



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



Arizona Corporation Commission
Corporations Division



00001571



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. LOCKWOOD ESTATES ASSOCIATION
% GRAHAM MANAGEMENT INC
6423 S ASH AVE
TEMPE, AZ 85283-3657

RECEIVED

MAR 19 1999

ARIZONA CORP COMMISSION
CORPORATIONS DIVISION

Business Phone: 491-1855

Corporation File Number:

-0785377-0

State of Domicile: ARIZONA

Type of Corporation: NON-PROFIT

2. Arizona Statutory Agent: SUE E GRAHAM
Street Address: 6423 S ASH AVE
(NOT P.O. BOX)
City, State, Zip: TEMPE AZ 85283-3657

ACC USE ONLY

Fee \$10 PAID

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.

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 | ☐ 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
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.

None ☐ Name: _____ Name: _____
Name: _____ Name: _____

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

Name: DONALD L VIEHMANN
Title: PRESIDENT/CEO
Address: 7250 N 16TH ST STE 404
PHOENIX, AZ 85020-

Date taking office: _____

Name: J MICHAEL MARTIN
Title: SECRETARY
Address: 7250 N 16TH ST STE 404
PHOENIX, AZ 85020-

Date taking office: _____

Name: J MICHAEL MARTIN
Title: VICE-PRESIDENT
Address: 7250 N 16TH ST STE 404
PHOENIX, AZ 85020-

Date taking office: _____

Name: J MICHAEL MARTIN
Title: TREASURER
Address: 7250 N 16TH ST STE 404
PHOENIX, AZ 85020-

Date taking office: _____

8. DIRECTORS Must List a Minimum of 3 Directors.

Name: STEVEN R RUDOLPH
Address: 900 N MICHIGAN AVE STE 2140
CHICAGO, IL 60611-

Date taking office: _____

Name: _____
Address: _____

Date taking office: _____

Name: _____
Address: _____

Date taking office: _____

Name: _____
Address: _____

Date taking office: _____

LOCKWOOD ESTATES ASSOCIATION
Board of Directors - 8-21-98

Donald L. Viehmann

The Viehmann, Martin Companies
7250 N. 16th Street, Suite 404
Phoenix, Arizona 85020

957-0660

944-4811 - Fax

President

1999

J. Michael Martin

The Viehmann, Martin Companies
7250 N. 16th Street, Suite 404
Phoenix, Arizona 85020

957-0660

944-4811 - Fax

999-1954 - Car Phone

Vice President

Secretary/Treasurer

1999

Steven R. Rudolph

Thomas J. Klutznick Company
900 North Michigan Avenue, Suite 2140
Chicago, Illinois 60611

(312) 994-5987 - Fax

Director

1999

Sue Graham

6423 South Ash Avenue
Tempe, AZ 85283

Assistant Secretary

(12/26/98)

LOCKWOOD ESTATES ASSOCIATION

BALANCE SHEET
DECEMBER 31, 1998

ASSETS

OPERATING FUNDS

CASH IN BANK-OPERATING

\$ 13,365.17

TOTAL OPERATING FUNDS

\$ 13,365.17

RESERVE FUNDS

RESERVE

26,845.73

TOTAL RESERVE FUNDS

26,845.73

OTHER ASSETS

TOTAL ASSETS

\$ 40,210.90

LIABILITIES & HOMEOWNERS EQUITY

LIABILITIES

HOMEOWNERS EQUITY

RESERVE EQUITY

RESERVE - PAINTING

16,960.14

RESERVE - PRIVACY GATES

5,979.69

RESERVE - STREETS

3,375.87

RESERVE-FUNDED INTEREST

530.03

TOTAL RESERVE EQUITY

26,845.73

OPERATING SURPLUS/DEFICIT(-)

PRIOR YEAR SURPLUS-DEFICIT

499.66

CURRENT SURPLUS/DEFICIT(-)

12,865.51

TOTAL SURPLUS/DEFICIT(-)

13,365.17

TOTAL HOMEOWNERS EQUITY

40,210.90

TOTAL LIABILITIES AND
HOMEOWNERS EQUITY

\$ 40,210.90

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 & 10-2505.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 Donald Viehmann Date 2/16/99 Name Michael MARTIN Date 2-17-99

Signature [Signature] Signature [Signature]

Title PRESIDENT Title SECRETARY

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