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).

1210-0089

OMB Nos. 1210-0110

2009

This Form is Open to Public Inspection

| Р | ension Benefit Guaranty Corporation | ▶ Complete all entries in accor | dance witl | h the instructions to the Form 5500 | 0-SF. | | | |
|--------|--|---|--------------|--|----------------|---------------------------|---------------------|----------|
| | | lentification Information | | | | | | |
| For | calendar plan year 2009 or fisca | al plan year beginning 01/01/200 | 9 | and ending 1 | 2/31/2 | 2009 | | |
| Α . | This return/report is for: | x single-employer plan | multiple-e | employer plan (not multiemployer) | | one-participa | ant plan | |
| В | This return/report is for: | first return/report | final retur | n/report | | _ | | |
| | | an amended return/report | short plar | n year return/report (less than 12 mor | nths) | | | |
| C | Check box if filing under: | Form 5558 | automatic | extension | | DFVC progra | am | |
| | | special extension (enter description | on) | | | | | |
| Pa | rt II Basic Plan Inforr | nation—enter all requested inform | ation | | | | | |
| | Name of plan | | | | 1b | Three-digit | | |
| | ARIS RESEARCH INSTITUTE 4 | 103(B) PLAN | | | | plan number | 001 | |
| | | | | | 4 - | (PN) • | | |
| | | | | | 1C | Effective date of 10/01/2 | | |
| 2a | Plan sponsor's name and addr | ess (employer, if for single-employer | nlan) | | 2b | Employer Ident | | ımber |
| | ARIS RESEARCH INSTITUTE | | ρ.ω, | | | (EIN) 91-201 | | |
| | | | | | 2c | Plan sponsor's | | number |
| | NE 41ST STREET BLDG G FTLE, WA 98105-5428 | | | | 24 | Business code | 9-5600 | uotiono) |
| | , | | | | Zu | 611000 | | ictions) |
| | | address (if same as Plan sponsor, e | | | 3b | Administrator's | EIN | |
| TALA | ARIS RESEARCH INSTITUTE | 4100 NE 415 SEATTLE, W | | | 2- | 91-201 | | |
| | | | | | 30 | Administrator's 206-85 | telephone 9-5600 | number |
| 4 1 | f the name and/or EIN of the pla | an sponsor has changed since the la | st return/re | port filed for this plan, enter the | 4b | EIN | | |
| - | name, EIN, and the plan numbe | er from the last return/report. Sponso | or's name | | 40 | PN | | |
| 52 | Total number of participants at | the beginning of the plan year | | | | PN T | | 20 |
| | | the end of the plan year | | | 5a | | | 22 |
| | · · | ith account balances as of the end o | | | 5b | | | 25 |
| С | | | | | 5с | | | 24 |
| 6a | Were all of the plan's assets of | during the plan year invested in eligib | le assets? | (See instructions.) | | | X Yes | s No |
| b | | | | ndent qualified public accountant (IQI | | | V va | - 🗆 N- |
| | | | | ions.) | | | × Ye | s No |
| Pa | rt III Financial Informa | | 01111 3300- | SF and must instead use Form 550 | 00. | | | |
| 7 | Plan Assets and Liabilities | | | (a) Beginning of Year | | (b) End | l of Year | |
| - | Total plan assets | | . 7a | 706026 | 3 | (b) Enc | OI ICAI | 879007 |
| b | | | 7b | | | | | |
| С | Net plan assets (subtract line 7 | 7b from line 7a) | 7c | 706026 | 3 | | | 879007 |
| 8 | Income, Expenses, and Transf | fers for this Plan Year | | (a) Amount | | (b) | Total | |
| а | Contributions received or received | ivable from: | | | | | | |
| | • • • • | | . 8a(1) | 62433 | - | | | |
| | | | | 29500 | | | | |
| | , , |) | ` ' | 0 | | | | |
| b | , | | | 127692 | 2 | | | 040005 |
| ۲ C | | 8a(2), 8a(3), and 8b) | . 8c | | | | | 219625 |
| d | | rollovers and insurance premiums | . 8d | 46644 | | | | |
| е | | tive distributions (see instructions) | . 8e | C |) | | | |
| f | | rs (salaries, fees, commissions) | | C |) | | | |
| g | Other expenses | | . 8g | C |) | | | |
| h | Total expenses (add lines 8d, | 8e, 8f, and 8g) | | | | | | 46644 |
| i | | e 8h from line 8c) | | | | | | 172981 |
| j | | ee instructions) | | | | | | |

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| Part IV | Plan | Characteristics | c |
|---------|------|-----------------|---|
| railiv | ГІАП | CHALACLEH SUC: | |

9a If the plan provides pension benefits, enter the applicable pension feature codes from the List of Plan Characteristic Codes in the instructions: 2G 2M 3D

b If the plan provides welfare benefits, enter the applicable welfare feature codes from the List of Plan Characteristic Codes in the instructions:

| art | V Compliance Questions | | | | | | | |
|-------|---|---------|---------|---------|-------------|-------|----------|-------|
| 0 | During the plan year: | | Yes | No | | Amo | ount | |
| а | Was there a failure to transmit to the plan any participant contributions within the time period described in 29 CFR 2510.3-102? (See instructions and DOL's Voluntary Fiduciary Correction Program) | 10a | | X | | | | |
| b | Were there any nonexempt transactions with any party-in-interest? (Do not include transactions reported on line 10a.) | 10b | | Χ | | | | |
| С | Was the plan covered by a fidelity bond? | 10c | X | | | | | 87901 |
| d | Did the plan have a loss, whether or not reimbursed by the plan's fidelity bond, that was caused by fraud or dishonesty? | 10d | | X | | | | |
| е | 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.) | 10e | | X | | | | |
| f | Has the plan failed to provide any benefit when due under the plan? | 10f | | X | | | | |
| g | Did the plan have any participant loans? (If "Yes," enter amount as of year end.) | 10g | | X | | | | |
| h | If this is an individual account plan, was there a blackout period? (See instructions and 29 CFR 2520.101-3.) | 10h | | X | | | | |
| i | If 10h was answered "Yes," check the box if you either provided the required notice or one of the | | | | | | | |
| | exceptions to providing the notice applied under 29 CFR 2520.101-3 | 10i | | | | | | |
| art | | | | | | | | |
| 1 | Is this a defined benefit plan subject to minimum funding requirements? (If "Yes," see instructions and com 5500)) | | | | | П | Yes | X No |
| 2 | Is this a defined contribution plan subject to the minimum funding requirements of section 412 of the Code | | | | | | | X No |
| _ | | 5 01 56 | Clion | 002 01 | LNISA! | Ш | 100 | |
| 2 | (If "Yes," complete 12a or 12b, 12c, 12d, and 12e below, as applicable.) If a waiver of the minimum funding standard for a prior year is being amortized in this plan year, see instru | otiono | and a | ntor th | a data of t | ha la | tor ruli | na |
| а | granting the waiver | | | | | | | ng |
| lf y | ou completed line 12a, complete lines 3, 9, and 10 of Schedule MB (Form 5500), and skip to line 13. | | | , | | | | |
| | Enter the minimum required contribution for this plan year | | Г | 12b | | | | |
| | Enter the amount contributed by the employer to the plan for this plan year | | | 12c | | | | |
| | Subtract the amount in line 12c from the amount in line 12b. Enter the result (enter a minus sign to the left negative amount) | of a | | 12d | | | | |
| е | Will the minimum funding amount reported on line 12d be met by the funding deadline? | | | | Yes | ١ | 10 | N/A |
| art | VII Plan Terminations and Transfers of Assets | | | | | | | |
| 3a | 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 | | | 13a | | | | |
| b | Were all the plan assets distributed to participants or beneficiaries, transferred to another plan, or brought | | | ntrol | | | | |
| | of the PBGC? | | | | | Ш | Yes | × No |
| С | If during this plan year, any assets or liabilities were transferred from this plan to another plan(s), identify t which assets or liabilities were transferred. (See instructions.) | he plaı | n(s) to | | | 1 | | |
| 1 | 3c(1) Name of plan(s): | | 130 | c(2) EI | N(s) | | 13c(3) | PN(s) |
| | | | | | | | | |
| | | + | | | | | | |
| | | | | | | | | |
| `auti | ion: A penalty for the late or incomplete filing of this return/report will be assessed unless reasonab | le cau | isa is | ostahl | ishad | | | |
| | or penalties of perjury and other penalties set forth in the instructions, I declare that I have examined this ret | | | | | ahle | a Sche | dule |
| Во | r Schedule MB completed and signed by an enrolled actuary, as well as the electronic version of this return, i, it is true, correct, and complete. | | | | | | | |
| SICI | Filed with authorized/valid electronic signature. 07/30/2010 CAROLYN BARI | DON | | | | | | |

SIGN HERE
Signature of plan administrator
SIGN HERE
SIGN HERE
Signature of employer/plan sponsor

Signature of employer/plan sponsor

Date

Enter name of individual signing as plan administrator

CAROLYN BARDON

CAROLYN BARDON

Enter name of individual signing as employer or plan sponsor