



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

Arizona Corporation Commission



DUE ON OR BEFORE 04/21/2002

FY01-02

FEB 11 2002
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. -0785377-0

LOCKWOOD ESTATES ASSOCIATION

% ~~GRAHAM MANAGEMENT INC.~~

~~6423 S ASH AVE~~

~~TEMPE, AZ 85283-3657~~

9. Rossmar + Graham Community Association Management
9362 E Raintree Dr.
Scottsdale, AZ 85260

Business Phone: _____ (Business phone is optional.)

State of Domicile: **ARIZONA**

Type of Corporation: **NON-PROFIT**

MAY 23 2002

RECEIVED

AUG 19 2002

ARIZONA CORP. COMMISSION
CORPORATIONS DIVISION

2. Arizona Statutory Agent: **ROSSMAR AND GRAHAM**
Street Address: **9362 E RAINTREE DR**
SCOTTSDALE, AZ 85260
City, State, Zip:

Use this box only if appointing a new Statutory Agent

ACC USE ONLY IPR

Fee \$10. 8-21-02

Penalty \$ _____

Reinstate \$ _____

Expedite \$ _____

Resubmit \$ _____

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. **Please Type or Print Clearly.**

Name: _____ Name: _____

NONE ☐

Name: _____ Name: _____

7. OFFICERS Please Type or Print Clearly.

Name: DEE MOONEY

Title: PRESIDENT

Address: 22444 N. 55th ST

PHOENIX AZ 85054

Date taking office: 3-21-02

Name: _____

Title: _____

Address: _____

Date taking office: _____

Name: CLAUDIA GARZA

Title: VICE PRESIDENT

Address: 22825 N. 55th ST.

PHOENIX AZ 85054

Date taking office: 3-21-02

Name: _____

Title: _____

Address: _____

Date taking office: _____

8. DIRECTORS Please Type or Print Clearly.

Name: _____

Address: _____

Date taking office: _____

Name: _____

Address: _____

Date taking office: _____

Name: _____

Address: _____

Date taking office: _____

Name: _____

Address: _____

Date taking office: _____

#0785377-D

**LOCKWOOD ESTATES ASSOCIATION
MARCH 21, 2002
ELECTED OFFICERS**

Dee Mooney (President)

22444 N. 55th Street
Phoenix, AZ 85054

Lot # 27-9

480-419-6054 (H)

480-419-3821 (F)

e-mail: deemooney@cox.net

Claudia Garza (Vice President)

22825 N. 55th Street
Phoenix, AZ 85054

Lot # 27-37

480-419-5957 (H)

480-419-8059 (F)

e-mail: cdashone@cox.net

Mark Smith (Treasurer)

22624 N. 54th Place
Phoenix, AZ 85054

Lot # 29-5

480-585-8264 (H)

602-278-2873 (Office Fax)

602-410-6553 (cell)

e-mail: tssmith@aol.com

Kathryn Thompson (Secretary)

22415 N. 55th Street
Phoenix, AZ 85054

Lot # 27-54

480-419-8870 (H)

e-Mail: kathybritaz@aol.com

Gary Nicolaou

22428 N. 54th Way
Phoenix, AZ 85054

Lot # 27-7

480-585-7310 (H)

480-515-0989 (F)

602-432-3508 (cell)

e-mail: gary.nicolaou@cox.net

John Ostaff

22627 N. 54th Place
Phoenix, AZ 85054

Lot # 29-25

480-585-6477 (H)

e-mail: jostaff0573@yahoo.com

Paul Cunningham

22416 N. 55th Street
Phoenix, AZ 85054

Lot # 27-12

480-502-6919 (H)

480-502-6919 (F)

402-525-2412 (cell)

e-mail: pacunningham@cox.net

Rossmar & Graham Community Association Management

9362 E. Raintree Drive
Scottsdale, AZ 85260

Jim Davis, Community Manager (480-551-4313), Office), 602-694-2930 (cell)

Lauren Shaw, Assistant Community Manager

480-491-4114 (Desert Ridge direct line)

480-551-4300 (Main office line)

480-551-4375 (Fax)

#0785377-0

01/09/2002
11:14 AM575 LOCKWOOD ESTATES ASSOCIATION
BALANCE SHEET
12/31/2001

Page: 1

ROSSMAR & GRAHAM CAM
9362 E RAINTREE DR
SCOTTSDALE AZ 85260ROSSMAR & GRAHAM
9362 EAST RAINTREE DRIVE
SCOTTSDALE, AZ 85260

ASSETS

OPERATING FUNDS
OPERATING BANK ONE ARIZONA

8,999.27

TOTAL OPERATING FUNDS

8,999.27

RESERVE FUNDS
CD WASHNGTN FED 11/1/02
RESERVE BANK ONE ARIZONA

60,000.00

20,485.38

TOTAL RESERVE FUNDS

80,485.38

TOTAL ASSETS

89,484.65

LIABILITIES & EQUITY

HOMEOWNERS EQUITY

RESERVE EQUITY

RESERVE GENERAL
RESERVE PAINTING
RESERVE PRIVACY GATES
RESERVE STREETS
RESERVE-FUNDED INTEREST

(5,328.75)

44,752.47

17,519.95

18,897.42

4,644.29

TOTAL RESERVE EQUITY

80,485.38

OPERATING SURPLUS/(DEFICIT)
RETAINED EARNINGS
CURRENT SURPLUS/(DEFICIT)

34,328.75

(25,329.48)

TOTAL SURPLUS/(DEFICIT)

8,999.27

TOTAL LIABILITIES & EQUITY

89,484.65

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

Nonprofit corporations **must attach** a financial statement (e.g. income/expense statement, balance sheet including assets, liabilities). All other forms of corporations are exempt from filing a financial disclosure.

9A. MEMBERS (A.R.S. § 10-11622.A.6) Only Nonprofit Corporations must answer this question.

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/or 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 business 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, RECEIVERSHIP or CHARTER REVOCATION (A.R.S. §§10-202.D.2, 10-3202.02, 10-1623 & 10-11623)

- A) Has the corporation filed a petition for bankruptcy or appointed a receiver? One box **must** be marked: **YES** ☐ **NO** ☒
- B) Has ANY person serving either by election or appointment as an officer, director, trustee, incorporator and/or 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 business corporations only]

One box **must** be marked:

YES ☐

NO ☒

If "YES" to A and/or B, 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. (e.g. officer, director, trustee or major stockholder)
2. The state in which each corporation was a) incorporated b) transacted business.
3. The dates of corporate operation.
4. If any involved person (listed in #1) has been involved in any other bankruptcy proceeding within the past year, the name and address of each corporation.
5. Date, Case number and Court where the bankruptcy was filed or receiver appointed.
6. Name and address of court appointed receiver.

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 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 <u>Wlee Mooney</u>	Date <u>7/17/02</u>	Name _____	Date _____
Signature <u>Wlee Mooney</u>		Signature _____	
Title <u>President</u>		Title _____	

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