type="checkbox"/> 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. (If no changes since last report, check here      and go on to Section 6.)

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

MONUMENT INVESTORS LTD PARTNER

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

NONE ☐

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

**7. OFFICERS** (If no changes since last report, check here      and go on to Section 8.)Name: W GARY SUTTLE  
Title: PRESIDENT/CEO

Title: \_\_\_\_\_

Address: 648 S RIVER DR  
TEMPE, AZ 85281-

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

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

Title: \_\_\_\_\_

Address: \_\_\_\_\_

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

*See attached for new officers + directors*  
Name: DANIEL C MCLEOD  
Title: VICE-PRESIDENT

Title: \_\_\_\_\_

Address: 648 S RIVER DR  
TEMPE, AZ 85281-

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

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

Title: \_\_\_\_\_

Address: \_\_\_\_\_

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

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

Name: NICHOLAS G BARTOL

Address: 239 COVE DR

COPPELL, TX 75019-

Date taking office: 06/29/1993

Name: TIMOTHY C BARTOL

Address: 9200 WILLOW POND LN

POTOMAC, MD 20854-

Date taking office: 10/30/1996

Name: W GARY SUTTLE

Address: 648 S RIVER DR

TEMPE, AZ 85281-

Date taking office: 04/14/1992

Name: ~~GLEN J CARRIO~~ Jerry GoldressAddress: ~~2455 EXECUTIVE CIR~~ 114 Robert Ave~~Incline Village, NV~~ 89451Date taking office: ~~COLORADO SPRINGS, CO 80907-~~ 4/22/98

**ROCKFORD CORPORATION  
OFFICERS AND DIRECTORS**

**Officers:**

**President/Chief Executive Officer**

W. Gary Suttle  
648 S. River Drive  
Tempe, AZ 85281  
Date of office: 3/11/92

**Vice President - Sales**

Daniel C. McLeod  
648 S. River Drive  
Tempe, AZ 85281  
Date of office: 5/30/91

**Vice President - Information Technology**

David L. Richards  
648 S. River Drive  
Tempe, AZ 85281  
Date of office: 4/25/96

**Vice President - Engineering**

James C. Strickland  
648 S. River Drive  
Tempe, AZ 85281  
Date of office: 4/14/92

**Vice President - Finance/CFO/Secretary**

James M. Thomson  
648 S. River Drive  
Tempe, AZ 85281  
Date of office: 1/19/94

**Vice President - Operations**

David A. Boshes  
648 S. River Drive  
Tempe, AZ 85281  
Date of office: 7/26/95

**Vice President - New Product Design/Devel**

Alan Zimmerman  
648 S. River Drive  
Tempe, AZ 85281  
Date of office: 4/21/99

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**Directors**

W. Gary Suttle  
Rockford Corporation  
648 S. River Drive  
Tempe, AZ 85281  
Date of office: 4/14/92

Timothy C. Bartol  
9200 Willow Pond Lane  
Potomac, MD 20854  
Date of office: 10/30/96

Nicholas G. Bartol  
353 Pompa Drive  
Pagosa Springs, CO 81147-7640  
Date of office: 6/29/93

John P. Lloyd  
41 Deer Run  
Avon, CT 06001  
Date of office: 3/15/88

Jerry Goldress  
114 Robert Avenue  
Incline Village, NV 89451  
Date of office: 4/22/1998

Ralph Godfrey  
19450 Burgundy Way  
Saratoga, CA 95070  
Date of office: 4/21/99

**Shareholders (20% or more)**

Monument Investors Limited Partnership  
239 Cove Drive  
Coppell, TX 75019

**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.

**10. CERTIFICATE OF DISCLOSURE (A.R.S. §§10-1622.A.8 & 10-11622.A.7)**

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: [Underlined portion pertains to profit corporations only]

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 & 10-3202.02)**

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? [Underlined portion pertains to profit corporations only]

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 JAMES THOMSON Date 1/26/00 Name \_\_\_\_\_ Date \_\_\_\_\_

Signature [Signature] Signature \_\_\_\_\_

Title CEO Title \_\_\_\_\_

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