



Gary K. King
Attorney General

Attorney General of New Mexico

Registry of Charitable Organizations
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Albert J. Lama
Chief Deputy Attorney General

NM Charitable Organization Registration Statement

Registration Tax Year

2011

Fiscal Year Period

1/1/2011 - 12/31/2011

Registration Status: **Registration Submitted**

Status Date: **November 16, 2012**

Registration Number: **20112711232136493**

Charity Name: Southwestern Association for Indian Arts, Inc.

FEIN: 85-0212504

Website Address: www.swaia.org

E-Mail Address: finance@swaia.org

Fiscal Year End Month: 12 *Day:* 31

Incorporated: Yes *State:* NM *Date:* 3/15/1948

Organization Type:

Establish Date:

Other Names for Charity: SWAIA

Primary Address: SWAIA
215 Washington Avenue
Santa Fe, NM 87501

Mailing Address: P.O. Box 969
Santa Fe, NM 87504

Other Addresses: No Other Addresses

Phone Numbers: 505-983-5220 (Telephone)

NTEE Classifications: A20 Arts & Culture

Charity Individuals:

Name: Foutz, Jed

505-983-5220

Position Title: Director

Annual

Compensation: \$0.00

Address: SWAIA

215 Washington Avenue

Santa Fe, NM 87501

Name: Fragua, Roger

505-983-5220

Position Title: Director

Annual

Compensation: \$0.00

Address: SWAIA

215 Washington Avenue

Santa Fe, NM 87501

Name: Kiger, Stephanie Pho-Poe

505-983-5220

Position Title: Director

Annual

Compensation: \$0.00

Address: SWAIA

215 Washington Avenue

Santa Fe, NM 87501

Name: Kimball, Jenny

505-983-5220

Position Title: Director

Annual

Compensation: \$0.00

Address: SWAIA

215 Washington Avenue

Santa Fe, NM 87501

Name: King, Charles

505-983-5220

Position Title: Director

Annual

Compensation: \$0.00

Address: SWAIA

215 Washington Avenue

Santa Fe, NM 87501

Name: Maw, Jenny Auger

505-983-5220

Position Title: Secretary

Annual

Compensation: \$0.00

Address: SWAIA

215 Washington Avenue

Santa Fe, NM 87501

Name: Pettus, Elizabeth

505-983-5220

Position Title: Director

Annual

Compensation: \$0.00

Address: SWAIA

215 Washington Avenue

Santa Fe, NM 87501

Charity Individuals:

Name: Pettus, Elizabeth

505-983-5220

Position Title: Treasurer

tfiner@aol.com

Annual

Compensation: \$0.00

Address: SWAIA

215 Washington Avenue

Santa Fe, NM 87501

Name: Poston, L. Stephine

505-983-5220

Position Title: Director

Annual

Compensation: \$0.00

Address: SWAIA

141 E. Palace

Santa Fe, NM 87504

Name: Pruitt, Pat

505-983-5220

Position Title: Director

Annual

Compensation: \$0.00

Address: SWAIA

141 E. Palace

Santa Fe, NM 87501

Name: Vallo, Brian

505-983-5220

Position Title: Director

Annual

Compensation: \$0.00

Address: SWAIA

215 Washington Avenue

Santa Fe, NM 87501

Name: Wall, Stephen

505-983-5220

Position Title: Chairman

stephenwall@dishmail.net

Annual

Compensation: \$0.00

Address: SWAIA

215 Washington Avenue

Santa Fe, NM 87501

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*Individuals who are authorized
to sign checks:*

Bernstein, Bruce

Executive Director

*Individuals who are authorized
to sign checks:*

Colt, Stockton

Vice Chair

Pettus, Elizabeth

Treasurer

*Individuals who are responsible
for fund raising:*

Bernstein, Bruce

Executive Director

*Individuals who are responsible
for the distribution of funds:*

Bernstein, Bruce

Executive Director

Pettus, Elizabeth

Treasurer

*Individuals who have custody of
financial records:*

Erpelding, Mary

Interim - Coordinator of Finance &
Administration

*Individuals who have custody of
funds:*

Erpelding, Mary

Interim - Coordinator of Finance &
Administration

Accountant/Auditor:

Person Name: Mike, Swain

Job Title: Managing Partner

Company: Swain, MacKinnon, & Grieco, LLC

Address: 2050 Botolph Rd, Ste A
Santa Fe, NM 87505

Phone Number: 505-988-3770

E-Mail Address: mikes@santafecpas.com

*Person Authorized to Receive
Service of Process:*

Person Name: Lopez, Sharon

Job Title: Office Manager/Finance Assistant

Company: SWAIA

Address: P.O. Box 969
Santa Fe, NM 87504

Phone Number: 505-983-5220

E-Mail Address: slopez@swaia.org

Professional Fundraisers:

Question and Answer:

*Q: Has organization or any of its officers, directors, employees or fund raisers
ever been enjoined or otherwise prohibited by a government agency/court
from soliciting?*

A: No

Q: *Has organization or any of its officers, directors, employees or fund raisers had its registration been denied or revoked?*

A: No

Q: *Has organization or any of its officers, directors, employees or fund raisers ever been the subject of a proceeding regarding any solicitation or registration?*

A: No None noted

Q: *Has organization or any of its officers, directors, employees or fund raisers ever entered into a voluntary agreement of compliance with any government agency or in a case before a court or administrative agency?*

A: No None noted

Q: *Has organization or any of its officers, directors, employees or fund raisers registered with or obtained exemption from any state or agency?*

A: No None noted

Q: *Has organization or any of its officers, directors, employees or fund raisers solicited funds in New Mexico?*

A: Yes General solicitation of contribution and sponsorship efforts from related businesses and supporting individuals.

Q: *Are any of the organization's officers, directors, trustees or employees related by blood, marriage, or adoption to: (a) any other officer, director, trustee or employee OR (b) any officer, agent, or employee of any fundraising professional firm under contract to the organization OR (c) any officer, agent, or employee of a supplier or vendor firm providing goods or services to the organization?*

A: No None noted

Q: *Does the organization or any of its officers, directors, employees, or anyone holding a financial interest in the organization have a financial interest in a business described in (b) or (c) in previous question OR serve as an officer, director, partner or employee of a business described in (b) or (c) in previous question?*

A: No None noted

Q: *Have any of the organization's officers, directors, or principal executives ever been convicted of a misdemeanor or felony?*

A: No None noted

Q: *Does the organization receive financial support from other non-profit organizations (foundations, public charities, combined campaigns, etc.)?*

A: Yes State and national arts organizations

Q: *Does the organization share revenue or governance with any other non-profit organization?*

A: No

Q: *Does any other person or organization own a 10% or greater interest in your organization OR does your organization own a 10% or greater interest in any other organization?*

A: No

Applied For Tax Exempt: Yes 1/30/1971
Granted Tax Exempt: Yes 6/30/1971
IRS Section: 501(c)(3)
Tax Exempt Ever Denied: No
Tax Exempt Ever Revoked: No
Tax Exempt Ever Modified: No
Contributions Tax Deductible: Yes

Banks:

First National Bank of Santa Fe
505-992-2000
PO Box 609
Santa Fe, NM 87504

Annual Financials

***Tax Year:* 2011**
IRS Document Filed: 990

Total Contributions: \$663,362.00
Total Gross Revenue: \$1,243,202.00

Total Expenses: \$1,414,623.00
Program Services Expenses: \$1,015,777.00
Management General Expenses: \$293,509.00
Fundraising Expenses: \$105,337.00

Beginning of Year Net Assets: \$511,014.00
End of Year Net Assets: \$341,181.00

*Gross Professional Fundraising
Collections:* \$0.00
*Net Professional Fundraising
Collections:* \$0.00

Registration Submitted By:

Erpelding-Chacon, Mary
Finance Director

505-983-5220
finance@swaia.org