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.

1210-0089

OMB Nos. 1210-0110

2009

This Form is Open to Public Inspection

	art I Annual Report Identification Information							
For	For calendar plan year 2009 or fiscal plan year beginning 01/01/2009 and ending 12/31/2009							
Α .	This return/report is for: Single-employer plan	multiple-e	mployer plan (not multiemployer)	one-participant plan				
В	This return/report is for: first return/report	final retur	n/report					
	an amended return/report	short plan	year return/report (less than 12 mo	onths)				
С	C Check box if filing under: Form 5558 automatic extension special extension (enter description)				DFVC program			
_								
Pa	art II Basic Plan Information—enter all requested informa	,						
	Name of plan	1b	Three-digit					
	ENS BERMAN SOBOL SHAPIRO LLP 401(K) RETIREMENT PLAN			plan number				
					(PN)			
				1C	Effective date of plan 07/01/1993			
2a	Plan sponsor's name and address (employer, if for single-employer	plan)		2b	Employer Identification Number			
HAG	ENS BERMAN SOBOL SHAPIRO LLP				(EIN) 91-2017394			
1201	FIETH AVENUE CHITE 2020			2c	Plan sponsor's telephone number 206-623-7292			
SEA	FIFTH AVENUE, SUITE 2929 ITLE, WA 98101			2d	Business code (see instructions)			
					541110			
	Plan administrator's name and address (if same as Plan sponsor, er ENS BERMAN SOBOL SHAPIRO LLP 1301 FIFTH A		,	3b	Administrator's EIN 91-2017394			
пас	ENS BERMAN SOBOL SHAPIRO LLP 1301 FIFTH A SEATTLE, W		SUITE 2929	3c	Administrator's telephone number			
					206-623-7292			
	f the name and/or EIN of the plan sponsor has changed since the las name, EIN, and the plan number from the last return/report. Sponsor		port filed for this plan, enter the	4b	EIN			
	name, Lin, and the plan number from the last return/report. Sponsor	i S Hairie		4c	PN			
5a	Total number of participants at the beginning of the plan year			5a	76			
b	Total number of participants at the end of the plan year			5b	10			
С				5c	65			
60	complete this item)				V 🗆			
b	Were all of the plan's assets during the plan year invested in eligible. Are you claiming a waiver of the annual examination and report of a		,					
-	under 29 CFR 2520.104-46? (See instructions on waiver eligibility a				X Yes N			
	If you answered "No" to either 6a or 6b, the plan cannot use Fo	orm 5500-	SF and must instead use Form 5	500.				
	rt III Financial Information			-				
7	Plan Assets and Liabilities	_	(a) Beginning of Year	7	(b) End of Year			
a	Total plan liabilities	7a	344701	/	4864152			
C	Total plan liabilities Net plan assets (subtract line 7b from line 7a)	7b	344701	7	4864152			
8	Income, Expenses, and Transfers for this Plan Year	7c		,				
а	Contributions received or receivable from:		(a) Amount		(b) Total			
_	(1) Employers	8a(1)		0				
	(2) Participants	8a(2)	45071	1				
	(3) Others (including rollovers)	8a(3)	3193	9				
b	Other income (loss)	8b	93587	1				
С	Total income (add lines 8a(1), 8a(2), 8a(3), and 8b)	8c			1418521			
d	Benefits paid (including direct rollovers and insurance premiums to provide benefits)	8d	29	6				
е	Certain deemed and/or corrective distributions (see instructions)	8e		0				
f	Administrative service providers (salaries, fees, commissions)	8f	109	_				
g	Other expenses	8g		0				
h	Total expenses (add lines 8d, 8e, 8f, and 8g)	8h			1386			
i	Net income (loss) (subtract line 8h from line 8c)	8i			1417135			
j	Transfers to (from) the plan (see instructions)	8j		0				
_								

Part IV	Plan	Charact	teristics

SIGN HERE

Signature of employer/plan sponsor

If the plan provides pension benefits, enter the applicable pension feature codes from the List of Plan Characteristic Codes in the instructions: 2F 2G 2J 2R 3D 3B 2T 2E

D I	II th	e plan provides welfare benefits, enter the applicable welfare featur	re codes from the L	List of Plan Charac	cteris	iic Co	des in	tne instructi	ions:	
Part	٧	Compliance Questions								
10	Du	g the plan year:				Yes	No		Amount	
а		Was there a failure to transmit to the plan any participant contributions within the time period described 29 CFR 2510.3-102? (See instructions and DOL's Voluntary Fiduciary Correction Program)					X			
b	Were there any nonexempt transactions with any party-in-interest? (Do not include transactions reported on line 10a.)			•	10b		X			
С	Was the plan covered by a fidelity bond?				10c	X				500000
d	Did the plan have a loss, whether or not reimbursed by the plan's fidelity bond, that was caused by fraud or dishonesty?						X			
	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	Ha	Has the plan failed to provide any benefit when due under the plan?			10f		X			
g	Did	Did the plan have any participant loans? (If "Yes," enter amount as of year end.)				Χ				73572
		this is an individual account plan, was there a blackout period? (See instructions and 29 CFR 520.101-3.)					X			
i		10h was answered "Yes," check the box if you either provided the required notice or one of the ceptions to providing the notice applied under 29 CFR 2520.101-3								
Part \	VI	Pension Funding Compliance								
		nis a defined benefit plan subject to minimum funding requirements?							Yes	П No
12		his a defined contribution plan subject to the minimum funding requ							Yes	
		Yes," complete 12a or 12b, 12c, 12d, and 12e below, as applicable.		1412 01 110 0000	01 00	otion	002 01	LINIO/N	Ц	ш
а	If a	waiver of the minimum funding standard for a prior year is being am	nortized in this plar						ne letter ru Year	-
	-	completed line 12a, complete lines 3, 9, and 10 of Schedule MB			.11		Day		T Cal	
b	Ent	er the minimum required contribution for this plan year					12b			
С	Ent	er the amount contributed by the employer to the plan for this plan y	year				12c			
		stract the amount in line 12c from the amount in line 12b. Enter the rative amount)	•	•		[12d			
е	Will the minimum funding amount reported on line 12d be met by the funding deadline?							Yes	No	N/A
Part \	VII	Plan Terminations and Transfers of Assets								
13a	Has	s a resolution to terminate the plan been adopted during the plan year	ear or any prior yea	r?		<u>.</u>			Yes	X No
		es," enter the amount of any plan assets that reverted to the emplo					13a			
		Were all the plan assets distributed to participants or beneficiaries, transferred to another plan, or brought under the control of the PBGC?								× No
	C If during this plan year, any assets or liabilities were transferred from this plan to another plan(s), identify the plan(s) to which assets or liabilities were transferred. (See instructions.)									
13c(1) Name of plan(s):					13c(2) EIN(s) 13c(3) PN) PN(s)	
Cautio	on:	A penalty for the late or incomplete filing of this return/report v	will be assessed ι	ınless reasonabl	e cau	se is	establ	ished.	II.	
SB or	Sch	nalties of perjury and other penalties set forth in the instructions, I dedule MB completed and signed by an enrolled actuary, as well as true, correct, and complete.								
SIGN	F	iled with authorized/valid electronic signature.	vith authorized/valid electronic signature. 10/08/2010 GARY BEISHEIM							
HERE		gnature of plan administrator Date Enter name of individual signing as plan administrator								

Date

Enter name of individual signing as employer or plan sponsor