

APPLICATION FOR EXEMPTION FROM AUDIT

LONG FORM

NAME OF GOVERNMENT
ADDRESS

Alpensee Water District
C/O L. Paul Goedecke P.C.
14143 denver west Parkway, suite 450
Lakewood, colorado 80401

For the Year Ended
12/31/2020
or fiscal year ended:

CONTACT PERSON
PHONE
EMAIL
FAX

Paul Goedecke
720-938-1686
paul@goedecke-cpa.com

CERTIFICATION OF PREPARER

I certify that I am an independent accountant with knowledge of governmental accounting and that the information in the Application is complete and accurate to the best of my knowledge. I am aware that the Audit Law requires that a person independent of the entity complete the application if revenues or expenditure are at least \$100,000 but not more than \$750,000, and that independent means someone who is separate from the entity.

NAME:
TITLE
FIRM NAME (if applicable)
ADDRESS
PHONE
DATE PREPARED
RELATIONSHIP TO ENTITY

Paul Goedecke
CPA
L. Paul Goedecke P.C.
14143 denver west Parkway, suite 450
720-938-1686
2/17/2021
CPA

PREPARER (SIGNATURE REQUIRED)

L. Paul Goedecke

Has the entity filed for, or has the district filed, a Title 32, Article 1 Special District Notice of Inactive Status during the year? [Applicable to Title 32 special districts only, pursuant to Sections 32-1-103 (9.3) and 32-1-104 (3), C.R.S.]

YES

NO



If Yes, date filed:

PART 1 - FINANCIAL STATEMENTS - BALANCE SHEET

* Indicate Name of Fund

NOTE: Attach additional sheets as necessary.

		Governmental Funds		Proprietary/Fiduciary Funds		Please use this space to provide explanation of any items on this page	
Line #	Description	General	Debt service	Description	Fund*		Fund*
Assets				Assets			
1-1	Cash & Cash Equivalents	\$ 155,465	\$ 77,108	Cash & Cash Equivalents	\$ -	\$ -	
1-2	Investments	\$ -	\$ -	Investments	\$ -	\$ -	
1-3	Receivables	\$ -	\$ -	Receivables	\$ -	\$ -	
1-4	Due from Other Entities or Funds	\$ -	\$ -	Due from Other Entities or Funds	\$ -	\$ -	
	All Other Assets [specify...]			Other Current Assets	\$ -	\$ -	
1-5	accts receivable	\$ 21,295		Total Current Assets	\$ -	\$ -	
1-6	Prepaid Insurance	\$ 8,412	\$ -	Capital Assets, net (from Part 6-4)	\$ -	\$ -	
1-7	2020 taxes receivable in 2021	\$ 40,438	\$ 135,240	Other Long Term Assets [specify...]	\$ -	\$ -	
1-8		\$ -	\$ -		\$ -	\$ -	
1-9		\$ -	\$ -		\$ -	\$ -	
1-10		\$ -	\$ -		\$ -	\$ -	
1-11	(add lines 1-1 through 1-10) TOTAL ASSETS	\$ 225,610	\$ 212,348	(add lines 1-1 through 1-10) TOTAL ASSETS	\$ -	\$ -	
1-12	TOTAL DEFERRED OUTFLOWS OF RESOURCES	\$ -	\$ -	TOTAL DEFERRED OUTFLOWS OF RESOURCES	\$ -	\$ -	
1-13	TOTAL ASSETS AND DEFERRED OUTFLOWS	\$ 225,610	\$ 212,348	TOTAL ASSETS AND DEFERRED OUTFLOWS	\$ -	\$ -	
Liabilities				Liabilities			
1-14	Accounts Payable	\$ 134	\$ -	Accounts Payable	\$ -	\$ -	
1-15	Accrued Payroll and Related Liabilities	\$ -	\$ -	Accrued Payroll and Related Liabilities	\$ -	\$ -	
1-16	Accrued Interest Payable	\$ -	\$ -	Accrued Interest Payable	\$ -	\$ -	
1-17	Due to Other Entities or Funds	\$ -	\$ -	Due to Other Entities or Funds	\$ -	\$ -	
1-18	All Other Current Liabilities	\$ -	\$ -	All Other Current Liabilities	\$ -	\$ -	
1-19	TOTAL CURRENT LIABILITIES	\$ 134	\$ -	TOTAL CURRENT LIABILITIES	\$ -	\$ -	
1-20	All Other Liabilities [specify...]	\$ -	\$ -	Proprietary Debt Outstanding (from Part 4-4)	\$ -	\$ -	
1-21		\$ -	\$ -	Other Liabilities [specify...]:	\$ -	\$ -	
1-22		\$ -	\$ -		\$ -	\$ -	
1-23		\$ -	\$ -		\$ -	\$ -	
1-24		\$ -	\$ -		\$ -	\$ -	
1-25		\$ -	\$ -		\$ -	\$ -	
1-26		\$ -	\$ -		\$ -	\$ -	
1-27		\$ -	\$ -		\$ -	\$ -	
1-28	(add lines 1-19 through 1-27) TOTAL LIABILITIES	\$ 134	\$ -	(add lines 1-19 through 1-27) TOTAL LIABILITIES	\$ -	\$ -	
1-29	TOTAL DEFERRED INFLOWS OF RESOURCES	\$ 40,438	\$ 135,240	TOTAL DEFERRED INFLOWS OF RESOURCES	\$ -	\$ -	
Fund Balance				Net Position			
1-30	Nonspendable Prepaid	\$ 8,412	\$ -	Net Investment in Capital Assets	\$ -	\$ -	
1-31	Nonspendable Inventory	\$ -	\$ -				
1-32	Restricted [specify...] Tabor	\$ 3,000	\$ -	Emergency Reserves	\$ -	\$ -	
1-33	Committed [specify...]	\$ -	\$ -	Other Designations/Reserves	\$ -	\$ -	
1-34	Assigned [specify...]	\$ -	\$ -	Restricted	\$ -	\$ -	
1-35	Unassigned:	\$ 173,626	\$ 77,108	Undesignated/Unreserved/Unrestricted	\$ -	\$ -	
1-36	Add lines 1-30 through 1-35 This total should be the same as line 3-33 TOTAL FUND BALANCE	\$ 185,038	\$ 77,108	Add lines 1-30 through 1-35 This total should be the same as line 3-33 TOTAL NET POSITION	\$ -	\$ -	
1-37	Add lines 1-28, 1-29 and 1-36 This total should be the same as line 1-13 TOTAL LIABILITIES, DEFERRED INFLOWS, AND FUND BALANCE	\$ 225,610	\$ 212,348	Add lines 1-28, 1-29 and 1-36 This total should be the same as line 1-13 TOTAL LIABILITIES, DEFERRED INFLOWS, AND NET POSITION	\$ -	\$ -	

PART 2 - FINANCIAL STATEMENTS - OPERATING STATEMENT - REVENUES

		Governmental Funds		Proprietary/Fiduciary Funds		Please use this space to provide explanation of any items on this page
Line #	Description	General	Debt service	Description	Fund*	
Tax Revenue				Tax Revenue		
2-1	Property [include mills levied in Question 10-6]	\$ 41,128	\$ 137,567	Property [include mills levied in Question 10-6]	\$ -	\$ -
2-2	Specific Ownership	\$ 8,560	\$ 612	Specific Ownership	\$ -	\$ -
2-3	Sales and Use Tax	\$ -	\$ -	Sales and Use Tax	\$ -	\$ -
2-4	Other Tax Revenue [specify...]:	\$ -	\$ -	Other Tax Revenue [specify...]:	\$ -	\$ -
2-5	misc other	\$ 296	\$ -		\$ -	\$ -
2-6		\$ -	\$ -		\$ -	\$ -
2-7		\$ -	\$ -		\$ -	\$ -
2-8	Add lines 2-1 through 2-7 TOTAL TAX REVENUE	\$ 49,984	\$ 138,179	Add lines 2-1 through 2-7 TOTAL TAX REVENUE	\$ -	\$ -
2-9	Licenses and Permits	\$ -	\$ -	Licenses and Permits	\$ -	\$ -
2-10	Highway Users Tax Funds (HUTF)	\$ -	\$ -	Highway Users Tax Funds (HUTF)	\$ -	\$ -
2-11	Conservation Trust Funds (Lottery)	\$ -	\$ -	Conservation Trust Funds (Lottery)	\$ -	\$ -
2-12	Community Development Block Grant	\$ -	\$ -	Community Development Block Grant	\$ -	\$ -
2-13	Fire & Police Pension	\$ -	\$ -	Fire & Police Pension	\$ -	\$ -
2-14	Grants	\$ -	\$ -	Grants	\$ -	\$ -
2-15	Donations	\$ -	\$ -	Donations	\$ -	\$ -
2-16	Charges for Sales and Services	\$ 37,200	\$ -	Charges for Sales and Services	\$ -	\$ -
2-17	Rental Income	\$ -	\$ -	Rental Income	\$ -	\$ -
2-18	Fines and Forfeits	\$ 11,905	\$ -	Fines and Forfeits	\$ -	\$ -
2-19	Interest/Investment Income	\$ 155	\$ 905	Interest/Investment Income	\$ -	\$ -
2-20	Tap Fees	\$ -	\$ -	Tap Fees	\$ -	\$ -
2-21	Proceeds from Sale of Capital Assets	\$ -	\$ -	Proceeds from Sale of Capital Assets	\$ -	\$ -
2-22	All Other [specify...]: Extension fees	\$ 20,000	\$ 27	All Other [specify...]:	\$ -	\$ -
2-23		\$ -	\$ -		\$ -	\$ -
2-24	Add lines 2-8 through 2-23 TOTAL REVENUES	\$ 119,244	\$ 139,111	Add lines 2-8 through 2-23 TOTAL REVENUES	\$ -	\$ -
Other Financing Sources				Other Financing Sources		
2-25	Debt Proceeds	\$ -	\$ -	Debt Proceeds	\$ -	\$ -
2-26	Developer Advances	\$ -	\$ -	Developer Advances	\$ -	\$ -
2-27	Other [specify...]:	\$ -	\$ -	Other [specify...]:	\$ -	\$ -
2-28	Add lines 2-25 through 2-27 TOTAL OTHER FINANCING SOURCES	\$ -	\$ -	Add lines 2-25 through 2-27 TOTAL OTHER FINANCING SOURCES	\$ -	\$ -
2-29	Add lines 2-24 and 2-28 TOTAL REVENUES AND OTHER FINANCING SOURCES	\$ 119,244	\$ 139,111	Add lines 2-24 and 2-28 TOTAL REVENUES AND OTHER FINANCING SOURCES	\$ -	\$ -
						GRAND TOTALS
						\$ 258,355

IF GRAND TOTAL REVENUES AND OTHER FINANCING SOURCES for all funds (Line 2-29) are GREATER than \$750,000 -STOP. You may not use this form. An audit may be required. See Section 29-1-604, C.R.S., or contact the OSA Local Government Division at (303) 869-3000 for assistance.

PART 3 - FINANCIAL STATEMENTS - OPERATING STATEMENT - EXPENDITURES/EXPENSES

PART 3 - FINANCIAL STATEMENTS - OPERATING STATEMENT - EXPENDITURES/EXPENSES							
Line #	Description	Governmental Funds		Description	Proprietary/Fiduciary Funds		Please use this space to provide explanation of any items on this page
		General	Debt service		Fund*	Fund*	
	Expenditures			Expenses			
3-1	General Government	\$ 54,915	\$ -	General Operating & Administrative	\$ -	\$ -	
3-2	Judicial	\$ -	\$ -	Salaries	\$ -	\$ -	
3-3	Law Enforcement	\$ -	\$ -	Payroll Taxes	\$ -	\$ -	
3-4	Fire	\$ -	\$ -	Contract Services	\$ -	\$ -	
3-5	Highways & Streets	\$ -	\$ -	Employee Benefits	\$ -	\$ -	
3-6	Solid Waste	\$ -	\$ -	Insurance	\$ -	\$ -	
3-7	Contributions to Fire & Police Pension Assoc.	\$ -	\$ -	Accounting and Legal Fees	\$ -	\$ -	
3-8	Health	\$ -	\$ -	Repair and Maintenance	\$ -	\$ -	
3-9	Culture and Recreation	\$ -	\$ -	Supplies	\$ -	\$ -	
3-10	Transfers to other districts	\$ -	\$ -	Utilities	\$ -	\$ -	
3-11	Tasurers fees and late colelction costs	\$ 5,744	\$ 19,311	Contributions to Fire & Police Pension Assoc.	\$ -	\$ -	
3-12		\$ -	\$ -	Other [specify...]	\$ -	\$ -	
3-13		\$ -	\$ -		\$ -	\$ -	
3-14	Capital Outlay	\$ -	\$ -	Capital Outlay	\$ -	\$ -	
	Debt Service			Debt Service			
3-15	Principal	\$ 23,106	\$ 87,000	Principal	\$ -	\$ -	
3-16	Interest	\$ 376	\$ 28,015	Interest	\$ -	\$ -	
3-17	Bond Issuance Costs	\$ -	\$ -	Bond Issuance Costs	\$ -	\$ -	
3-18	Developer Principal Repayments	\$ -	\$ -	Developer Principal Repayments	\$ -	\$ -	
3-19	Developer Interest Repayments	\$ -	\$ -	Developer Interest Repayments	\$ -	\$ -	
3-20	All Other [specify...]:	\$ -	\$ -	All Other [specify...]:	\$ -	\$ -	
3-21		\$ -	\$ -		\$ -	\$ -	
3-22	Add lines 3-1 through 3-21 TOTAL EXPENDITURES	\$ 84,141	\$ 134,326	Add lines 3-1 through 3-21 TOTAL EXPENSES	\$ -	\$ -	\$ 218,467
3-23	Interfund Transfers (In)	\$ -	\$ -	Net Interfund Transfers (In) Out	\$ -	\$ -	
3-24	Interfund Transfers Out	\$ -	\$ -	Other [specify...][enter negative for expense]	\$ -	\$ -	
3-25	Other Expenditures (Revenues):	\$ -	\$ -	Depreciation	\$ -	\$ -	
3-26		\$ -	\$ -	Other Financing Sources (Uses) (from line 2-28)	\$ -	\$ -	
3-27		\$ -	\$ -	Capital Outlay (from line 3-14)	\$ -	\$ -	
3-28		\$ -	\$ -	Debt Principal (from line 3-15, 3-18)	\$ -	\$ -	
3-29	(Add lines 3-23 through 3-28) TOTAL TRANSFERS AND OTHER EXPENDITURES	\$ -	\$ -	(Line 3-26, plus line 3-27, less line 3-24, less line 3-25) TOTAL GAAP RECONCILING ITEMS	\$ -	\$ -	
3-30	Excess (Deficiency) of Revenues and Other Financing Sources Over (Under) Expenditures Line 2-29, less line 3-22, plus line 3-29	\$ 35,103	\$ 4,785	Net Increase (Decrease) in Net Position Line 2-29, less line 3-22, plus line 3-29, plus line 3-23, less line 3-24	\$ -	\$ -	
3-31	Fund Balance, January 1 from December 31 prior year report	\$ 149,935	\$ 72,323	Net Position, January 1 from December 31 prior year report	\$ -	\$ -	
3-32	Prior Period Adjustment (MUST explain)	\$ -	\$ -	Prior Period Adjustment (MUST explain)	\$ -	\$ -	
3-33	Fund Balance, December 31 Sum of Line 3-30, 3-31, and 3-32 This total should be the same as line 1-36.	\$ 185,038	\$ 77,108	Net Position, December 31 Line 3-30 plus line 3-31 This total should be the same as line 1-36.	\$ -	\$ -	

IF GRAND TOTAL EXPENDITURES for all funds (Line 3-22) are GREATER than \$750,000 - STOP. You may not use this form. An audit may be required. See Section 29-1-604, C.R.S., or contact the OSA Local Government Division at (303) 869-3000 for assistance.

PART 4 - DEBT OUTSTANDING, ISSUED, AND RETIRED

Please answer the following questions by marking the appropriate boxes.

YES

NO

Please use this space to provide any explanations or comments:

4-1 Does the entity have outstanding debt?

☒

☐

4-2 Is the debt repayment schedule attached? If no, MUST explain:

☒

☐

4-3 Is the entity current in its debt service payments? If no, MUST explain:

☒

☐

4-4 Please complete the following debt schedule, if applicable: (please only include principal amounts)

	Outstanding at beginning of year*	Issued during year	Retired during year	Outstanding at year-end
General obligation bonds	\$ 911,000	\$ -	\$ 87,000	\$ 824,000
Revenue bonds	\$ -	\$ -	\$ -	\$ -
Notes/Loans	\$ 23,106	\$ -	\$ 23,106	\$ -
Leases	\$ -	\$ -	\$ -	\$ -
Developer Advances	\$ 56,004	\$ -	\$ -	\$ 56,004
Other (specify):	\$ -	\$ -	\$ -	\$ -
TOTAL	\$ 990,110	\$ -	\$ 110,106	\$ 880,004

*must agree to prior year ending balance

Please answer the following questions by marking the appropriate boxes.

YES

NO

4-5 Does the entity have any authorized, but unissued, debt?

☐

☒

How much?

\$ -

If yes:

Date the debt was authorized:

4-6 Does the entity intend to issue debt within the next calendar year?

☐

☒

If yes:

How much?

\$ -

4-7 Does the entity have debt that has been refinanced that it is still responsible for?

☐

☒

If yes:

What is the amount outstanding?

\$ -

4-8 Does the entity have any lease agreements?

☐

☒

If yes:

What is being leased?

What is the original date of the lease?

Number of years of lease?

Is the lease subject to annual appropriation?

☐

☐

What are the annual lease payments?

\$ -

PART 5 - CASH AND INVESTMENTS

Please provide the entity's cash deposit and investment balances.

AMOUNT

TOTAL

Please use this space to provide any explanations or comments:

5-1 YEAR-END Total of ALL Checking and Savings accounts

\$ 155,465

5-2 Certificates of deposit

\$ -

TOTAL CASH DEPOSITS

\$ 155,465

Investments (if investment is a mutual fund, please list underlying investments):

5-3

UMB bond accounts

\$ 77,108

\$ -

\$ -

\$ -

TOTAL INVESTMENTS

\$ 77,108

TOTAL CASH AND INVESTMENTS

\$ 232,573

Please answer the following question by marking in the appropriate box

YES

NO

N/A

5-4 Are the entity's Investments legal in accordance with Section 24-75-601, et. seq., C.R.S.?

☒

☐

☐

5-5 Are the entity's deposits in an eligible (Public Deposit Protection Act) public depository (Section 11-10.5-101, et seq. C.R.S.)? If no, MUST explain:

☒

☐

☐

PART 6 - CAPITAL ASSETS

Please answer the following question by marking in the appropriate box					YES	NO	Please use this space to provide any explanations or comments:
6-1	Does the entity have capitalized assets?		☒	☐			
6-2	Has the entity performed an annual inventory of capital assets in accordance with Section 29-1-506, C.R.S.? If no, MUST explain:		☒	☐			

6-3 Complete the following Capital Assets table for GOVERNMENTAL FUNDS:	Balance - beginning of the year*	Additions	Deletions	Year-End Balance
Land	\$ -	\$ -	\$ -	\$ -
Buildings	\$ -	\$ -	\$ -	\$ -
Machinery and equipment	\$ 97,467	\$ -	\$ -	\$ 97,467
Furniture and fixtures	\$ -	\$ -	\$ -	\$ -
Infrastructure	\$ 1,228,722	\$ -	\$ -	\$ 1,228,722
Construction In Progress (CIP)	\$ -	\$ -	\$ -	\$ -
Other (explain):	\$ -	\$ -	\$ -	\$ -
Accumulated Depreciation (Enter a negative, or credit, balance)	\$ (778,183)	\$ (40,957)	\$ -	\$ (819,140)
TOTAL	\$ 548,006	\$ (40,957)	\$ -	\$ 507,049

6-4 Complete the following Capital Assets table for PROPRIETARY FUNDS:	Balance - beginning of the year*	Additions	Deletions	Year-End Balance
Land	\$ -	\$ -	\$ -	\$ -
Buildings	\$ -	\$ -	\$ -	\$ -
Machinery and equipment	\$ -	\$ -	\$ -	\$ -
Furniture and fixtures	\$ -	\$ -	\$ -	\$ -
Infrastructure	\$ -	\$ -	\$ -	\$ -
Construction In Progress (CIP)	\$ -	\$ -	\$ -	\$ -
Other (explain):	\$ -	\$ -	\$ -	\$ -
Accumulated Depreciation (Enter a negative, or credit, balance)	\$ -	\$ -	\$ -	\$ -
TOTAL	\$ -	\$ -	\$ -	\$ -

*must agree to prior year ending balance

PART 7 - PENSION INFORMATION

Please answer the following question by marking in the appropriate box					YES	NO	Please use this space to provide any explanations or comments:
7-1	Does the entity have an "old hire" firemen's pension plan?		☐	☒			
7-2	Does the entity have a volunteer firemen's pension plan?		☐	☒			

If yes: Who administers the plan?

Indicate the contributions from:

Tax (property, SO, sales, etc.):	\$	-
State contribution amount:	\$	-
Other (gifts, donations, etc.):	\$	-
TOTAL	\$	-

What is the monthly benefit paid for 20 years of service per retiree as of Jan 1?

	\$	-
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PART 8 - BUDGET INFORMATION

Please answer the following question by marking in the appropriate box				YES	NO	N/A	Please use this space to provide any explanations or comments:
8-1	Did the entity file a current year budget with the Department of Local Affairs, in accordance with Section 29-1-113 C.R.S.? If no, MUST explain:	☒	☐	☐			
8-2	Did the entity pass an appropriations resolution in accordance with Section 29-1-108 C.R.S.? If no, MUST explain:	☒	☐	☐			
If yes: Please indicate the amount budgeted for each fund for the year reported							
		Fund Name	Budgeted Expenditures/Expenses				
		general fund	\$	164,913			
		debt service fund	\$	120,681			
			\$	-			
			\$	-			

PART 9 - TAX PAYER'S BILL OF RIGHTS (TABOR)

Please answer the following question by marking in the appropriate box				YES	NO	Please use this space to provide any explanations or comments:
9-1	Is the entity in compliance with all the provisions of TABOR [State Constitution, Article X, Section 20(5)]? government from the 3 percent emergency reserve requirement. All governments should determine if they meet this	☒	☐			

PART 10 - GENERAL INFORMATION

Please answer the following question by marking in the appropriate box				YES	NO	Please use this space to provide any explanations or comments:
10-1	Is this application for a newly formed governmental entity?	☐	☒			
If yes: Date of formation:						
10-2	Has the entity changed its name in the past or current year?	☐	☒			
If Yes: NEW name						
PRIOR name						
10-3	Is the entity a metropolitan district?	☒	☐			
10-4	Please indicate what services the entity provides:					
general maintenance and servcie debt						
10-5	Does the entity have an agreement with another government to provide services?	☐	☒			
If yes: List the name of the other governmental entity and the services provided:						
10-6	Does the entity have a certified mill levy?	☒	☐			
If yes: Please provide the number of <u>mills</u> levied for the year reported (do not enter \$ amounts):						
Bond Redemption mills 38.492						
General/Other mills 11.508						
Total mills 50.000						

Please use this space to provide any additional explanations or comments not previously included:

OSA USE ONLY

Entity Wide:		General Fund		Governmental Funds		Notes			
Unrestricted Cash & Investments	\$	232,573	Unrestricted Fund Balan	\$	173,626	Total Tax Revenue	\$	188,163	
Current Liabilities	\$	134	Total Fund Balance	\$	185,038	Revenue Paying Debt Service	\$	258,355	
Deferred Inflow	\$	175,678	PY Fund Balance	\$	149,935	Total Revenue	\$	258,355	
			Total Revenue	\$	119,244	Total Debt Service Principal	\$	110,106	
			Total Expenditures	\$	84,141	Total Debt Service Interest	\$	28,391	
			Interfund In	\$	-				
Governmental			Interfund Out	\$	-	Enterprise Funds			
Total Cash & Investments	\$	232,573				Net Position	\$	-	
Transfers In	\$	-	Proprietary			- PY Net Position	\$	-	
Transfers Out	\$	-	Current Assets	\$					
Property Tax	\$	178,695	Deferred Outflow	\$		Government-Wide			
Debt Service Principal	\$	110,106	Current Liabilities	\$		- Total Outstanding Debt	\$	880,004	
Total Expenditures	\$	218,467	Deferred Inflow	\$		- Authorized but Unissued	\$	-	
Total Developer Advances	\$		- Cash & Investments	\$		- Year Authorized		1/0/1900	
Total Developer Repayments	\$		- Principal Expense	\$					

PART 12 - GOVERNING BODY APPROVAL

Please answer the following question by marking in the appropriate box

12-1 If you plan to submit this form electronically, have you read the new Electronic Signature Policy?

YES



NO



Office of the State Auditor — Local Government Division - Exemption Form Electronic Signatures Policy and Procedures

Policy - Requirements

The Office of the State Auditor Local Government Audit Division may accept an electronic submission of an application for exemption from audit that includes governing board signatures obtained through a program such as DocuSign or Echosign. Required elements and safeguards are as follows:

- The preparer of the application is responsible for obtaining board signatures that comply with the requirement in Section 29-1-604 (3), C.R.S., that states the application shall be personally reviewed, approved, and signed by a majority of the members of the governing body.
- The application must be accompanied by the signature history document created by the electronic signature software. The signature history document must show when the document was created and when the document was emailed to the various parties, and include the dates the individual board members signed the document. The signature history must also show the individuals' email addresses and IP address.
- Office of the State Auditor staff will not coordinate obtaining signatures.

The application for exemption from audit form created by our office includes a section for governing body approval. Local governing boards note their approval and submit the application through one of the following three methods:

- 1) Submit the application in hard copy via the US Mail including original signatures.
- 2) Submit the application electronically via email and either,
 - a. Include a copy of an adopted resolution that documents formal approval by the Board, or
 - b. Include electronic signatures obtained through a software program such as DocuSign or Echosign in accordance with the requirements noted above.

Below is the certification and approval of the governing body. By signing, each individual member is certifying they are a duly elected or appointed officer of the local government. Governing members may be verified. Also by signing, the individual member certifies that this Application for Exemption from Audit has been prepared consistent with Section 29-1-604, C.R.S., which states that a governmental agency with revenue and expenditures of \$750,000 or less must have an application prepared by an independent accountant with knowledge of governmental accounting; completed to the best of their knowledge and is accurate and true. Use additional pages if needed.

Print the names of ALL members of the governing body below.

A MAJORITY of the members of the governing body must complete and sign in the column below.

	Full Name	
1	James Quartarone	I, <u>James Quartarone</u> , attest that I am a duly elected or appointed board member, and that I have personally reviewed and approve this application for exemption from audit. Signed <u>[Signature]</u> Date: <u>02/25/2021</u> My term Expires: <u>2022</u>
2	Jeffry Paddock	I, <u>Jeffry Paddock</u> , attest that I am a duly elected or appointed board member, and that I have personally reviewed and approve this application for exemption from audit. Signed <u>[Signature]</u> Date: <u>02/19/2021</u> My term Expires: <u>2022</u>
3	David Flanigan	I, <u>David Flanigan</u> , attest that I am a duly elected or appointed board member, and that I have personally reviewed and approve this application for exemption from audit. Signed <u>[Signature]</u> Date: <u>03/01/2021</u> My term Expires: <u>2022</u>
4	Deanna Carew	I, <u>Deanna Carew</u> , attest that I am a duly elected or appointed board member, and that I have personally reviewed and approve this application for exemption from audit. Signed <u>[Signature]</u> Date: <u>02/25/2021</u> My term Expires: <u>2022</u>
5		I, _____, attest that I am a duly elected or appointed board member, and that I have personally reviewed and approve this application for exemption from audit. Signed _____ Date: _____ My term Expires: _____
6		I, _____, attest that I am a duly elected or appointed board member, and that I have personally reviewed and approve this application for exemption from audit. Signed _____ Date: _____ My term Expires: _____
7		I, _____, attest that I am a duly elected or appointed board member, and that I have personally reviewed and approve this application for exemption from audit. Signed _____ Date: _____ My term Expires: _____

SIGNATURE
CERTIFICATE



REFERENCE NUMBER
F3105B56-0E18-478D-890A-1C77C120E218

TRANSACTION DETAILS	DOCUMENT DETAILS
Reference Number F3105B56-0E18-478D-890A-1C77C120E218	Document Name 2020 Long Form Audit Exemption - Alpensee WD
Transaction Type Signature Request	Filename 2020_long_form_audit_exemption_-_alpensee_wd.pdf
Sent At 02/19/2021 13:53 EST	Pages 9 pages
Executed At 03/01/2021 16:48 EST	Content Type application/pdf
Identity Method email	File Size 126 KB
Distribution Method email	Original Checksum b2ed7cd731dd14301d689b64a1326b01f9a80e6ed4bed89ef24a6c01f8cae153
Signed Checksum a9595c3ff5ce341f69d6b8446858d6fd7ec114c2ec269b397117f12aa09e15	
Signer Sequencing Disabled	
Document Passcode Disabled	

SIGNERS

SIGNER	E-SIGNATURE	EVENTS
Name David Flanigan	Status signed	Viewed At 03/01/2021 16:47 EST
Email drdavidflanigan@gmail.com	Multi-factor Digital Fingerprint Checksum 11d36d4e1951e764dd63feb45f66b925bd86eab2527c77f349df8b654b44e160	Identity Authenticated At 03/01/2021 16:48 EST
Components 2	IP Address 198.255.45.131	Signed At 03/01/2021 16:48 EST
	Device Chrome via Mac	
	Drawn Signature 	
	Signature Reference ID 6198A10E	
	Signature Biometric Count 280	
Name James Quartarone	Status signed	Viewed At 02/25/2021 13:45 EST
Email james1143@comcast.net	Multi-factor Digital Fingerprint Checksum 65131218d885dcd4b87806b71bdf9b17529e72feadfc370f14a3bb11de032348	Identity Authenticated At 02/25/2021 13:45 EST
Components 2	IP Address 98.245.24.143	Signed At 02/25/2021 13:45 EST
	Device Safari via Mac	
	Drawn Signature 	
	Signature Reference ID 0553D45F	
	Signature Biometric Count 298	

SIGNER	E-SIGNATURE	EVENTS
Name Deanna Carew Email swcarew@msn.com Components 2	Status signed Multi-factor Digital Fingerprint Checksum cdc4a6b46517657cf20b88bad19024a7f9c5a569cad0935c3ec4fc2538e803d3 IP Address 67.165.244.222 Device Safari via Mac Drawn Signature  Signature Reference ID 21F152FE Signature Biometric Count 416	Viewed At 02/25/2021 12:25 EST Identity Authenticated At 02/25/2021 12:26 EST Signed At 02/25/2021 12:26 EST
Name L. Paul Goedecke Email paul@goedecke-cpa.com Components 1	Status signed Multi-factor Digital Fingerprint Checksum 2e384774ff8530c5074ccb8576d2f87f8d0f22dcf43fa414caa4c75d3cdb9e48 IP Address 73.55.36.79 Device Chrome via Windows Typed Signature  Signature Reference ID B5A281F7	Viewed At 02/19/2021 14:38 EST Identity Authenticated At 02/19/2021 14:39 EST Signed At 02/19/2021 14:39 EST
Name Jeffry Paddock Email jrpaddock@comcast.net Components 2	Status signed Multi-factor Digital Fingerprint Checksum 0d1512f399bb0f51b21faef48d2e66531c72bcdafcf494c3ace9591781ee4f300 IP Address 24.8.116.119 Device Safari via Mac Drawn Signature  Signature Reference ID 628D25C7 Signature Biometric Count 316	Viewed At 02/19/2021 14:36 EST Identity Authenticated At 02/19/2021 14:39 EST Signed At 02/19/2021 14:39 EST

AUDITS

TIMESTAMP	AUDIT
02/19/2021 13:53 EST	Special Districts (specialdistricts@spencerfane.com) created document '2020_long_form_audit_exemption_-_alpensee_wd.pdf' on Chrome via Windows from 184.96.203.101.
02/19/2021 13:53 EST	Deanna Carew (swcarew@msn.com) was emailed a link to sign.
02/19/2021 13:53 EST	James Quartarone (james1143@comcast.net) was emailed a link to sign.
02/19/2021 13:53 EST	Jeffry Paddock (jrpaddock@comcast.net) was emailed a link to sign.
02/19/2021 13:53 EST	David Flanigan (drdavidflanigan@gmail.com) was emailed a link to sign.
02/19/2021 13:53 EST	L. Paul Goedecke (paul@goedecke-cpa.com) was emailed a link to sign.
02/19/2021 14:36 EST	Jeffry Paddock (jrpaddock@comcast.net) viewed the document on Safari via Mac from 24.8.116.119.
02/19/2021 14:38 EST	L. Paul Goedecke (paul@goedecke-cpa.com) viewed the document on Chrome via Windows from 73.55.36.79.
02/19/2021 14:39 EST	Jeffry Paddock (jrpaddock@comcast.net) authenticated via email on Safari via Mac from 24.8.116.119.
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02/19/2021 14:39 EST	L. Paul Goedecke (paul@goedecke-cpa.com) authenticated via email on Chrome via Windows from 73.55.36.79.
02/19/2021 14:39 EST	L. Paul Goedecke (paul@goedecke-cpa.com) signed the document on Chrome via Windows from 73.55.36.79.
02/23/2021 15:34 EST	James Quartarone (james1143@comcast.net) was emailed a reminder.
02/23/2021 15:34 EST	David Flanigan (drdavidflanigan@gmail.com) was emailed a reminder.
02/23/2021 15:34 EST	Deanna Carew (swcarew@msn.com) was emailed a reminder.

TIMESTAMP	AUDIT
02/23/2021 18:02 EST	Deanna Carew (swcarew@msn.com) was emailed a reminder.
02/23/2021 18:02 EST	James Quartarone (james1143@comcast.net) was emailed a reminder.
02/23/2021 18:02 EST	David Flanigan (drdavidflanigan@gmail.com) was emailed a reminder.
02/25/2021 12:25 EST	Deanna Carew (swcarew@msn.com) viewed the document on Safari via Mac from 67.165.244.222.
02/25/2021 12:26 EST	Deanna Carew (swcarew@msn.com) authenticated via email on Safari via Mac from 67.165.244.222.
02/25/2021 12:26 EST	Deanna Carew (swcarew@msn.com) signed the document on Safari via Mac from 67.165.244.222.
02/25/2021 13:45 EST	James Quartarone (james1143@comcast.net) viewed the document on Safari via Mac from 98.245.24.143.
02/25/2021 13:45 EST	James Quartarone (james1143@comcast.net) authenticated via email on Safari via Mac from 98.245.24.143.
02/25/2021 13:45 EST	James Quartarone (james1143@comcast.net) signed the document on Safari via Mac from 98.245.24.143.
02/26/2021 12:38 EST	David Flanigan (drdavidflanigan@gmail.com) was emailed a reminder.
02/27/2021 18:04 EST	David Flanigan (drdavidflanigan@gmail.com) was emailed a reminder.
03/01/2021 15:28 EST	David Flanigan (drdavidflanigan@gmail.com) was emailed a reminder.
03/01/2021 16:47 EST	David Flanigan (drdavidflanigan@gmail.com) viewed the document on Chrome via Mac from 198.255.45.131.
03/01/2021 16:48 EST	David Flanigan (drdavidflanigan@gmail.com) authenticated via email on Chrome via Mac from 198.255.45.131.
03/01/2021 16:48 EST	David Flanigan (drdavidflanigan@gmail.com) signed the document on Chrome via Mac from 198.255.45.131.