Form 5500

Department of the Treasury Internal Revenue Service

Department of Labor Employee Benefits Security Administration

Pension Benefit Guaranty Corporation

Annual Return/Report of Employee Benefit Plan

This form is required to be filed for employee benefit plans under sections 104 and 4065 of the Employee Retirement Income Security Act of 1974 (ERISA) and sections 6047(e), and 6058(a) of the Internal Revenue Code (the Code).

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

OMB Nos. 1210-0110 1210-0089

2009

| | | | | | Inspection | JUIC | | |
|---------------|---|--|--------------------|---|-------------------------------------|------|--|--|
| Part I | Annual Report Iden | tification Information | | | | | | |
| For cale | ndar plan year 2009 or fiscal p | olan year beginning 01/01/2008 | | and ending 12/31/20 | 800 | | | |
| A This | return/report is for: | a multiemployer plan; | a multiple | e-employer plan; or | | | | |
| | | a single-employer plan; | a DFE (s | pecify) | | | | |
| | | _ | _ | | | | | |
| B This | return/report is: | the first return/report; | the final r | eturn/report; | | | | |
| | | x an amended return/report; | a short p | an year return/report (less tha | an 12 months). | | | |
| C If the | plan is a collectively-bargaine | ed plan, check here | - | | | | | |
| _ | k box if filing under: | Form 5558; | ☐ automatic | natic extension; X the DFVC program; | | | | |
| D Chec | k box ii iiiiig under. | special extension (enter des | ш | , continuity | and Dr. 10 program, | | | |
| Dowt | II Dania Blan Inform | | , | | | | | |
| Part | ne of plan | nation—enter all requested informa | ation | | 1b Three-digit plan | | | |
| | BROOK AUDIOLOGY 401(K) | PROFIT SHARING PLAN | | | number (PN) ▶ | 001 | | |
| Or round | BROOK ROBIOLOGI 401(IV) | 7110111 017111110 | | | 1c Effective date of pl | an | | |
| | | | | | 01/01/2004 | | | |
| | • | s (employer, if for a single-employer | plan) | | 2b Employer Identification | | | |
| • | ress should include room or si BROOK AUDIOLOGY | uite no.) | | | Number (EIN) 13-3849326 | | | |
| SPRAIN | BROOK AUDIOLOGY | | | | 2c Sponsor's telephone | | | |
| | | | | number | | | | |
| 1075 CF | NTRAL PARK AVE | 1075 CEN | ITRAL PARK AVE | | 914-472-4000 | | | |
| | DRK, NY 10583 | | NEW YORK, NY 10583 | | 2d Business code (see instructions) | | | |
| | | | 621340 | | | | | |
| | | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |
| | | complete filing of this return/repor | | | | | | |
| | 1 , , , | enalties set forth in the instructions, is the electronic version of this return | | | 0 , , 0 | , | | |
| | | | | | | | | |
| SIGN | | | | | | | | |
| HERE | Signature of plan administ | trator | Date | Enter name of individual signing as plan administrator | | | | |
| | | | | | | | | |
| SIGN | Filed with authorized/valid ele | ectronic signature. | 08/10/2010 | ROBERT COHEN | | | | |
| HERE | Signature of employer/pla | n sponsor | Date | Enter name of individual signing as employer or plan sp | | | | |
| | | | | | | | | |
| SIGN | | | | | | | | |
| HERE | Signature of DFE | | Date | Enter name of individual sig | ning as DFE | | | |

For Paperwork Reduction Act Notice and OMB Control Numbers, see the instructions for Form 5500.

Form 5500 (2009) v.092307.1

| | Form 5500 (2009) Page 2 | | | | |
|--|--|---|--|--|--|
| 3a Plan administrator's name and address (if same as plan sponsor, enter "Same") SPRAIN BROOK AUDIOLOGY | | | 3b Administrator's EIN 13-3849326 3c Administrator's telephone number 914-472-4000 | | |
| 4 a | If the name and/or EIN of the plan sponsor has changed since the last return/report filed for this plan, enter the the plan number from the last return/report: Sponsor's name | e name, EIN and | 4b EIN 4c PN | | |
| 5 | Total number of participants at the beginning of the plan year | 5 | 4 | | |
| 6 а b | | | 3 | | |
| С | | 6c | 1 | | |
| e f | | 6e | 0 | | |
| g | Number of participants with account balances as of the end of the plan year (only defined contribution plans complete this item) | 6g | 0 | | |
| h 7 | Number of participants that terminated employment during the plan year with accrued benefits that were less than 100% vested | | 0 | | |
| 8a | If the plan provides pension benefits, enter the applicable pension feature codes from the List of Plan Character 2A 2E 2F 2G 2J 2K If the plan provides welfare benefits, enter the applicable welfare feature codes from the List of Plan Characteris | eristic Codes in the | | | |
| | (3) X Trust (3) X Trust (4) General assets of the sponsor (4) General ass | check all that apply) on 412(e)(3) insurance sets of the sponsor | | | |
| 10 а | Pension Schedules (1) R (Retirement Plan Information) B General Schedules (1) H (Fin. | ter the number attac ancial Information) ancial Information – | , | | |

(3)

(4)

(5)

(6)

A (Insurance Information)

C (Service Provider Information)D (DFE/Participating Plan Information)

G (Financial Transaction Schedules)

Purchase Plan Actuarial Information) - signed by the plan

SB (Single-Employer Defined Benefit Plan Actuarial

Information) - signed by the plan actuary

(3)

SCHEDULE I (Form 5500)

Department of the Treasury Internal Revenue Service

Department of Labor
Employee Benefits Security Administration

Financial Information—Small Plan

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

File as an attachment to Form 5500.

OMB No. 1210-0110

2009

This Form is Open to Public Inspection

| Pension Benefit Guaranty Corporation | inspection |
|---|---|
| For calendar plan year 2009 or fiscal plan year beginning 01/01/2008 | and ending 12/31/2008 |
| A Name of plan SPRAIN BROOK AUDIOLOGY 401(K) PROFIT SHARING PLAN | B Three-digit plan number (PN) 001 |
| C Plan sponsor's name as shown on line 2a of Form 5500 SPRAIN BROOK AUDIOLOGY | D Employer Identification Number (EIN) 13-3849326 |

Complete Schedule I if the plan covered fewer than 100 participants as of the beginning of the plan year. You may also complete Schedule I if you are filing as a small plan under the 80-120 participant rule (see instructions). Complete Schedule H if reporting as a large plan or DFE.

Part I Small Plan Financial Information

Report below the current value of assets and liabilities, income, expenses, transfers and changes in net assets during the plan year. Combine the value of plan assets held in more than one trust. Do not enter the value of the portion of an insurance contract that guarantees during this plan year to pay a specific dollar benefit at a future date. Include all income and expenses of the plan including any trust(s) or separately maintained fund(s) and any payments/receipts to/from insurance carriers. Round off amounts to the nearest dollar.

| 1 | Plan Assets and Liabilities: | | (a) Beginning of Year | (b) End of Year |
|---|--|--------------|-----------------------|------------------|
| а | Total plan assets | . 1a | 203219 | 132787 |
| b | Total plan liabilities | . 1b | | |
| С | Net plan assets (subtract line 1b from line 1a) | 1c | 203219 | 132787 |
| 2 | Income, Expenses, and Transfers for this Plan Year: | | (a) Amount | (b) Total |
| а | Contributions received or receivable: | | | |
| | (1) Employers | . 2a(1) | 5331 | |
| | (2) Participants | . 2a(2) | 20117 | |
| | (3) Others (including rollovers) | . 2a(3) | | |
| b | Noncash contributions | . 2b | | |
| С | Other income | . 2c | -95880 | |
| d | Total income (add lines 2a(1), 2a(2), 2a(3), 2b, and 2c) | . 2d | | -70432 |
| е | Benefits paid (including direct rollovers) | . 2e | | |
| f | Corrective distributions (see instructions) | . 2f | | |
| g | Certain deemed distributions of participant loans (see instructions) | . 2g | | |
| h | Administrative service providers (salaries, fees, and commissions) | . 2h | | |
| i | Other expenses | . 2i | | |
| j | Total expenses (add lines 2e, 2f, 2g, 2h, and 2i) | . 2j | | |
| k | Net income (loss) (subtract line 2j from line 2d) | . 2k | | -70432 |
| | Transfers to (from) the plan (see instructions) | . 2 I | | |

3 Specific Assets: If the plan held assets at anytime during the plan year in any of the following categories, check "Yes" and enter the current value of any assets remaining in the plan as of the end of the plan year. Allocate the value of the plan's interest in a commingled trust containing the assets of more than one plan on a line-by-line basis unless the trust meets one of the specific exceptions described in the instructions.

| | | | Yes | No | Amount |
|---|---|----|-----|----|--------|
| а | Partnership/joint venture interests | 3a | | X | |
| b | Employer real property | 3b | | X | |
| | Real estate (other than employer real property) | | | X | |
| d | Employer securities | 3d | | X | |
| | Participant loans | | | Χ | |

| Schedule I (Form 5500) 2009 | Page 2- 1 |
|-----------------------------|------------------|
| | |

| Schedule I | (Form | 5500) | 2000 |
|------------|---------|-------|------|
| Scriedule | (FOIIII | 55001 | 2008 |

| | | | Yes | No | | Amount | t |
|----|---|----------|---------|---------------------|------------|----------------|--------------------|
| 3f | Loans (other than to participants) | 3f | | X | | | |
| g | Tangible personal property | 3g | | Χ | | | |
| | | | | | | | |
| Pa | rt II Compliance Questions | | | | | | |
| 4 | During the plan year: | | Yes | No | | Amoun | t |
| а | Was there a failure to transmit to the plan any participant contributions within the time period described in 29 CFR 2510.3-102? Continue to answer "Yes" for any prior year failures until fully corrected. (See instructions and DOL's Voluntary Fiduciary Correction Program.) | 4a | | X | | | |
| b | Were any loans by the plan or fixed income obligations due the plan in default as of the close of plan year or classified during the year as uncollectible? Disregard participant loans secured by the participant's account balance. | 4b | | X | | | |
| С | Were any leases to which the plan was a party in default or classified during the year as uncollectible? | 4c | | X | | | |
| d | Were there any nonexempt transactions with any party-in-interest? (Do not include transactions reported on line 4a.) | 4d | | X | | | |
| е | Was the plan covered by a fidelity bond? | 4e | | X | | | |
| f | Did the plan have a loss, whether or not reimbursed by the plan's fidelity bond, that was caused by fraud or dishonesty? | 4f | | X | | | |
| g | Did the plan hold any assets whose current value was neither readily determinable on an established market nor set by an independent third party appraiser? | 4g | | X | | | |
| h | Did the plan receive any noncash contributions whose value was neither readily determinable on an established market nor set by an independent third party appraiser? | 4h | | X | | | |
| i | Did the plan at any time hold 20% or more of its assets in any single security, debt, mortgage, parcel of real estate, or partnership/joint venture interest? | 4i | | X | | | |
| j | Were all the plan assets either distributed to participants or beneficiaries, transferred to another plan, or brought under the control of the PBGC? | 4j | | X | | | |
| k | Are you claiming a waiver of the annual examination and report of an independent qualified public accountant (IQPA) under 29 CFR 2520.104-46? If "No," attach an IQPA's report or 2520.104-50 statement. (See instructions on waiver eligibility and conditions.) | 4k | X | | | | |
| ı | Has the plan failed to provide any benefit when due under the plan? | 41 | | X | | | |
| m | If this is an individual account plan, was there a blackout period? (See instructions and 29 CFR 2520.101-3.) | 4m | | | | | |
| n | If 4m was answered "Yes," check the "Yes" box if you either provided the required notice or one of the exceptions to providing the notice applied under 29 CFR 2520.101-3 | 4n | | | | | |
| 5a | Has a resolution to terminate the plan been adopted during the plan year or any prior plan year? If "Yes," enter the amount of any plan assets that reverted to the employer this year | Y | es 🔀 N | No A | Amount: | | |
| 5b | If, during this plan year, any assets or liabilities were transferred from this plan to another plan(s), ide transferred. (See instructions.) | entify t | he plan | (s) to w | hich asset | s or liabiliti | es were |
| | 5b(1) Name of plan(s) | | | 5b(2) EIN(s) | | | 5b(3) PN(s) |
| | | | | | | | |
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FORM 5500, BOX D- DFVCP FILING

This report is being submitted under the DFVCP for the plan year ending on December 31, 2008.