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 sections 6057(b) and 6058(a) of the Internal Revenue Code (the Code).

1210-0089

OMB Nos. 1210-0110

2013

This Form is Open to Public Inspection

Dort I					<i>1</i> 0-5F.				
Part I	Annual Report	Identification Information	n						
For cale	ndar plan year 2013 or fis	cal plan year beginning 01/0	1/2013	and ending	12/31/2	2013			
A This	return/report is for:	a single-employer plan	a multiple-employer p	lan (not multiemployer)		a one-particip	oant plan		
B This	return/report is:	the first return/report	the final return/report						
		an amended return/report	a short plan year return	n/report (less than 12 n	nonths)			
C Chec	Check box if filing under: Form 5558 automatic extension				DFVC program				
		special extension (enter des	cription)			_			
Part II	Basic Plan Info	rmation—enter all requested in	nformation						
1a Nam	ne of plan				1b	Three-digit			
	VERGREEN ASSET MANAGEMENT, L.L.C. 401K PROFIT SHARING PLAN					plan number			
					4.	(PN) •	001		
						Effective date of			
	2a Plan sponsor's name and address; include room or suite number (employer, if for a single-employer plan) VERGREEN ASSET MANAGEMENT, L.L.C.				2b	Employer Identif			
LVLICON		2111, 2.2.0.			20	(=::1)			
3226 ROS	SEDALE ST NW, STE 20	1			20	2c Sponsor's telephone number 253-853-5500			
	BOR, WA 98335				2d Business code (see instruction				
3a Plan	n administrator's name ar	nd address XSame as Plan Spor	nsor Name Same as Plar	n Sponsor Address	3b	523900 3b Administrator's EIN			
		Ц ,			30	Administrator's t	telephone number		
					30	Administrators	telepriorie riumbei		
		e plan sponsor has changed since	e the last return/report filed for	or this plan, enter the	4b	EIN			
	ne, EIN, and the plan nur nsor's name	mber from the last return/report.			40	PN			
		at the beginning of the plan year			5a		4		
_		at the end of the plan year			5b		4		
C Number of participants with account balances as of the end of the plan year (defined benefit plans do not									
			of the plan year (defined bene	•	50				
con	nplete this item)		of the plan year (defined bene	·	5c		4		
6a We	nplete this item)ere all of the plan's assets	s during the plan year invested in	of the plan year (defined bene-	tions.)					
6a We b Are und	nplete this item)ere all of the plan's assets you claiming a waiver of der 29 CFR 2520.104-46	s during the plan year invested in the annual examination and report (See instructions on waiver eligi	of the plan year (defined bene- eligible assets? (See instruction or of an independent qualifier ibility and conditions.)	tions.)d public accountant (IC	QPA)		4		
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6a We b Are und If ye	nplete this item)ere all of the plan's assets you claiming a waiver of der 29 CFR 2520.104-46 ou answered "No" to el	s during the plan year invested in the annual examination and report (See instructions on waiver eligi	eligible assets? (See instruction of an independent qualification ibility and conditions.)	etions.)tions.) dipublic accountant (IC	PA) Form	5500.	¥ Yes No		
6a We b Are und If yo	ere all of the plan's assets you claiming a waiver of der 29 CFR 2520.104-46 ou answered "No" to either the plan is a defined benef	s during the plan year invested in the annual examination and represent the contractions on waiver eliging ther line 6a or line 6b, the plan it plan, is it covered under the PB	eligible assets? (See instruction of an independent qualification in the conditions.)	and must instead use	PA) Form	5500. Yes No	Yes No X Yes No		
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Pa	rt III Financial Information						
7	Plan Assets and Liabilities		(a) Deginning of Vec				(h) End of Voca
_ <u>'</u> _a	Total plan assets	(4, 23, 4, 1)					(b) End of Year 1185747
<u>a</u>	Total plan liabilities			0			0
	Net plan assets (subtract line 7b from line 7a)						1185747
8	, ,	7c		5652			
	Income, Expenses, and Transfers for this Plan Year Contributions received or receivable from:		(a) Amount				(b) Total
и	(1) Employers	8a(1)	7130	3			
) Participants			0			
	(3) Others (including rollovers)						
b	Other income (loss)	8b	21579	2			
	Total income (add lines 8a(1), 8a(2), 8a(3), and 8b)	8c					310095
d	Benefits paid (including direct rollovers and insurance premiums to provide benefits)	8d		0			
е	Certain deemed and/or corrective distributions (see instructions)	8e		0			
	Administrative service providers (salaries, fees, commissions)	8f		0			
g	Other expenses	8g		0			
	Total expenses (add lines 8d, 8e, 8f, and 8g)	8h					0
÷	Net income (loss) (subtract line 8h from line 8c)						310095
÷	Transfers to (from) the plan (see instructions)			0			010000
, D-:		8j		U			
9a	If the plan provides pension benefits, enter the applicable pension	foaturo co	doe from the List of Plan Char	actorio	etic Co	doe in	the instructions:
Ja	3D 2E 2F 2G 2J 2K 2R	leature co	des nom the List of Flam Chan	acteris	Suc Co	iues III	the instructions.
b	If the plan provides welfare benefits, enter the applicable welfare fe	eature cod	es from the List of Plan Chara	cterist	ic Cod	les in t	he instructions:
Par	t V Compliance Questions						
10	During the plan year:				Yes	No	Amount
a		tions withi	n the time period described in	I	103	140	Amount
	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 on line 10a.)			10b		X	
					Χ		200000
	· · · · · · · · · · · · · · · · · · ·			10c			300000
	Did the plan have a loss, whether or not reimbursed by the plan's or dishonesty?	-		10d		X	
е	Were any fees or commissions paid to any brokers, agents, or oth						
	insurance service, or other organization that provides some or all instructions.)			10e		X	
f						Χ	
g	Did the plan have any participant loans? (If "Yes," enter amount as of year end.)			10g	Χ		13596
h	If this is an individual account plan, was there a blackout period? (See instructions and 29 CFR			J		X	
	2520.101-3.)			10h			
•	exceptions to providing the notice applied under 29 CFR 2520.10			10i			
Part	VI Pension Funding Compliance						
11	11 Is this a defined benefit plan subject to minimum funding requirements? (If "Yes," see instructions and complete Schedule SB (Form						
11a	5500) and line 11a below)						
12							
	(If "Yes," complete line 12a or lines 12b, 12c, 12d, and 12e below,						
a	a If a waiver of the minimum funding standard for a prior year is being amortized in this plan year, see instructions, and enter the date of the letter ruling						
	granting the waiver.			th		Day	Year
	you completed line 12a, complete lines 3, 9, and 10 of Schedule	e IVIB (For	m ວວບບ), and skip to line 13.			12b	

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С	Enter the amount contributed by the employer to the plan for this plan year	12c				
d	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)	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 a resolution to terminate the plan been adopted in any plan year?	Y	es 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 under the coof the PBGC?	ontrol		Yes X 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.)						
1	3c(1) Name of plan(s):	c(2) Ell	V(s)	13c(3) PN(s)		
Part	VIII Trust Information (optional)					
14a Name of trust			14b Trust's EIN			