

|                                                                                                                                                                                                       |                                                                                                                                                                                                                                                                                                                                                                                                                                       |                                                                                                         |
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| <b>Form 5500</b><br><br>Department of the Treasury<br>Internal Revenue Service<br><br>Department of Labor<br>Employee Benefits Security<br>Administration<br><br>Pension Benefit Guaranty Corporation | <b>Annual Return/Report of Employee Benefit Plan</b><br><br>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), 6057(b), and 6058(a) of the Internal Revenue Code (the Code).<br><br><p style="text-align: center;">▶ <b>Complete all entries in accordance with the instructions to the Form 5500.</b></p> | OMB Nos. 1210-0110<br>1210-0089<br><br><b>2013</b><br><br><b>This Form is Open to Public Inspection</b> |
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|                                                                                                          |                                                                                                                                                                                                                                           |
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| <b>Part I</b>                                                                                            | <b>Annual Report Identification Information</b>                                                                                                                                                                                           |
| For calendar plan year 2013 or fiscal plan year beginning <u>01/01/2013</u> and ending <u>12/31/2013</u> |                                                                                                                                                                                                                                           |
| A This return/report is for:                                                                             | <input type="checkbox"/> a multiemployer plan; <input type="checkbox"/> a multiple-employer plan; or<br><input checked="" type="checkbox"/> a single-employer plan; <input type="checkbox"/> a DFE (specify) ____                         |
| B This return/report is:                                                                                 | <input type="checkbox"/> the first return/report; <input type="checkbox"/> the final return/report;<br><input type="checkbox"/> an amended return/report; <input type="checkbox"/> a short plan year return/report (less than 12 months). |
| C If the plan is a collectively-bargained plan, check here. . . . .                                      | <input checked="" type="checkbox"/>                                                                                                                                                                                                       |
| D Check box if filing under:                                                                             | <input type="checkbox"/> Form 5558; <input type="checkbox"/> automatic extension; <input type="checkbox"/> the DFVC program;<br><input type="checkbox"/> special extension (enter description)                                            |

|                                                                                                                                                                                                                                                       |                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                                     |            |                                                             |  |                                                             |  |  |  |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------|------------|-------------------------------------------------------------|--|-------------------------------------------------------------|--|--|--|
| <b>Part II</b>                                                                                                                                                                                                                                        | <b>Basic Plan Information</b> —enter all requested information                                                                                                                                                                                                                                                                                                                                                                    |                                                                     |            |                                                             |  |                                                             |  |  |  |
| <b>1a</b> Name of plan<br><u>HANNIBAL USW 401(K) PLAN</u>                                                                                                                                                                                             | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 80%;"><b>1b</b> Three-digit plan number (PN) ▶</td> <td style="width: 20%; text-align: center;"><u>008</u></td> </tr> <tr> <td colspan="2"><b>1c</b> Effective date of plan<br/><u>10/06/1990</u></td> </tr> </table>                                                                                                                   | <b>1b</b> Three-digit plan number (PN) ▶                            | <u>008</u> | <b>1c</b> Effective date of plan<br><u>10/06/1990</u>       |  |                                                             |  |  |  |
| <b>1b</b> Three-digit plan number (PN) ▶                                                                                                                                                                                                              | <u>008</u>                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                                     |            |                                                             |  |                                                             |  |  |  |
| <b>1c</b> Effective date of plan<br><u>10/06/1990</u>                                                                                                                                                                                                 |                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                                     |            |                                                             |  |                                                             |  |  |  |
| <b>2a</b> Plan sponsor's name and address; include room or suite number (employer, if for a single-employer plan)<br><br><u>ORMET PRIMARY ALUMINUM CORPORATION</u><br><br><u>PO BOX 176</u><br><u>STATE ROUTE 7</u><br><u>HANNIBAL, OH 43931-0164</u> | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td colspan="2"><b>2b</b> Employer Identification Number (EIN)<br/><u>34-0819779</u></td> </tr> <tr> <td colspan="2"><b>2c</b> Sponsor's telephone number<br/><u>740-483-2641</u></td> </tr> <tr> <td colspan="2"><b>2d</b> Business code (see instructions)<br/><u>331310</u></td> </tr> <tr> <td colspan="2" style="height: 40px;"></td> </tr> </table> | <b>2b</b> Employer Identification Number (EIN)<br><u>34-0819779</u> |            | <b>2c</b> Sponsor's telephone number<br><u>740-483-2641</u> |  | <b>2d</b> Business code (see instructions)<br><u>331310</u> |  |  |  |
| <b>2b</b> Employer Identification Number (EIN)<br><u>34-0819779</u>                                                                                                                                                                                   |                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                                     |            |                                                             |  |                                                             |  |  |  |
| <b>2c</b> Sponsor's telephone number<br><u>740-483-2641</u>                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                                     |            |                                                             |  |                                                             |  |  |  |
| <b>2d</b> Business code (see instructions)<br><u>331310</u>                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                                     |            |                                                             |  |                                                             |  |  |  |
|                                                                                                                                                                                                                                                       |                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                                     |            |                                                             |  |                                                             |  |  |  |

**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 accompanying schedules, statements and attachments, 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.

|                                                                                                            |                                                                                                 |                               |                                                                                  |
|------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------|-------------------------------|----------------------------------------------------------------------------------|
| <b>SIGN HERE</b>                                                                                           | Filed with authorized/valid electronic signature.<br><br><b>Signature of plan administrator</b> | <u>07/21/2014</u><br><br>Date | <u>LISA RIEDEL</u><br><br>Enter name of individual signing as plan administrator |
| <b>SIGN HERE</b>                                                                                           | <b>Signature of employer/plan sponsor</b>                                                       | Date                          | Enter name of individual signing as employer or plan sponsor                     |
| <b>SIGN HERE</b>                                                                                           | <b>Signature of DFE</b>                                                                         | Date                          | Enter name of individual signing as DFE                                          |
| Preparer's name (including firm name, if applicable) and address; include room or suite number. (optional) |                                                                                                 |                               | Preparer's telephone number (optional)                                           |
|                                                                                                            |                                                                                                 |                               |                                                                                  |

|                                                                                                                                                                                                                                                                                                                                                                                                                            |  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>3a</b> Plan administrator's name and address <input checked="" type="checkbox"/> Same as Plan Sponsor Name <input type="checkbox"/> Same as Plan Sponsor Address                                                                                                                                                                                                                                                        |  | <b>3b</b> Administrator's EIN                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| <b>4</b> If the name and/or EIN of the plan sponsor has changed since the last return/report filed for this plan, enter the name, EIN and the plan number from the last return/report:<br><b>a</b> Sponsor's name                                                                                                                                                                                                          |  | <b>3c</b> Administrator's telephone number<br><br><b>4b</b> EIN<br><b>4c</b> PN                                                                                                                                                                                                                                                                                                                                                                                                                              |
| <b>5</b> Total number of participants at the beginning of the plan year                                                                                                                                                                                                                                                                                                                                                    |  | <b>5</b> 392                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| <b>6</b> Number of participants as of the end of the plan year (welfare plans complete only lines <b>6a</b> , <b>6b</b> , <b>6c</b> , and <b>6d</b> ).                                                                                                                                                                                                                                                                     |  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| <b>a</b> Active participants .....                                                                                                                                                                                                                                                                                                                                                                                         |  | <b>6a</b> 306                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| <b>b</b> Retired or separated participants receiving benefits .....                                                                                                                                                                                                                                                                                                                                                        |  | <b>6b</b> 10                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| <b>c</b> Other retired or separated participants entitled to future benefits .....                                                                                                                                                                                                                                                                                                                                         |  | <b>6c</b> 86                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| <b>d</b> Subtotal. Add lines <b>6a</b> , <b>6b</b> , and <b>6c</b> .....                                                                                                                                                                                                                                                                                                                                                   |  | <b>6d</b> 402                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| <b>e</b> Deceased participants whose beneficiaries are receiving or are entitled to receive benefits .....                                                                                                                                                                                                                                                                                                                 |  | <b>6e</b> 3                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| <b>f</b> Total. Add lines <b>6d</b> and <b>6e</b> .....                                                                                                                                                                                                                                                                                                                                                                    |  | <b>6f</b> 405                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| <b>g</b> Number of participants with account balances as of the end of the plan year (only defined contribution plans complete this item) .....                                                                                                                                                                                                                                                                            |  | <b>6g</b> 385                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| <b>h</b> Number of participants that terminated employment during the plan year with accrued benefits that were less than 100% vested .....                                                                                                                                                                                                                                                                                |  | <b>6h</b> 0                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| <b>7</b> Enter the total number of employers obligated to contribute to the plan (only multiemployer plans complete this item) .....                                                                                                                                                                                                                                                                                       |  | <b>7</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| <b>8a</b> If the plan provides pension benefits, enter the applicable pension feature codes from the List of Plan Characteristics Codes in the instructions:<br>2E 2F 2G 2J 3D 3H                                                                                                                                                                                                                                          |  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| <b>b</b> If the plan provides welfare benefits, enter the applicable welfare feature codes from the List of Plan Characteristics Codes in the instructions:                                                                                                                                                                                                                                                                |  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| <b>9a</b> Plan funding arrangement (check all that apply)<br>(1) <input type="checkbox"/> Insurance<br>(2) <input type="checkbox"/> Code section 412(e)(3) insurance contracts<br>(3) <input checked="" type="checkbox"/> Trust<br>(4) <input type="checkbox"/> General assets of the sponsor                                                                                                                              |  | <b>9b</b> Plan benefit arrangement (check all that apply)<br>(1) <input type="checkbox"/> Insurance<br>(2) <input type="checkbox"/> Code section 412(e)(3) insurance contracts<br>(3) <input checked="" type="checkbox"/> Trust<br>(4) <input type="checkbox"/> General assets of the sponsor                                                                                                                                                                                                                |
| <b>10</b> Check all applicable boxes in 10a and 10b to indicate which schedules are attached, and, where indicated, enter the number attached. (See instructions)                                                                                                                                                                                                                                                          |  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| <b>a Pension Schedules</b><br>(1) <input checked="" type="checkbox"/> <b>R</b> (Retirement Plan Information)<br><br>(2) <input type="checkbox"/> <b>MB</b> (Multiemployer Defined Benefit Plan and Certain Money Purchase Plan Actuarial Information) - signed by the plan actuary<br><br>(3) <input type="checkbox"/> <b>SB</b> (Single-Employer Defined Benefit Plan Actuarial Information) - signed by the plan actuary |  | <b>b General Schedules</b><br>(1) <input checked="" type="checkbox"/> <b>H</b> (Financial Information)<br>(2) <input type="checkbox"/> <b>I</b> (Financial Information – Small Plan)<br>(3) <input type="checkbox"/> <b>A</b> (Insurance Information)<br>(4) <input checked="" type="checkbox"/> <b>C</b> (Service Provider Information)<br>(5) <input checked="" type="checkbox"/> <b>D</b> (DFE/Participating Plan Information)<br>(6) <input type="checkbox"/> <b>G</b> (Financial Transaction Schedules) |

|                                                                                                                                                                                                                           |                                                                                                                                                                                                                        |                                                |
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| <b>SCHEDULE C</b><br><b>(Form 5500)</b><br><br>Department of the Treasury<br>Internal Revenue Service<br><br>Department of Labor<br>Employee Benefits Security Administration<br><br>Pension Benefit Guaranty Corporation | <b>Service Provider Information</b><br><br>This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA).<br><br>▶ <b>File as an attachment to Form 5500.</b> | OMB No. 1210-0110                              |
|                                                                                                                                                                                                                           |                                                                                                                                                                                                                        | <b>2013</b>                                    |
|                                                                                                                                                                                                                           |                                                                                                                                                                                                                        | <b>This Form is Open to Public Inspection.</b> |

For calendar plan year 2013 or fiscal plan year beginning **01/01/2013** and ending **12/31/2013**

|                                                                                                            |                                                                    |
|------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------|
| <b>A</b> Name of plan<br><b>HANNIBAL USW 401(K) PLAN</b>                                                   | <b>B</b> Three-digit plan number (PN) ▶ <b>008</b>                 |
| <b>C</b> Plan sponsor's name as shown on line 2a of Form 5500<br><b>ORMET PRIMARY ALUMINUM CORPORATION</b> | <b>D</b> Employer Identification Number (EIN)<br><b>34-0819779</b> |

**Part I Service Provider Information (see instructions)**

You must complete this Part, in accordance with the instructions, to report the information required for **each person** who received, directly or indirectly, \$5,000 or more in total compensation (i.e., money or anything else of monetary value) in connection with services rendered to the plan or the person's position with the plan during the plan year. If a person received **only** eligible indirect compensation for which the plan received the required disclosures, you are required to answer line 1 but are not required to include that person when completing the remainder of this Part.

**1 Information on Persons Receiving Only Eligible Indirect Compensation**

- a** Check "Yes" or "No" to indicate whether you are excluding a person from the remainder of this Part because they received only eligible indirect compensation for which the plan received the required disclosures (see instructions for definitions and conditions)..... ☒ Yes ☐ No
- b** If you answered line 1a "Yes," enter the name and EIN or address of each person providing the required disclosures for the service providers who received only eligible indirect compensation. Complete as many entries as needed (see instructions).

**(b)** Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation

**AMERICAN BEACON** **4151 AMON CARTER BLVD**  
**FORT WORTH, TX 76155**

**(b)** Enter name and EIN or address of person who provided you disclosure on eligible indirect compensation

**AMERICAN CENTURY** **PO BOX 419200**  
**KANSAS CITY, MO 64141**

**(b)** Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation

**AMERICAN FUNDS** **333 SOUTH HOPE STREET**  
**LOS ANGELES, CA 90071**

**(b)** Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation

**BARON** **767 FIFTH AVENUE,**  
**49TH FLOOR**  
**NEW YORK, NY 10153**

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**(b)** Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation

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BLACKROCK BOND

40 EAST 52ND STREET  
NEW YORK, NY 10022

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**(b)** Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation

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CALVERT FUNDS

4550 MONTGOMERY AVE.  
SUITE 1125N  
BETHESDA, MD 20814

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**(b)** Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation

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FEDERATED

FEDERATED INVESTORS TOWER  
101 LIBERTY AVENUE  
PITTSBURGH, PA 15222

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**(b)** Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation

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FIDELITY ADVISOR

82 DEVONSHIRE ST.  
BOSTON, MA 02109

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**(b)** Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation

---

HARBOR

111 S WACKER DRIVE  
34TH FLOOR  
CHICAGO, IL 60606

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**(b)** Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation

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JANUS

151 DETROIT ST.  
DENVER, CO 80206

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**(b)** Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation

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PIONEER

60 STATE STREET  
BOSTON, MA 02109

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**(b)** Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation

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T. ROWE

100 EAST PRATT STREET  
BALTIMORE, MD 21202

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**(b)** Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation

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THIRD AVENUE

622 THIRD AVENUE  
NEW YORK, NY 10017

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**(b)** Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation

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WELLS FARGO

420 MONTGOMERY STREET  
SAN FRANCISCO, CA 94104

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**(b)** Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation

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**(b)** Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation

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**(b)** Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation

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**(b)** Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation

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**(b)** Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation

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**2. Information on Other Service Providers Receiving Direct or Indirect Compensation.** Except for those persons for whom you answered "Yes" to line 1a above, complete as many entries as needed to list each person receiving, directly or indirectly, \$5,000 or more in total compensation (i.e., money or anything else of value) in connection with services rendered to the plan or their position with the plan during the plan year. (See instructions).

**(a)** Enter name and EIN or address (see instructions)

PNC BANK NA

25-1211909

| (b)<br>Service Code(s) | (c)<br>Relationship to employer, employee organization, or person known to be a party-in-interest | (d)<br>Enter direct compensation paid by the plan. If none, enter -0-. | (e)<br>Did service provider receive indirect compensation? (sources other than plan or plan sponsor) | (f)<br>Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures? | (g)<br>Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-. | (h)<br>Did the service provider give you a formula instead of an amount or estimated amount? |
|------------------------|---------------------------------------------------------------------------------------------------|------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------|
| 59 60 63               | TRUSTEE                                                                                           | 0                                                                      | Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>                                  | Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>                                                            | 0                                                                                                                                                                               | Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>                          |

**(a)** Enter name and EIN or address (see instructions)

| (b)<br>Service Code(s) | (c)<br>Relationship to employer, employee organization, or person known to be a party-in-interest | (d)<br>Enter direct compensation paid by the plan. If none, enter -0-. | (e)<br>Did service provider receive indirect compensation? (sources other than plan or plan sponsor) | (f)<br>Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures? | (g)<br>Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-. | (h)<br>Did the service provider give you a formula instead of an amount or estimated amount? |
|------------------------|---------------------------------------------------------------------------------------------------|------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------|
|                        |                                                                                                   |                                                                        | Yes <input type="checkbox"/> No <input type="checkbox"/>                                             | Yes <input type="checkbox"/> No <input type="checkbox"/>                                                                       |                                                                                                                                                                                 | Yes <input type="checkbox"/> No <input type="checkbox"/>                                     |

**(a)** Enter name and EIN or address (see instructions)

| (b)<br>Service Code(s) | (c)<br>Relationship to employer, employee organization, or person known to be a party-in-interest | (d)<br>Enter direct compensation paid by the plan. If none, enter -0-. | (e)<br>Did service provider receive indirect compensation? (sources other than plan or plan sponsor) | (f)<br>Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures? | (g)<br>Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-. | (h)<br>Did the service provider give you a formula instead of an amount or estimated amount? |
|------------------------|---------------------------------------------------------------------------------------------------|------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------|
|                        |                                                                                                   |                                                                        | Yes <input type="checkbox"/> No <input type="checkbox"/>                                             | Yes <input type="checkbox"/> No <input type="checkbox"/>                                                                       |                                                                                                                                                                                 | Yes <input type="checkbox"/> No <input type="checkbox"/>                                     |

**2. Information on Other Service Providers Receiving Direct or Indirect Compensation.** Except for those persons for whom you answered "Yes" to line 1a above, complete as many entries as needed to list each person receiving, directly or indirectly, \$5,000 or more in total compensation (i.e., money or anything else of value) in connection with services rendered to the plan or their position with the plan during the plan year. (See instructions).

**(a)** Enter name and EIN or address (see instructions)

| <b>(b)</b><br>Service Code(s) | <b>(c)</b><br>Relationship to employer, employee organization, or person known to be a party-in-interest | <b>(d)</b><br>Enter direct compensation paid by the plan. If none, enter -0-. | <b>(e)</b><br>Did service provider receive indirect compensation? (sources other than plan or plan sponsor) | <b>(f)</b><br>Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures? | <b>(g)</b><br>Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-. | <b>(h)</b><br>Did the service provider give you a formula instead of an amount or estimated amount? |
|-------------------------------|----------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------|
|                               |                                                                                                          |                                                                               | Yes <input type="checkbox"/> No <input type="checkbox"/>                                                    | Yes <input type="checkbox"/> No <input type="checkbox"/>                                                                              |                                                                                                                                                                                        | Yes <input type="checkbox"/> No <input type="checkbox"/>                                            |

**(a)** Enter name and EIN or address (see instructions)

| <b>(b)</b><br>Service Code(s) | <b>(c)</b><br>Relationship to employer, employee organization, or person known to be a party-in-interest | <b>(d)</b><br>Enter direct compensation paid by the plan. If none, enter -0-. | <b>(e)</b><br>Did service provider receive indirect compensation? (sources other than plan or plan sponsor) | <b>(f)</b><br>Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures? | <b>(g)</b><br>Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-. | <b>(h)</b><br>Did the service provider give you a formula instead of an amount or estimated amount? |
|-------------------------------|----------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------|
|                               |                                                                                                          |                                                                               | Yes <input type="checkbox"/> No <input type="checkbox"/>                                                    | Yes <input type="checkbox"/> No <input type="checkbox"/>                                                                              |                                                                                                                                                                                        | Yes <input type="checkbox"/> No <input type="checkbox"/>                                            |

**(a)** Enter name and EIN or address (see instructions)

| <b>(b)</b><br>Service Code(s) | <b>(c)</b><br>Relationship to employer, employee organization, or person known to be a party-in-interest | <b>(d)</b><br>Enter direct compensation paid by the plan. If none, enter -0-. | <b>(e)</b><br>Did service provider receive indirect compensation? (sources other than plan or plan sponsor) | <b>(f)</b><br>Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures? | <b>(g)</b><br>Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-. | <b>(h)</b><br>Did the service provider give you a formula instead of an amount or estimated amount? |
|-------------------------------|----------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------|
|                               |                                                                                                          |                                                                               | Yes <input type="checkbox"/> No <input type="checkbox"/>                                                    | Yes <input type="checkbox"/> No <input type="checkbox"/>                                                                              |                                                                                                                                                                                        | Yes <input type="checkbox"/> No <input type="checkbox"/>                                            |

**Part I Service Provider Information (continued)**

**3** If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received \$1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

| (a) Enter service provider name as it appears on line 2                                     | (b) Service Codes<br>(see instructions)                 | (c) Enter amount of indirect compensation |
|---------------------------------------------------------------------------------------------|---------------------------------------------------------|-------------------------------------------|
| PNC BANK, NATIONAL ASSOCIATION                                                              | 60 63                                                   | 0                                         |
| (d) Enter name and EIN (address) of source of indirect compensation                         |                                                         |                                           |
| AMERICAN BEACON SMALL CAP VALUE FUN 4151 AMON CARTER BLVD., MD 2450<br>FORT WORTH, TX 76155 | 25 BASIS POINTS ANNUALLY-63 25 BASIS POINTS ANNUALLY-60 |                                           |
| (a) Enter service provider name as it appears on line 2                                     |                                                         |                                           |
| PNC BANK, NATIONAL ASSOCIATION                                                              | 60 63                                                   | 0                                         |
| (d) Enter name and EIN (address) of source of indirect compensation                         |                                                         |                                           |
| AMERICAN CENTURY EQUITY INCOME FUND P.O. BOX 419385<br>KANSAS CITY, MO 64141                | 25 BASIS POINTS ANNUALLY-63 35 BASIS POINTS ANNUALLY-60 |                                           |
| (a) Enter service provider name as it appears on line 2                                     |                                                         |                                           |
| PNC BANK, NATIONAL ASSOCIATION                                                              | 60 63                                                   | 0                                         |
| (d) Enter name and EIN (address) of source of indirect compensation                         |                                                         |                                           |
| AMERICAN FUNDS - BALANCED FUND A 333 SOUTH HOPE STREET<br>LOS ANGELES, CA 90071             | 25 BASIS POINTS ANNUALLY-63 5 BASIS POINTS ANNUALLY-60  |                                           |

**Part I Service Provider Information (continued)**

**3** If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received \$1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

| (a) Enter service provider name as it appears on line 2                            | (b) Service Codes<br>(see instructions)                | (c) Enter amount of indirect compensation |
|------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------|
| PNC BANK, NATIONAL ASSOCIATION                                                     | 60 63                                                  | 0                                         |
| <b>(d) Enter name and EIN (address) of source of indirect compensation</b>         |                                                        |                                           |
| AMERICAN FUNDS - CAPITAL WORLD GROW 333 SOUTH HOPE STREET<br>LOS ANGELES, CA 90071 | 25 BASIS POINTS ANNUALLY-63 5 BASIS POINTS ANNUALLY-60 |                                           |
| <b>(a) Enter service provider name as it appears on line 2</b>                     |                                                        |                                           |
| PNC BANK, NATIONAL ASSOCIATION                                                     | 60 63                                                  | 0                                         |
| <b>(d) Enter name and EIN (address) of source of indirect compensation</b>         |                                                        |                                           |
| AMERICAN FUNDS - GROWTH FUND OF AME 333 SOUTH HOPE STREET<br>LOS ANGELES, CA 90071 | 25 BASIS POINTS ANNUALLY-63 5 BASIS POINTS ANNUALLY-60 |                                           |
| <b>(a) Enter service provider name as it appears on line 2</b>                     |                                                        |                                           |
| PNC BANK, NATIONAL ASSOCIATION                                                     | 60 63                                                  | 0                                         |
| <b>(d) Enter name and EIN (address) of source of indirect compensation</b>         |                                                        |                                           |
| AMERICAN FUNDS - WASHINGTON MUTUAL 333 SOUTH HOPE STREET<br>LOS ANGELES, CA 90071  | 25 BASIS POINTS ANNUALLY-63 5 BASIS POINTS ANNUALLY-60 |                                           |

**Part I Service Provider Information (continued)**

**3** If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received \$1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

| (a) Enter service provider name as it appears on line 2                          | (b) Service Codes<br>(see instructions)                 | (c) Enter amount of indirect compensation |
|----------------------------------------------------------------------------------|---------------------------------------------------------|-------------------------------------------|
| PNC BANK, NATIONAL ASSOCIATION                                                   | 60 63                                                   | 0                                         |
| <b>(d) Enter name and EIN (address) of source of indirect compensation</b>       |                                                         |                                           |
| BARON ASSET FUND<br>767 FIFTH AVENUE, 49TH FLOOR<br>NEW YORK, NY 10153           | 25 BASIS POINTS ANNUALLY-63 15 BASIS POINTS ANNUALLY-60 |                                           |
| <b>(a) Enter service provider name as it appears on line 2</b>                   |                                                         |                                           |
| PNC BANK, NATIONAL ASSOCIATION                                                   | 60 63                                                   | 0                                         |
| <b>(d) Enter name and EIN (address) of source of indirect compensation</b>       |                                                         |                                           |
| BARON SMALL CAP FUND<br>767 FIFTH AVENUE, 49TH FLOOR<br>NEW YORK, NY 10153       | 25 BASIS POINTS ANNUALLY-63 15 BASIS POINTS ANNUALLY-60 |                                           |
| <b>(a) Enter service provider name as it appears on line 2</b>                   |                                                         |                                           |
| PNC BANK, NATIONAL ASSOCIATION                                                   | 60                                                      | 0                                         |
| <b>(d) Enter name and EIN (address) of source of indirect compensation</b>       |                                                         |                                           |
| BLACKROCK FLEXIBLE EQUITY FUND INST<br>40 EAST 52ND STREET<br>NEW YORK, NY 10022 | 25 BASIS POINTS ANNUALLY-60                             |                                           |

**Part I Service Provider Information (continued)**

**3** If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received \$1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

| (a) Enter service provider name as it appears on line 2                            | (b) Service Codes<br>(see instructions)                                                                                                                            | (c) Enter amount of indirect compensation |
|------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------|
| PNC BANK, NATIONAL ASSOCIATION                                                     | 60 63                                                                                                                                                              | 0                                         |
|                                                                                    |                                                                                                                                                                    |                                           |
| (d) Enter name and EIN (address) of source of indirect compensation                | (e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation. |                                           |
| BLACKROCK GNMA PORTFOLIO A      40 EAST 52ND STREET<br>NEW YORK, NY 10022          | 25 BASIS POINTS ANNUALLY-63 20 BASIS POINTS ANNUALLY-60                                                                                                            |                                           |
|                                                                                    |                                                                                                                                                                    |                                           |
| (a) Enter service provider name as it appears on line 2                            | (b) Service Codes<br>(see instructions)                                                                                                                            | (c) Enter amount of indirect compensation |
| PNC BANK, NATIONAL ASSOCIATION                                                     | 60                                                                                                                                                                 | 0                                         |
|                                                                                    |                                                                                                                                                                    |                                           |
| (d) Enter name and EIN (address) of source of indirect compensation                | (e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation. |                                           |
| BLACKROCK LARGE CAP VALUE FUND INST      40 EAST 52ND STREET<br>NEW YORK, NY 10022 | 25 BASIS POINTS ANNUALLY-60                                                                                                                                        |                                           |
|                                                                                    |                                                                                                                                                                    |                                           |
| (a) Enter service provider name as it appears on line 2                            | (b) Service Codes<br>(see instructions)                                                                                                                            | (c) Enter amount of indirect compensation |
| PNC BANK, NATIONAL ASSOCIATION                                                     | 60                                                                                                                                                                 | 0                                         |
|                                                                                    |                                                                                                                                                                    |                                           |
| (d) Enter name and EIN (address) of source of indirect compensation                | (e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation. |                                           |
| BLACKROCK MID CAP GROWTH PORTFOLIO      40 EAST 52ND STREET<br>NEW YORK, NY 10022  | 25 BASIS POINTS ANNUALLY-60                                                                                                                                        |                                           |

**Part I Service Provider Information (continued)**

**3** If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received \$1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

| (a) Enter service provider name as it appears on line 2                                  | (b) Service Codes<br>(see instructions)                                                                                                                            | (c) Enter amount of indirect compensation |
|------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------|
| PNC BANK, NATIONAL ASSOCIATION                                                           | 60 63                                                                                                                                                              | 0                                         |
| (d) Enter name and EIN (address) of source of indirect compensation                      | (e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation. |                                           |
| BLACKROCK S&P 500 STOCK FUND SVC<br>40 EAST 52ND STREET<br>NEW YORK, NY 10022            | 15 BASIS POINTS ANNUALLY-63 5 BASIS POINTS ANNUALLY-60                                                                                                             |                                           |
| (a) Enter service provider name as it appears on line 2                                  | (b) Service Codes<br>(see instructions)                                                                                                                            | (c) Enter amount of indirect compensation |
| PNC BANK, NATIONAL ASSOCIATION                                                           | 60 63                                                                                                                                                              | 0                                         |
| (d) Enter name and EIN (address) of source of indirect compensation                      | (e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation. |                                           |
| CALVERT INCOME FUND<br>4550 MONTGOMERY AVE., SUITE 1000N<br>BETHESDA, MD 20814           | 25 BASIS POINTS ANNUALLY-63 15 BASIS POINTS ANNUALLY-60                                                                                                            |                                           |
| (a) Enter service provider name as it appears on line 2                                  | (b) Service Codes<br>(see instructions)                                                                                                                            | (c) Enter amount of indirect compensation |
| PNC BANK, NATIONAL ASSOCIATION                                                           | 59 60                                                                                                                                                              | 0                                         |
| (d) Enter name and EIN (address) of source of indirect compensation                      | (e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation. |                                           |
| FEDERATED CAPITAL PRESERVATION FUND<br>FEDERATED INVESTORS TOWER<br>PITTSBURGH, PA 15222 | 5 BASIS POINTS ANNUALLY-60 25 BASIS POINTS ANNUALLY-59                                                                                                             |                                           |

**Part I Service Provider Information (continued)**

**3** If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received \$1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

| (a) Enter service provider name as it appears on line 2                                 | (b) Service Codes<br>(see instructions)                 | (c) Enter amount of indirect compensation |
|-----------------------------------------------------------------------------------------|---------------------------------------------------------|-------------------------------------------|
| PNC BANK, NATIONAL ASSOCIATION                                                          | 60 63                                                   | 0                                         |
| (d) Enter name and EIN (address) of source of indirect compensation                     |                                                         |                                           |
| FIDELITY ADVISOR GROWTH & INCOME FU 82 DEVONSHIRE ST.<br>BOSTON, MA 02109               | 50 BASIS POINTS ANNUALLY-63 10 BASIS POINTS ANNUALLY-60 |                                           |
| (a) Enter service provider name as it appears on line 2                                 |                                                         |                                           |
| PNC BANK, NATIONAL ASSOCIATION                                                          | 60 63                                                   | 0                                         |
| (d) Enter name and EIN (address) of source of indirect compensation                     |                                                         |                                           |
| HARBOR CAPITAL APPRECIATION FUND IN 111 S WACKER DRIVE, 34TH FLOOR<br>CHICAGO, IL 60606 | 25 BASIS POINTS ANNUALLY-63 18 BASIS POINTS ANNUALLY-60 |                                           |
| (a) Enter service provider name as it appears on line 2                                 |                                                         |                                           |
| PNC BANK, NATIONAL ASSOCIATION                                                          | 60 63                                                   | 0                                         |
| (d) Enter name and EIN (address) of source of indirect compensation                     |                                                         |                                           |
| JANUS FORTY FUND CLASS S 151 DETROIT STREET<br>DENVER, CO 80206                         | 25 BASIS POINTS ANNUALLY-63 25 BASIS POINTS ANNUALLY-60 |                                           |

**Part I Service Provider Information (continued)**

**3** If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received \$1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

| (a) Enter service provider name as it appears on line 2                            | (b) Service Codes<br>(see instructions)                                                                                                                            | (c) Enter amount of indirect compensation |
|------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------|
| PNC BANK, NATIONAL ASSOCIATION                                                     | 60 63                                                                                                                                                              | 0                                         |
|                                                                                    |                                                                                                                                                                    |                                           |
| (d) Enter name and EIN (address) of source of indirect compensation                | (e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation. |                                           |
| PIONEER FUND A<br>60 STATE STREET FLOOR 18<br>BOSTON, MA 02109                     | 25 BASIS POINTS ANNUALLY-63 30 BASIS POINTS ANNUALLY-60                                                                                                            |                                           |
|                                                                                    |                                                                                                                                                                    |                                           |
| (a) Enter service provider name as it appears on line 2                            | (b) Service Codes<br>(see instructions)                                                                                                                            | (c) Enter amount of indirect compensation |
| PNC BANK, NATIONAL ASSOCIATION                                                     | 60 63                                                                                                                                                              | 0                                         |
|                                                                                    |                                                                                                                                                                    |                                           |
| (d) Enter name and EIN (address) of source of indirect compensation                | (e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation. |                                           |
| T. ROWE PRICE INTERNATIONAL GROWTH<br>100 EAST PRATT STREET<br>BALTIMORE, MD 21202 | 50 BASIS POINTS ANNUALLY-63 15 BASIS POINTS ANNUALLY-60                                                                                                            |                                           |
|                                                                                    |                                                                                                                                                                    |                                           |
| (a) Enter service provider name as it appears on line 2                            | (b) Service Codes<br>(see instructions)                                                                                                                            | (c) Enter amount of indirect compensation |
| PNC BANK, NATIONAL ASSOCIATION                                                     | 60 63                                                                                                                                                              | 0                                         |
|                                                                                    |                                                                                                                                                                    |                                           |
| (d) Enter name and EIN (address) of source of indirect compensation                | (e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation. |                                           |
| T. ROWE PRICE RETIREMENT 2010 FUND<br>100 EAST PRATT STREET<br>BALTIMORE, MD 21202 | 50 BASIS POINTS ANNUALLY-63 15 BASIS POINTS ANNUALLY-60                                                                                                            |                                           |

**Part I Service Provider Information (continued)**

**3** If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received \$1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

| (a) Enter service provider name as it appears on line 2                            | (b) Service Codes<br>(see instructions)                 | (c) Enter amount of indirect compensation |
|------------------------------------------------------------------------------------|---------------------------------------------------------|-------------------------------------------|
| PNC BANK, NATIONAL ASSOCIATION                                                     | 60 63                                                   | 0                                         |
| <b>(d) Enter name and EIN (address) of source of indirect compensation</b>         |                                                         |                                           |
| T. ROWE PRICE RETIREMENT 2020 FUND<br>100 EAST PRATT STREET<br>BALTIMORE, MD 21202 | 50 BASIS POINTS ANNUALLY-63 15 BASIS POINTS ANNUALLY-60 |                                           |
| <b>(a) Enter service provider name as it appears on line 2</b>                     |                                                         |                                           |
| PNC BANK, NATIONAL ASSOCIATION                                                     | 60 63                                                   | 0                                         |
| <b>(d) Enter name and EIN (address) of source of indirect compensation</b>         |                                                         |                                           |
| T. ROWE PRICE RETIREMENT 2030 FUND<br>100 EAST PRATT STREET<br>BALTIMORE, MD 21202 | 50 BASIS POINTS ANNUALLY-63 15 BASIS POINTS ANNUALLY-60 |                                           |
| <b>(a) Enter service provider name as it appears on line 2</b>                     |                                                         |                                           |
| PNC BANK, NATIONAL ASSOCIATION                                                     | 60 63                                                   | 0                                         |
| <b>(d) Enter name and EIN (address) of source of indirect compensation</b>         |                                                         |                                           |
| T. ROWE PRICE RETIREMENT 2040 FUND<br>100 EAST PRATT STREET<br>BALTIMORE, MD 21202 | 50 BASIS POINTS ANNUALLY-63 15 BASIS POINTS ANNUALLY-60 |                                           |

**Part I Service Provider Information (continued)**

**3** If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received \$1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

| (a) Enter service provider name as it appears on line 2                            | (b) Service Codes<br>(see instructions)                                                                                                                            | (c) Enter amount of indirect compensation |
|------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------|
| PNC BANK, NATIONAL ASSOCIATION                                                     | 60 63                                                                                                                                                              | 0                                         |
| (d) Enter name and EIN (address) of source of indirect compensation                | (e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation. |                                           |
| T. ROWE PRICE RETIREMENT 2050 FUND<br>100 EAST PRATT STREET<br>BALTIMORE, MD 21202 | 50 BASIS POINTS ANNUALLY-63 15 BASIS POINTS ANNUALLY-60                                                                                                            |                                           |
| (a) Enter service provider name as it appears on line 2                            | (b) Service Codes<br>(see instructions)                                                                                                                            | (c) Enter amount of indirect compensation |
| PNC BANK, NATIONAL ASSOCIATION                                                     | 60                                                                                                                                                                 | 0                                         |
| (d) Enter name and EIN (address) of source of indirect compensation                | (e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation. |                                           |
| THIRD AVENUE VALUE FUND<br>622 THIRD AVENUE, 32ND FLOOR<br>NEW YORK, NY 10017      | 35 BASIS POINTS ANNUALLY-60                                                                                                                                        |                                           |
| (a) Enter service provider name as it appears on line 2                            | (b) Service Codes<br>(see instructions)                                                                                                                            | (c) Enter amount of indirect compensation |
| PNC BANK, NATIONAL ASSOCIATION                                                     | 59 60                                                                                                                                                              | 0                                         |
| (d) Enter name and EIN (address) of source of indirect compensation                | (e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation. |                                           |
| WELLS FARGO ADVANTAGE CORE BOND<br>525 MARKET STREET<br>SAN FRANCISCO, CA 94105    | 25 BASIS POINTS ANNUALLY-60 20 BASIS POINTS ANNUALLY-59                                                                                                            |                                           |

**Part II Service Providers Who Fail or Refuse to Provide Information**

**4** Provide, to the extent possible, the following information for each service provider who failed or refused to provide the information necessary to complete this Schedule.

| (a) Enter name and EIN or address of service provider (see instructions) | (b) Nature of Service Code(s) | (c) Describe the information that the service provider failed or refused to provide |
|--------------------------------------------------------------------------|-------------------------------|-------------------------------------------------------------------------------------|
|                                                                          |                               |                                                                                     |
|                                                                          |                               |                                                                                     |
|                                                                          |                               |                                                                                     |
|                                                                          |                               |                                                                                     |
|                                                                          |                               |                                                                                     |
|                                                                          |                               |                                                                                     |
|                                                                          |                               |                                                                                     |
|                                                                          |                               |                                                                                     |
|                                                                          |                               |                                                                                     |
|                                                                          |                               |                                                                                     |
|                                                                          |                               |                                                                                     |

**Part III** **Termination Information on Accountants and Enrolled Actuaries (see instructions)**  
(complete as many entries as needed)

|                    |                     |
|--------------------|---------------------|
| <b>a</b> Name:     | <b>b</b> EIN:       |
| <b>c</b> Position: |                     |
| <b>d</b> Address:  | <b>e</b> Telephone: |
|                    |                     |

Explanation:

|                    |                     |
|--------------------|---------------------|
| <b>a</b> Name:     | <b>b</b> EIN:       |
| <b>c</b> Position: |                     |
| <b>d</b> Address:  | <b>e</b> Telephone: |
|                    |                     |

Explanation:

|                    |                     |
|--------------------|---------------------|
| <b>a</b> Name:     | <b>b</b> EIN:       |
| <b>c</b> Position: |                     |
| <b>d</b> Address:  | <b>e</b> Telephone: |
|                    |                     |

Explanation:

|                    |                     |
|--------------------|---------------------|
| <b>a</b> Name:     | <b>b</b> EIN:       |
| <b>c</b> Position: |                     |
| <b>d</b> Address:  | <b>e</b> Telephone: |
|                    |                     |

Explanation:

|                    |                     |
|--------------------|---------------------|
| <b>a</b> Name:     | <b>b</b> EIN:       |
| <b>c</b> Position: |                     |
| <b>d</b> Address:  | <b>e</b> Telephone: |
|                    |                     |

Explanation:

|                                                                                                                                                                                                               |                                                                                                                                                                                                                              |                                                                                                                                                                                                        |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>SCHEDULE D</b><br><b>(Form 5500)</b><br><br><small>Department of the Treasury<br/>Internal Revenue Service</small><br><br><small>Department of Labor<br/>Employee Benefits Security Administration</small> | <b>DFE/Participating Plan Information</b><br><br>This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA).<br><br><b>► File as an attachment to Form 5500.</b> | OMB No. 1210-0110<br><br><div style="border: 1px solid black; text-align: center; padding: 5px; font-weight: bold; font-size: 1.2em;">2013</div><br><br><b>This Form is Open to Public Inspection.</b> |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

|                                                                                                                                                                |                                                                                                   |                                       |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------|---------------------------------------|
| For calendar plan year 2013 or fiscal plan year beginning <span style="color: blue;">01/01/2013</span> and ending <span style="color: blue;">12/31/2013</span> |                                                                                                   |                                       |
| <b>A</b> Name of plan<br><span style="color: blue;">HANNIBAL USW 401(K) PLAN</span>                                                                            | <b>B</b> Three-digit plan number (PN) <span style="float: right;">►</span>                        | <span style="color: blue;">008</span> |
|                                                                                                                                                                |                                                                                                   |                                       |
| <b>C</b> Plan or DFE sponsor's name as shown on line 2a of Form 5500<br><span style="color: blue;">ORMET PRIMARY ALUMINUM CORPORATION</span>                   | <b>D</b> Employer Identification Number (EIN)<br><br><span style="color: blue;">34-0819779</span> |                                       |

|        |                                                                                                                                                                                  |
|--------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Part I | <b>Information on interests in MTIAs, CCTs, PSAs, and 103-12 IEs (to be completed by plans and DFEs)</b><br>(Complete as many entries as needed to report all interests in DFEs) |
|--------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

|   |                                                                                                             |
|---|-------------------------------------------------------------------------------------------------------------|
| a | Name of MTIA, CCT, PSA, or 103-12 IE: <span style="color: blue;">FEDERATED CAPITAL PRESERVATION FUND</span> |
|---|-------------------------------------------------------------------------------------------------------------|

|   |                                                                                                              |
|---|--------------------------------------------------------------------------------------------------------------|
| b | Name of sponsor of entity listed in (a): <span style="color: blue;">FEDERATED INVESTORS TRUST COMPANY</span> |
|---|--------------------------------------------------------------------------------------------------------------|

|                                                                  |                                                          |                                                                                                                                                             |
|------------------------------------------------------------------|----------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>c</b> EIN-PN <span style="color: blue;">22-2712853-001</span> | <b>d</b> Entity code <span style="color: blue;">C</span> | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) <span style="float: right; color: blue;">6937258</span> |
|------------------------------------------------------------------|----------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------|

|   |                                       |
|---|---------------------------------------|
| a | Name of MTIA, CCT, PSA, or 103-12 IE: |
|---|---------------------------------------|

|   |                                          |
|---|------------------------------------------|
| b | Name of sponsor of entity listed in (a): |
|---|------------------------------------------|

|                 |                      |                                                                                                     |
|-----------------|----------------------|-----------------------------------------------------------------------------------------------------|
| <b>c</b> EIN-PN | <b>d</b> Entity code | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) |
|-----------------|----------------------|-----------------------------------------------------------------------------------------------------|

|   |                                       |
|---|---------------------------------------|
| a | Name of MTIA, CCT, PSA, or 103-12 IE: |
|---|---------------------------------------|

|   |                                          |
|---|------------------------------------------|
| b | Name of sponsor of entity listed in (a): |
|---|------------------------------------------|

|                 |                      |                                                                                                     |
|-----------------|----------------------|-----------------------------------------------------------------------------------------------------|
| <b>c</b> EIN-PN | <b>d</b> Entity code | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) |
|-----------------|----------------------|-----------------------------------------------------------------------------------------------------|

|   |                                       |
|---|---------------------------------------|
| a | Name of MTIA, CCT, PSA, or 103-12 IE: |
|---|---------------------------------------|

|   |                                          |
|---|------------------------------------------|
| b | Name of sponsor of entity listed in (a): |
|---|------------------------------------------|

|                 |                      |                                                                                                     |
|-----------------|----------------------|-----------------------------------------------------------------------------------------------------|
| <b>c</b> EIN-PN | <b>d</b> Entity code | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) |
|-----------------|----------------------|-----------------------------------------------------------------------------------------------------|

|   |                                       |
|---|---------------------------------------|
| a | Name of MTIA, CCT, PSA, or 103-12 IE: |
|---|---------------------------------------|

|   |                                          |
|---|------------------------------------------|
| b | Name of sponsor of entity listed in (a): |
|---|------------------------------------------|

|                 |                      |                                                                                                     |
|-----------------|----------------------|-----------------------------------------------------------------------------------------------------|
| <b>c</b> EIN-PN | <b>d</b> Entity code | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) |
|-----------------|----------------------|-----------------------------------------------------------------------------------------------------|

|   |                                       |
|---|---------------------------------------|
| a | Name of MTIA, CCT, PSA, or 103-12 IE: |
|---|---------------------------------------|

|   |                                          |
|---|------------------------------------------|
| b | Name of sponsor of entity listed in (a): |
|---|------------------------------------------|

|                 |                      |                                                                                                     |
|-----------------|----------------------|-----------------------------------------------------------------------------------------------------|
| <b>c</b> EIN-PN | <b>d</b> Entity code | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) |
|-----------------|----------------------|-----------------------------------------------------------------------------------------------------|

|   |                                       |
|---|---------------------------------------|
| a | Name of MTIA, CCT, PSA, or 103-12 IE: |
|---|---------------------------------------|

|   |                                          |
|---|------------------------------------------|
| b | Name of sponsor of entity listed in (a): |
|---|------------------------------------------|

|                 |                      |                                                                                                     |
|-----------------|----------------------|-----------------------------------------------------------------------------------------------------|
| <b>c</b> EIN-PN | <b>d</b> Entity code | <b>e</b> Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) |
|-----------------|----------------------|-----------------------------------------------------------------------------------------------------|

**a** Name of MTIA, CCT, PSA, or 103-12 IE:**b** Name of sponsor of entity listed in (a):**c** EIN-PN**d** Entity  
code**e** Dollar value of interest in MTIA, CCT, PSA, or  
103-12 IE at end of year (see instructions)**a** Name of MTIA, CCT, PSA, or 103-12 IE:**b** Name of sponsor of entity listed in (a):**c** EIN-PN**d** Entity  
code**e** Dollar value of interest in MTIA, CCT, PSA, or  
103-12 IE at end of year (see instructions)**a** Name of MTIA, CCT, PSA, or 103-12 IE:**b** Name of sponsor of entity listed in (a):**c** EIN-PN**d** Entity  
code**e** Dollar value of interest in MTIA, CCT, PSA, or  
103-12 IE at end of year (see instructions)**a** Name of MTIA, CCT, PSA, or 103-12 IE:**b** Name of sponsor of entity listed in (a):**c** EIN-PN**d** Entity  
code**e** Dollar value of interest in MTIA, CCT, PSA, or  
103-12 IE at end of year (see instructions)**a** Name of MTIA, CCT, PSA, or 103-12 IE:**b** Name of sponsor of entity listed in (a):**c** EIN-PN**d** Entity  
code**e** Dollar value of interest in MTIA, CCT, PSA, or  
103-12 IE at end of year (see instructions)**a** Name of MTIA, CCT, PSA, or 103-12 IE:**b** Name of sponsor of entity listed in (a):**c** EIN-PN**d** Entity  
code**e** Dollar value of interest in MTIA, CCT, PSA, or  
103-12 IE at end of year (see instructions)**a** Name of MTIA, CCT, PSA, or 103-12 IE:**b** Name of sponsor of entity listed in (a):**c** EIN-PN**d** Entity  
code**e** Dollar value of interest in MTIA, CCT, PSA, or  
103-12 IE at end of year (see instructions)**a** Name of MTIA, CCT, PSA, or 103-12 IE:**b** Name of sponsor of entity listed in (a):**c** EIN-PN**d** Entity  
code**e** Dollar value of interest in MTIA, CCT, PSA, or  
103-12 IE at end of year (see instructions)**a** Name of MTIA, CCT, PSA, or 103-12 IE:**b** Name of sponsor of entity listed in (a):**c** EIN-PN**d** Entity  
code**e** Dollar value of interest in MTIA, CCT, PSA, or  
103-12 IE at end of year (see instructions)**a** Name of MTIA, CCT, PSA, or 103-12 IE:**b** Name of sponsor of entity listed in (a):**c** EIN-PN**d** Entity  
code**e** Dollar value of interest in MTIA, CCT, PSA, or  
103-12 IE at end of year (see instructions)

**Part II Information on Participating Plans (to be completed by DFEs)**

(Complete as many entries as needed to report all participating plans)

**a** Plan name**b** Name of  
plan sponsor**c** EIN-PN**a** Plan name**b** Name of  
plan sponsor**c** EIN-PN**a** Plan name**b** Name of  
plan sponsor**c** EIN-PN**a** Plan name**b** Name of  
plan sponsor**c** EIN-PN**a** Plan name**b** Name of  
plan sponsor**c** EIN-PN**a** Plan name**b** Name of  
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plan sponsor**c** EIN-PN**a** Plan name**b** Name of  
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plan sponsor**c** EIN-PN**a** Plan name**b** Name of  
plan sponsor**c** EIN-PN**a** Plan name**b** Name of  
plan sponsor**c** EIN-PN**a** Plan name**b** Name of  
plan sponsor**c** EIN-PN

|                                                                                                                                                                                                                                                                          |                                                                                                                                                                                                                                                                              |                                                                                                          |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------|
| <b>SCHEDULE H</b><br><b>(Form 5500)</b><br><br><small>Department of the Treasury<br/>Internal Revenue Service</small><br><br><small>Department of Labor<br/>Employee Benefits Security Administration</small><br><br><small>Pension Benefit Guaranty Corporation</small> | <b>Financial Information</b><br><br>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).<br><br><b>► File as an attachment to Form 5500.</b> | <small>OMB No. 1210-0110</small><br><br><b>2013</b><br><br><b>This Form is Open to Public Inspection</b> |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------|

|                                                                                                            |                                                                        |            |
|------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------|------------|
| For calendar plan year 2013 or fiscal plan year beginning <u>01/01/2013</u> and ending <u>12/31/2013</u>   |                                                                        |            |
| <b>A</b> Name of plan<br><u>HANNIBAL USW 401(K) PLAN</u>                                                   | <b>B</b> Three-digit plan number (PN) ►                                | <u>008</u> |
| <b>C</b> Plan sponsor's name as shown on line 2a of Form 5500<br><u>ORMET PRIMARY ALUMINUM CORPORATION</u> | <b>D</b> Employer Identification Number (EIN)<br><br><u>34-0819779</u> |            |

| Part I                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | Asset and Liability Statement                                                               |                              |                        |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------|------------------------------|------------------------|
| <b>1</b> Current value of plan assets and liabilities at the beginning and end of the plan year. Combine the value of plan assets held in more than one trust. Report the value of the plan's interest in a commingled fund containing the assets of more than one plan on a line-by-line basis unless the value is reportable on lines 1c(9) through 1c(14). Do not enter the value of that portion of an insurance contract which guarantees, during this plan year, to pay a specific dollar benefit at a future date. <b>Round off amounts to the nearest dollar.</b> MTIAs, CCTs, PSAs, and 103-12 IEs do not complete lines 1b(1), 1b(2), 1c(8), 1g, 1h, and 1i. CCTs, PSAs, and 103-12 IEs also do not complete lines 1d and 1e. See instructions. |                                                                                             |                              |                        |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | <b>Assets</b>                                                                               | <b>(a) Beginning of Year</b> | <b>(b) End of Year</b> |
| <b>a</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | Total noninterest-bearing cash .....                                                        | <b>1a</b>                    |                        |
| <b>b</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | Receivables (less allowance for doubtful accounts):                                         |                              |                        |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | (1) Employer contributions .....                                                            | <b>1b(1)</b>                 |                        |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | (2) Participant contributions .....                                                         | <b>1b(2)</b>                 | 16946                  |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | (3) Other .....                                                                             | <b>1b(3)</b>                 |                        |
| <b>c</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | General investments:                                                                        |                              |                        |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | (1) Interest-bearing cash (include money market accounts & certificates of deposit) .....   | <b>1c(1)</b>                 |                        |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | (2) U.S. Government securities .....                                                        | <b>1c(2)</b>                 |                        |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | (3) Corporate debt instruments (other than employer securities):                            |                              |                        |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | (A) Preferred .....                                                                         | <b>1c(3)(A)</b>              |                        |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | (B) All other .....                                                                         | <b>1c(3)(B)</b>              |                        |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | (4) Corporate stocks (other than employer securities):                                      |                              |                        |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | (A) Preferred .....                                                                         | <b>1c(4)(A)</b>              |                        |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | (B) Common .....                                                                            | <b>1c(4)(B)</b>              |                        |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | (5) Partnership/joint venture interests .....                                               | <b>1c(5)</b>                 |                        |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | (6) Real estate (other than employer real property) .....                                   | <b>1c(6)</b>                 |                        |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | (7) Loans (other than to participants) .....                                                | <b>1c(7)</b>                 |                        |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | (8) Participant loans .....                                                                 | <b>1c(8)</b>                 | 344270 434535          |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | (9) Value of interest in common/collective trusts .....                                     | <b>1c(9)</b>                 | 7446618 6937258        |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | (10) Value of interest in pooled separate accounts .....                                    | <b>1c(10)</b>                |                        |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | (11) Value of interest in master trust investment accounts .....                            | <b>1c(11)</b>                |                        |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | (12) Value of interest in 103-12 investment entities .....                                  | <b>1c(12)</b>                |                        |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | (13) Value of interest in registered investment companies (e.g., mutual funds) .....        | <b>1c(13)</b>                | 6746178 8477497        |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | (14) Value of funds held in insurance company general account (unallocated contracts) ..... | <b>1c(14)</b>                |                        |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | (15) Other .....                                                                            | <b>1c(15)</b>                | 156215 219686          |

**1d** Employer-related investments:

|                                                                      |              | (a) Beginning of Year | (b) End of Year |
|----------------------------------------------------------------------|--------------|-----------------------|-----------------|
| (1) Employer securities .....                                        | <b>1d(1)</b> |                       |                 |
| (2) Employer real property .....                                     | <b>1d(2)</b> |                       |                 |
| <b>e</b> Buildings and other property used in plan operation .....   | <b>1e</b>    |                       |                 |
| <b>f</b> Total assets (add all amounts in lines 1a through 1e) ..... | <b>1f</b>    | 14710227              | 16068976        |

**Liabilities**

|                                                                           |           |   |   |
|---------------------------------------------------------------------------|-----------|---|---|
| <b>g</b> Benefit claims payable .....                                     | <b>1g</b> |   |   |
| <b>h</b> Operating payables .....                                         | <b>1h</b> |   |   |
| <b>i</b> Acquisition indebtedness .....                                   | <b>1i</b> |   |   |
| <b>j</b> Other liabilities .....                                          | <b>1j</b> |   |   |
| <b>k</b> Total liabilities (add all amounts in lines 1g through 1j) ..... | <b>1k</b> | 0 | 0 |

**Net Assets**

|                                                           |           |          |          |
|-----------------------------------------------------------|-----------|----------|----------|
| <b>l</b> Net assets (subtract line 1k from line 1f) ..... | <b>1l</b> | 14710227 | 16068976 |
|-----------------------------------------------------------|-----------|----------|----------|

**Part II Income and Expense Statement**

**2** Plan income, expenses, and changes in net assets for the year. 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. MTIAs, CCTs, PSAs, and 103-12 IEs do not complete lines 2a, 2b(1)(E), 2e, 2f, and 2g.

**Income****a Contributions:**

|                                                                                                            |                 | (a) Amount | (b) Total |
|------------------------------------------------------------------------------------------------------------|-----------------|------------|-----------|
| (1) Received or receivable in cash from: <b>(A)</b> Employers .....                                        | <b>2a(1)(A)</b> | 22810      |           |
| <b>(B)</b> Participants .....                                                                              | <b>2a(1)(B)</b> | 721109     |           |
| <b>(C)</b> Others (including rollovers) .....                                                              | <b>2a(1)(C)</b> | 18570      |           |
| (2) Noncash contributions .....                                                                            | <b>2a(2)</b>    |            |           |
| (3) Total contributions. Add lines <b>2a(1)(A)</b> , <b>(B)</b> , <b>(C)</b> , and line <b>2a(2)</b> ..... | <b>2a(3)</b>    |            | 762489    |

**b Earnings on investments:****(1) Interest:**

|                                                                                                      |                 |       |       |
|------------------------------------------------------------------------------------------------------|-----------------|-------|-------|
| <b>(A)</b> Interest-bearing cash (including money market accounts and certificates of deposit) ..... | <b>2b(1)(A)</b> |       |       |
| <b>(B)</b> U.S. Government securities .....                                                          | <b>2b(1)(B)</b> |       |       |
| <b>(C)</b> Corporate debt instruments .....                                                          | <b>2b(1)(C)</b> |       |       |
| <b>(D)</b> Loans (other than to participants) .....                                                  | <b>2b(1)(D)</b> | 12763 |       |
| <b>(E)</b> Participant loans .....                                                                   | <b>2b(1)(E)</b> |       |       |
| <b>(F)</b> Other .....                                                                               | <b>2b(1)(F)</b> |       |       |
| <b>(G)</b> Total interest. Add lines <b>2b(1)(A)</b> through <b>(F)</b> .....                        | <b>2b(1)(G)</b> |       | 12763 |

|                                                                                           |                 |        |        |
|-------------------------------------------------------------------------------------------|-----------------|--------|--------|
| (2) Dividends: <b>(A)</b> Preferred stock .....                                           | <b>2b(2)(A)</b> |        |        |
| <b>(B)</b> Common stock .....                                                             | <b>2b(2)(B)</b> |        |        |
| <b>(C)</b> Registered investment company shares (e.g. mutual funds) .....                 | <b>2b(2)(C)</b> | 673832 |        |
| <b>(D)</b> Total dividends. Add lines <b>2b(2)(A)</b> , <b>(B)</b> , and <b>(C)</b> ..... | <b>2b(2)(D)</b> |        | 673832 |

|                                                                                           |                 |         |        |
|-------------------------------------------------------------------------------------------|-----------------|---------|--------|
| (3) Rents .....                                                                           | <b>2b(3)</b>    |         |        |
| (4) Net gain (loss) on sale of assets: <b>(A)</b> Aggregate proceeds .....                | <b>2b(4)(A)</b> | 2844672 |        |
| <b>(B)</b> Aggregate carrying amount (see instructions) .....                             | <b>2b(4)(B)</b> | 2626334 |        |
| <b>(C)</b> Subtract line <b>2b(4)(B)</b> from line <b>2b(4)(A)</b> and enter result ..... | <b>2b(4)(C)</b> |         | 218338 |

|                                                                                                    |                 |        |        |
|----------------------------------------------------------------------------------------------------|-----------------|--------|--------|
| (5) Unrealized appreciation (depreciation) of assets: <b>(A)</b> Real estate .....                 | <b>2b(5)(A)</b> |        |        |
| <b>(B)</b> Other .....                                                                             | <b>2b(5)(B)</b> | -50828 |        |
| <b>(C)</b> Total unrealized appreciation of assets. Add lines <b>2b(5)(A)</b> and <b>(B)</b> ..... | <b>2b(5)(C)</b> |        | -50828 |

|                                                                                                |        | (a) Amount | (b) Total |
|------------------------------------------------------------------------------------------------|--------|------------|-----------|
| (6) Net investment gain (loss) from common/collective trusts.....                              | 2b(6)  |            | 131210    |
| (7) Net investment gain (loss) from pooled separate accounts.....                              | 2b(7)  |            |           |
| (8) Net investment gain (loss) from master trust investment accounts.....                      | 2b(8)  |            |           |
| (9) Net investment gain (loss) from 103-12 investment entities.....                            | 2b(9)  |            |           |
| (10) Net investment gain (loss) from registered investment companies (e.g., mutual funds)..... | 2b(10) |            | 1390813   |
| c Other income.....                                                                            | 2c     |            | -72083    |
| d Total income. Add all <b>income</b> amounts in column (b) and enter total.....               | 2d     |            | 3066534   |

**Expenses**

|                                                                                     |       |         |         |
|-------------------------------------------------------------------------------------|-------|---------|---------|
| e Benefit payment and payments to provide benefits:                                 |       |         |         |
| (1) Directly to participants or beneficiaries, including direct rollovers.....      | 2e(1) | 1707290 |         |
| (2) To insurance carriers for the provision of benefits.....                        | 2e(2) |         |         |
| (3) Other.....                                                                      | 2e(3) |         |         |
| (4) Total benefit payments. Add lines 2e(1) through (3).....                        | 2e(4) |         | 1707290 |
| f Corrective distributions (see instructions).....                                  | 2f    |         |         |
| g Certain deemed distributions of participant loans (see instructions).....         | 2g    |         |         |
| h Interest expense.....                                                             | 2h    |         |         |
| i Administrative expenses: (1) Professional fees.....                               | 2i(1) |         |         |
| (2) Contract administrator fees.....                                                | 2i(2) |         |         |
| (3) Investment advisory and management fees.....                                    | 2i(3) | 495     |         |
| (4) Other.....                                                                      | 2i(4) |         |         |
| (5) Total administrative expenses. Add lines 2i(1) through (4).....                 | 2i(5) |         | 495     |
| j Total expenses. Add all <b>expense</b> amounts in column (b) and enter total..... | 2j    |         | 1707785 |

**Net Income and Reconciliation**

|                                                         |       |  |         |
|---------------------------------------------------------|-------|--|---------|
| k Net income (loss). Subtract line 2j from line 2d..... | 2k    |  | 1358749 |
| l Transfers of assets:                                  |       |  |         |
| (1) To this plan.....                                   | 2l(1) |  |         |
| (2) From this plan.....                                 | 2l(2) |  |         |

**Part III Accountant's Opinion**

**3** Complete lines 3a through 3c if the opinion of an independent qualified public accountant is attached to this Form 5500. Complete line 3d if an opinion is not attached.

**a** The attached opinion of an independent qualified public accountant for this plan is (see instructions):

(1) ☐ Unqualified (2) ☐ Qualified (3) ☒ Disclaimer (4) ☐ Adverse

**b** Did the accountant perform a limited scope audit pursuant to 29 CFR 2520.103-8 and/or 103-12(d)?

☒ Yes ☐ No

**c** Enter the name and EIN of the accountant (or accounting firm) below:

(1) Name: PLANTE & MORAN, PLLC

(2) EIN: 38-1357951

**d** The opinion of an independent qualified public accountant is **not attached** because:

(1) ☐ This form is filed for a CCT, PSA, or MTIA. (2) ☐ It will be attached to the next Form 5500 pursuant to 29 CFR 2520.104-50.

**Part IV Compliance Questions**

**4** CCTs and PSAs do not complete Part IV. MTIAs, 103-12 IEs, and GIAs do not complete lines 4a, 4e, 4f, 4g, 4h, 4k, 4m, 4n, or 5. 103-12 IEs also do not complete lines 4j and 4l. MTIAs also do not complete line 4l.

During the plan year:

- a** 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.).....
- b** Were any loans by the plan or fixed income obligations due the plan in default as of the close of the plan year or classified during the year as uncollectible? Disregard participant loans secured by participant's account balance. (Attach Schedule G (Form 5500) Part I if "Yes" is checked.).....

|    | Yes | No | Amount |
|----|-----|----|--------|
| 4a |     | X  |        |
| 4b |     | X  |        |

|                                                                                                                                                                                                                               | Yes | No | Amount  |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|----|---------|
| <b>c</b> Were any leases to which the plan was a party in default or classified during the year as uncollectible? (Attach Schedule G (Form 5500) Part II if "Yes" is checked.) .....                                          |     | X  |         |
| <b>d</b> Were there any nonexempt transactions with any party-in-interest? (Do not include transactions reported on line 4a. Attach Schedule G (Form 5500) Part III if "Yes" is checked.) .....                               |     | X  |         |
| <b>e</b> Was this plan covered by a fidelity bond? .....                                                                                                                                                                      | X   |    | 5000000 |
| <b>f</b> Did the plan have a loss, whether or not reimbursed by the plan's fidelity bond, that was caused by fraud or dishonesty? .....                                                                                       |     | X  |         |
| <b>g</b> 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? .....                                                    |     | X  |         |
| <b>h</b> 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? .....                                          |     | X  |         |
| <b>i</b> Did the plan have assets held for investment? (Attach schedule(s) of assets if "Yes" is checked, and see instructions for format requirements.) .....                                                                | X   |    |         |
| <b>j</b> Were any plan transactions or series of transactions in excess of 5% of the current value of plan assets? (Attach schedule of transactions if "Yes" is checked, and see instructions for format requirements.) ..... |     | X  |         |
| <b>k</b> Were all the plan assets either distributed to participants or beneficiaries, transferred to another plan, or brought under the control of the PBGC? .....                                                           |     | X  |         |
| <b>l</b> Has the plan failed to provide any benefit when due under the plan? .....                                                                                                                                            |     | X  |         |
| <b>m</b> If this is an individual account plan, was there a blackout period? (See instructions and 29 CFR 2520.101-3.) .....                                                                                                  |     | X  |         |
| <b>n</b> 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. ....                                      |     |    |         |

**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. .... ☐ Yes ☒ No Amount:

**5b** 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.)

| 5b(1) Name of plan(s) | 5b(2) EIN(s) | 5b(3) PN(s) |
|-----------------------|--------------|-------------|
|                       |              |             |
|                       |              |             |
|                       |              |             |
|                       |              |             |

**5c** If the plan is a defined benefit plan, is it covered under the PBGC insurance program (see ERISA section 4021)? ..... ☐ Yes ☐ No ☐ Not determined

## Part V Trust Information (optional)

|                         |                       |
|-------------------------|-----------------------|
| <b>6a</b> Name of trust | <b>6b</b> Trust's EIN |
|                         |                       |

|                                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                            |                                                                                            |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------|
| <b>SCHEDULE R</b><br><b>(Form 5500)</b><br><br>Department of the Treasury<br>Internal Revenue Service<br><br>Department of Labor<br>Employee Benefits Security Administration<br><br>Pension Benefit Guaranty Corporation | <b>Retirement Plan Information</b><br><br>This schedule is required to be filed under section 104 and 4065 of the Employee Retirement Income Security Act of 1974 (ERISA) and section 6058(a) of the Internal Revenue Code (the Code).<br><br>▶ <b>File as an attachment to Form 5500.</b> | OMB No. 1210-0110<br><br><b>2013</b><br><br><b>This Form is Open to Public Inspection.</b> |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------|

For calendar plan year 2013 or fiscal plan year beginning 01/01/2013 and ending 12/31/2013

|                                                                                                            |                                                                    |
|------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------|
| <b>A</b> Name of plan<br><u>HANNIBAL USW 401(K) PLAN</u>                                                   | <b>B</b> Three-digit plan number (PN) ▶<br><u>008</u>              |
| <b>C</b> Plan sponsor's name as shown on line 2a of Form 5500<br><u>ORMET PRIMARY ALUMINUM CORPORATION</u> | <b>D</b> Employer Identification Number (EIN)<br><u>34-0819779</u> |

|               |                      |
|---------------|----------------------|
| <b>Part I</b> | <b>Distributions</b> |
|---------------|----------------------|

All references to distributions relate only to payments of benefits during the plan year.

|                                                                                                                                                                                                                                                                    |          |          |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------|----------|
| <b>1</b> Total value of distributions paid in property other than in cash or the forms of property specified in the instructions.....                                                                                                                              | <b>1</b> | <u>0</u> |
| <b>2</b> Enter the EIN(s) of payor(s) who paid benefits on behalf of the plan to participants or beneficiaries during the year (if more than two, enter EINs of the two payors who paid the greatest dollar amounts of benefits):<br><br>EIN(s): <u>25-1211909</u> |          |          |
| <b>Profit-sharing plans, ESOPs, and stock bonus plans, skip line 3.</b>                                                                                                                                                                                            |          |          |
| <b>3</b> Number of participants (living or deceased) whose benefits were distributed in a single sum, during the plan year.....                                                                                                                                    | <b>3</b> |          |

|                |                                                                                                                                                                              |
|----------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Part II</b> | <b>Funding Information</b> (If the plan is not subject to the minimum funding requirements of section 412 of the Internal Revenue Code or ERISA section 302, skip this Part) |
|----------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

|                                                                                                                                                                                                                                                                                                                                                                           |                              |                             |                              |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------|-----------------------------|------------------------------|
| <b>4</b> Is the plan administrator making an election under Code section 412(d)(2) or ERISA section 302(d)(2)?.....                                                                                                                                                                                                                                                       | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A |
| <b>If the plan is a defined benefit plan, go to line 8.</b>                                                                                                                                                                                                                                                                                                               |                              |                             |                              |
| <b>5</b> 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 ruling letter granting the waiver. <b>Date:</b> Month _____ Day _____ Year _____<br><b>If you completed line 5, complete lines 3, 9, and 10 of Schedule MB and do not complete the remainder of this schedule.</b> |                              |                             |                              |
| <b>6 a</b> Enter the minimum required contribution for this plan year (include any prior year accumulated funding deficiency not waived).....                                                                                                                                                                                                                             | <b>6a</b>                    |                             |                              |
| <b>b</b> Enter the amount contributed by the employer to the plan for this plan year.....                                                                                                                                                                                                                                                                                 | <b>6b</b>                    |                             |                              |
| <b>c</b> Subtract the amount in line 6b from the amount in line 6a. Enter the result (enter a minus sign to the left of a negative amount) .....                                                                                                                                                                                                                          | <b>6c</b>                    |                             |                              |
| <b>If you completed line 6c, skip lines 8 and 9.</b>                                                                                                                                                                                                                                                                                                                      |                              |                             |                              |
| <b>7</b> Will the minimum funding amount reported on line 6c be met by the funding deadline?.....                                                                                                                                                                                                                                                                         | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A |
| <b>8</b> If a change in actuarial cost method was made for this plan year pursuant to a revenue procedure or other authority providing automatic approval for the change or a class ruling letter, does the plan sponsor or plan administrator agree with the change?.....                                                                                                | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A |

|                 |                   |
|-----------------|-------------------|
| <b>Part III</b> | <b>Amendments</b> |
|-----------------|-------------------|

|                                                                                                                                                                                                                            |                                   |                                   |                               |                             |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------|-----------------------------------|-------------------------------|-----------------------------|
| <b>9</b> If this is a defined benefit pension plan, were any amendments adopted during this plan year that increased or decreased the value of benefits? If yes, check the appropriate box. If no, check the "No" box..... | <input type="checkbox"/> Increase | <input type="checkbox"/> Decrease | <input type="checkbox"/> Both | <input type="checkbox"/> No |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------|-----------------------------------|-------------------------------|-----------------------------|

|                |                                                                                                                                                   |
|----------------|---------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Part IV</b> | <b>ESOPs</b> (see instructions). If this is not a plan described under Section 409(a) or 4975(e)(7) of the Internal Revenue Code, skip this Part. |
|----------------|---------------------------------------------------------------------------------------------------------------------------------------------------|

|                                                                                                                                                                                             |                              |                             |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------|-----------------------------|
| <b>10</b> Were unallocated employer securities or proceeds from the sale of unallocated securities used to repay any exempt loan? .....                                                     | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| <b>11 a</b> Does the ESOP hold any preferred stock? .....                                                                                                                                   | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| <b>b</b> If the ESOP has an outstanding exempt loan with the employer as lender, is such loan part of a "back-to-back" loan? (See instructions for definition of "back-to-back" loan.)..... | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| <b>12</b> Does the ESOP hold any stock that is not readily tradable on an established securities market? .....                                                                              | <input type="checkbox"/> Yes | <input type="checkbox"/> No |

**Part V Additional Information for Multiemployer Defined Benefit Pension Plans**

**13** Enter the following information for each employer that contributed more than 5% of total contributions to the plan during the plan year (measured in dollars). See instructions. *Complete as many entries as needed to report all applicable employers.*

**a** Name of contributing employer

**b** EIN

**c** Dollar amount contributed by employer

**d** Date collective bargaining agreement expires (If employer contributes under more than one collective bargaining agreement, check box ☐ and see instructions regarding required attachment. Otherwise, enter the applicable date.) Month \_\_\_\_\_ Day \_\_\_\_\_ Year \_\_\_\_\_

**e** Contribution rate information (If more than one rate applies, check this box ☐ and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)

(1) Contribution rate (in dollars and cents) \_\_\_\_\_

(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): \_\_\_\_\_

**a** Name of contributing employer

**b** EIN

**c** Dollar amount contributed by employer

**d** Date collective bargaining agreement expires (If employer contributes under more than one collective bargaining agreement, check box ☐ and see instructions regarding required attachment. Otherwise, enter the applicable date.) Month \_\_\_\_\_ Day \_\_\_\_\_ Year \_\_\_\_\_

**e** Contribution rate information (If more than one rate applies, check this box ☐ and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)

(1) Contribution rate (in dollars and cents) \_\_\_\_\_

(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): \_\_\_\_\_

**a** Name of contributing employer

**b** EIN

**c** Dollar amount contributed by employer

**d** Date collective bargaining agreement expires (If employer contributes under more than one collective bargaining agreement, check box ☐ and see instructions regarding required attachment. Otherwise, enter the applicable date.) Month \_\_\_\_\_ Day \_\_\_\_\_ Year \_\_\_\_\_

**e** Contribution rate information (If more than one rate applies, check this box ☐ and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)

(1) Contribution rate (in dollars and cents) \_\_\_\_\_

(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): \_\_\_\_\_

**a** Name of contributing employer

**b** EIN

**c** Dollar amount contributed by employer

**d** Date collective bargaining agreement expires (If employer contributes under more than one collective bargaining agreement, check box ☐ and see instructions regarding required attachment. Otherwise, enter the applicable date.) Month \_\_\_\_\_ Day \_\_\_\_\_ Year \_\_\_\_\_

**e** Contribution rate information (If more than one rate applies, check this box ☐ and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)

(1) Contribution rate (in dollars and cents) \_\_\_\_\_

(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): \_\_\_\_\_

**a** Name of contributing employer

**b** EIN

**c** Dollar amount contributed by employer

**d** Date collective bargaining agreement expires (If employer contributes under more than one collective bargaining agreement, check box ☐ and see instructions regarding required attachment. Otherwise, enter the applicable date.) Month \_\_\_\_\_ Day \_\_\_\_\_ Year \_\_\_\_\_

**e** Contribution rate information (If more than one rate applies, check this box ☐ and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)

(1) Contribution rate (in dollars and cents) \_\_\_\_\_

(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): \_\_\_\_\_

**a** Name of contributing employer

**b** EIN

**c** Dollar amount contributed by employer

**d** Date collective bargaining agreement expires (If employer contributes under more than one collective bargaining agreement, check box ☐ and see instructions regarding required attachment. Otherwise, enter the applicable date.) Month \_\_\_\_\_ Day \_\_\_\_\_ Year \_\_\_\_\_

**e** Contribution rate information (If more than one rate applies, check this box ☐ and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)

(1) Contribution rate (in dollars and cents) \_\_\_\_\_

(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): \_\_\_\_\_

- 14** Enter the number of participants on whose behalf no contributions were made by an employer as an employer of the participant for:

|                                                                          |            |  |
|--------------------------------------------------------------------------|------------|--|
| <b>a</b> The current year .....                                          | <b>14a</b> |  |
| <b>b</b> The plan year immediately preceding the current plan year ..... | <b>14b</b> |  |
| <b>c</b> The second preceding plan year .....                            | <b>14c</b> |  |

- 15** Enter the ratio of the number of participants under the plan on whose behalf no employer had an obligation to make an employer contribution during the current plan year to:

|                                                                                                       |            |  |
|-------------------------------------------------------------------------------------------------------|------------|--|
| <b>a</b> The corresponding number for the plan year immediately preceding the current plan year ..... | <b>15a</b> |  |
| <b>b</b> The corresponding number for the second preceding plan year .....                            | <b>15b</b> |  |

- 16** Information with respect to any employers who withdrew from the plan during the preceding plan year:

|                                                                                                                                                                        |            |  |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------|--|
| <b>a</b> Enter the number of employers who withdrew during the preceding plan year .....                                                                               | <b>16a</b> |  |
| <b>b</b> If line 16a is greater than 0, enter the aggregate amount of withdrawal liability assessed or estimated to be assessed against such withdrawn employers ..... | <b>16b</b> |  |

- 17** If assets and liabilities from another plan have been transferred to or merged with this plan during the plan year, check box and see instructions regarding supplemental information to be included as an attachment. .... ☐

**Part VI Additional Information for Single-Employer and Multiemployer Defined Benefit Pension Plans**

- 18** If any liabilities to participants or their beneficiaries under the plan as of the end of the plan year consist (in whole or in part) of liabilities to such participants and beneficiaries under two or more pension plans as of immediately before such plan year, check box and see instructions regarding supplemental information to be included as an attachment .... ☐

- 19** If the total number of participants is 1,000 or more, complete lines (a) through (c)

**a** Enter the percentage of plan assets held as:  
 Stock: \_\_\_\_\_% Investment-Grade Debt: \_\_\_\_\_% High-Yield Debt: \_\_\_\_\_% Real Estate: \_\_\_\_\_% Other: \_\_\_\_\_%

**b** Provide the average duration of the combined investment-grade and high-yield debt:  
☐ 0-3 years ☐ 3-6 years ☐ 6-9 years ☐ 9-12 years ☐ 12-15 years ☐ 15-18 years ☐ 18-21 years ☐ 21 years or more

**c** What duration measure was used to calculate line 19(b)?  
☐ Effective duration ☐ Macaulay duration ☐ Modified duration ☐ Other (specify): \_\_\_\_\_

# **Hannibal USW 401(k) Plan**

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**Financial Report  
December 31, 2013**

# **Hannibal USW 401(k) Plan**

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## **Contents**

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## Independent Auditor's Report

To the Plan Administrator  
Hannibal USW 401(k) Plan

### **Report on the Financial Statements**

We were engaged to audit the accompanying financial statements of Hannibal USW 401(k) Plan (formerly known as Ormet Primary Aluminum Corporation United Steelworkers of America 401(k) Plan, Hannibal, Ohio) (the "Plan"), which comprise the statement of net assets available for benefits as of December 31, 2013 and 2012 and the related statement of changes in net assets available for benefits for the years then ended, and the related notes to the financial statements.

### ***Management's Responsibility for the Financial Statements***

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

### ***Auditor's Responsibility***

Our responsibility is to express an opinion on these financial statements based on conducting the audits in accordance with auditing standards generally accepted in the United States of America. Because of the matter described in the *Basis for Disclaimer of Opinion* paragraph, however, we were not able to obtain sufficient appropriate audit evidence to provide a basis for an audit opinion.

### ***Basis for Disclaimer of Opinion***

As permitted by 29 CFR 2520.103-8 of the Department of Labor's Rules and Regulations for Reporting and Disclosure under the Employee Retirement Income Security Act of 1974 (ERISA), the plan administrator instructed us not to perform, and we did not perform, any auditing procedures with respect to the information summarized in Note 3, which was certified by PNC Bank, NA (PNC, the "Custodian"). We have been informed by the plan administrator that PNC holds the Plan's investment assets and participant notes receivable and executes related transactions. The plan administrator has obtained certifications from PNC as of and for the years ended December 31, 2013 and 2012 that the information provided to the plan administrator by PNC is complete and accurate.

To the Plan Administrator  
Hannibal USW 401(k) Plan

***Disclaimer of Opinion***

Because of the significance of the matter described in the *Basis for Disclaimer of Opinion* paragraph, we have not been able to obtain sufficient appropriate audit evidence to provide a basis for an audit opinion. Accordingly, we do not express an opinion on these financial statements.

***Emphasis of Matter***

The financial statements have been prepared assuming the Plan will not be terminated and will continue as a going concern. As explained in Note 6, the plan sponsor filed a voluntary petition for reorganization relief under Chapter 11 of the Bankruptcy Code in the United States Bankruptcy Court for the District of Delaware during the year. This factor raises substantial doubt about the Plan's ability to continue as a going concern. The financial statements do not include any adjustments that might result from the outcome of this uncertainty. Our opinion is not modified with respect to this matter.

***Other Matter***

The supplemental schedule of assets held at end of year as of December 31, 2013 is required by the Department of Labor's (DOL) Rules and Regulations for Reporting and Disclosure under ERISA and is presented for the purpose of additional analysis and is not a required part of the financial statements. Because of the significance of the matter described in the *Basis for Disclaimer of Opinion* paragraph, we do not express an opinion on this supplemental schedule.

**Report on Form and Content in Compliance with DOL Rules and Regulations**

The form and content of the information included in the financial statements and supplemental schedule, other than that derived from the information certified by the Custodian, have been audited by us in accordance with auditing standards generally accepted in the United States of America and, in our opinion, are presented in compliance with the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA.

*Plante & Morse, PLLC*

Southfield, Michigan  
July 3, 2014

# Hannibal USW 401(k) Plan

## Statement of Net Assets Available for Benefits

|                                                                                                                                                            | December 31,<br>2013 | December 31,<br>2012 |
|------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------|----------------------|
| <b>Assets</b>                                                                                                                                              |                      |                      |
| Participant-directed investments (Notes 2 and 3):                                                                                                          |                      |                      |
| Mutual funds:                                                                                                                                              |                      |                      |
| BlackRock Mid-Cap Growth Fund                                                                                                                              | \$ 2,723,025         | \$ 2,132,346         |
| BlackRock Mid-Cap Value Fund (f/k/a BlackRock Flexible Equity Fund Institutional)                                                                          | 2,106,597            | 1,804,849            |
| BlackRock Large Value Inst                                                                                                                                 | 1,505,899            | 1,258,267            |
| Am Beacon Sm Cap Value Fund                                                                                                                                | 68,390               | 33,482               |
| American Balanced Fund                                                                                                                                     | 44,917               | 37,636               |
| American Cap World Growth & Income                                                                                                                         | 252,396              | 142,921              |
| American Century Equity Income                                                                                                                             | 15,205               | 9,591                |
| Growth Fund of America                                                                                                                                     | 62,933               | 40,294               |
| Washington Mutual Investors                                                                                                                                | 22,562               | 13,373               |
| Baron Asset Fund                                                                                                                                           | 40,743               | 26,712               |
| Baron Small Cap Fund                                                                                                                                       | 89,225               | 70,687               |
| BlackRock GNMA Class A                                                                                                                                     | 58,753               | 111,691              |
| BlackRock Index Equity Cls A                                                                                                                               | -                    | 16,666               |
| Calvert Income                                                                                                                                             | 37,805               | 44,586               |
| Fidelity Advisor Growth & Inc                                                                                                                              | 72,080               | 42,036               |
| Janus Forty Fund S                                                                                                                                         | 741,912              | 472,892              |
| Third Avenue Value Fund                                                                                                                                    | 82,182               | 65,550               |
| T. Rowe Int'l Growth & Income R                                                                                                                            | 38,152               | 30,539               |
| T. Rowe Ret 2010 R                                                                                                                                         | 45,505               | 37,922               |
| T. Rowe Ret 2020 R                                                                                                                                         | 276,461              | 256,235              |
| T. Rowe Ret 2030 R                                                                                                                                         | 95,821               | 70,188               |
| T. Rowe Ret 2040 R                                                                                                                                         | 17,894               | 11,684               |
| Pioneer Fund Class A                                                                                                                                       | 33,108               | 9,988                |
| T. Rowe Ret 2050 R                                                                                                                                         | 5,140                | 3,583                |
| Harbor Capital Appreciation Fd                                                                                                                             | 1,277                | 858                  |
| Wells Fargo Adv Core Bond                                                                                                                                  | 1,699                | 1,602                |
| BlackRock S&P 500 Stock Fund Service                                                                                                                       | 37,816               | -                    |
| Common collective trust fund -                                                                                                                             |                      |                      |
| Federated Capital Preservation Fund                                                                                                                        | 6,957,283            | 7,577,828            |
| Self-directed brokerage account investments                                                                                                                | 219,686              | 156,215              |
| Total participant-directed investments                                                                                                                     | 15,654,466           | 14,480,221           |
| Employee contributions receivable                                                                                                                          | -                    | 16,946               |
| Participant notes receivable                                                                                                                               | 434,535              | 344,270              |
| <b>Net Assets Reflecting All Investments at Fair Value</b>                                                                                                 | 16,089,001           | 14,841,437           |
| <b>Adjustment from Fair Value to Contract Value for Interest in Common Collective Trust Fund Relating to Fully Benefit-responsive Investment Contracts</b> | (20,025)             | (131,210)            |
| <b>Net Assets Available for Benefits</b>                                                                                                                   | <b>\$ 16,068,976</b> | <b>\$ 14,710,227</b> |

# Hannibal USW 401(k) Plan

## Statement of Changes in Net Assets Available for Benefits

|                                                                                             | Year Ended           |                      |
|---------------------------------------------------------------------------------------------|----------------------|----------------------|
|                                                                                             | December 31,<br>2013 | December 31,<br>2012 |
| <b>Additions to Net Assets</b>                                                              |                      |                      |
| Contributions:                                                                              |                      |                      |
| Employee                                                                                    | \$ 721,109           | \$ 1,066,323         |
| Employer                                                                                    | 22,810               | -                    |
| Rollovers                                                                                   | 18,570               | 4,581                |
| Total contributions                                                                         | 762,489              | 1,070,904            |
| Investment income:                                                                          |                      |                      |
| Interest and dividends                                                                      | 673,832              | 167,706              |
| Net realized and unrealized gains from:                                                     |                      |                      |
| Mutual funds                                                                                | 1,613,297            | 681,379              |
| Self-directed brokerage account investments                                                 | 4,153                | 2,265                |
| Net realized and unrealized gains                                                           | 1,617,450            | 683,644              |
| Other investment income                                                                     | -                    | 152                  |
| Total investment income                                                                     | 2,291,282            | 851,502              |
| Interest from participant notes receivable                                                  | 12,763               | 12,061               |
| Total additions                                                                             | 3,066,534            | 1,934,467            |
| <b>Deductions from Net Assets</b> - Benefits paid directly to participants or beneficiaries | 1,707,785            | 776,935              |
| <b>Net Increase Before Other Changes</b>                                                    | 1,358,749            | 1,157,532            |
| <b>Transfers Out</b> (Note 7)                                                               | -                    | (37,552)             |
| <b>Net Increase</b>                                                                         | 1,358,749            | 1,119,980            |
| <b>Net Assets Available for Benefits</b>                                                    |                      |                      |
| Beginning of year                                                                           | 14,710,227           | 13,590,247           |
| End of year                                                                                 | <b>\$ 16,068,976</b> | <b>\$ 14,710,227</b> |

# Hannibal USW 401(k) Plan

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## Notes to Financial Statements December 31, 2013 and 2012

### Note 1 - Plan Description

The following description of Hannibal USW 401(k) Plan (formerly known as Ormet Primary Aluminum Corporation United Steelworkers of America 401(k) Plan, Hannibal, Ohio) (the "Plan") provides only general information. Participants should refer to the plan agreement for a more complete description of the Plan's provisions.

The Plan was amended and restated effective November 15, 2013. The amendment and restatement changed the Plan name as discussed previously and implemented an employer matching contribution and a fixed contribution that are subject to vesting provisions as further described below.

**General** - The Plan is a defined contribution plan covering substantially all hourly employees of Ormet Primary Aluminum Corporation's (the "Company") Hannibal, Ohio facility who are represented by a collective bargaining unit. The Plan is subject to the provisions of the Employee Retirement Income Security Act of 1974 (ERISA).

**Contributions** - The Plan provides for employee salary 401(k) contributions up to a maximum of 15 percent of annual compensation and up to 100 percent of any bonus amount, subject to maximum tax-deferred limitations established by the Internal Revenue Code. Prior to the aforementioned restatement and amendment, the Plan did not provide for employer contributions. Participants may also make contributions to the Plan in the form of a rollover of funds from another qualified plan.

Effective with the plan amendment and restatement, the Company makes matching contributions as defined in the plan document. The Company matches 100 percent of the first 3 percent of an eligible participant's deferral and 50 percent of the next 2 percent deferred. Matching contributions amounted to approximately \$3,500 and \$0 for the years ended December 31, 2013 and 2012, respectively.

Also effective with the plan amendment and restatement, the Company makes fixed contributions as defined in the plan document based on age and years of service. Contributions can range from 2.5 percent to 10.5 percent of an eligible participant's compensation. Fixed contributions amounted to approximately \$19,300 and \$0 for the years ended December 31, 2013 and 2012, respectively.

**Participant Accounts** - Each participant's account is credited with the participant's contribution, Company matching and fixed contributions, rollovers, and plan earnings. Allocations are based on participants' account balances on a daily basis, as defined by the Plan.

**Vesting** - All accounts, other than the Company matching and fixed contributions, are fully vested and nonforfeitable at all times. Participants are not vested in Company matching and fixed contributions until they have completed three years of service or normal retirement age of 65.

# Hannibal USW 401(k) Plan

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## Notes to Financial Statements December 31, 2013 and 2012

### Note 1 - Plan Description (Continued)

**Forfeitures** - If a participant is not fully vested on his or her termination date, the nonvested amount of the account is forfeited. Forfeitures are used to reduce future Company contributions or to pay administrative expenses of the Plan.

**Participant Notes Receivable** - Participants may borrow from their accounts up to the lesser of \$50,000 or 50 percent of their account balances. Participants may borrow funds for a term of no more than five years, unless the note is used to purchase a primary residence. The notes receivable must be adequately secured, subject to a market rate of interest, and repaid by means of payroll deduction.

**Payment of Benefits** - Distributions are payable upon retirement, death, disability, or termination of employment in the form of a lump-sum amount, installment payments, a life annuity, or a joint 50 percent survivor annuity equal to the value of the participant's account.

**Hardship Withdrawals** - Participants may request that all or a portion of their accounts be distributed in the case of severe financial hardship, as defined in the plan agreement. The Company's pension committee must approve any such hardship withdrawals.

**Termination** - While it has not expressed any intent to do so, the Company has the right to terminate the Plan subject to the provisions set forth in the labor agreement and ERISA. Upon termination of the Plan, participants become 100 percent vested in their account balances.

**Party-in-interest Transactions** - Certain plan assets are in investment funds managed by PNC Bank, NA. PNC Bank, NA is the custodian of the Plan; therefore, these transactions qualify as party-in-interest transactions as defined under ERISA guidelines.

# Hannibal USW 401(k) Plan

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## Notes to Financial Statements December 31, 2013 and 2012

### Note 2 - Summary of Significant Accounting Policies

**Investment Valuation** - The Plan's investments are stated at fair value except as noted below. The common collective trust fund investment is valued at contract value. Contract value represents investments at cost, plus accrued interest income, less amounts withdrawn to pay benefits. The fair value of the common collective trust fund is based on the fair value of the underlying net assets at the measurement date by the issuer of the funds. The Plan's interest in the common collective trust fund is based on its proportionate ownership interest in the fair value of the common collective trust fund. The common collective trust fund primarily holds guaranteed investment contracts, fixed-income securities, wrapper contracts, and money market funds. The fair value of the guaranteed investment contract is based on current yields of similar instruments with comparable durations taking into account the contract terms including interest reset intervals and the credit rating of the issuer. The fair value of the fixed-income securities is valued using quoted market prices or other market data for the same or comparable instruments and transactions in establishing the prices, discounted cash flow models, and other pricing models. These models are primarily industry standard models that consider various assumptions, including time value and yield curve as well as other relevant economic measures. The money market funds are valued at amortized cost, which approximates fair value. The fair value of wrapper contracts provided by the contract issuer is based on the replacement cost methodology which is the present value of the difference between the replacement wrapper fee and the contracted wrapper fee.

Additionally, the Plan allows participants to invest in self-directed brokerage accounts. The self-directed brokerage accounts include various investments in publicly traded securities and money market funds. The self-directed brokerage account investments are valued based on quoted markets prices of the underlying investments. Mutual funds are valued based on quoted market prices. See Note 5 for additional information.

The methods described above may produce a fair value calculation that may not be indicative of net realizable value or reflective of future fair values. Furthermore, while the Plan believes its valuation methods are appropriate and consistent with other market participants, the use of different methodologies or assumptions to determine the fair value of certain financial instruments could result in a different fair value measurement at the reporting date.

**Participant Notes Receivable** - Participant notes receivable are recorded at their unpaid principal balances plus any accrued interest. Participant notes receivable are written off when deemed uncollectible.

**Benefit Payments** - Benefits are recorded when paid.

**Administrative Expenses** - Various administrative costs are paid by the Company.

# Hannibal USW 401(k) Plan

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## Notes to Financial Statements December 31, 2013 and 2012

### Note 2 - Summary of Significant Accounting Policies (Continued)

**Use of Estimates** - The preparation of financial statements in conformity with accounting principles generally accepted in the United States of America requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities and changes therein and disclosure of contingent assets and liabilities. Actual results could differ from those estimates.

**Risks and Uncertainties** - The Plan invests in various investment securities. Investment securities are exposed to various risks such as interest rate, market, and credit risks. Due to the level of risk associated with certain investment securities, it is at least reasonably possible that changes in the values of investment securities will occur in the near term and that such changes could materially affect participants' account balances and the amounts reported in the statement of net assets available for benefits.

**Subsequent Events** - The financial statements and related disclosures include evaluation of events up through and including July 3, 2014, which is the date the financial statements were available to be issued.

### Note 3 - Unaudited Information

PNC Bank, NA (PNC) holds the Plan's investments and participant notes receivable and executes all related transactions. The investment and participant notes receivable balances and related income and losses included in the accompanying financial statements and supplemental schedule of assets held at end of year are based solely on information provided by PNC. The investment and participant notes receivable balances and related income and losses were certified by PNC as of and for the years ended December 31, 2013 and 2012.

### Note 4 - Tax Status

As discussed in Note 1, the Plan was amended and restated effective November 15, 2013. Prior to the restatement, the Plan was a prototype plan. The prototype plan had received a favorable opinion letter from the Internal Revenue Service (IRS) that the prototype plan, as designed, is qualified for federal income tax-exempt status. Although the Plan has been amended since receiving the determination letter, management believes that the Plan is designed and is currently being operated in compliance with the applicable requirements of the IRC.

In accordance with guidance on accounting for uncertainty in income taxes, management evaluated the Plan's tax positions and does not believe the Plan has any uncertain tax positions that require disclosure or adjustment to the financial statements. The plan administrator believes the Plan is no longer subject to tax examinations for years prior to 2010.

# Hannibal USW 401(k) Plan

## Notes to Financial Statements December 31, 2013 and 2012

### Note 5 - Fair Value Measurements

Accounting standards require certain assets and liabilities be reported at fair value in the financial statements and provide a framework for establishing that fair value. The framework for determining fair value is based on a hierarchy that prioritizes the inputs and valuation techniques used to measure fair value.

The following tables present information about the Plan's assets measured at fair value on a recurring basis at December 31, 2013 and 2012.

**Level 1** - Fair values determined by Level 1 inputs use quoted prices in active markets for identical assets that the Plan has the ability to access.

**Level 2** - Fair values determined by Level 2 inputs use other inputs that are observable, either directly or indirectly. These Level 2 inputs include quoted prices for similar assets in active markets and other inputs such as interest rates and yield curves that are observable at commonly quoted intervals.

**Level 3** - Level 3 inputs are unobservable inputs, including inputs that are available in situations where there is little, if any, market activity for the related asset. These Level 3 fair value measurements are based primarily on management's own estimates using pricing models, discounted cash flow methodologies, or similar techniques taking into account the characteristics of the asset.

In instances whereby inputs used to measure fair value fall into different levels in the above fair value hierarchy, fair value measurements in their entirety are categorized based on the lowest level input that is significant to the valuation. The Plan's assessment of the significance of particular inputs to these fair value measurements requires judgment and considers factors specific to each asset.

#### Assets Measured at Fair Value on a Recurring Basis at December 31, 2013

|                                                                   | Level 1             | Level 2             | Level 3     | Balance at<br>December 31,<br>2013 |
|-------------------------------------------------------------------|---------------------|---------------------|-------------|------------------------------------|
| Mutual funds:                                                     |                     |                     |             |                                    |
| Equity investments                                                | \$ 7,893,502        | \$ -                | \$ -        | \$ 7,893,502                       |
| Fixed-income investments                                          | 98,257              | -                   | -           | 98,257                             |
| Balanced investments                                              | 44,917              | -                   | -           | 44,917                             |
| Retirement year-based<br>investments                              | 440,821             | -                   | -           | 440,821                            |
| Common collective trust fund -<br>Stable value fund (I)           | -                   | 6,957,283           | -           | 6,957,283                          |
| Self-directed brokerage account -<br>Primarily equity investments | 219,686             | -                   | -           | 219,686                            |
| Total                                                             | <u>\$ 8,697,183</u> | <u>\$ 6,957,283</u> | <u>\$ -</u> | <u>\$ 15,654,466</u>               |

# Hannibal USW 401(k) Plan

## Notes to Financial Statements December 31, 2013 and 2012

### Note 5 - Fair Value Measurements (Continued)

#### Assets Measured at Fair Value on a Recurring Basis at December 31, 2012

|                                                                   | Level 1             | Level 2             | Level 3     | Balance at<br>December 31,<br>2012 |
|-------------------------------------------------------------------|---------------------|---------------------|-------------|------------------------------------|
| Mutual funds:                                                     |                     |                     |             |                                    |
| Equity investments                                                | \$ 6,171,051        | \$ -                | \$ -        | \$ 6,171,051                       |
| Fixed-income investments                                          | 157,879             | -                   | -           | 157,879                            |
| Balanced investments                                              | 37,636              | -                   | -           | 37,636                             |
| Retirement year-based<br>investments                              | 379,612             | -                   | -           | 379,612                            |
| Common collective trust fund -<br>Stable value fund (1)           | -                   | 7,577,828           | -           | 7,577,828                          |
| Self-directed brokerage account -<br>Primarily equity investments | 156,215             | -                   | -           | 156,215                            |
| Total                                                             | <u>\$ 6,902,393</u> | <u>\$ 7,577,828</u> | <u>\$ -</u> | <u>\$ 14,480,221</u>               |

- (1) This class represents investment in an actively managed common collective trust fund that invests primarily in guaranteed investment contracts, fixed-income securities, wrapper contracts, and money market funds. There were no unfunded commitments or redemption restrictions.

The Plan's policy is to recognize transfers between levels of the fair value hierarchy as of the actual date of the event of change in circumstances that caused the transfer. There were no transfers between levels of the fair value hierarchy during 2013 and 2012.

### Note 6 - Going Concern

On February 25, 2013, the Company filed a voluntary petition for reorganization relief under Chapter 11 of the Bankruptcy Code in the United States Bankruptcy Court for the District of Delaware (the "Court"). The Company operates its business as "debtors in possession" under the jurisdiction of the Court and in accordance with the applicable provisions of the Bankruptcy Code and orders of the Court. Subsequent to the filing, the Company ceased operations and has completed the sale of certain assets and awaits Court approval of the sale of substantially all of its remaining assets.

The plan sponsor has incurred significant losses and negative cash flows. The plan sponsor has also been terminating other benefit plans while in bankruptcy. These factors raise substantial doubt about the Plan's ability to continue as a going concern. The plan sponsor has the right to terminate the Plan subject to the provisions set forth in the labor agreement and ERISA. As of the issuance date of the financial statements, there has not been a formal resolution to terminate the Plan. Were the Plan to terminate in the near future, the Plan would adopt the liquidation basis of accounting and record all assets at fair value including the common collective trust fund investment valued at contract value as of December 31, 2013.

## **Hannibal USW 401(k) Plan**

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### **Notes to Financial Statements December 31, 2013 and 2012**

#### **Note 7 - Plan Transfers**

During 2012, a union employee of Ormet transferred to a nonunion position; accordingly, the participant's account balance was transferred from this Plan to another plan sponsored by the Company.

# Hannibal USW 401(k) Plan

## Schedule of Assets Held at End of Year Form 5500, Schedule H, Line 4i EIN 34-0819779, Plan No. 008 December 31, 2013

| (a)(b)<br>Identity of Issuer | (c)<br>Description of Investment                                                     | (d)<br>Cost | (e)<br>Current Value        |
|------------------------------|--------------------------------------------------------------------------------------|-------------|-----------------------------|
|                              | Mutual funds:                                                                        |             |                             |
| PNC Bank, NA **              | BlackRock Mid-Cap Growth Fund                                                        | *           | \$ 2,723,025                |
| PNC Bank, NA **              | BlackRock Mid-Cap Value Fund (f/k/a<br>BlackRock Flexible Equity Fund Institutional) | *           | 2,106,597                   |
| PNC Bank, NA **              | BlackRock Large Value Inst                                                           | *           | 1,505,899                   |
| PNC Bank, NA **              | Am Beacon Sm Cap Value Fund                                                          | *           | 68,390                      |
| PNC Bank, NA **              | American Balanced Fund                                                               | *           | 44,917                      |
| PNC Bank, NA **              | American Cap World Growth & Income                                                   | *           | 252,396                     |
| PNC Bank, NA **              | American Century Equity Income                                                       | *           | 15,205                      |
| PNC Bank, NA **              | Growth Fund of America                                                               | *           | 62,933                      |
| PNC Bank, NA **              | Washington Mutual Investors                                                          | *           | 22,562                      |
| PNC Bank, NA **              | Baron Asset Fund                                                                     | *           | 40,743                      |
| PNC Bank, NA **              | Baron Small Cap Fund                                                                 | *           | 89,225                      |
| PNC Bank, NA **              | BlackRock GNMA Class A                                                               | *           | 58,753                      |
| PNC Bank, NA **              | Calvert Income                                                                       | *           | 37,805                      |
| PNC Bank, NA **              | Fidelity Advisor Growth & Inc                                                        | *           | 72,080                      |
| PNC Bank, NA **              | Janus Forty Fund S                                                                   | *           | 741,912                     |
| PNC Bank, NA **              | Third Avenue Value Fund                                                              | *           | 82,182                      |
| PNC Bank, NA **              | T. Rowe Int'l Growth & Income R                                                      | *           | 38,152                      |
| PNC Bank, NA **              | T. Rowe Ret 2010 R                                                                   | *           | 45,505                      |
| PNC Bank, NA **              | T. Rowe Ret 2020 R                                                                   | *           | 276,461                     |
| PNC Bank, NA **              | T. Rowe Ret 2030 R                                                                   | *           | 95,821                      |
| PNC Bank, NA **              | T. Rowe Ret 2040 R                                                                   | *           | 17,894                      |
| PNC Bank, NA **              | Pioneer Fund Class A                                                                 | *           | 33,108                      |
| PNC Bank, NA **              | T. Rowe Ret 2050 R                                                                   | *           | 5,140                       |
| PNC Bank, NA **              | Harbor Capital Appreciation Fd                                                       | *           | 1,277                       |
| PNC Bank, NA **              | Wells Fargo Adv Core Bond                                                            | *           | 1,699                       |
| PNC Bank, NA **              | BlackRock S&P 500 Stock Fund Service                                                 | *           | 37,816                      |
| PNC Bank, NA **              | Common collective trust fund - Federated Capital<br>Preservation Fund                | *           | 6,937,258                   |
| PNC Bank, NA **              | Self-directed brokerage account investments                                          | *           | 219,686                     |
| Participants **              | Participant notes receivable with interest rates of<br>4.25 percent                  | -           | 434,535                     |
|                              | Total                                                                                |             | <u><u>\$ 16,068,976</u></u> |

\* Cost information not required

\*\* Denotes party-in-interest



March 14, 2014

Dear Valued Client,

The U.S. Department of Labor (DOL) requires annual reporting of information concerning employee benefit plans subject to ERISA. This information must be reported on Internal Revenue Service Form 5500 and must include all required schedules and attachments.

The following information is being provided to assist you in completing the required 2013 Form 5500 and schedules:

- The Capital Preservation Fund is a collective trust.
- Federated Investors Trust Company is the sponsor of Capital Preservation Fund.
- The Employer Identification Number (EIN) of Capital Preservation Fund is 22-2712853.
- The Capital Preservation Fund Plan Number is 001.
- The Entity Code is C.
- The value of your account can be calculated by multiplying the number of units held by \$10.00, the value of each unit.

**For the calendar year 2013, the Capital Preservation Fund will file directly with the DOL certain financial statements on its own Form 5500 as a Direct Filing Entity (DFE).**

Retirement plans that have provided Capital Preservation Fund with sufficient plan information will be included on the Capital Preservation Fund DFE Form 5500 as a participating plan. These retirement plans may not have to include detailed information about the underlying assets and transactions of Capital Preservation Fund on their own Form 5500. For those retirement plans that did not provide Capital Preservation Fund with sufficient plan information, the plan may be required to include on its own Form 5500 information about the Capital Preservation Fund's underlying assets.

A copy of the Capital Preservation Fund's most recent audited financial statements, which provides detailed information regarding the fund's assets and liabilities, can be obtained from our website at [www.FederatedInvestors.com](http://www.FederatedInvestors.com).

The information provided herein as well as that available on our website at [www.FederatedInvestors.com](http://www.FederatedInvestors.com) should be sufficient to enable you to complete the necessary tax forms and schedules. However, please seek the advice of your tax consultant for questions regarding specific filing requirements.

Please contact a Federated Client Service Representative at 1-800-245-5051, option 2 if you have any questions.

Sincerely,

Brooke L. McNutt  
Assistant Vice President and Trust Officer  
Federated Investors Trust Company

# **Hannibal USW 401(k) Plan**

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**Financial Report**  
**December 31, 2013**

# **Hannibal USW 401(k) Plan**

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## Independent Auditor's Report

To the Plan Administrator  
Hannibal USW 401(k) Plan

### **Report on the Financial Statements**

We were engaged to audit the accompanying financial statements of Hannibal USW 401(k) Plan (formerly known as Ormet Primary Aluminum Corporation United Steelworkers of America 401(k) Plan, Hannibal, Ohio) (the "Plan"), which comprise the statement of net assets available for benefits as of December 31, 2013 and 2012 and the related statement of changes in net assets available for benefits for the years then ended, and the related notes to the financial statements.

### ***Management's Responsibility for the Financial Statements***

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

### ***Auditor's Responsibility***

Our responsibility is to express an opinion on these financial statements based on conducting the audits in accordance with auditing standards generally accepted in the United States of America. Because of the matter described in the *Basis for Disclaimer of Opinion* paragraph, however, we were not able to obtain sufficient appropriate audit evidence to provide a basis for an audit opinion.

### ***Basis for Disclaimer of Opinion***

As permitted by 29 CFR 2520.103-8 of the Department of Labor's Rules and Regulations for Reporting and Disclosure under the Employee Retirement Income Security Act of 1974 (ERISA), the plan administrator instructed us not to perform, and we did not perform, any auditing procedures with respect to the information summarized in Note 3, which was certified by PNC Bank, NA (PNC, the "Custodian"). We have been informed by the plan administrator that PNC holds the Plan's investment assets and participant notes receivable and executes related transactions. The plan administrator has obtained certifications from PNC as of and for the years ended December 31, 2013 and 2012 that the information provided to the plan administrator by PNC is complete and accurate.

To the Plan Administrator  
Hannibal USW 401(k) Plan

***Disclaimer of Opinion***

Because of the significance of the matter described in the *Basis for Disclaimer of Opinion* paragraph, we have not been able to obtain sufficient appropriate audit evidence to provide a basis for an audit opinion. Accordingly, we do not express an opinion on these financial statements.

***Emphasis of Matter***

The financial statements have been prepared assuming the Plan will not be terminated and will continue as a going concern. As explained in Note 6, the plan sponsor filed a voluntary petition for reorganization relief under Chapter 11 of the Bankruptcy Code in the United States Bankruptcy Court for the District of Delaware during the year. This factor raises substantial doubt about the Plan's ability to continue as a going concern. The financial statements do not include any adjustments that might result from the outcome of this uncertainty. Our opinion is not modified with respect to this matter.

***Other Matter***

The supplemental schedule of assets held at end of year as of December 31, 2013 is required by the Department of Labor's (DOL) Rules and Regulations for Reporting and Disclosure under ERISA and is presented for the purpose of additional analysis and is not a required part of the financial statements. Because of the significance of the matter described in the *Basis for Disclaimer of Opinion* paragraph, we do not express an opinion on this supplemental schedule.

**Report on Form and Content in Compliance with DOL Rules and Regulations**

The form and content of the information included in the financial statements and supplemental schedule, other than that derived from the information certified by the Custodian, have been audited by us in accordance with auditing standards generally accepted in the United States of America and, in our opinion, are presented in compliance with the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA.

*Plante & Morse, PLLC*

Southfield, Michigan  
July 3, 2014

# Hannibal USW 401(k) Plan

## Statement of Net Assets Available for Benefits

|                                                                                                                                                            | December 31,<br>2013 | December 31,<br>2012 |
|------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------|----------------------|
| <b>Assets</b>                                                                                                                                              |                      |                      |
| Participant-directed investments (Notes 2 and 3):                                                                                                          |                      |                      |
| Mutual funds:                                                                                                                                              |                      |                      |
| BlackRock Mid-Cap Growth Fund                                                                                                                              | \$ 2,723,025         | \$ 2,132,346         |
| BlackRock Mid-Cap Value Fund (f/k/a BlackRock Flexible Equity Fund Institutional)                                                                          | 2,106,597            | 1,804,849            |
| BlackRock Large Value Inst                                                                                                                                 | 1,505,899            | 1,258,267            |
| Am Beacon Sm Cap Value Fund                                                                                                                                | 68,390               | 33,482               |
| American Balanced Fund                                                                                                                                     | 44,917               | 37,636               |
| American Cap World Growth & Income                                                                                                                         | 252,396              | 142,921              |
| American Century Equity Income                                                                                                                             | 15,205               | 9,591                |
| Growth Fund of America                                                                                                                                     | 62,933               | 40,294               |
| Washington Mutual Investors                                                                                                                                | 22,562               | 13,373               |
| Baron Asset Fund                                                                                                                                           | 40,743               | 26,712               |
| Baron Small Cap Fund                                                                                                                                       | 89,225               | 70,687               |
| BlackRock GNMA Class A                                                                                                                                     | 58,753               | 111,691              |
| BlackRock Index Equity Cls A                                                                                                                               | -                    | 16,666               |
| Calvert Income                                                                                                                                             | 37,805               | 44,586               |
| Fidelity Advisor Growth & Inc                                                                                                                              | 72,080               | 42,036               |
| Janus Forty Fund S                                                                                                                                         | 741,912              | 472,892              |
| Third Avenue Value Fund                                                                                                                                    | 82,182               | 65,550               |
| T. Rowe Int'l Growth & Income R                                                                                                                            | 38,152               | 30,539               |
| T. Rowe Ret 2010 R                                                                                                                                         | 45,505               | 37,922               |
| T. Rowe Ret 2020 R                                                                                                                                         | 276,461              | 256,235              |
| T. Rowe Ret 2030 R                                                                                                                                         | 95,821               | 70,188               |
| T. Rowe Ret 2040 R                                                                                                                                         | 17,894               | 11,684               |
| Pioneer Fund Class A                                                                                                                                       | 33,108               | 9,988                |
| T. Rowe Ret 2050 R                                                                                                                                         | 5,140                | 3,583                |
| Harbor Capital Appreciation Fd                                                                                                                             | 1,277                | 858                  |
| Wells Fargo Adv Core Bond                                                                                                                                  | 1,699                | 1,602                |
| BlackRock S&P 500 Stock Fund Service                                                                                                                       | 37,816               | -                    |
| Common collective trust fund -                                                                                                                             |                      |                      |
| Federated Capital Preservation Fund                                                                                                                        | 6,957,283            | 7,577,828            |
| Self-directed brokerage account investments                                                                                                                | 219,686              | 156,215              |
| Total participant-directed investments                                                                                                                     | 15,654,466           | 14,480,221           |
| Employee contributions receivable                                                                                                                          | -                    | 16,946               |
| Participant notes receivable                                                                                                                               | 434,535              | 344,270              |
| <b>Net Assets Reflecting All Investments at Fair Value</b>                                                                                                 | 16,089,001           | 14,841,437           |
| <b>Adjustment from Fair Value to Contract Value for Interest in Common Collective Trust Fund Relating to Fully Benefit-responsive Investment Contracts</b> | (20,025)             | (131,210)            |
| <b>Net Assets Available for Benefits</b>                                                                                                                   | <b>\$ 16,068,976</b> | <b>\$ 14,710,227</b> |

# Hannibal USW 401(k) Plan

## Statement of Changes in Net Assets Available for Benefits

|                                                                                             | Year Ended           |                      |
|---------------------------------------------------------------------------------------------|----------------------|----------------------|
|                                                                                             | December 31,<br>2013 | December 31,<br>2012 |
| <b>Additions to Net Assets</b>                                                              |                      |                      |
| Contributions:                                                                              |                      |                      |
| Employee                                                                                    | \$ 721,109           | \$ 1,066,323         |
| Employer                                                                                    | 22,810               | -                    |
| Rollovers                                                                                   | 18,570               | 4,581                |
| Total contributions                                                                         | 762,489              | 1,070,904            |
| Investment income:                                                                          |                      |                      |
| Interest and dividends                                                                      | 673,832              | 167,706              |
| Net realized and unrealized gains from:                                                     |                      |                      |
| Mutual funds                                                                                | 1,613,297            | 681,379              |
| Self-directed brokerage account investments                                                 | 4,153                | 2,265                |
| Net realized and unrealized gains                                                           | 1,617,450            | 683,644              |
| Other investment income                                                                     | -                    | 152                  |
| Total investment income                                                                     | 2,291,282            | 851,502              |
| Interest from participant notes receivable                                                  | 12,763               | 12,061               |
| Total additions                                                                             | 3,066,534            | 1,934,467            |
| <b>Deductions from Net Assets</b> - Benefits paid directly to participants or beneficiaries | 1,707,785            | 776,935              |
| <b>Net Increase Before Other Changes</b>                                                    | 1,358,749            | 1,157,532            |
| <b>Transfers Out</b> (Note 7)                                                               | -                    | (37,552)             |
| <b>Net Increase</b>                                                                         | 1,358,749            | 1,119,980            |
| <b>Net Assets Available for Benefits</b>                                                    |                      |                      |
| Beginning of year                                                                           | 14,710,227           | 13,590,247           |
| End of year                                                                                 | <u>\$ 16,068,976</u> | <u>\$ 14,710,227</u> |

# Hannibal USW 401(k) Plan

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## Notes to Financial Statements December 31, 2013 and 2012

### Note 1 - Plan Description

The following description of Hannibal USW 401(k) Plan (formerly known as Ormet Primary Aluminum Corporation United Steelworkers of America 401(k) Plan, Hannibal, Ohio) (the "Plan") provides only general information. Participants should refer to the plan agreement for a more complete description of the Plan's provisions.

The Plan was amended and restated effective November 15, 2013. The amendment and restatement changed the Plan name as discussed previously and implemented an employer matching contribution and a fixed contribution that are subject to vesting provisions as further described below.

**General** - The Plan is a defined contribution plan covering substantially all hourly employees of Ormet Primary Aluminum Corporation's (the "Company") Hannibal, Ohio facility who are represented by a collective bargaining unit. The Plan is subject to the provisions of the Employee Retirement Income Security Act of 1974 (ERISA).

**Contributions** - The Plan provides for employee salary 401(k) contributions up to a maximum of 15 percent of annual compensation and up to 100 percent of any bonus amount, subject to maximum tax-deferred limitations established by the Internal Revenue Code. Prior to the aforementioned restatement and amendment, the Plan did not provide for employer contributions. Participants may also make contributions to the Plan in the form of a rollover of funds from another qualified plan.

Effective with the plan amendment and restatement, the Company makes matching contributions as defined in the plan document. The Company matches 100 percent of the first 3 percent of an eligible participant's deferral and 50 percent of the next 2 percent deferred. Matching contributions amounted to approximately \$3,500 and \$0 for the years ended December 31, 2013 and 2012, respectively.

Also effective with the plan amendment and restatement, the Company makes fixed contributions as defined in the plan document based on age and years of service. Contributions can range from 2.5 percent to 10.5 percent of an eligible participant's compensation. Fixed contributions amounted to approximately \$19,300 and \$0 for the years ended December 31, 2013 and 2012, respectively.

**Participant Accounts** - Each participant's account is credited with the participant's contribution, Company matching and fixed contributions, rollovers, and plan earnings. Allocations are based on participants' account balances on a daily basis, as defined by the Plan.

**Vesting** - All accounts, other than the Company matching and fixed contributions, are fully vested and nonforfeitable at all times. Participants are not vested in Company matching and fixed contributions until they have completed three years of service or normal retirement age of 65.

# Hannibal USW 401(k) Plan

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## Notes to Financial Statements December 31, 2013 and 2012

### Note 1 - Plan Description (Continued)

**Forfeitures** - If a participant is not fully vested on his or her termination date, the nonvested amount of the account is forfeited. Forfeitures are used to reduce future Company contributions or to pay administrative expenses of the Plan.

**Participant Notes Receivable** - Participants may borrow from their accounts up to the lesser of \$50,000 or 50 percent of their account balances. Participants may borrow funds for a term of no more than five years, unless the note is used to purchase a primary residence. The notes receivable must be adequately secured, subject to a market rate of interest, and repaid by means of payroll deduction.

**Payment of Benefits** - Distributions are payable upon retirement, death, disability, or termination of employment in the form of a lump-sum amount, installment payments, a life annuity, or a joint 50 percent survivor annuity equal to the value of the participant's account.

**Hardship Withdrawals** - Participants may request that all or a portion of their accounts be distributed in the case of severe financial hardship, as defined in the plan agreement. The Company's pension committee must approve any such hardship withdrawals.

**Termination** - While it has not expressed any intent to do so, the Company has the right to terminate the Plan subject to the provisions set forth in the labor agreement and ERISA. Upon termination of the Plan, participants become 100 percent vested in their account balances.

**Party-in-interest Transactions** - Certain plan assets are in investment funds managed by PNC Bank, NA. PNC Bank, NA is the custodian of the Plan; therefore, these transactions qualify as party-in-interest transactions as defined under ERISA guidelines.

# Hannibal USW 401(k) Plan

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## Notes to Financial Statements December 31, 2013 and 2012

### Note 2 - Summary of Significant Accounting Policies

**Investment Valuation** - The Plan's investments are stated at fair value except as noted below. The common collective trust fund investment is valued at contract value. Contract value represents investments at cost, plus accrued interest income, less amounts withdrawn to pay benefits. The fair value of the common collective trust fund is based on the fair value of the underlying net assets at the measurement date by the issuer of the funds. The Plan's interest in the common collective trust fund is based on its proportionate ownership interest in the fair value of the common collective trust fund. The common collective trust fund primarily holds guaranteed investment contracts, fixed-income securities, wrapper contracts, and money market funds. The fair value of the guaranteed investment contract is based on current yields of similar instruments with comparable durations taking into account the contract terms including interest reset intervals and the credit rating of the issuer. The fair value of the fixed-income securities is valued using quoted market prices or other market data for the same or comparable instruments and transactions in establishing the prices, discounted cash flow models, and other pricing models. These models are primarily industry standard models that consider various assumptions, including time value and yield curve as well as other relevant economic measures. The money market funds are valued at amortized cost, which approximates fair value. The fair value of wrapper contracts provided by the contract issuer is based on the replacement cost methodology which is the present value of the difference between the replacement wrapper fee and the contracted wrapper fee.

Additionally, the Plan allows participants to invest in self-directed brokerage accounts. The self-directed brokerage accounts include various investments in publicly traded securities and money market funds. The self-directed brokerage account investments are valued based on quoted markets prices of the underlying investments. Mutual funds are valued based on quoted market prices. See Note 5 for additional information.

The methods described above may produce a fair value calculation that may not be indicative of net realizable value or reflective of future fair values. Furthermore, while the Plan believes its valuation methods are appropriate and consistent with other market participants, the use of different methodologies or assumptions to determine the fair value of certain financial instruments could result in a different fair value measurement at the reporting date.

**Participant Notes Receivable** - Participant notes receivable are recorded at their unpaid principal balances plus any accrued interest. Participant notes receivable are written off when deemed uncollectible.

**Benefit Payments** - Benefits are recorded when paid.

**Administrative Expenses** - Various administrative costs are paid by the Company.

# Hannibal USW 401(k) Plan

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## Notes to Financial Statements December 31, 2013 and 2012

### Note 2 - Summary of Significant Accounting Policies (Continued)

**Use of Estimates** - The preparation of financial statements in conformity with accounting principles generally accepted in the United States of America requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities and changes therein and disclosure of contingent assets and liabilities. Actual results could differ from those estimates.

**Risks and Uncertainties** - The Plan invests in various investment securities. Investment securities are exposed to various risks such as interest rate, market, and credit risks. Due to the level of risk associated with certain investment securities, it is at least reasonably possible that changes in the values of investment securities will occur in the near term and that such changes could materially affect participants' account balances and the amounts reported in the statement of net assets available for benefits.

**Subsequent Events** - The financial statements and related disclosures include evaluation of events up through and including July 3, 2014, which is the date the financial statements were available to be issued.

### Note 3 - Unaudited Information

PNC Bank, NA (PNC) holds the Plan's investments and participant notes receivable and executes all related transactions. The investment and participant notes receivable balances and related income and losses included in the accompanying financial statements and supplemental schedule of assets held at end of year are based solely on information provided by PNC. The investment and participant notes receivable balances and related income and losses were certified by PNC as of and for the years ended December 31, 2013 and 2012.

### Note 4 - Tax Status

As discussed in Note 1, the Plan was amended and restated effective November 15, 2013. Prior to the restatement, the Plan was a prototype plan. The prototype plan had received a favorable opinion letter from the Internal Revenue Service (IRS) that the prototype plan, as designed, is qualified for federal income tax-exempt status. Although the Plan has been amended since receiving the determination letter, management believes that the Plan is designed and is currently being operated in compliance with the applicable requirements of the IRC.

In accordance with guidance on accounting for uncertainty in income taxes, management evaluated the Plan's tax positions and does not believe the Plan has any uncertain tax positions that require disclosure or adjustment to the financial statements. The plan administrator believes the Plan is no longer subject to tax examinations for years prior to 2010.

# Hannibal USW 401(k) Plan

## Notes to Financial Statements December 31, 2013 and 2012

### Note 5 - Fair Value Measurements

Accounting standards require certain assets and liabilities be reported at fair value in the financial statements and provide a framework for establishing that fair value. The framework for determining fair value is based on a hierarchy that prioritizes the inputs and valuation techniques used to measure fair value.

The following tables present information about the Plan's assets measured at fair value on a recurring basis at December 31, 2013 and 2012.

**Level 1** - Fair values determined by Level 1 inputs use quoted prices in active markets for identical assets that the Plan has the ability to access.

**Level 2** - Fair values determined by Level 2 inputs use other inputs that are observable, either directly or indirectly. These Level 2 inputs include quoted prices for similar assets in active markets and other inputs such as interest rates and yield curves that are observable at commonly quoted intervals.

**Level 3** - Level 3 inputs are unobservable inputs, including inputs that are available in situations where there is little, if any, market activity for the related asset. These Level 3 fair value measurements are based primarily on management's own estimates using pricing models, discounted cash flow methodologies, or similar techniques taking into account the characteristics of the asset.

In instances whereby inputs used to measure fair value fall into different levels in the above fair value hierarchy, fair value measurements in their entirety are categorized based on the lowest level input that is significant to the valuation. The Plan's assessment of the significance of particular inputs to these fair value measurements requires judgment and considers factors specific to each asset.

#### Assets Measured at Fair Value on a Recurring Basis at December 31, 2013

|                                                                   | Level 1             | Level 2             | Level 3     | Balance at<br>December 31,<br>2013 |
|-------------------------------------------------------------------|---------------------|---------------------|-------------|------------------------------------|
| Mutual funds:                                                     |                     |                     |             |                                    |
| Equity investments                                                | \$ 7,893,502        | \$ -                | \$ -        | \$ 7,893,502                       |
| Fixed-income investments                                          | 98,257              | -                   | -           | 98,257                             |
| Balanced investments                                              | 44,917              | -                   | -           | 44,917                             |
| Retirement year-based<br>investments                              | 440,821             | -                   | -           | 440,821                            |
| Common collective trust fund -<br>Stable value fund (I)           | -                   | 6,957,283           | -           | 6,957,283                          |
| Self-directed brokerage account -<br>Primarily equity investments | 219,686             | -                   | -           | 219,686                            |
| Total                                                             | <u>\$ 8,697,183</u> | <u>\$ 6,957,283</u> | <u>\$ -</u> | <u>\$ 15,654,466</u>               |

# Hannibal USW 401(k) Plan

## Notes to Financial Statements December 31, 2013 and 2012

### Note 5 - Fair Value Measurements (Continued)

#### Assets Measured at Fair Value on a Recurring Basis at December 31, 2012

|                                                                   | Level 1             | Level 2             | Level 3     | Balance at<br>December 31,<br>2012 |
|-------------------------------------------------------------------|---------------------|---------------------|-------------|------------------------------------|
| Mutual funds:                                                     |                     |                     |             |                                    |
| Equity investments                                                | \$ 6,171,051        | \$ -                | \$ -        | \$ 6,171,051                       |
| Fixed-income investments                                          | 157,879             | -                   | -           | 157,879                            |
| Balanced investments                                              | 37,636              | -                   | -           | 37,636                             |
| Retirement year-based<br>investments                              | 379,612             | -                   | -           | 379,612                            |
| Common collective trust fund -<br>Stable value fund (1)           | -                   | 7,577,828           | -           | 7,577,828                          |
| Self-directed brokerage account -<br>Primarily equity investments | 156,215             | -                   | -           | 156,215                            |
| Total                                                             | <u>\$ 6,902,393</u> | <u>\$ 7,577,828</u> | <u>\$ -</u> | <u>\$ 14,480,221</u>               |

- (1) This class represents investment in an actively managed common collective trust fund that invests primarily in guaranteed investment contracts, fixed-income securities, wrapper contracts, and money market funds. There were no unfunded commitments or redemption restrictions.

The Plan's policy is to recognize transfers between levels of the fair value hierarchy as of the actual date of the event of change in circumstances that caused the transfer. There were no transfers between levels of the fair value hierarchy during 2013 and 2012.

### Note 6 - Going Concern

On February 25, 2013, the Company filed a voluntary petition for reorganization relief under Chapter 11 of the Bankruptcy Code in the United States Bankruptcy Court for the District of Delaware (the "Court"). The Company operates its business as "debtors in possession" under the jurisdiction of the Court and in accordance with the applicable provisions of the Bankruptcy Code and orders of the Court. Subsequent to the filing, the Company ceased operations and has completed the sale of certain assets and awaits Court approval of the sale of substantially all of its remaining assets.

The plan sponsor has incurred significant losses and negative cash flows. The plan sponsor has also been terminating other benefit plans while in bankruptcy. These factors raise substantial doubt about the Plan's ability to continue as a going concern. The plan sponsor has the right to terminate the Plan subject to the provisions set forth in the labor agreement and ERISA. As of the issuance date of the financial statements, there has not been a formal resolution to terminate the Plan. Were the Plan to terminate in the near future, the Plan would adopt the liquidation basis of accounting and record all assets at fair value including the common collective trust fund investment valued at contract value as of December 31, 2013.

## **Hannibal USW 401(k) Plan**

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### **Notes to Financial Statements December 31, 2013 and 2012**

#### **Note 7 - Plan Transfers**

During 2012, a union employee of Ormet transferred to a nonunion position; accordingly, the participant's account balance was transferred from this Plan to another plan sponsored by the Company.

# Hannibal USW 401(k) Plan

## Schedule of Assets Held at End of Year Form 5500, Schedule H, Line 4i EIN 34-0819779, Plan No. 008 December 31, 2013

| (a)(b)<br>Identity of Issuer | (c)<br>Description of Investment                                                     | (d)<br>Cost | (e)<br>Current Value |
|------------------------------|--------------------------------------------------------------------------------------|-------------|----------------------|
|                              | Mutual funds:                                                                        |             |                      |
| PNC Bank, NA **              | BlackRock Mid-Cap Growth Fund                                                        | *           | \$ 2,723,025         |
| PNC Bank, NA **              | BlackRock Mid-Cap Value Fund (f/k/a<br>BlackRock Flexible Equity Fund Institutional) | *           | 2,106,597            |
| PNC Bank, NA **              | BlackRock Large Value Inst                                                           | *           | 1,505,899            |
| PNC Bank, NA **              | Am Beacon Sm Cap Value Fund                                                          | *           | 68,390               |
| PNC Bank, NA **              | American Balanced Fund                                                               | *           | 44,917               |
| PNC Bank, NA **              | American Cap World Growth & Income                                                   | *           | 252,396              |
| PNC Bank, NA **              | American Century Equity Income                                                       | *           | 15,205               |
| PNC Bank, NA **              | Growth Fund of America                                                               | *           | 62,933               |
| PNC Bank, NA **              | Washington Mutual Investors                                                          | *           | 22,562               |
| PNC Bank, NA **              | Baron Asset Fund                                                                     | *           | 40,743               |
| PNC Bank, NA **              | Baron Small Cap Fund                                                                 | *           | 89,225               |
| PNC Bank, NA **              | BlackRock GNMA Class A                                                               | *           | 58,753               |
| PNC Bank, NA **              | Calvert Income                                                                       | *           | 37,805               |
| PNC Bank, NA **              | Fidelity Advisor Growth & Inc                                                        | *           | 72,080               |
| PNC Bank, NA **              | Janus Forty Fund S                                                                   | *           | 741,912              |
| PNC Bank, NA **              | Third Avenue Value Fund                                                              | *           | 82,182               |
| PNC Bank, NA **              | T. Rowe Int'l Growth & Income R                                                      | *           | 38,152               |
| PNC Bank, NA **              | T. Rowe Ret 2010 R                                                                   | *           | 45,505               |
| PNC Bank, NA **              | T. Rowe Ret 2020 R                                                                   | *           | 276,461              |
| PNC Bank, NA **              | T. Rowe Ret 2030 R                                                                   | *           | 95,821               |
| PNC Bank, NA **              | T. Rowe Ret 2040 R                                                                   | *           | 17,894               |
| PNC Bank, NA **              | Pioneer Fund Class A                                                                 | *           | 33,108               |
| PNC Bank, NA **              | T. Rowe Ret 2050 R                                                                   | *           | 5,140                |
| PNC Bank, NA **              | Harbor Capital Appreciation Fd                                                       | *           | 1,277                |
| PNC Bank, NA **              | Wells Fargo Adv Core Bond                                                            | *           | 1,699                |
| PNC Bank, NA **              | BlackRock S&P 500 Stock Fund Service                                                 | *           | 37,816               |
| PNC Bank, NA **              | Common collective trust fund - Federated Capital<br>Preservation Fund                | *           | 6,937,258            |
| PNC Bank, NA **              | Self-directed brokerage account investments                                          | *           | 219,686              |
| Participants **              | Participant notes receivable with interest rates of<br>4.25 percent                  | -           | 434,535              |
|                              | Total                                                                                |             | <u>\$ 16,068,976</u> |

\* Cost information not required

\*\* Denotes party-in-interest

# **Hannibal USW 401(k) Plan**

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**Financial Report**  
**December 31, 2013**

# **Hannibal USW 401(k) Plan**

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## Independent Auditor's Report

To the Plan Administrator  
Hannibal USW 401(k) Plan

### **Report on the Financial Statements**

We were engaged to audit the accompanying financial statements of Hannibal USW 401(k) Plan (formerly known as Ormet Primary Aluminum Corporation United Steelworkers of America 401(k) Plan, Hannibal, Ohio) (the "Plan"), which comprise the statement of net assets available for benefits as of December 31, 2013 and 2012 and the related statement of changes in net assets available for benefits for the years then ended, and the related notes to the financial statements.

### ***Management's Responsibility for the Financial Statements***

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

### ***Auditor's Responsibility***

Our responsibility is to express an opinion on these financial statements based on conducting the audits in accordance with auditing standards generally accepted in the United States of America. Because of the matter described in the *Basis for Disclaimer of Opinion* paragraph, however, we were not able to obtain sufficient appropriate audit evidence to provide a basis for an audit opinion.

### ***Basis for Disclaimer of Opinion***

As permitted by 29 CFR 2520.103-8 of the Department of Labor's Rules and Regulations for Reporting and Disclosure under the Employee Retirement Income Security Act of 1974 (ERISA), the plan administrator instructed us not to perform, and we did not perform, any auditing procedures with respect to the information summarized in Note 3, which was certified by PNC Bank, NA (PNC, the "Custodian"). We have been informed by the plan administrator that PNC holds the Plan's investment assets and participant notes receivable and executes related transactions. The plan administrator has obtained certifications from PNC as of and for the years ended December 31, 2013 and 2012 that the information provided to the plan administrator by PNC is complete and accurate.

To the Plan Administrator  
Hannibal USW 401(k) Plan

***Disclaimer of Opinion***

Because of the significance of the matter described in the *Basis for Disclaimer of Opinion* paragraph, we have not been able to obtain sufficient appropriate audit evidence to provide a basis for an audit opinion. Accordingly, we do not express an opinion on these financial statements.

***Emphasis of Matter***

The financial statements have been prepared assuming the Plan will not be terminated and will continue as a going concern. As explained in Note 6, the plan sponsor filed a voluntary petition for reorganization relief under Chapter 11 of the Bankruptcy Code in the United States Bankruptcy Court for the District of Delaware during the year. This factor raises substantial doubt about the Plan's ability to continue as a going concern. The financial statements do not include any adjustments that might result from the outcome of this uncertainty. Our opinion is not modified with respect to this matter.

***Other Matter***

The supplemental schedule of assets held at end of year as of December 31, 2013 is required by the Department of Labor's (DOL) Rules and Regulations for Reporting and Disclosure under ERISA and is presented for the purpose of additional analysis and is not a required part of the financial statements. Because of the significance of the matter described in the *Basis for Disclaimer of Opinion* paragraph, we do not express an opinion on this supplemental schedule.

**Report on Form and Content in Compliance with DOL Rules and Regulations**

The form and content of the information included in the financial statements and supplemental schedule, other than that derived from the information certified by the Custodian, have been audited by us in accordance with auditing standards generally accepted in the United States of America and, in our opinion, are presented in compliance with the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA.

*Plante & Morse, PLLC*

Southfield, Michigan  
July 3, 2014

# Hannibal USW 401(k) Plan

## Statement of Net Assets Available for Benefits

|                                                                                                                                                            | December 31,<br>2013 | December 31,<br>2012 |
|------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------|----------------------|
| <b>Assets</b>                                                                                                                                              |                      |                      |
| Participant-directed investments (Notes 2 and 3):                                                                                                          |                      |                      |
| Mutual funds:                                                                                                                                              |                      |                      |
| BlackRock Mid-Cap Growth Fund                                                                                                                              | \$ 2,723,025         | \$ 2,132,346         |
| BlackRock Mid-Cap Value Fund (f/k/a BlackRock Flexible Equity Fund Institutional)                                                                          | 2,106,597            | 1,804,849            |
| BlackRock Large Value Inst                                                                                                                                 | 1,505,899            | 1,258,267            |
| Am Beacon Sm Cap Value Fund                                                                                                                                | 68,390               | 33,482               |
| American Balanced Fund                                                                                                                                     | 44,917               | 37,636               |
| American Cap World Growth & Income                                                                                                                         | 252,396              | 142,921              |
| American Century Equity Income                                                                                                                             | 15,205               | 9,591                |
| Growth Fund of America                                                                                                                                     | 62,933               | 40,294               |
| Washington Mutual Investors                                                                                                                                | 22,562               | 13,373               |
| Baron Asset Fund                                                                                                                                           | 40,743               | 26,712               |
| Baron Small Cap Fund                                                                                                                                       | 89,225               | 70,687               |
| BlackRock GNMA Class A                                                                                                                                     | 58,753               | 111,691              |
| BlackRock Index Equity Cls A                                                                                                                               | -                    | 16,666               |
| Calvert Income                                                                                                                                             | 37,805               | 44,586               |
| Fidelity Advisor Growth & Inc                                                                                                                              | 72,080               | 42,036               |
| Janus Forty Fund S                                                                                                                                         | 741,912              | 472,892              |
| Third Avenue Value Fund                                                                                                                                    | 82,182               | 65,550               |
| T. Rowe Int'l Growth & Income R                                                                                                                            | 38,152               | 30,539               |
| T. Rowe Ret 2010 R                                                                                                                                         | 45,505               | 37,922               |
| T. Rowe Ret 2020 R                                                                                                                                         | 276,461              | 256,235              |
| T. Rowe Ret 2030 R                                                                                                                                         | 95,821               | 70,188               |
| T. Rowe Ret 2040 R                                                                                                                                         | 17,894               | 11,684               |
| Pioneer Fund Class A                                                                                                                                       | 33,108               | 9,988                |
| T. Rowe Ret 2050 R                                                                                                                                         | 5,140                | 3,583                |
| Harbor Capital Appreciation Fd                                                                                                                             | 1,277                | 858                  |
| Wells Fargo Adv Core Bond                                                                                                                                  | 1,699                | 1,602                |
| BlackRock S&P 500 Stock Fund Service                                                                                                                       | 37,816               | -                    |
| Common collective trust fund -                                                                                                                             |                      |                      |
| Federated Capital Preservation Fund                                                                                                                        | 6,957,283            | 7,577,828            |
| Self-directed brokerage account investments                                                                                                                | 219,686              | 156,215              |
| Total participant-directed investments                                                                                                                     | 15,654,466           | 14,480,221           |
| Employee contributions receivable                                                                                                                          | -                    | 16,946               |
| Participant notes receivable                                                                                                                               | 434,535              | 344,270              |
| <b>Net Assets Reflecting All Investments at Fair Value</b>                                                                                                 | 16,089,001           | 14,841,437           |
| <b>Adjustment from Fair Value to Contract Value for Interest in Common Collective Trust Fund Relating to Fully Benefit-responsive Investment Contracts</b> | (20,025)             | (131,210)            |
| <b>Net Assets Available for Benefits</b>                                                                                                                   | <b>\$ 16,068,976</b> | <b>\$ 14,710,227</b> |

# Hannibal USW 401(k) Plan

## Statement of Changes in Net Assets Available for Benefits

|                                                                                             | Year Ended           |                      |
|---------------------------------------------------------------------------------------------|----------------------|----------------------|
|                                                                                             | December 31,<br>2013 | December 31,<br>2012 |
| <b>Additions to Net Assets</b>                                                              |                      |                      |
| Contributions:                                                                              |                      |                      |
| Employee                                                                                    | \$ 721,109           | \$ 1,066,323         |
| Employer                                                                                    | 22,810               | -                    |
| Rollovers                                                                                   | 18,570               | 4,581                |
| Total contributions                                                                         | 762,489              | 1,070,904            |
| Investment income:                                                                          |                      |                      |
| Interest and dividends                                                                      | 673,832              | 167,706              |
| Net realized and unrealized gains from:                                                     |                      |                      |
| Mutual funds                                                                                | 1,613,297            | 681,379              |
| Self-directed brokerage account investments                                                 | 4,153                | 2,265                |
| Net realized and unrealized gains                                                           | 1,617,450            | 683,644              |
| Other investment income                                                                     | -                    | 152                  |
| Total investment income                                                                     | 2,291,282            | 851,502              |
| Interest from participant notes receivable                                                  | 12,763               | 12,061               |
| Total additions                                                                             | 3,066,534            | 1,934,467            |
| <b>Deductions from Net Assets</b> - Benefits paid directly to participants or beneficiaries | 1,707,785            | 776,935              |
| <b>Net Increase Before Other Changes</b>                                                    | 1,358,749            | 1,157,532            |
| <b>Transfers Out</b> (Note 7)                                                               | -                    | (37,552)             |
| <b>Net Increase</b>                                                                         | 1,358,749            | 1,119,980            |
| <b>Net Assets Available for Benefits</b>                                                    |                      |                      |
| Beginning of year                                                                           | 14,710,227           | 13,590,247           |
| End of year                                                                                 | <b>\$ 16,068,976</b> | <b>\$ 14,710,227</b> |

# Hannibal USW 401(k) Plan

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## Notes to Financial Statements December 31, 2013 and 2012

### Note 1 - Plan Description

The following description of Hannibal USW 401(k) Plan (formerly known as Ormet Primary Aluminum Corporation United Steelworkers of America 401(k) Plan, Hannibal, Ohio) (the "Plan") provides only general information. Participants should refer to the plan agreement for a more complete description of the Plan's provisions.

The Plan was amended and restated effective November 15, 2013. The amendment and restatement changed the Plan name as discussed previously and implemented an employer matching contribution and a fixed contribution that are subject to vesting provisions as further described below.

**General** - The Plan is a defined contribution plan covering substantially all hourly employees of Ormet Primary Aluminum Corporation's (the "Company") Hannibal, Ohio facility who are represented by a collective bargaining unit. The Plan is subject to the provisions of the Employee Retirement Income Security Act of 1974 (ERISA).

**Contributions** - The Plan provides for employee salary 401(k) contributions up to a maximum of 15 percent of annual compensation and up to 100 percent of any bonus amount, subject to maximum tax-deferred limitations established by the Internal Revenue Code. Prior to the aforementioned restatement and amendment, the Plan did not provide for employer contributions. Participants may also make contributions to the Plan in the form of a rollover of funds from another qualified plan.

Effective with the plan amendment and restatement, the Company makes matching contributions as defined in the plan document. The Company matches 100 percent of the first 3 percent of an eligible participant's deferral and 50 percent of the next 2 percent deferred. Matching contributions amounted to approximately \$3,500 and \$0 for the years ended December 31, 2013 and 2012, respectively.

Also effective with the plan amendment and restatement, the Company makes fixed contributions as defined in the plan document based on age and years of service. Contributions can range from 2.5 percent to 10.5 percent of an eligible participant's compensation. Fixed contributions amounted to approximately \$19,300 and \$0 for the years ended December 31, 2013 and 2012, respectively.

**Participant Accounts** - Each participant's account is credited with the participant's contribution, Company matching and fixed contributions, rollovers, and plan earnings. Allocations are based on participants' account balances on a daily basis, as defined by the Plan.

**Vesting** - All accounts, other than the Company matching and fixed contributions, are fully vested and nonforfeitable at all times. Participants are not vested in Company matching and fixed contributions until they have completed three years of service or normal retirement age of 65.

# Hannibal USW 401(k) Plan

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## Notes to Financial Statements December 31, 2013 and 2012

### Note 1 - Plan Description (Continued)

**Forfeitures** - If a participant is not fully vested on his or her termination date, the nonvested amount of the account is forfeited. Forfeitures are used to reduce future Company contributions or to pay administrative expenses of the Plan.

**Participant Notes Receivable** - Participants may borrow from their accounts up to the lesser of \$50,000 or 50 percent of their account balances. Participants may borrow funds for a term of no more than five years, unless the note is used to purchase a primary residence. The notes receivable must be adequately secured, subject to a market rate of interest, and repaid by means of payroll deduction.

**Payment of Benefits** - Distributions are payable upon retirement, death, disability, or termination of employment in the form of a lump-sum amount, installment payments, a life annuity, or a joint 50 percent survivor annuity equal to the value of the participant's account.

**Hardship Withdrawals** - Participants may request that all or a portion of their accounts be distributed in the case of severe financial hardship, as defined in the plan agreement. The Company's pension committee must approve any such hardship withdrawals.

**Termination** - While it has not expressed any intent to do so, the Company has the right to terminate the Plan subject to the provisions set forth in the labor agreement and ERISA. Upon termination of the Plan, participants become 100 percent vested in their account balances.

**Party-in-interest Transactions** - Certain plan assets are in investment funds managed by PNC Bank, NA. PNC Bank, NA is the custodian of the Plan; therefore, these transactions qualify as party-in-interest transactions as defined under ERISA guidelines.

# Hannibal USW 401(k) Plan

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## Notes to Financial Statements December 31, 2013 and 2012

### Note 2 - Summary of Significant Accounting Policies

**Investment Valuation** - The Plan's investments are stated at fair value except as noted below. The common collective trust fund investment is valued at contract value. Contract value represents investments at cost, plus accrued interest income, less amounts withdrawn to pay benefits. The fair value of the common collective trust fund is based on the fair value of the underlying net assets at the measurement date by the issuer of the funds. The Plan's interest in the common collective trust fund is based on its proportionate ownership interest in the fair value of the common collective trust fund. The common collective trust fund primarily holds guaranteed investment contracts, fixed-income securities, wrapper contracts, and money market funds. The fair value of the guaranteed investment contract is based on current yields of similar instruments with comparable durations taking into account the contract terms including interest reset intervals and the credit rating of the issuer. The fair value of the fixed-income securities is valued using quoted market prices or other market data for the same or comparable instruments and transactions in establishing the prices, discounted cash flow models, and other pricing models. These models are primarily industry standard models that consider various assumptions, including time value and yield curve as well as other relevant economic measures. The money market funds are valued at amortized cost, which approximates fair value. The fair value of wrapper contracts provided by the contract issuer is based on the replacement cost methodology which is the present value of the difference between the replacement wrapper fee and the contracted wrapper fee.

Additionally, the Plan allows participants to invest in self-directed brokerage accounts. The self-directed brokerage accounts include various investments in publicly traded securities and money market funds. The self-directed brokerage account investments are valued based on quoted markets prices of the underlying investments. Mutual funds are valued based on quoted market prices. See Note 5 for additional information.

The methods described above may produce a fair value calculation that may not be indicative of net realizable value or reflective of future fair values. Furthermore, while the Plan believes its valuation methods are appropriate and consistent with other market participants, the use of different methodologies or assumptions to determine the fair value of certain financial instruments could result in a different fair value measurement at the reporting date.

**Participant Notes Receivable** - Participant notes receivable are recorded at their unpaid principal balances plus any accrued interest. Participant notes receivable are written off when deemed uncollectible.

**Benefit Payments** - Benefits are recorded when paid.

**Administrative Expenses** - Various administrative costs are paid by the Company.

# Hannibal USW 401(k) Plan

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## Notes to Financial Statements December 31, 2013 and 2012

### Note 2 - Summary of Significant Accounting Policies (Continued)

**Use of Estimates** - The preparation of financial statements in conformity with accounting principles generally accepted in the United States of America requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities and changes therein and disclosure of contingent assets and liabilities. Actual results could differ from those estimates.

**Risks and Uncertainties** - The Plan invests in various investment securities. Investment securities are exposed to various risks such as interest rate, market, and credit risks. Due to the level of risk associated with certain investment securities, it is at least reasonably possible that changes in the values of investment securities will occur in the near term and that such changes could materially affect participants' account balances and the amounts reported in the statement of net assets available for benefits.

**Subsequent Events** - The financial statements and related disclosures include evaluation of events up through and including July 3, 2014, which is the date the financial statements were available to be issued.

### Note 3 - Unaudited Information

PNC Bank, NA (PNC) holds the Plan's investments and participant notes receivable and executes all related transactions. The investment and participant notes receivable balances and related income and losses included in the accompanying financial statements and supplemental schedule of assets held at end of year are based solely on information provided by PNC. The investment and participant notes receivable balances and related income and losses were certified by PNC as of and for the years ended December 31, 2013 and 2012.

### Note 4 - Tax Status

As discussed in Note 1, the Plan was amended and restated effective November 15, 2013. Prior to the restatement, the Plan was a prototype plan. The prototype plan had received a favorable opinion letter from the Internal Revenue Service (IRS) that the prototype plan, as designed, is qualified for federal income tax-exempt status. Although the Plan has been amended since receiving the determination letter, management believes that the Plan is designed and is currently being operated in compliance with the applicable requirements of the IRC.

In accordance with guidance on accounting for uncertainty in income taxes, management evaluated the Plan's tax positions and does not believe the Plan has any uncertain tax positions that require disclosure or adjustment to the financial statements. The plan administrator believes the Plan is no longer subject to tax examinations for years prior to 2010.

# Hannibal USW 401(k) Plan

## Notes to Financial Statements December 31, 2013 and 2012

### Note 5 - Fair Value Measurements

Accounting standards require certain assets and liabilities be reported at fair value in the financial statements and provide a framework for establishing that fair value. The framework for determining fair value is based on a hierarchy that prioritizes the inputs and valuation techniques used to measure fair value.

The following tables present information about the Plan's assets measured at fair value on a recurring basis at December 31, 2013 and 2012.

**Level 1** - Fair values determined by Level 1 inputs use quoted prices in active markets for identical assets that the Plan has the ability to access.

**Level 2** - Fair values determined by Level 2 inputs use other inputs that are observable, either directly or indirectly. These Level 2 inputs include quoted prices for similar assets in active markets and other inputs such as interest rates and yield curves that are observable at commonly quoted intervals.

**Level 3** - Level 3 inputs are unobservable inputs, including inputs that are available in situations where there is little, if any, market activity for the related asset. These Level 3 fair value measurements are based primarily on management's own estimates using pricing models, discounted cash flow methodologies, or similar techniques taking into account the characteristics of the asset.

In instances whereby inputs used to measure fair value fall into different levels in the above fair value hierarchy, fair value measurements in their entirety are categorized based on the lowest level input that is significant to the valuation. The Plan's assessment of the significance of particular inputs to these fair value measurements requires judgment and considers factors specific to each asset.

#### Assets Measured at Fair Value on a Recurring Basis at December 31, 2013

|                                                                   | Level 1             | Level 2             | Level 3     | Balance at<br>December 31,<br>2013 |
|-------------------------------------------------------------------|---------------------|---------------------|-------------|------------------------------------|
| Mutual funds:                                                     |                     |                     |             |                                    |
| Equity investments                                                | \$ 7,893,502        | \$ -                | \$ -        | \$ 7,893,502                       |
| Fixed-income investments                                          | 98,257              | -                   | -           | 98,257                             |
| Balanced investments                                              | 44,917              | -                   | -           | 44,917                             |
| Retirement year-based<br>investments                              | 440,821             | -                   | -           | 440,821                            |
| Common collective trust fund -<br>Stable value fund (I)           | -                   | 6,957,283           | -           | 6,957,283                          |
| Self-directed brokerage account -<br>Primarily equity investments | 219,686             | -                   | -           | 219,686                            |
| Total                                                             | <u>\$ 8,697,183</u> | <u>\$ 6,957,283</u> | <u>\$ -</u> | <u>\$ 15,654,466</u>               |

# Hannibal USW 401(k) Plan

## Notes to Financial Statements December 31, 2013 and 2012

### Note 5 - Fair Value Measurements (Continued)

#### Assets Measured at Fair Value on a Recurring Basis at December 31, 2012

|                                                                   | Level 1             | Level 2             | Level 3     | Balance at<br>December 31,<br>2012 |
|-------------------------------------------------------------------|---------------------|---------------------|-------------|------------------------------------|
| Mutual funds:                                                     |                     |                     |             |                                    |
| Equity investments                                                | \$ 6,171,051        | \$ -                | \$ -        | \$ 6,171,051                       |
| Fixed-income investments                                          | 157,879             | -                   | -           | 157,879                            |
| Balanced investments                                              | 37,636              | -                   | -           | 37,636                             |
| Retirement year-based<br>investments                              | 379,612             | -                   | -           | 379,612                            |
| Common collective trust fund -<br>Stable value fund (1)           | -                   | 7,577,828           | -           | 7,577,828                          |
| Self-directed brokerage account -<br>Primarily equity investments | 156,215             | -                   | -           | 156,215                            |
| Total                                                             | <u>\$ 6,902,393</u> | <u>\$ 7,577,828</u> | <u>\$ -</u> | <u>\$ 14,480,221</u>               |

- (1) This class represents investment in an actively managed common collective trust fund that invests primarily in guaranteed investment contracts, fixed-income securities, wrapper contracts, and money market funds. There were no unfunded commitments or redemption restrictions.

The Plan's policy is to recognize transfers between levels of the fair value hierarchy as of the actual date of the event of change in circumstances that caused the transfer. There were no transfers between levels of the fair value hierarchy during 2013 and 2012.

### Note 6 - Going Concern

On February 25, 2013, the Company filed a voluntary petition for reorganization relief under Chapter 11 of the Bankruptcy Code in the United States Bankruptcy Court for the District of Delaware (the "Court"). The Company operates its business as "debtors in possession" under the jurisdiction of the Court and in accordance with the applicable provisions of the Bankruptcy Code and orders of the Court. Subsequent to the filing, the Company ceased operations and has completed the sale of certain assets and awaits Court approval of the sale of substantially all of its remaining assets.

The plan sponsor has incurred significant losses and negative cash flows. The plan sponsor has also been terminating other benefit plans while in bankruptcy. These factors raise substantial doubt about the Plan's ability to continue as a going concern. The plan sponsor has the right to terminate the Plan subject to the provisions set forth in the labor agreement and ERISA. As of the issuance date of the financial statements, there has not been a formal resolution to terminate the Plan. Were the Plan to terminate in the near future, the Plan would adopt the liquidation basis of accounting and record all assets at fair value including the common collective trust fund investment valued at contract value as of December 31, 2013.

## **Hannibal USW 401(k) Plan**

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### **Notes to Financial Statements December 31, 2013 and 2012**

#### **Note 7 - Plan Transfers**

During 2012, a union employee of Ormet transferred to a nonunion position; accordingly, the participant's account balance was transferred from this Plan to another plan sponsored by the Company.

# Hannibal USW 401(k) Plan

## Schedule of Assets Held at End of Year Form 5500, Schedule H, Line 4i EIN 34-0819779, Plan No. 008 December 31, 2013

| (a)(b)<br>Identity of Issuer | (c)<br>Description of Investment                                                     | (d)<br>Cost | (e)<br>Current Value        |
|------------------------------|--------------------------------------------------------------------------------------|-------------|-----------------------------|
|                              | Mutual funds:                                                                        |             |                             |
| PNC Bank, NA **              | BlackRock Mid-Cap Growth Fund                                                        | *           | \$ 2,723,025                |
| PNC Bank, NA **              | BlackRock Mid-Cap Value Fund (f/k/a<br>BlackRock Flexible Equity Fund Institutional) | *           | 2,106,597                   |
| PNC Bank, NA **              | BlackRock Large Value Inst                                                           | *           | 1,505,899                   |
| PNC Bank, NA **              | Am Beacon Sm Cap Value Fund                                                          | *           | 68,390                      |
| PNC Bank, NA **              | American Balanced Fund                                                               | *           | 44,917                      |
| PNC Bank, NA **              | American Cap World Growth & Income                                                   | *           | 252,396                     |
| PNC Bank, NA **              | American Century Equity Income                                                       | *           | 15,205                      |
| PNC Bank, NA **              | Growth Fund of America                                                               | *           | 62,933                      |
| PNC Bank, NA **              | Washington Mutual Investors                                                          | *           | 22,562                      |
| PNC Bank, NA **              | Baron Asset Fund                                                                     | *           | 40,743                      |
| PNC Bank, NA **              | Baron Small Cap Fund                                                                 | *           | 89,225                      |
| PNC Bank, NA **              | BlackRock GNMA Class A                                                               | *           | 58,753                      |
| PNC Bank, NA **              | Calvert Income                                                                       | *           | 37,805                      |
| PNC Bank, NA **              | Fidelity Advisor Growth & Inc                                                        | *           | 72,080                      |
| PNC Bank, NA **              | Janus Forty Fund S                                                                   | *           | 741,912                     |
| PNC Bank, NA **              | Third Avenue Value Fund                                                              | *           | 82,182                      |
| PNC Bank, NA **              | T. Rowe Int'l Growth & Income R                                                      | *           | 38,152                      |
| PNC Bank, NA **              | T. Rowe Ret 2010 R                                                                   | *           | 45,505                      |
| PNC Bank, NA **              | T. Rowe Ret 2020 R                                                                   | *           | 276,461                     |
| PNC Bank, NA **              | T. Rowe Ret 2030 R                                                                   | *           | 95,821                      |
| PNC Bank, NA **              | T. Rowe Ret 2040 R                                                                   | *           | 17,894                      |
| PNC Bank, NA **              | Pioneer Fund Class A                                                                 | *           | 33,108                      |
| PNC Bank, NA **              | T. Rowe Ret 2050 R                                                                   | *           | 5,140                       |
| PNC Bank, NA **              | Harbor Capital Appreciation Fd                                                       | *           | 1,277                       |
| PNC Bank, NA **              | Wells Fargo Adv Core Bond                                                            | *           | 1,699                       |
| PNC Bank, NA **              | BlackRock S&P 500 Stock Fund Service                                                 | *           | 37,816                      |
| PNC Bank, NA **              | Common collective trust fund - Federated Capital<br>Preservation Fund                | *           | 6,937,258                   |
| PNC Bank, NA **              | Self-directed brokerage account investments                                          | *           | 219,686                     |
| Participants **              | Participant notes receivable with interest rates of<br>4.25 percent                  | -           | 434,535                     |
|                              | Total                                                                                |             | <u><u>\$ 16,068,976</u></u> |

\* Cost information not required

\*\* Denotes party-in-interest