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).

OMB Nos. 1210-0110 1210-0089

2013

This Form is Open to Public Inspection

			Complete all entr		***************************************		00 0			
	rt I		Identification Inforr	nation						
For	calenda	ar plan year 2013 or fis	cal plan year beginning	01/01/2013		and ending	12/31/	2013		
A T	This ret	urn/report is for:	a single-employer pla	ın 🗌 a	a multiple-employer p	an (not multiemployer)	a one-particip	pant plan	
ВТ	This ret	urn/report is:	the first return/report	t	he final return/report					
			an amended return/re	port a	short plan year return	n/report (less than 12 r	nonths)		
C	Check b	box if filing under:	Form 5558	□ a	automatic extension		DFVC program			
			special extension (en	ter description)			_		
Pa	rt II	Basic Plan Info	rmation—enter all requ	ested informat	ion					
		of plan					1b	Three-digit		
NOVI	NIUM 4	101(K) PLAN						plan number		
							4.0	(PN) •	001	
							10	1c Effective date of plan 10/01/2008		
	Plan sp NIUM,		dress; include room or sui	te number (em	ployer, if for a single-	employer plan)	2b	2b Employer Identification Number (EIN) 20-0277520		
							2c	2c Sponsor's telephone number		
		ST NW, SUITE D						206-529-4828		
AUBL	JKN, W	/A 98001					2d	2d Business code (see instructions) 238210		
3a	Plan ad	dministrator's name an	d address XSame as Pla	an Sponsor Na	me Same as Plar	Sponsor Address	3b	Administrator's	EIN	
							3с	Administrator's	telephone number	
A	16 41		alan anaman bana da ana		- t t t t		41			
4			plan sponsor has change		st return/report filed fo	or this plan, enter the	4b	EIN		
	name,		plan sponsor has change nber from the last return/r		st return/report filed fo	or this plan, enter the		EIN PN		
a	name, Sponso	, EIN, and the plan nun or's name		eport.		· 			117	
а 5а	name, Sponso Total r	, EIN, and the plan nun or's name number of participants	nber from the last return/r	eport. an year			4c 5a		117 125	
a 5a b	name, Sponso Total r Total r Numbe	EIN, and the plan nun or's name number of participants number of participants er of participants with a	nber from the last return/r	eport. an year r e end of the pla	an year (defined bene	fit plans do not	4c 5a			
a 5a b c	name, Sponso Total r Total r Numbe comple	EIN, and the plan nun or's name number of participants number of participants er of participants with a lete this item)	at the beginning of the pla at the end of the plan yea account balances as of the	eport. an year ree end of the pla	an year (defined bene	fit plans do not	4c 5a 5b	PN	125	
a 5a b c	name, Sponso Total r Total r Number comple Were Are yo	EIN, and the plan numor's name number of participants number of participants er of participants with a lete this item)	at the beginning of the pla at the end of the plan yea account balances as of the during the plan year inve the annual examination a	eport. an year r e end of the pla sted in eligible and report of ar	an year (defined bene assets? (See instruction	rfit plans do not tions.)	4c 5a 5b 5c	PN	125 125 X Yes No	
a 5a b c	name, Sponso Total r Total r Number comple Were Are younder	EIN, and the plan numor's name number of participants number of participants er of participants with a lete this item)	at the beginning of the pla at the end of the plan yea account balances as of the during the plan year inve the annual examination at (See instructions on wait	an yeare end of the plants sted in eligible and report of arver eligibility ar	an year (defined bene e assets? (See instruct in independent qualifier and conditions.)	rfit plans do not tions.)d public accountant (l	4c · 5a · 5b · 5c · CQPA)	PN	125	
a 5a b c c 6a b	Total r Total r Number comple Were Are you under If you	EIN, and the plan numor's name number of participants number of participants er of participants with a lete this item)	at the beginning of the pla at the end of the plan yea account balances as of the during the plan year inve the annual examination a (See instructions on wait ther line 6a or line 6b, the	eport. an year e end of the plances sted in eligible and report of ar wer eligibility ar an plan canno	an year (defined bene assets? (See instruct independent qualifier and conditions.)	tions.)d public accountant (I	4c 5a 5b 5c 2PA)	PN	125 125 X Yes No X Yes No	
a 5a b c c 6a b	Total r Total r Number comple Were Are you under If you	EIN, and the plan numor's name number of participants number of participants er of participants with a lete this item)	at the beginning of the pla at the end of the plan yea account balances as of the during the plan year inve the annual examination at (See instructions on wait	eport. an year e end of the plances sted in eligible and report of ar wer eligibility ar and replan canno	an year (defined bene assets? (See instruct independent qualifier and conditions.)	tions.)d public accountant (I	4c 5a 5b 5c 2PA)	PN	125 125 X Yes No	
a 5a b c 6a b	Total r Total r Number comple Were Are you under If you If the p	EIN, and the plan numor's name number of participants number of participants er of participants with a lete this item)	at the beginning of the pla at the end of the plan yea account balances as of the during the plan year inve the annual examination a (See instructions on wait ther line 6a or line 6b, the	an yeare end of the plansted in eligible and report of ar yer eligibility ar the plan cannot the PBGC institution.	an year (defined bene assets? (See instruct independent qualifier and conditions.)	efit plans do not tions.)d public accountant (Io and must instead us ERISA section 4021)?	4c 5a 5b 5c PPA)	PN	125 125 X Yes No X Yes No	
a 5a b c 6a b	name, Sponso Total r Total r Numbe comple Were Are you under If you If the p	EIN, and the plan numor's name number of participants number of participants er of participants with a lete this item)	at the beginning of the pla at the end of the plan year account balances as of the during the plan year inve- the annual examination at (See instructions on wait ther line 6a or line 6b, the t plan, is it covered under or incomplete filing of the	an year	an year (defined bene e assets? (See instruct in independent qualified nd conditions.)	tions.)d public accountant (luand must instead us ERISA section 4021)?	4c 5a 5b 5c PPA) see Form	PN 1 5500. Yes No established. Including, if applic	125 125 X Yes No X Yes No Not determined able, a Schedule	
a 5a b c C Caur Undo SB c	name, Sponso Total r Total r Numbe comple Were Are you under If you If the p	EIN, and the plan numor's name number of participants number of participants er of participants with a lete this item)	at the beginning of the pla at the end of the plan year account balances as of the during the plan year inve- the annual examination at (See instructions on wain ther line 6a or line 6b, that plan, is it covered under or incomplete filing of that her penalties set forth in that disigned by an enrolled a	an year	an year (defined bene e assets? (See instruct in independent qualified nd conditions.)	tions.)d public accountant (luand must instead us ERISA section 4021)?	4c 5a 5b 5c PPA) see Form	PN 1 5500. Yes No established. Including, if applic	125 125 X Yes No X Yes No Not determined able, a Schedule	
a 5a b c C Caur Undo SB c	name, Sponso Total r Total r Numbe comple Were Are you under If you If the p	EIN, and the plan numor's name number of participants number of participants er of participants with a lete this item)	at the beginning of the pla at the end of the plan year account balances as of the during the plan year inve- the annual examination at (See instructions on wain ther line 6a or line 6b, that t plan, is it covered under or incomplete filing of the per penalties set forth in the disigned by an enrolled ablete.	an year	an year (defined beneated assets? (See instruct independent qualifier and conditions.)	efit plans do not tions.)	4c 5a 5b 5c PPA) see Form	PN 1 5500. Yes No established. Including, if applic	125 125 X Yes No X Yes No Not determined able, a Schedule	
a 5a b c c 6a b Undo SB c belie	name, Sponso Total r Total r Numbe comple Were Are you under If you If the p er pena or Sche ef, it is t	p. EIN, and the plan numor's name number of participants number of participants er of participants with a lete this item)	at the beginning of the plant at the end of the plant at the end of the plant account balances as of the during the plant year investigation at the annual examination at (See instructions on wait ther line 6a or line 6b, that plant, is it covered under the prince of the plant is it covered under the prince of the plant is it covered under the prince of the plant is it covered under the prince of the plant is it covered under the prince of the plant is it covered under the prince of the plant is it covered under	an year	an year (defined bene- erassets? (See instruct in independent qualified and conditions.)	tions.)	4c 5a 5b 5c Form	PN 5500. Yes No No No No No No No No No No No No No	125 125 X Yes No X Yes No Not determined able, a Schedule knowledge and	
a 5a b c C Cauru Undo SB c belief	name, Sponso Total r Total r Numbe comple Were Are you under If you If the p er pena or Sche ef, it is t	EIN, and the plan numor's name number of participants number of participants er of participants with a lete this item)	at the beginning of the plant at the end of the plant at the end of the plant account balances as of the during the plant year investigation at the annual examination at (See instructions on wait ther line 6a or line 6b, that plant, is it covered under the prince of the plant is it covered under the prince of the plant is it covered under the prince of the plant is it covered under the prince of the plant is it covered under the prince of the plant is it covered under the prince of the plant is it covered under	an year	an year (defined beneated assets? (See instruct independent qualifier and conditions.)	efit plans do not tions.)	4c 5a 5b 5c Form	PN 5500. Yes No No No No No No No No No No No No No	125 125 X Yes No X Yes No Not determined able, a Schedule knowledge and	
a 5a b c c 6a b Undo SB c belie	name, Sponso Total r Total r Numbe comple Were Are you under If you If the p er pena or Sche ef, it is t	p. EIN, and the plan numor's name number of participants number of participants er of participants with a lete this item)	at the beginning of the plant at the end of the plant at the end of the plant account balances as of the during the plant year investigation at the annual examination at (See instructions on wait ther line 6a or line 6b, that plant, is it covered under the prince of the plant is it covered under the prince of the plant is it covered under the prince of the plant is it covered under the prince of the plant is it covered under the prince of the plant is it covered under the prince of the plant is it covered under	an year	an year (defined bene- erassets? (See instruct in independent qualified and conditions.)	tions.)	4c 5a 5b 5c Form	PN 5500. Yes No No No No No No No No No No No No No	125 125 X Yes No X Yes No Not determined able, a Schedule knowledge and	
a 5a b c 6a b C Caur Undd SB c belie	name, Sponso Total r Total r Numbe comple Were Are you under If you If the p tion: A er pena or Sche ef, it is t	EIN, and the plan numor's name number of participants number of participants er of participants with a lete this item)	at the beginning of the plant at the end of the plant at the end of the plant at the end of the plant account balances as of the during the plant year investigation of the annual examination at (See instructions on waite the annual examination of the line 6a or line 6b, that plant, is it covered under the penalties set forth in the disigned by an enrolled a solete. It was a support of the plant and the plant at the penalties and the penalties and the penalties are forth in the disigned by an enrolled a solete. It was a support of the plant year investigation at the plant at the pla	eport. an year r e end of the pland report of an year eligibility are plan cannor the PBGC insis return/reporte instructions, ictuary, as well	an year (defined bene- e assets? (See instruction independent qualified and conditions.)	tions.)	4c 5a 5b 5c	PN 5500. Yes No established. No	125 125 X Yes No X Yes No Not determined able, a Schedule knowledge and ministrator	
a 5a b c 6a b C Caur Undd SB c belie	name, Sponso Total r Total r Numbe comple Were Are you under If you If the p tion: A er pena or Sche ef, it is t	EIN, and the plan numor's name number of participants number of participants er of participants with a lete this item)	at the beginning of the plant at the end of the plant at the end of the plant at the end of the plant account balances as of the during the plant year investigation at the annual examination at (See instructions on waite the line 6a or line 6b, that plant, is it covered under the penalties set forth in the disigned by an enrolled a solete.	eport. an year r e end of the pland report of an year eligibility are plan cannor the PBGC insis return/reporte instructions, ictuary, as well	an year (defined bene- e assets? (See instruction independent qualified and conditions.)	tions.)	4c 5a 5b 5c	PN 5500. Yes No established. No	125 125 X Yes No X Yes No Not determined able, a Schedule knowledge and	
a 5a b c 6a b C Caur Undd SB c belie	name, Sponso Total r Total r Numbe comple Were Are you under If you If the p tion: A er pena or Sche ef, it is t	EIN, and the plan numor's name number of participants number of participants er of participants with a lete this item)	at the beginning of the plant at the end of the plant at the end of the plant at the end of the plant account balances as of the during the plant year investigation of the annual examination at (See instructions on waite the annual examination of the line 6a or line 6b, that plant, is it covered under the penalties set forth in the disigned by an enrolled a solete. It was a support of the plant and the plant at the penalties and the penalties and the penalties are forth in the disigned by an enrolled a solete. It was a support of the plant year investigation at the plant at the pla	eport. an year r e end of the pland report of an year eligibility are plan cannor the PBGC insis return/reporte instructions, ictuary, as well	an year (defined bene- e assets? (See instruction independent qualified and conditions.)	tions.)	4c 5a 5b 5c	PN 5500. Yes No established. No	125 125 X Yes No X Yes No Not determined able, a Schedule knowledge and ministrator	
a 5a b c 6a b C Caur Undd SB c belie	name, Sponso Total r Total r Numbe comple Were Are you under If you If the p tion: A er pena or Sche ef, it is t	EIN, and the plan numor's name number of participants number of participants er of participants with a lete this item)	at the beginning of the plant at the end of the plant at the end of the plant at the end of the plant account balances as of the during the plant year investigation of the annual examination at (See instructions on waite the annual examination of the line 6a or line 6b, that plant, is it covered under the penalties set forth in the disigned by an enrolled a solete. It was a support of the plant and the plant at the penalties and the penalties and the penalties are forth in the disigned by an enrolled a solete. It was a support of the plant year investigation at the plant at the pla	eport. an year r e end of the pland report of an year eligibility are plan cannor the PBGC insis return/reporte instructions, ictuary, as well	an year (defined bene- e assets? (See instruction independent qualified and conditions.)	tions.)	4c 5a 5b 5c	PN 5500. Yes No established. No	125 125 X Yes No X Yes No Not determined able, a Schedule knowledge and ministrator	
a 5a b c 6a b C Caur Undd SB c belie	name, Sponso Total r Total r Numbe comple Were Are you under If you If the p tion: A er pena or Sche ef, it is t	EIN, and the plan numor's name number of participants number of participants er of participants with a lete this item)	at the beginning of the plant at the end of the plant at the end of the plant at the end of the plant account balances as of the during the plant year investigation of the annual examination at (See instructions on waite the annual examination of the line 6a or line 6b, that plant, is it covered under the penalties set forth in the disigned by an enrolled a solete. It was a support of the plant and the plant at the penalties and the penalties and the penalties are forth in the disigned by an enrolled a solete. It was a support of the plant year investigation at the plant at the pla	eport. an year r e end of the pland report of an year eligibility are plan cannor the PBGC insis return/reporte instructions, ictuary, as well	an year (defined bene- e assets? (See instruction independent qualified and conditions.)	tions.)	4c 5a 5b 5c	PN 5500. Yes No established. No	125 125 X Yes No X Yes No Not determined able, a Schedule knowledge and ministrator	

Form 5500-SF 2013 Page **2**

Pa	rt III Financial Information							
7	Plan Assets and Liabilities		(a) Beginning of Vec				(h) End of Voca	
_ <u>'</u> _a		(a) Beginning of Yea	2596474		(b) End of Year 3702515			
<u>a</u>	Total plan assets Total plan liabilities	7a 7b		0			0702010	
	· · · · · · · · · · · · · · · · · · ·	7 C	259647				3702515	
8	Net plan assets (subtract line 7b from line 7a)			74				
	Income, Expenses, and Transfers for this Plan Year Contributions received or receivable from:		(a) Amount				(b) Total	
и	(1) Employers	8a(1)	26234	8				
	(2) Participants	8a(2)	45041	5				
	(3) Others (including rollovers)	8a(3)	2500	9				
b	Other income (loss)	. 8b	42999	4				
	Total income (add lines 8a(1), 8a(2), 8a(3), and 8b)	8c					1167766	
d	Benefits paid (including direct rollovers and insurance premiums	0.1	5724	6				
	to provide benefits)	. 8d		0				
<u>e</u>	Certain deemed and/or corrective distributions (see instructions)	. 8e	447					
<u> </u>	Administrative service providers (salaries, fees, commissions)	. 8f						
<u>g</u>	Other expenses	. 8g		0				
<u>_</u> .	Total expenses (add lines 8d, 8e, 8f, and 8g)	. 8h					61724	
-	Net income (loss) (subtract line 8h from line 8c)						1106042	
	Transfers to (from) the plan (see instructions)	8j		0				
	t IV Plan Characteristics							
9a	If the plan provides pension benefits, enter the applicable pension 2E 2F 2G 2J 3D	feature co	des from the List of Plan Char	acteris	stic Co	des in	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	Part V Compliance Questions							
10	During the plan year:				Yes	No	Amount	
a	a Was there a failure to transmit to the plan any participant contributions within the time period described i 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 on line 10a.)			10b		Χ		
					X		500000	
	Did the plan have a loss, whether or not reimbursed by the plan's			10c			300000	
	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		9098	
f	instructions.)					X		
g					X		45946	
h	h If this is an individual account plan, was there a blackout period? (See instructions and 29 CFR					X		
	2520.101-3.)			10h				
	exceptions to providing the notice applied under 29 CFR 2520.10			10i				
Part	Part VI Pension Funding Compliance							
11								
11a	1a Enter the unpaid minimum required contribution for current year from Schedule SB (Form 5500) line 39							
12						ERISA? Yes X No		
	(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							
lf	you completed line 12a, complete lines 3, 9, and 10 of Schedule							
	Enter the minimum required contribution for this plan year					12b		

Page	3 -	1
------	-----	---

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			
С	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			