Form 5500-SF

Department of the Treasury Internal Revenue Service

Department of Labor Employee Benefits Security Administration Pension Benefit Guaranty Corporation

Short Form Annual Return/Report of Small Employee Benefit Plan

This form is required to be filed under sections 104 and 4065 of the Employee Retirement Income Security Act of 1974 (ERISA), and section 6058(a) of the Internal Revenue Code (the Code).

▶ Complete all entries in accordance with the instructions to the Form 5500-SF.

2000

OMB Nos. 1210-0110 1210-0089

2009

This Form is Open to Public Inspection

Р	art I	Annual Report I	Identification Informa	ation							
For	calend			01/01/200)9	and ending	12/31/2	2009			
Α	This ret	turn/report is for:	X single-employer plan		multiple-e	employer plan (not multiemployer)	nployer) one-participant plan				
В	This ret	turn/report is for:	first return/report	Ī	final retur	n/report		_			
			an amended return/repo	ort	short plar	year return/report (less than 12 m	onths)				
C	Chack	box if filing under:	☐ Form 5558			extension	,	DFVC program			
J	CHECK	box ii iiiiig dilder.	special extension (ente	Octoriori		_ 51 vo program					
D	ort II	Pacia Blan Infor	<u> </u>								
	art II	of plan	rmation—enter all reques	stea inform	nation		1h	Three-digit			
		RICK & ASSOCIATES,	INC. 401(K) PLAN				15	plan number			
		111011 4710000111120,	101(11) 1 2/111					(PN) • 001			
							1c	Effective date of plan			
								10/01/2007			
		ponsor's name and add RICK & ASSOCIATES,	dress (employer, if for single	-employer	r plan)		26	Employer Identification Number (EIN) 14-1968268			
FLO	IX 1 - VV 1	NICK & ASSOCIATES,	ING.				2c	Plan sponsor's telephone number			
		DUGALL AVE, SUITE 10	02					425-259-0964			
EVE	RETT, \	WA 98282					2d	Business code (see instructions)			
20	Diana	darinistantania a sasa sa	d address (if some as Disc		to.:: "Co	- 27\	2h	541330			
		RICK & ASSOCIATES,	d address (if same as Plans INC. 34			e) E, SUITE 102	30	Administrator's EIN 14-1968268			
		,	EV	/ERETT, \	NA 98282	,	3c	Administrator's telephone number			
								425-259-0964			
			plan sponsor has changed so per from the last return/report			port filed for this plan, enter the	4b	EIN			
	name, i	Eliv, and the plan numb	er from the last return/repor	rt. Sporist	JI S Hallie		4c	PN			
5a	Total	number of participants a	at the beginning of the plan	year			5a	4			
b							5b	4			
С	Total	number of participants v	with account balances as of	the end o	of the plan y	rear (defined benefit plans do not					
	comp	lete this item)					5c	4			
6a		•	. ,	Ū		(See instructions.)		Yes No			
b						ndent qualified public accountant (I		X Yes ☐ No			
			•			SF and must instead use Form 5					
Pa	art III	Financial Inform									
7	Plan A	Assets and Liabilities				(a) Beginning of Year		(b) End of Year			
а	Total	plan assets			. 7a	520	88	93161			
b	Total	plan liabilities			. 7b						
С	Net pl	lan assets (subtract line	e 7b from line 7a)		. 7с	520	88	93161			
8	Incom	ne, Expenses, and Trans	sfers for this Plan Year			(a) Amount		(b) Total			
а	Contri	ibutions received or rec	eivable from:								
					. 8a(1)	44					
	` '	•				216	32				
	` ,	`	rs)		· · ·		_				
b		` ,				150	11				
C		, , ,), 8a(2), 8a(3), and 8b)		. 8с			41073			
d			t rollovers and insurance pr		. 8d						
е	Certai	in deemed and/or corre	ctive distributions (see instr	uctions)							
f			ers (salaries, fees, commiss	,							
g		·		,							
h		•	, 8e, 8f, and 8g)					0			
i			ne 8h from line 8c)					41073			
i		` , `	see instructions)								
•											

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_	4 137						
9a	Plan Characteristics If the plan provides pension benefits, enter the applicable pension feature codes from the List of Plan Characteristic Codes in the instructions: 2E 2F 2G 2J 2K 2T 3D If the plan provides welfare benefits, enter the applicable welfare feature codes from the List of Plan Characteristic Codes in the instructions:						
Part	· V	Compliance Questions					
10		ing the plan year:		Yes	No	Δ	mount
а	Was	s there a failure to transmit to the plan any participant contributions within the time period descr CFR 2510.3-102? (See instructions and DOL's Voluntary Fiduciary Correction Program)			X		ount
b		re there any nonexempt transactions with any party-in-interest? (Do not include transactions reine 10a.))b	X		
С	Wa	Was the plan covered by a fidelity bond?					
d		Did the plan have a loss, whether or not reimbursed by the plan's fidelity bond, that was caused by frau or dishonesty?					
е	insu	Were any fees or commissions paid to any brokers, agents, or other persons by an insurance carrier, insurance service or other organization that provides some or all of the benefits under the plan? (See instructions.))e X			1960
f	Has	the plan failed to provide any benefit when due under the plan?	1	Of	X		
g	Did	Did the plan have any participant loans? (If "Yes," enter amount as of year end.))g	X		
h		is is an individual account plan, was there a blackout period? (See instructions and 29 CFR 0.101-3.)			X		
i		Oh was answered "Yes," check the box if you either provided the required notice or one of the eptions to providing the notice applied under 29 CFR 2520.101-3	1	Di			
Part	VI	Pension Funding Compliance					
11		is a defined benefit plan subject to minimum funding requirements? (If "Yes," see instructions a					Yes No
12 a	(If "Y If a v	his a defined contribution plan subject to the minimum funding requirements of section 412 of the fee," complete 12a or 12b, 12c, 12d, and 12e below, as applicable.) Waiver of the minimum funding standard for a prior year is being amortized in this plan year, se thing the waiver.	e instructio	ns, and	enter th	ne date of the	
lf	you c	completed line 12a, complete lines 3, 9, and 10 of Schedule MB (Form 5500), and skip to	line 13.	Т		1	
b	Ente	er the minimum required contribution for this plan year			12b		
c d	C Enter the amount contributed by the employer to the plan for this plan year						
е	·	the minimum funding amount reported on line 12d be met by the funding deadline?		-		Yes	No N/A
Part		Plan Terminations and Transfers of Assets					-
13a	Has	a resolution to terminate the plan been adopted during the plan year or any prior year?					Yes X No
	If "Yes," enter the amount of any plan assets that reverted to the employer this year						
b	Were all the plan assets distributed to participants or beneficiaries, transferred to another plan, or brought under the control of the PBGC?						
С		uring this plan year, any assets or liabilities were transferred from this plan to another plan(s), ich assets or liabilities were transferred. (See instructions.)	dentify the	olan(s) t	0		
	I3c(1)	Name of plan(s):		1;	3 c(2) El	IN(s)	13c(3) PN(s)
			[

Caution: A penalty for the late or incomplete filing of this return/report will be assessed unless reasonable cause is established.

Under penalties of perjury and other penalties set forth in the instructions, I declare that I have examined this return/report, including, if applicable, a Schedule SB or Schedule MB completed and signed by an enrolled actuary, as well as the electronic version of this return/report, and to the best of my knowledge and belief, it is true, correct, and complete.

SIGN	Filed with authorized/valid electronic signature.	07/07/2010	HEIKE FLURY				
HERE	Signature of plan administrator	Date	Enter name of individual signing as plan administrator				
SIGN							
HERE	Signature of employer/plan sponsor	Date	Enter name of individual signing as employer or plan sponsor				