



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

AZ Corp. Commission



04038948



DUE ON OR BEFORE

10/27/2012

FILING FEE \$ 10.00

PLEASE READ ALL INSTRUCTIONS. 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.

1. *The Northern Arizona University Foundation*
NAU Old Main Bldg #307
PO Box 4094
Flagstaff, AZ 86011

RECEIVED

OCT 17 2012

ARIZONA CORP. COMMISSION
CORPORATIONS DIVISION

Business Phone: (928) 523-2017

(Business phone is optional.)

State of Domicile: Arizona

Type of Corporation: Non Profit

2. Statutory Agent: *Hufford Horstman Mongini Parne*
LL & Tucker P.C.

Statutory Agent's Street or Physical Address, If Different.

120 N Beaver St
Flagstaff, AZ 86001

ACC USE ONLY

Fee \$ _____
Penalty \$ _____
Reinstate \$ _____
Expedite \$ _____
Resubmit \$ _____

If appointing a new statutory agent, the new agent MUST consent to that appointment by signing below. Note that the agent address must be in Arizona.

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

Printed Name 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 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 checked="" 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. Cooperative Marketing Association |
| <input type="checkbox"/> 15. Animal Husbandry |
| <input type="checkbox"/> 16. Homeowner's Association |
| <input type="checkbox"/> 17. Professional, commercial industrial or trade association |
| <input type="checkbox"/> 18. Other _____ |

5. CAPITALIZATION:(For-profit 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.

5a. Please examine the corporation's original Articles of Incorporation for the amount of **shares authorized**.

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

0

5b. Review all corporation amendments to determine if the original number of shares has changed. Examine the corporation's minutes for the number of **shares issued**.

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

0

6. SHAREHOLDERS:(For-profit 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.

NONE ☒ Name: _____ Name: _____
 Name: _____ Name: _____

7. OFFICERSName: Harry HengelTitle: ChairmanAddress: PO Box 4094
Flagstaff, AZ 86011Date taking office: 7/1/2011Name: Mason GeretyTitle: PresidentAddress: PO Box 4094
Flagstaff, AZ 86011Date taking office: 7/1/2008Name: Christopher BavasiTitle: Other OfficerAddress: PO Box 4094
Flagstaff, AZ 86011Date taking office: 7/1/2011Name: David MosowTitle: SecretaryAddress: PO Box 4094
Flagstaff, AZ 86011Date taking office: 7/1/2011**8. DIRECTORS**Name: Please see attached list

Address: _____

Date taking office: _____

Name: _____

Address: _____

Date taking office: _____

Name: _____

Address: _____

Date taking office: _____

Name: _____

Address: _____

Date taking office: _____



NORTHERN ARIZONA UNIVERSITY
FOUNDATION

BOARD OF DIRECTORS

FY 2013

(effective 07/01/2012)

Officers

Harry Hengl, Chair

PO Box 4094

Flagstaff, AZ 86011

Date taking office – 07/01/2012

Hank Peck, Vice Chair

PO Box 4094

Flagstaff, AZ 86011

Date taking office – 07/01/2012

Dee Ann Palin, Treasurer

PO Box 4094

Flagstaff, AZ 86011

Date taking office – 07/01/2012

David Mosow, Secretary

PO Box 4094

Flagstaff, AZ 86011

Date taking office – 07/01/2012

Christopher Bavasi, Past Chair

PO Box 4094

Flagstaff, AZ 86011

Date taking office – 07/01/2012

Directors

Lisa Bacus

PO Box 4094

Flagstaff, AZ 86011

Date taking office – 07/01/2009

Jeffre Beatty

PO Box 4094

Flagstaff, AZ 86011

Date taking office – 07/16/2004

Mike Beatty

PO Box 4094

Flagstaff, AZ 86011

Date taking office – 07/20/2007

John Bridger

PO Box 4094

Flagstaff, AZ 86011

Date taking office – 09/26/2006

Regent Ernest Calderón

PO Box 4094

Flagstaff, AZ 86011

Date taking office – 09/18/2002

Robert E. Casselman

PO Box 4094

Flagstaff, AZ 86011

Date taking office – 07/01/2010

Scott Coor

PO Box 4094

Flagstaff, AZ 86011

Date taking office – 07/01/2009

David P. Falck

PO Box 4094

Flagstaff, AZ 86011

Date taking office – 07/01/2011

Michael Fronske

PO Box 4094

Flagstaff, AZ 86011

Date taking office – 07/19/2012

Scott Free

PO Box 4094

Flagstaff, AZ 86011

Date taking office – 03/06/2006

Jeanette Garretty

PO Box 4094

Flagstaff, AZ 86011

Date taking office – 07/01/2011

Steve M. Jackson

PO Box 4094

Flagstaff, AZ 86011

Date taking office – 10/7/2005

Kurt Lefteroff

PO Box 4094

Flagstaff, AZ 86011

Date taking office – 04/18/2008

John Lucking

PO Box 4094

Flagstaff, AZ 86011

Date taking office – 09/01/2001

Peter McClean

PO Box 4094

Flagstaff, AZ 86011

Date taking office – 07/01/2010

S/Group/Foundation/Kelly/AzCorpCommDrlist

Barbara McCloud

PO Box 4094

Flagstaff, AZ 86011

Date taking office – 08/20/2011

Marc C. Miller

PO Box 4094

Flagstaff, AZ 86011

Date taking office – 07/01/2009

Roy D. Morey

PO Box 4094

Flagstaff, AZ 86011

Date taking office – 10/07/2005

Julie Nackard

PO Box 4094

Flagstaff, AZ 86011

Date taking office – 09/01/1999

Anthony J. Plese

PO Box 4094

Flagstaff, AZ 86011

Date taking office – 10/07/2005

Karissa Price

PO Box 4094

Flagstaff, AZ 86011

Date taking office – 07/01/2010

Ted Quasula

PO Box 4094

Flagstaff, AZ 86011

Date taking office – 07/01/2011

Colleen Ragland

PO Box 4094

Flagstaff, AZ 86011

Date taking office – 07/01/2011

Stanley E. Rulapaugh

PO Box 4094

Flagstaff, AZ 86011

Date taking office – 07/16/2004

James C. Sherman

PO Box 4094

Flagstaff, AZ 86011

Date taking office – 07/01/2009

Harry Sloan, Jr.

PO Box 4094

Flagstaff, AZ 86011

Date taking office – 10/11/2006

Tim Snider

PO Box 4094

Flagstaff, AZ 86011

S/Group/Foundation/Kelly/AzCorpCommDrlst

Date taking office – 04/06/2007

Karen Steinbronn

PO Box 4094

Flagstaff, AZ 86011

Date taking office – 09/21/2006

T. Paul Thomas

PO Box 4094

Flagstaff, AZ 86011

Date taking office – 01/01/2002

Larry West

PO Box 4094

Flagstaff, AZ 86011

Date taking office – 02/01/2012

Jeffrey L. Willis

PO Box 4094

Flagstaff, AZ 86011

Date taking office – 10/07/2005

9. FINANCIAL DISCLOSURE (A.R.S. §10-11622(A)(9))

Nonprofits – if your annual report is due on or before September 25, 2008, you must attach a financial statement (e.g. income/expense statement, balance sheet including assets, liabilities). If your nonprofit annual report is due after September 25, 2008, a financial statement is not required. **Cooperative marketing associations** must in all cases submit a financial statement. All other forms of corporations are exempt from filing a financial statement no matter what date the annual report was due.

ONLY NONPROFIT CORPORATIONS MUST ANSWER THIS QUESTION:

9A. MEMBERS (A.R.S. §10-11622(A)(6))

This corporation **DOES** ☐ **DOES NOT** ☒ have members.

10. CERTIFICATE OF DISCLOSURE (A.R.S. §§ 10-202(D), 10-3202(D), 10-1622(A)(8) & 10-11622(A)(7))

A. Has any person who is currently an officer, director, trustee, incorporator, or who, in a For-profit corporation, controls or holds 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. 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" to A, 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 birth name. | 5. Date and location of birth. |
| 2. Full present name and prior names used. | 6. 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. |
| 3. Present home address. | |
| 4. All prior addresses for immediately preceding 7 year period. | |

B. Has any person who is currently an officer, director, trustee, incorporator, or who, in a For-profit corporation, controls or holds over 20% of the issued and outstanding common shares, or 20% of any other proprietary, beneficial or membership interest in the corporation, served in any such capacity or held a 20% interest in any other corporation on the bankruptcy or receivership of that other corporation?

One box must be marked: YES ☐ NO ☒

If "YES" to B, the following information must be submitted as an attachment to this report for each corporation subject to the statement above.

- (a) Name and address of each corporation and the persons involved.
- (b) State(s) in which it: (i) was incorporated and (ii) transacted business.
- (c) Dates of corporate operation.

11. STATEMENT OF BANKRUPTCY OR RECEIVERSHIP (A.R.S. §§ 10-1623 & 10-11623)

A. Has the corporation filed a petition for bankruptcy or appointed a receiver? **One box must be marked: YES ☐ NO ☒**

If "Yes" to A, the following information must be submitted as an attachment to this report:

1. All officers, directors, trustees and major stockholders of the corporation within one year of filing the petition for bankruptcy or the appointment of a receiver. If a major stockholder is a corporation, the statement shall list the current president, chairman of the board of directors and major stockholders of such corporate stockholder. "Major stockholder" means a shareholder possessing or controlling twenty per cent of the issued and outstanding shares or twenty per cent of any proprietary, beneficial or membership interest in the corporation.
2. Whether any such person has been an officer, director, trustee or major stockholder of any other corporation within one year of the bankruptcy or receivership of the other corporation. If so, for each such corporation give:
 - (a) Name and address of each corporation;
 - (b) States in which it: (i) was incorporated and (ii) transacted business.
 - (c) Dates of operation.

12. SIGNATURES: Annual Reports must be signed and dated by at least one duly authorized officer or they will be rejected.

I declare, under penalty of perjury, 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 perjury 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 Mason Gerety Date 10/12/12 Name _____ Date _____
 Signature [Signature] Signature _____
 Title President Title _____

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