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).

OMB Nos. 1210-0110 1210-0089

2010

This Form is Open to Public Inspection

P	ension Benefit Guaranty Corporation	 Complete all entries in accordance 	rdance wit	h the instructions to the Form 550	0-SF.				
		entification Information							
For	calendar plan year 2010 or fisca	al plan year beginning 01/01/201	10	and ending 1	2/31/2	2010			
Α -	This return/report is for:	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	year return/report (less than 12 mor	nths)				
C	Check box if filing under:	Form 5558	automatio	extension		DFVC progra	am		
		special extension (enter descripti	on)						
Pa	rt II Basic Plan Inform	nation—enter all requested inform	nation						
1a	Name of plan				1b	Three-digit			
NOR	THWEST AEROSPACE TECHN	NOLOGIES, INC. 401(K) RETIREM	ENT SAVIN	IGS PLAN & TRUST		plan number	001		
					10	(PN)	- C - L		
					10	Effective date of 01/01/2			
2a	Plan sponsor's name and addre	ess (employer, if for single-employe	r plan)		2b		ification Number		
NOR'	THWEST AEROSPACE TECHN	NOLOGIES, INC.				(EIN) 91-177			
2210	HEWITT AVENUE, SUITE 300				2c Plan sponsor's telephone number 425-257-2044				
EVEF	RETT, WA 98201-3767				2d	Business code	(see instructions)		
					-	336410			
NOR	Plan administrator's name and THWEST AEROSPACE TECHN		TT AVENUI	E, SUITE 300	30	Administrator's 91-177	EIN '6817		
		EVERETT, \	WA 98201-	3767	3c Administrator's telephone numbe				
4 1	f the name and/or FIN of the pla	n sponsor has changed since the la	ast return/re	nort filed for this plan, enter the	425-257-2044 4b EIN				
		r from the last return/report. Spons		port mod for time plant, error time					
						PN	0.1		
_	·	the beginning of the plan year			5a				
	• •	the end of the plan year			5b		93		
С		th account balances as of the end c			5c		90		
6a	Were all of the plan's assets d	uring the plan year invested in eligil	ole assets?	(See instructions.)			X Yes No		
b	b Are you claiming a waiver of the annual examination and report of an independent qualified public accountant (IQPA) under 29 CFR 2520.104-46? (See instructions on waiver eligibility and conditions.)								
				SF and must instead use Form 55			^ Yes No		
Pa	rt III Financial Informa		01111 0000	or and must mistead use rorm oo	 				
7	Plan Assets and Liabilities	····		(a) Beginning of Year		d of Year			
а	Total plan assets		7a	5955086	` ` `		7579474		
b	Total plan liabilities			()				
С	Net plan assets (subtract line 7	b from line 7a)	7с	5955086	5		7579474		
8	Income, Expenses, and Transf	ers for this Plan Year		(a) Amount	(b) Total				
а	Contributions received or recei		0 (1)	277928	3				
				507912					
	, ,			007012	_				
h	, ,			904678	3				
	, ,	8a(2), 8a(3), and 8b)					1690518		
c d		oa(2), oa(3), and ob)ollovers and insurance premiums	80						
.			8d	53174	_				
е	Certain deemed and/or correct	ive distributions (see instructions)	8e	703	_				
f	Administrative service provider	s (salaries, fees, commissions)	<u>8f</u>	12253	5				
g	·						00400		
h		Be, 8f, and 8g)					66130		
į		8h from line 8c)					1624388		
J	ransters to (from) the plan (se	e instructions)	8i						

	Form 5500-SF 2010 Page 2-					
ar	t IV Plan Characteristics					
<u>a</u>	If the plan provides pension benefits, enter the applicable pension feature codes from the List of Plan Char	acteris	tic Co	des in	the instructions:	
_	2E 2F 2G 2J 2K 2R 2T 3D	o a to rio	ia Caa	ا ا ما ما	iha inatrijatiana.	
J	If the plan provides welfare benefits, enter the applicable welfare feature codes from the List of Plan Chara	acteris	iic Coc	ies in i	ine instructions.	
art	V Compliance Questions					
)	During the plan year:		Yes	No	Amount	
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		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?	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		15942	
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.)	10q	X		60455	
h	If this is an individual account plan, was there a blackout period? (See instructions and 29 CFR 2520.101-3.)	10h		Χ		
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				
ırt	VI Pension Funding Compliance					
1	Is this a defined benefit plan subject to minimum funding requirements? (If "Yes," see instructions and complete Schedule SB (Form 5500))					
2	Is this a defined contribution plan subject to the minimum funding requirements of section 412 of the Code	e or se	ction 3	802 of I	ERISA? Yes 🖺 No	
	(If "Yes," complete 12a or 12b, 12c, 12d, and 12e below, as applicable.)					
а	If a waiver of the minimum funding standard for a prior year is being amortized in this plan year, see instrugranting the waiverMon					
lf	you completed line 12a, complete lines 3, 9, and 10 of Schedule MB (Form 5500), and skip to line 13.			Day.	rear	
	Enter the minimum required contribution for this plan year		[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 of a negative amount)					
٩	Will the minimum funding amount reported on line 12d be met by the funding deadline?				☐ Yes ☐ No ☐ N/A	

Plan Terminations and Transfers of Assets Part VII

13a Has a resolution to terminate the plan been adopted during the plan year or any prior year?

If "Yes," enter the amount of any plan assets that reverted to the employer this year..... Were all the plan assets distributed to participants or beneficiaries, transferred to another plan, or brought under the control

of the PBGC?.....

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(s)

Yes

Yes X No

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.	06/08/2011	TODD HUGHES
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

Page	2-	
rage	4-	1

PAUL SOBOTTA

Enter name of individual signing as employer or plan sponsor

Form	5500	1-SF	201	ľ

SIGN HERE

Signature of employer/plan sponsor

	Form 5500-SF 2010 Page 2-						
Pa	rt IV Plan Characteristics						
9a	If the plan provides pension benefits, enter the applicable pension feature codes from the List of Plan Cha	racteri	stic Co	des in	the instruc	ctions:	
b	2E 2F 2G 2J 2K 2R 2T 3D If the plan provides welfare benefits, enter the applicable welfare feature codes from the List of Plan Char	acteris	tic Cod	des in t	he instruc	tions:	
U	If the piant provides would be believe, evilar the approache would be believe and the second						
Pai	t V Compliance Questions						
10	During the plan year:		Yes	No		Amount	
í	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		Х		****	
ŀ	Were there any nonexempt transactions with any party-in-interest? (Do not include transactions reported on line 10a.)	10b		х			
(Was the plan covered by a fidelity bond?	10c	Х			5	00,000
•	Did the plan have a loss, whether or not reimbursed by the plan's fidelity bond, that was caused by fraud or dishonesty?	10d		Х		***	
•	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				15,942
1	Has the plan failed to provide any benefit when due under the plan?	10f		Х			
, <u>(</u>	Did the plan have any participant loans? (If "Yes," enter amount as of year end.)	10g	Х				60,455
	1 If this is an individual account plan, was there a blackout period? (See instructions and 29 CFR 2520.101-3.)	10h		х			
	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					
Pai	t VI Pension Funding Compliance						
11	Is this a defined benefit plan subject to minimum funding requirements? (If "Yes," see instructions and cor 5500))		<u></u>				X No
12		e or se	ection	302 of	ERISA?	[] Te	X No
á	(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 instrugranting the waiver	uctions	s, and e	enter th Dav	e date of	the letter r Year	uling
ı	f you 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		[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 let negative amount)	tofa	1	12d		-	-
	Will the minimum funding amount reported on line 12d be met by the funding deadline?				Yes	No	N/A
Pai	t VII Plan Terminations and Transfers of Assets						
13	Has a resolution to terminate the plan been adopted during the plan year or any prior year?					Ye	s X No
	If "Yes," enter the amount of any plan assets that reverted to the employer this year			13a	<u> </u>		
ŀ	Were all the plan assets distributed to participants or beneficiaries, transferred to another plan, or brough of the PBGC?					Ye	s 🛭 No
(If during this plan year, any assets or liabilities were transferred from this plan to another plan(s), identify which assets or liabilities were transferred. (See instructions.)	the pla	an(s) to				
	13c(1) Name of plan(s):	\bot	13c(2) EIN(s)			13c(3) PN(s)
Cal	ution: A penalty for the late or incomplete filing of this return/report will be assessed unless reasona	ble ca	use is	estab	lished.		
Un SB	der penalties of perjury and other penalties set forth in the instructions, I declare that I have examined this re- or Schedule MB completed and signed by an empty ed actuary, as well as the electronic version of this retur- ief, it is true, correst, and completed	eturn/re	eport, i	ncludin	g, if applic	cable, a So knowledg	hedule je and
- ::::	Y A GOLD PAUL SORO	тта	•			*****	
	GN Signature of plan administrator Date Enter name of		lual sid	ning a	s plan adr	ministrator	, , , , , ,
P 1 2 2 3	The state of the s						

Date