

Form **1023**
(Rev. March 1979)
Department of the Treasury
Internal Revenue Service

Application for Recognition of Exemption

Under Section 501(c)(3) of the Internal Revenue Code

To be filed in the key district for the area in which the organization has its principal office or place of business.

This application, when properly completed, shall constitute the notice required under section 503(a) of the Internal Revenue Code in order that an applicant may be treated as described in section 501(c)(3) of the Code, and the notice under section 508(b) appropriate to an organization claiming not to be a private foundation within the meaning of section 509(a). (Read the instructions for each part carefully before making any entries.) The organization must have an organizing instrument (See Part II) before this application may be filed.

Part I—Identification

1 Full name of organization Southwest Missouri State University Foundation		2 Employer identification number (If none, attach Form SS-4) Attached	
3(a) Address (number and street) 901 South National		Check here if applying under section: <input type="checkbox"/> 501(e) <input type="checkbox"/> 501(f)	
3(b) City or town, State and ZIP code Springfield, Missouri 65807		4 Name and phone number of person to be contacted Maurice E. Edwards (417) 836-5000	
5 Month the annual accounting period ends June	6 Date incorporated or formed January 13, 1961	7 Activity Codes 040 602 927	
8(a) Has the organization filed Federal income tax returns? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If "Yes," state the form number(s), year(s) filed, and Internal Revenue Office where filed ➤			
8(b) Has the organization filed exempt organization information returns? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If "Yes," state the form number(s), year(s) filed, and Internal Revenue Office where filed ➤			

Part II.—Type of Entity and Organizational Documents (See instructions)

Check the applicable entity box below and attach a conformed copy of the organization's organizing and operational documents as indicated for each entity.

☒ Corporation—Articles of incorporation, bylaws. ☐ Trust—Trust indenture. ☐ Other—Constitution or articles, bylaws.

Part III.—Activities and Operational Information

1 What are or will be the organization's sources of financial support? List in order of magnitude. If a portion of the receipts is or will be derived from the earnings of patents, copyrights, or other assets (excluding stock, bonds, etc.), identify such item as a separate source of receipts. Attach representative copies of solicitations for financial support.

- Contributions of alumni and friends
- Grants and gifts from corporations and foundations
- Earnings from invested assets

2 Describe the organization's fund-raising program, both actual and planned, and explain to what extent it has been put into effect. (Include details of fund-raising activities such as selective mailings, formation of fund-raising committees, use of professional fund raisers, etc.)

The fund-raising program is only in the planning stages. It is anticipated that fund-raising committees will be formed to solicit contributions. The Executive Director, in addition to other duties, will act as a professional fund-raiser.

I declare under the penalties of perjury that I am authorized to sign this application on behalf of the above organization and I have examined this application, including the accompanying statements, and to the best of my knowledge it is true, correct and complete.

Thomas E. Allen
(Signature)

James
(Title or authority of signer)

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(Date)

Part III.—Activities and Operational Information (Continued)

- 3 Give a narrative description of the activities presently carried on by the organization, and those that will be carried on. If the organization is not fully operational, explain what stage of development its activities have reached, what further steps remain for the organization to become fully operational, and when such further steps will take place. The narrative should specifically identify the services performed or to be performed by the organization. (Do not state the purposes of the organization in general terms or repeat the language of the organizational documents.) If the organization is a school, hospital, or medical research organization, include sufficient information in your description to clearly show that the organization meets the definition of that particular activity that is contained in the instructions for Part VII-A.

No activities are presently being conducted by the organization. The organization is available to receive any contributions, whether in the form of bequests or otherwise, that are in line with the Foundation's purposes of assisting and supporting Southwest Missouri State University.

The first Board of Directors have been chosen so that the initial organizational activities can be completed. It is anticipated that fund raising committees will be formed, and the selection of an Executive Director will be chosen in the immediate future.

4 The membership of the organization's governing body is:

(a) Names, addresses, and duties of officers, directors, trustees, etc.	(b) Specialized knowledge, training, expertise, or particular qualifications
See Article IV of Attached Articles of Incorporation	NONE

Part III.—Activities and Operational Information (Continued)

- 4 (c) Do any of the above persons serve as members of the governing body by reason of being public officials or being appointed by public officials? ☒ Yes ☐ No
If "Yes," please name such persons and explain the basis of their selection or appointment.

President of Southwest Missouri State University serves as ex-officio member of Board of Directors of the Foundation

- (d) Are any members of the organization's governing body "disqualified persons" with respect to the organization (other than by reason of being a member of the governing body) or do any of the members have either a business or family relationship with "disqualified persons"? (See specific instructions 4(d).) ☐ Yes ☒ No
If "Yes," please explain.

- (e) Have any members of the organization's governing body assigned income or assets to the organization? ☐ Yes ☒ No
If "Yes," attach a copy of assignment(s) and a list of items assigned.

- (f) Is it anticipated that any current or future member of the organization's governing body will assign income or assets to the organization? ☒ Yes ☐ No
If "Yes," explain fully on an attached sheet.

See Attached Sheet

- 5 Does the organization control or is it controlled by any other organization? ☐ Yes ☒ No
Is the organization the outgrowth of another organization, or does it have a special relationship to another organization by reason of interlocking directorates or other factors? ☒ Yes ☐ No
If either of these questions is answered "Yes," please explain.

President and a member of the Board of Regents of Southwest Missouri State University serve as ex-officio members of the Board of Directors of the Foundation. The President also nominates persons to be selected for membership on the Board of Directors of the Foundation.

- 6 Is the organization financially accountable to any other organization? ☐ Yes ☒ No
If "Yes," please explain and identify the other organization. Include details concerning accountability or attach copies of reports if any have been rendered.

- 7 (a) What assets does the organization have that are used in the performance of its exempt function? (Do not include property producing investment income.) If any assets are not fully operational, explain what stage of completion has been reached, what additional steps remain to be completed, and when such final steps will be taken.

NONE

- (b) To what extent have you used, or do you plan to use contributions as an endowment fund, i.e., hold contributions to produce income for the support of your exempt activities? It is the intent of the Foundation to use contributions as an endowment fund.

- 8 (a) What benefits, services, or products will the organization provide with respect to its exempt function?

Funds will be made available by the Foundation through various methods, including scholarships, to support and assist Southwest Missouri State University.

Part III.—Activities and Operational Information (Continued)

- 8 (b) Have the recipients been required or will they be required to pay for the organization's benefits, services, or products? ☐ Yes ☒ No
If "Yes," please explain and show how the charges are determined.

- 9 Does or will the organization limit its benefits, services or products to specific classes of individuals? ☒ Yes ☐ No
If "Yes," please explain how the recipients or beneficiaries are or will be selected.

The organization's benefits will be limited to the faculty, staff, students and persons served by Southwest Missouri State University in a manner designed to promote and assist SMSU.

- 10 Is the organization a membership organization? ☐ Yes ☒ No
If "Yes," complete the following:

(a) Please describe the organization's membership requirements and attach a schedule of membership fees and dues.

(b) Describe your present and proposed efforts to attract members, and attach a copy of any descriptive literature or promotional material used for this purpose.

- (c) Are benefits, services, or products limited to members? ☐ Yes ☐ No
If "No," please explain.

- 11 Does or will the organization engage in activities tending to influence legislation or intervene in any way in political campaigns? ☐ Yes ☒ No
If "Yes," please explain. (Note: You may wish to file Form 5768, Election/Revocation of Election by an Eligible Section 501(c)(3) Organization to Make Expenditures to Influence Legislation.)

- 12 Does the organization have a pension plan for employees? ☐ Yes ☒ No

- 13 (a) Are you filing Form 1023 within 15 months from the end of the first month in which you were created or formed as required by section 508(a) and the Regulations thereunder? (See general instruction B.) ☒ Yes ☐ No

(b) If 13(a) is "No," and you are claiming that section 508(a) does not apply to you, attach an explanation of your basis for this claim.

(c) If 13(a) is "No," and section 508(a) does apply to you, your exemption can be recognized only from the date this application is filed with your key District Director. Therefore, is it your intention that this application be considered as a request for recognition of exemption from the date the application is received and not retroactively to the date you were formed? ☐ Yes ☐ No

Part IV.—Statement as to Private Foundation Status

- 1 Is the organization a private foundation? ☐ Yes ☒ No

- 2 If question 1 is answered "No," indicate the type of ruling being requested as to the organization's status under section 509 by checking the applicable box(es) below:

(a) Definitive ruling under section 509(a)(1), (2), (3), or (4) check here ☐ and complete Part VII.

(b) Advance ruling under section 509(a)(2) check here ☒ 170(b)(1)(A)(vi) or ☐ 509(a)(2)—See instructions.

(c) Extended advance ruling under section 509(a)(2) check here ☐ 170(b)(1)(A)(vi) or ☐ 509(a)(2)—See instructions.

- 3 If question 1 is answered "Yes" and the organization claims to be a private operating foundation, check here ☐ and complete Part VIII.

(Note: If an extended advance ruling is desired you must check the appropriate boxes for both 2(b) and 2(c).)

Statement of Revenue and Expenses, for period ending 19.....

Revenue	1	Gross contributions, gifts, grants and similar amounts received	
	2	Gross dues and assessments of members	
	3	Gross amounts derived from activities related to organization's exempt purpose	
		Minus cost of sales	
	4	Gross amounts from unrelated business activities	
		Minus cost of sales	
	5	Gross amount received from sale of assets, excluding inventory items (attach schedule)	
	Minus cost or other basis and sales expenses of assets sold		
6	Interest, dividends, rents and royalties		
7	Total revenue		
Expenses	8	Fund raising expenses	
	9	Contributions, gifts, grants, and similar amounts paid (attach schedule)	
	10	Disbursements to or for benefit of members (attach schedule)	
	11	Compensation of officers, directors, and trustees (attach schedule)	
	12	Other salaries and wages	
	13	Interest	
	14	Rent	
	15	Depreciation and depletion	
	16	Other (attach schedule)	
	17	Total expenses	
	18	Excess of revenue over expenses (line 7 minus line 17)	

Balance Sheets		Enter dates ▶	Beginning date	Ending date
Assets				
19	Cash (a) Interest bearing accounts			
	(b) Other			
20	Accounts receivable, net			
21	Inventories			
22	Bonds and notes (attach schedule)			
23	Corporate stocks (attach schedule)			
24	Mortgage loans (attach schedule)			
25	Other investments (attach schedule)			
26	Depreciable and depletable assets (attach schedule)			
27	Land			
28	Other assets (attach schedule)			
29	Total assets			
Liabilities				
30	Accounts payable			
31	Contributions, gifts, grants, etc., payable			
32	Mortgages and notes payable (attach schedule)			
33	Other liabilities (attach schedules)			
34	Total liabilities			
Fund Balance or Net Worth				
35	Total fund balance or net worth			
36	Total liabilities and fund balance or net worth (line 34 plus line 35)			

Has there been any substantial change in any aspect of your financial activities since the period ending date shown above? ☐ Yes ☐ No
 If "Yes," attach a detailed explanation.

Part VI.—Required Schedules for Special Activities

	If "Yes," check here:	And, complete schedule
1 Is the organization, or any part of it, a school?		A
2 Does the organization provide or administer any scholarship benefits, student aid, etc.?	X	B
3 Has the organization taken over, or will it take over, the facilities of a "for profit" institution?		C
4 Is the organization, or any part of it, a hospital or a medical research organization?		D
5 Is the organization, or any part of it, a home for the aged?		E
6 Is the organization, or any part of it, a litigating organization (public interest law firm or similar organization)?		F
7 Is the organization, or any part of it, formed to promote amateur sports competition?		G

Part VII.—Non-Private Foundation Status (Definitive ruling only)**A.—Basis for Non-Private Foundation Status**

The organization is not a private foundation because it qualifies as:

✓	Kind of organization	Within the meaning of	Complete
1	a church	Sections 509(a)(1) and 170(b)(1)(A)(i)	
2	a school	Sections 509(a)(1) and 170(b)(1)(A)(ii)	
3	a hospital	Sections 509(a)(1) and 170(b)(1)(A)(iii)	
4	a medical research organization operated in conjunction with a hospital	Sections 509(a)(1) and 170(b)(1)(A)(iii)	
5	being organized and operated exclusively for testing for public safety	Section 509(a)(4)	
6 XX	being operated for the benefit of a college or university which is owned or operated by a governmental unit	Sections 509(a)(1) and 170(b)(1)(A)(iv)	Part VII.—B
7	normally receiving a substantial part of its support from a governmental unit or from the general public	Sections 509(a)(1) and 170(b)(1)(A)(vi)	Part VII.—B
8	normally receiving not more than one-third of its support from gross investment income and more than one-third of its support from contributions, membership fees, and gross receipts from activities related to its exempt functions (subject to certain exceptions)	Section 509(a)(2)	Part VII.—B
9	being operated solely for the benefit of or in connection with one or more of the organizations described in 1 through 4, or 6, 7, and 8 above	Section 509(a)(3)	Part VII.—C

B.—Analysis of Financial Support

See Attached Sheet	(a) Most recent taxable year	(Years next preceding most recent taxable year)			(e) Total
	19.....	(b) 19.....	(c) 19.....	(d) 19.....	
1 Gifts, grants, and contributions received					
2 Membership fees received					
3 Gross receipts from admissions, sales of merchandise or services, or furnishing of facilities in any activity which is not an unrelated business within the meaning of section 513					
4 Gross income from passive sources (see instructions for definition)					
5 Net income from organization's unrelated business activities not included on line 4					
6 Tax revenues levied for and either paid to or expended on behalf of the organization					
7 Value of services or facilities furnished by a governmental unit to the organization without charge (not including the value of services or facilities generally furnished the public without charge)					
8 Other income (not including gain or loss from sale of capital assets)—attach schedule					
9 Total of lines 1 through 8					
10 Line 9 minus line 3					
11 Enter 2% of line 10, column (e) only					

12 If the organization has received any unusual grants during any of the above taxable years, attach a list for each year showing the name of the contributor, the date and amount of grant, and a brief description of the nature of such grant. Do not include such grants in line 1 above. (See instructions)

Part VII.—Non-Private Foundation Status (Definitive ruling only) (Continued)**B.—Analysis of Financial Support (Continued)**

13 If the organization's non private foundation status is based upon:

(a) Sections 509(a)(1) and 170(b)(1)(A)(iv) or (vi).—Attach a list showing the name and amount contributed by each person (other than a governmental unit or "publicly supported" organization) whose total gifts for the entire period exceed the amount shown on line 11.

(b) Section 509(a)(2).—With respect to the amounts included on lines 1, 2, and 3, attach a list for each of the above years showing the name of and amount received from each person who is a "disqualified person."

With respect to the amount included in line 3, attach a list for each of the above years showing the name of and amount received from each payor (other than a "disqualified person") whose payments to the organization exceeded \$5,000. For this purpose, "payor" includes but is not limited to any organization described in sections 170(b)(1)(A)(i) through (vi) and any government agency or bureau.

C.—Supplemental Information Concerning Organizations Claiming Non-Private Foundation Status Under Section 509(a)(3)

1 Organizations supported by applicant organization:

Name and address of supported organization

Has the supported organization received a ruling or determination letter that it is not a private foundation by reason of section 509(a)(1) or (2)?

2 To what extent are the members of your governing board elected or appointed by the supported organization(s)?

3 What is the extent of common supervision or control that you and the supported organization(s) share?

4 To what extent do(es) the supported organization(s) have a significant voice in your investment policies, the making and timing of grants, and in otherwise directing the use of your income or assets?

5 As a result of the supported organization(s) being mentioned in your governing instrument, are you a trust which the supported organization(s) can enforce under State law and with respect to which the supported organization(s) can compel an accounting? ☐ Yes ☐ No
If "Yes," please explain.

6 What portion of your income do you pay to each supported organization and how significant is such support to each?

7 To what extent do you conduct activities which would otherwise be carried out by the supported organization(s)? For any such activities, please explain your reasoning as to why such activities would otherwise be carried on by the supported organization(s).

8 Is the applicant organization controlled directly or indirectly by one or more "disqualified persons" (other than one who is a disqualified person solely because he or she is a manager) or by an organization which is not described in section 509(a)(1) or (2)? ☐ Yes ☐ No
If "Yes," please explain.

Part VIII.—Basis for Status as a Private Operating Foundation

If the organization—

- (a) bases its claim to private operating foundation status upon normal and regular operations over a period of years; or
 (b) is newly created, set up as a private operating foundation, and has at least one year's experience;

complete the schedule below answering the questions under the income test and one of the three supplemental tests (assets, endowment, or support). If the organization does not have at least one year's experience, complete line 21. If the organization's private operating foundation status depends upon its normal and regular operations as described in (a) above, submit, as an additional attachment, data in tabular form corresponding to the schedule below for the three years next preceding the most recent taxable year.

Income Test		Most recent taxable year
1	Adjusted net income, as defined in section 4942(f)	
2	Qualifying distributions:	
	(a) Amounts (including administrative expenses) paid directly for the active conduct of the activities for which organized and operated under section 501(c)(3) (attach schedule)	
	(b) Amounts paid to acquire assets to be used (or held for use) directly in carrying out purposes described in sections 170(c)(1) or 170(c)(2)(B) (attach schedule)	
	(c) Amounts set aside for specific projects which are for purposes described in section 170(c)(1) or 170(c)(2)(B) (attach schedule)	
	(d) Total qualifying distributions (add lines 2(a), (b), and (c))	
3	Percentage of qualifying distributions to adjusted net income (divide line 1 into line 2(d)—percentage must be at least 85 percent)	%
Assets Test		
4	Value of organization's assets used in activities that directly carry out the exempt purposes. Do not include assets held merely for investment or production of income (attach schedule)	
5	Value of any corporate stock of a corporation that is controlled by applicant organization and carries out its exempt purposes (attach statement describing such corporation)	
6	Value of all qualifying assets (add lines 4 and 5)	
7	Value of applicant organization's total assets	
8	Percentage of qualifying assets to total assets (divide line 7 into line 6—percentage must exceed 65 percent)	%
Endowment Test		
9	Value of assets not used (or held for use) directly in carrying out exempt purposes:	
	(a) Monthly average of investment securities at fair market value	
	(b) Monthly average of cash balances	
	(c) Fair market value of all other investment property (attach schedule)	
	(d) Total (add lines 9(a), (b), and (c))	
10	Subtract acquisition indebtedness with respect to line 9 items (attach schedule)	
11	Balance (line 9 minus line 10)	
12	For years beginning on or after January 1, 1976, multiply line 11 by a factor of 3 1/3% (2/3 of the applicable percentage for the minimum investment return computation under section 4942(e)(3)). The factors to be used for years beginning prior to January 1, 1976, are as follows: for 1974 and 1975 use 4%, for 1973 use 3 1/2%. Line 2(d) above must equal or exceed the result of this computation	
Support Test		
13	Applicant organization's support as defined in section 509(d)	
14	Minus—amount of gross investment income as defined in section 509(e)	
15	Support for purposes of section 4942(j)(3)(B)(iii)	
16	Support received from the general public, five or more exempt organizations, or a combination thereof (attach schedule)	
17	For persons (other than exempt organizations) contributing more than 1 percent of line 15, enter the total amounts in excess of 1 percent of line 15	
18	Subtract line 17 from line 16	
19	Percentage of total support (divide line 15 into line 18—must be at least 85 percent)	%
20	Does line 16 include support from an exempt organization which is in excess of 25 percent of the amount on line 15?	<input type="checkbox"/> Yes <input type="checkbox"/> No
21	Newly created organizations with less than one year's experience: Attach a statement explaining how the organization is planning to satisfy the requirements of section 4942(j)(3) with respect to the income test and one of the supplemental tests during its first year's operation. Include a description of plans and arrangements, press clippings, public announcements, solicitations for funds, etc.	

SCHEDULE A.—Schools, Colleges, and Universities

- 1 Is the organization an instrumentality of a State or political subdivision of a State? ☐ Yes ☐ No
If "Yes," document this in Part III and do not complete items 2 through 8 of this schedule. (See instructions for Schedule A.)
- 2 Does or will the organization (or any department or division within it) discriminate in any way on the basis of race with respect to:
- (a) Admissions? ☐ Yes ☐ No
- (b) Use of facilities or exercise of student privileges? ☐ Yes ☐ No
- (c) Faculty or administrative staff? ☐ Yes ☐ No
- (d) Scholarship or loan program? ☐ Yes ☐ No
- If "Yes," for any of the above, please explain.

- 3 Does the organization include a statement in its charter, bylaws, or other governing instrument, or in a resolution of its governing body, that it has a racially nondiscriminatory policy as to students? ☐ Yes ☐ No
Attach whatever corporate resolutions or other official statements the organization has made on this subject.

- 4 (a) Has the organization made its racially nondiscriminatory policies known in a manner that brings such policies to the attention of all segments of the general community which it serves? ☐ Yes ☐ No
If "Yes," please describe how these policies have been publicized and state the frequency with which relevant notices or announcements have been made. If no such newspaper or media notices have been used, please explain.

(b) If applicable, attach clippings of any relevant newspaper notices or advertising, or copies of tapes or scripts used for media broadcasts. Also attach copies of brochures and catalogues dealing with student admissions, programs, and scholarships, as well as representative copies of all written advertising used as a means of informing prospective students of your programs.

- 5 Attach a numerical schedule showing the racial composition, as of the current academic year, and projected as far as may be feasible for the subsequent academic year, of: (a) Student body, (b) Faculty and administrative staff.
- 6 Attach a list showing the amount of scholarship and loan funds, if any, awarded to students enrolled and racial composition of the students who have received such awards.
- 7 (a) Attach a list of the organization's incorporators, founders, board members, and donors of land or buildings, whether individuals or organizations.
(b) State whether any of the foregoing organizations have as an objective the maintenance of segregated public or private school education, and, if so, whether any of the foregoing individuals are officers or active members of such organizations.
- 8 Please indicate the public school district and county in which the organization is located.

SCHEDULE B.—Organizations Providing Scholarship Benefits, Student Aid, etc. to Individuals

- 1 (a) Please describe the nature of the scholarship benefit, student aid, etc., including the terms and conditions governing its use, whether a gift or a loan, and the amount thereof. If the organization has established or will establish several categories of scholarship benefits, identify each kind of such benefit and explain how the organization determines the recipients for each category. Attach a sample copy of any application the organization requires or will require of individuals to be considered for scholarship grants, loans or similar benefits. (Private foundations which make grants for travel, study or other similar purposes are required to obtain advance approval of scholarship procedures. See sections 53.4945-4 (c) and (d) of the Private Foundation Regulations.)

Funds will be provided to Southwest Missouri State University for use as scholarships, aid and loans to students. The recipients will be selected by Southwest Missouri State University through its application and selection procedures.

- (b) If you desire us to consider this application as a request for approval of grant procedures in the event we determine that you are a private foundation, please check here ☐

SCHEDULE B.—Organizations Providing Scholarship Benefits, Student Aid, etc. to Individuals (Continued)

- 2 What limitations or restrictions are there on the class of individuals who are eligible recipients? Specifically explain whether there are, or will be, any restrictions or limitations in the selection procedures based upon race and whether there are, or will be, restrictions or limitations in selection procedures based upon the employment status of the prospective recipient or any relative of the prospective recipient. Also indicate the approximate number of eligible individuals. There will be no

restrictions or limitations in the selection procedures based upon race, or upon the employment status of the prospective recipient or any relative of the prospective recipient. Recipients will be limited to faculty, staff or students of Southwest Missouri State University. Additional qualifications may include specific majors, residency, academic achievement, financial need, specific class (Freshmen, Sophomore, etc.), leadership ability and participation in certain activities

- 3 Indicate the number of grants you anticipate making annually. As many as funds will allow.

- 4 List the names, addresses, duties and relevant background of the members of your selection committee. If you base your selections in any way on the employment status of the applicant or any relative of the applicant, indicate whether there is or has been any direct or indirect relationship between the members of the selection committee and the employer. Also indicate whether relatives of the members of the selection committee are possible recipients or have been recipients.

The Foundation will have no selection committee. Recipients for benefits will be selected through the application and selection procedures of Southwest Missouri State University. It is not anticipated that there will be any direct or indirect relationship between the Selection Committee and any employer, or relatives of members of the Selection Committee will be potential recipients.

- 5 Describe any procedures you have for supervising grants, such as obtaining reports or transcripts, which you award and any procedures you have for taking action in the event you discover a failure to live up to the terms of the grant.

The Foundation will rely on Southwest Missouri State University's providing supervision of recipients of benefits provided by the Foundation.

SCHEDULE C.—Successors to "For Profit" Institutions

- 1 What was the name of the predecessor organization and the nature of its activities?

- 2 Who were the owners or principal stockholders of the predecessor organization? (If more space is needed, attach schedule.)

Name and address	Share or interest

- 3 Describe the business or family relationship between the owners or principal stockholders and principal employees of the predecessor organization and the officers, directors, and principal employees of the applicant organization.

- 4 (a) Attach a copy of the agreement of sale or other contract that sets forth the terms and conditions of sale of the predecessor organization or of its assets to the applicant organization.
(b) Attach an appraisal by an independent qualified expert of the facilities or property interest sold showing fair market value at time of sale.

SCHEDULE C.—Successors to "For Profit" Institutions (Continued)

- 5 Has any property or equipment formerly used by the predecessor organization been rented to the applicant organization or will any such property be rented? ☐ Yes ☐ No
If "Yes," please explain and attach copies of all leases and contracts.

- 6 Is the organization leasing or will it lease or otherwise make available any space or equipment to the owners, principal stockholders, or principal employees of the predecessor organization? ☐ Yes ☐ No
If "Yes," please explain and attach a list of such tenants and a copy of the lease for each such tenant.

- 7 Were any new operating policies initiated as a result of the transfer of assets from a profit-making organization to a nonprofit organization? ☐ Yes ☐ No
If "Yes," please explain.

SCHEDULE D.—Hospitals and Medical Research Organizations

- ☐ Check here if you are claiming to be a hospital and complete the questions in Part I of this Schedule.
☐ Check here if you are claiming to be a medical research organization operated in connection with a hospital and complete the questions in Part II of this Schedule.

Part I.—Hospitals

- 1 (a) How many doctors are on the hospital's courtesy staff? ☐ Yes ☐ No
(b) Do such doctors include all the doctors in the community? ☐ Yes ☐ No
If "No," please give the reasons why and explain how the courtesy staff is selected.

2 Composition of board of directors or trustees. (If more space is needed, attach schedule.)

Name and address	Occupation

- 3 (a) Does the hospital maintain a full-time emergency room? ☐ Yes ☐ No
(b) What is the hospital's policy as to administering emergency services to persons without apparent means to pay?
(c) Does the hospital have any arrangements with police, fire, and voluntary ambulance services as to the delivery or admission of emergency cases? ☐ Yes ☐ No
Please explain.

SCHEDULE D.—Hospitals and Medical Research Organizations (Continued)**Part I.—Hospitals (Continued)**

- 4 (a) Does or will the hospital require a deposit from persons covered by Medicare or Medicaid in its admission practices? ☐ Yes ☐ No
If "Yes," please explain.

- (b) Does the same deposit requirement apply to all other patients? ☐ Yes ☐ No
If "No," please explain.

- 5 Does or will the hospital provide for a portion of its services and facilities to be used for charity patients? . ☐ Yes ☐ No
Please explain (include data as to the hospital's past experience in admitting charity patients and arrangements it may have with municipal or governmental agencies for absorbing the cost of such care).

- 6 Does or will the hospital carry on a formal program of medical training and research? ☐ Yes ☐ No
If "Yes," please describe.

- 7 Does the hospital provide office space to physicians carrying on a medical practice? ☐ Yes ☐ No
If "Yes," attach a list setting forth the name of each physician, the amount of space provided, the annual rent (if any), and the expiration date of the current lease.

Part II.—Medical Research Organizations

- 1 Name the hospital(s) with which you have a relationship and describe the relationship(s).
- 2 Describe your present and proposed (indicate which) medical research activities showing the nature of such activities and the amount of money which has been or will be spent in carrying them out. (Direct conduct of medical research does not include grants to other organizations.)
- 3 Attach a statement of assets showing the fair market value of your assets and the portion of such assets directly devoted to medical research.

SCHEDULE E.—Homes for Aged

1 What are the requirements for admission to residency? Explain fully and attach promotional literature and application forms.

2 Does or will the home charge an entrance or founder's fee? ☐ Yes ☐ No
If "Yes," please explain.

3 What periodic fees or maintenance charges are or will be required of its residents?

4 (a) What established policy does the home have concerning residents who become unable to pay their regular charges?

(b) What arrangements does the home have or will it make with local and Federal welfare units, sponsoring organizations, or others to absorb all or part of the cost of maintaining such persons?

5 What arrangements does or will the home have to provide for the health needs of its residents?

6 In what way are the home's residential facilities designed to meet some combination of the physical, emotional, recreational, social, religious, and similar needs of the aged?

7 Has the home established or will it establish any reserves for future expenditures? ☐ Yes ☐ No
If "Yes," please state the source of such reserves and explain how they will be used.

8 Attach a sample copy of the contract or agreement the organization makes with or requires of its residents.

SCHEDULE F.—Litigating Organizations (Public Interest Law Firms and Similar Organizations)

- 1 Will the organization conform to the guidelines for organizations engaged in litigation activities issued by the Internal Revenue Service in Rev. Proc. 71-39, C.B. 1971-2 575, and Rev. Proc. 75-13, 1975-1 C.B. 662? ☐ Yes ☐ No
If "No," please explain.

- 2 What is the organization's area of public interest or concern?

- 3 Is the organization set up primarily to try the case of a particular person or prosecute a particular cause of action? ☐ Yes ☐ No
If "Yes," please explain.

- 4 What are the organization's criteria for selection of cases?

- 5 In what cases has the organization started legal proceedings and in what other cases is it preparing to start proceedings? Please describe the legal issues with respect to each case and explain how they relate to the organization's area of concern.

- 6 (a) Composition of the organization's board of directors or trustees:

Name and address	Business or Occupation

- (b) Will any of the attorneys hired by the organization be a trustee or member of the board of directors of the organization or be associated in the practice of law with any such trustee or member? ☐ Yes ☐ No
If "Yes," please explain.

- 7 Does or will the organization share office space with a private law firm? ☐ Yes ☐ No
If "Yes," please explain.

- 8 Does or will the organization receive fees for its professional services? ☐ Yes ☐ No
If "Yes," please explain.

SCHEDULE G.—National or International Amateur Sports Competition

- 1 Does your organization directly or indirectly provide any facilities or equipment for the use of amateur athletes engaged in national or international sports competition? ☐ Yes ☐ No
If "Yes," please explain.

- 2 How do you foster national or international sports competition?

- 3 Do you provide financial assistance to amateur athletes? ☐ Yes ☐ No

Part III

4 (f)

It is anticipated that members of the Board of Directors of the Foundation will be persons inclined to contribute or assign income and assets to the organization. However, it is not anticipated that the Directors will act in any manner prohibited by Article V, Section 2 of the Articles of Incorporation.

Part VII

B.

Southwest Missouri State Foundation is currently inactive and is only in the process of organizing its Board of Directors and supporters. Therefore, the Foundation has no income and has received no grants, gifts or contributions. However, plans are being made to solicit funds from as many sources as is possible and feasible.

FILED AND CERTIFICATE OF
INCORPORATION ISSUED

JAN 13 1981

ARTICLES OF INCORPORATION

OF

SOUTHWEST MISSOURI STATE UNIVERSITY FOUNDATION, INC.

James C. Edwards, Jr.
Corporation Dept. SECRETARY OF STATE

We, the undersigned, being natural persons of the age of eighteen years or more and citizens of the United States, for the purpose of forming a corporation under the General Not For Profit Act of the State of Missouri, and all amendments thereto, do hereby adopt the following Articles of Incorporation:

ARTICLE I

Name

The name of the corporation shall be Southwest Missouri State University Foundation.

ARTICLE II

Duration

The period of duration of the corporation is perpetual.

ARTICLE III

Address

The address of its initial registered office in the State of Missouri is 901 South National, in the City of Springfield, Missouri. The Registered Agent at such address is Maurice E. Edwards.

The name and address of each incorporator is:

<u>Name</u>	<u>Address</u>
1. Duane Meyer	1515 S. Fairway, Springfield, MO 65804
2. Maurice E. Edwards	716 McCann, Springfield, MO 65804
3. Wilma Tolbert	818 S. Kentwood, Springfield, MO 65804

ARTICLE IV

Board

The Board of Directors shall be as established in the By-Laws, with the first Board of Directors being six in number, their names and addresses being as follows:

<u>Name</u>	<u>Address</u>
1. Dr. T. M. MacDonnell	Route 2, Box 65, Marshfield, MO 65706
2. Mr. Ray Forsythe	2934 E. Crestview, Springfield, MO 65804
3. Mr. Max Lilley	Woodruff Building, Springfield, MO 65806
4. Dr. Harry Kelly	1614 CC Highway, West Plains, MO 65775
5. Mrs. June Hamra	2704 S. Marlin, Springfield, MO 65804
6. Mr. Ed Stracke	Route 4, Lebanon, MO 65536

The Corporation shall not have members but a Board of Directors which shall be selected from nominations submitted by the President of Southwest Missouri State University and elected by a majority vote of the Directors of the Corporation.

ARTICLE V

Purpose

Section 1 - Charitable Purposes: This corporation is organized exclusively for charitable purposes as described in 501 (c)(3) of the Internal Revenue Code of 1954 and specifically to support and assist Southwest Missouri State University, or its

successors, or any institution of higher learning with which it may merge, and to that end:

(A). Receive. Receive and hold in trust any property, real and personal, given, devised, bequeathed, given in trust or in any other way made available to said corporation for the use or benefit of Southwest Missouri State University, or of any department thereof, or for the carrying on at said institution of any line of work, teaching or investigation, which the donor, grantor or testator may designate.

(B). Invest or Disburse: To invest or disburse all moneys or properties, real or personal, received and generally to care for, manage, administer and control all property received, and to carry out the wishes and to see that funds and property received are applied to the uses, if any, specified by the donors; provided such wishes and uses of the donors are within the meaning of 501(c)(3) of the Internal Revenue Code of 1954.

(C). Use: To determine the uses, within the meaning of 501(c)(3) of the Internal Revenue Code of 1954, to which moneys or property, real or personal shall be put when acquired without designation or expression of desire as to a particular use by the donor, grantor or testator.

(D). Property: Acquire by gift, grant, assignment, transfer, devise or bequest, purchase, take, trade, exchange, lease or otherwise acquire, real or personal property of all kinds; and to improve, maintain and equip such property; and to finance, refinance and discount the costs of acquisition thereof, and to sell, trade, lease, assign, mortgage, grant a security interest in, donate, pledge, vote, use or employ shares in

corporations, barter or exchange the same, and otherwise deal therewith as may be necessary and proper for carrying on its legitimate affairs.

(E). Additional Personnel To employ and pay compensation to such employees and agents, including attorneys, and other of like professional skills and ability, as the Board of Directors shall deem necessary for the business of the Corporation.

(F). Contracts . To make contracts and incur liabilities which may be appropriate to enable it to accomplish any or all of its purposes; to borrow money for its corporate purposes and to issue its notes, bonds, and other obligations and to secure such obligations with its property, franchises and income.

(G). Additional Powers . To have and exercise all powers necessary or convenient to effect any or all of the purposes for which it is organized, including without limitation those powers granted in Sections 355.090 RSMO.

Section 2 - Limitation: Notwithstanding any other provision of these Articles, (1) the corporation shall not carry on any activities not permitted to be carried on (a) by a corporation exempt from Federal income taxes under 501(c)(3) of the Internal Revenue Code of 1954 or (b) by a corporation, contributions to which are deductible under 170(c)(2) of the Internal Revenue Code of 1954, or (2) operate as a foundation in any matter contrary to or not permitted by Article VIII of these Articles of Incorporation.

ARTICLE VI

Non-Profit

This corporation shall be a non-profit organization. No part of the property or net earnings of the corporation shall be distributed to, used for or inure to the benefit of any private member, director, individual(s), firm or corporation whomsoever.

ARTICLE VII

Political Involvement

No substantial part of the activities of the corporation shall be devoted to carrying on propaganda, or otherwise attempting to influence legislation; it shall not participate or intervene (including the publishing or distributing of statements) in any political campaign in behalf of any candidate for public office, nor shall it urge the public to contact members of a legislative body for the purpose of proposing, supporting or opposing legislation or advocate the adoption or rejection of legislation.

ARTICLE VIII

Investment - Distribution Limitations

The corporation shall operate as a non-private foundation as defined in Section 509(a) of the Internal Revenue Code. The Corporation shall nonetheless make every effort to structure its investment and distribution policies so as to conform with the requirements on private foundations as defined by Sections 4941, 4942, 4943 and 4944 of the Internal Revenue Code. The taxable investment income of the Corporation for each taxable year shall be distributed at such time and in such amount so as to not

subject the Corporation to the tax imposed upon undistributed investment income under Section 4942 of the Internal Revenue Code and Section 355.530, Subsection 2, RSMO. The Corporation shall be prohibited from: (i) engaging in any act of self dealing as defined in Section 4941(d) of the Internal Revenue Code; (ii) retaining any excess business holdings as defined in Section 4943(c) of the Internal Revenue Code; (iii) making any investment as defined in Section 4944 of the Internal Revenue Code which would jeopardize its charitable purposes and subject the foundation to the tax imposed by Section 4944 of the Internal Revenue Code; and (iv) making expenditures which would result in the amount expended being a taxable expenditure as defined in Section 4945(d) of the Internal Revenue Code.

ARTICLE IX

Continuation

If, at any time, the corporation shall cease to carry out the purposes as herein stated, all assets held by it, whether in trust or otherwise, shall, after payment of its liabilities, be paid over to an organization which itself has similar purposes and analogous activities, and which has established an appropriate tax-exempt status under Section 501 (c) (3) of the United States Internal Revenue Code as now enacted or hereafter amended.

IN WITNESS WHEREOF, these Articles of Incorporation have
been signed on this, the 23rd day of December, 1980.

Duane Meyer
Maurice E. Edwards
Wilma Tolbert

STATE OF MISSOURI)
COUNTY OF GREENE) SS

I, Nancy Lee Tripp a Notary Public, do hereby certify
that on the 23rd day of December, 1980, personally
appeared before me, Duane Meyer,
Maurice E. Edwards, and Wilma Tolbert, who being
first duly sworn declared that they are the incorporators of
Southwest Missouri State University Foundation, Inc., and that
they signed the foregoing document as incorporations of the
Corporation as their free act and deed and that the statements
contained therein are true and correct.

Nancy Lee Tripp
Notary Public

My Commission Expires: Nov 21, 1982

Nancy Lee Tripp Notary Public
Greene County State of Missouri
My Commission Expires Nov. 21 1982

FILED AND CERTIFICATE OF
INCORPORATION ISSUED

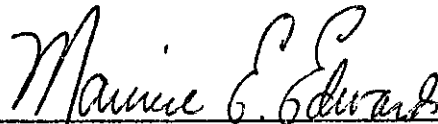
JAN 13 1981

James C. [Signature]
Corporation Dept, SECRETARY OF STATE

RESOLUTION

BE IT RESOLVED, by the Board of Directors of the Southwest Missouri State University Foundation that the By-Laws as presented to and reviewed at the first meeting by the Board of Directors are hereby adopted as the By-Laws of the Foundation.

I, Maurice E. Edwards, Secretary of the Board of Directors of the Southwest Missouri State University Foundation, hereby swear and affirm that the above resolution was unanimously approved by the Board of Directors of the Southwest Missouri State University Foundation in a meeting held on May 22, 1981, to adopt the By-Laws of the Southwest Missouri State University Foundation.

A handwritten signature in cursive script, reading "Maurice E. Edwards", is written over a horizontal line.

Maurice E. Edwards
Secretary, Board of Directors
Southwest Missouri State University Foundation

SOUTHWEST MISSOURI STATE UNIVERSITY FOUNDATION, INC.

*Changes in Corporation By-Laws

May 22, 1981

ARTICLE III

Section 1 - Meetings: An annual meeting of the Board of Directors shall be held on the ~~third~~ *fourth* Friday of June of each year, at such time and place as the President of the Board of Directors may determine.

ARTICLE IV

Section 1. Officers.

A. Executive Officers : Executive officers of the Corporation shall be the President, a Vice President, a Secretary, Treasurer, and Executive Director as the Board of Directors may from time to time elect. ~~All officers shall be selected from the Board of Directors, except for the Executive Director.~~ *The President and Vice President shall be selected from the Board of Directors. The Secretary or Treasurer may or may not be a member of the Board of Directors. The offices of Secretary and Treasurer may be held by the same person. The Executive Director of the Corporation shall not be elected from the Board of Directors.*

C. Voting Privileges of Secretary and Treasurer : *The Secretary and Treasurer shall have no voting privileges at meetings of the Board of Directors unless the Secretary and Treasurer be members of the Board of Directors. The Secretary and Treasurer shall be voting members of the Executive Committee.*

*Changes in italics.

For clear copy on both parts, please typewrite or print with ball point pen and press firmly

(See Instructions on pages 2 and 4)

Form SS-4 (Rev. 3-79)
Department of the Treasury
Internal Revenue Service**Application for Employer Identification Number**
(For use by employers and others as explained in the Instructions)

1 Name (True name as distinguished from trade name. If partnership, see instructions on page 4.) SOUTHWEST MISSOURI STATE UNIVERSITY FOUNDATION					3 Social security number, if sole proprietor 	
2 Trade name, if any (Name under which business is operated, if different from Item 1.) 					5 Ending month of accounting year June	
4 Address of principal place of business (Number and street) 901 South National					8 County of business location Greene	
6 City and State Springfield, Missouri			7 ZIP code 65807		10 Date you acquired or started this business (Mo., day, year) January 10, 1981	
9 Type of organization <input type="checkbox"/> Governmental (See instructions on page 4) <input checked="" type="checkbox"/> Nonprofit organization (See instructions on page 4) <input type="checkbox"/> Individual <input type="checkbox"/> Trust <input type="checkbox"/> Partnership <input type="checkbox"/> Other (specify) <input type="checkbox"/> Corporation					12 First date you paid or will pay wages for this business (Mo., day, year) Unknown	
11 Reason for applying <input checked="" type="checkbox"/> Started new business <input type="checkbox"/> Purchased going business <input type="checkbox"/> Other (specify)					14 Do you operate more than one place of business? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
13 Nature of business (See instructions on page 4) Public Foundation					16 If nature of business is manufacturing, state principal product and raw material used. 	
15 Peak number of employees expected in next 12 months (if none, enter "0") 0		Nonagricultural 0		Agricultural 0		Household 0
17 To whom do you sell most of your products or services? <input type="checkbox"/> Business establishments <input type="checkbox"/> General public <input type="checkbox"/> Other (specify) No sales will be conducted by					Foundation	
18 Have you ever applied for an identification number for this or any other business? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If "Yes," enter name and trade name (if any). Also enter the approximate date, city, and State where you first applied and previous number if known.						
Date 5-22-81		Signature and title <i>Thomas Allen Treanor</i>			Telephone number 	
Please leave blank ▶		Geo.	Ind.	Class	Size	Reas. for appl. Part I

Power of Attorney
(See the separate Instructions for Forms 2848 and 2848-D.)

Name, identifying number, and address including ZIP code of taxpayer(s)

SOUTHWEST MISSOURI STATE FOUNDATION, INC.
900 South National

Taxpayer does not have
identifying number

Springfield, Missouri 65804

hereby appoints (Name, address including ZIP code, and telephone number of appointee(s)) (See Treasury Department Circular No. 230 as amended (31 C.F.R. Part 10), Regulations Governing the Practice of Attorneys, Certified Public Accountants, and Enrolled Agents before the Internal Revenue Service, for persons recognized to practice before the Internal Revenue Service.)

Carl E. Yates (417)-883-7411
1436 South Glenstone
Post Office Box 3737 GS
Springfield, Missouri 65804

as attorney(s)-in-fact to represent the taxpayer(s) before any office of the Internal Revenue Service for the following Internal Revenue tax matters (specify the type(s) of tax and year(s) or period(s) (date of death if estate tax)):

All taxes matters relating to the taxpayer except as excluded
below.

The attorney(s)-in-fact (or either of them) are authorized, subject to revocation, to receive confidential information and to perform on behalf of the taxpayer(s) the following acts for the above tax matters:

(Strike through any of the following which are not granted.)

~~To receive, but not to endorse and collect, checks in payment of any refund of Internal Revenue taxes, penalties, or interest. (See "Refund checks" on page 2 of the separate instructions.)~~

To execute waivers (including offers of waivers) of restrictions on assessment or collection of deficiencies in tax and waivers of notice of disallowance of a claim for credit or refund.

To execute consents extending the statutory period for assessment or collection of taxes.

To execute closing agreements under section 7121 of the Internal Revenue Code.

To delegate authority or to substitute another representative.

Other acts (specify)

Send copies of notices and other written communications addressed to the taxpayer(s) in proceedings involving the above matters to (Name, address including ZIP code, and telephone number):

Carl E. Yates 1436 South
Glenstone Post Office Box 3737 GS Springfield, Missouri 65804
and Maurice E. Edwards 900 South National Springfield, Missouri
65804 (417) 836-5000

This power of attorney revokes all earlier powers of attorney and tax information authorizations on file with the same Internal Revenue Service office for the same matters and years or periods covered by this form, except the following:

N/A

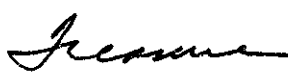
(Specify to whom granted, date, and address including ZIP code, or refer to attached copies of earlier powers and authorizations.)

Signature of or for taxpayer(s)

If signed by a corporate officer, partner, or fiduciary on behalf of the taxpayer, I certify that I have the authority to execute this power of attorney on behalf of the taxpayer.



(Signature)



(Title, if applicable)

5-28-81

(Date)

(Signature)

(Title, if applicable)

(Date)

(The applicable portion of the back page must also be completed.)

