Form 5500-SF

Department of the Treasury Internal Revenue Service

Department of Labor Employee Benefits Security Administration Pension Benefit Guaranty Corporation

Short Form Annual Return/Report of Small Employee **Benefit Plan**

This form is required to be filed under sections 104 and 4065 of the Employee Retirement Income Security Act of 1974 (ERISA), and sections 6057(b) and 6058(a) of the Internal Revenue Code (the Code).

▶ Complete all entries in accordance with the instructions to the Form 5500-SF.

1210-0089

2015

OMB Nos. 1210-0110

This Form is Open to **Public Inspection**

Р	art I Annual Report	t Identification Information								
For	calendar plan year 2015 or f	iscal plan year beginning 01/01/2	2015 and ending 12	2/31/2015						
Α	This return/report is for: a single-employer plan a multiple-employer plan (not multiemployer) (Filers checking this box must attact list of participating employer information in accordance with the form instructions a foreign plan									
B	This return/report is	the first return/report an amended return/report	the final return/report a short plan year return/report (less than 12 m	onths)						
С	Check box if filing under:	Form 5558 special extension (enter description)	automatic extension DFVC program							
P	Part II Basic Plan Information—enter all requested information									
1a	Name of plan	CIATES, P.C. 401(K) PROFIT SHAF		1b Three-diplan nur (PN) 1c Effective	mber 002					
2a	Plan sponsor's name (emple Mailing address (include roc	2b Employer Identification Number (EIN) 91-1319145								
DLYN	City or town, state or provin MPIA ANESTHESIA ASSOCI	2c Sponsor's telephone number 360-438-6400								
8739 GRIFFIN LANE SE DLYMPIA, WA 98501					2d Business code (see instructions) 621111					
3a	Plan administrator's name a	and address XSame as Plan Spons	SOT.	3b Administ	trator's EIN trator's telephone number					
4	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.				4b EIN					
а	Sponsor's name		4c PN							
5a	Total number of participants at the beginning of the plan year			5a 5b	33					
		Total number of participants at the end of the plan year								
С		r of participants with account balances as of the end of the plan year (defined benefit plans do not te this item)								
d	(1) Total number of active page	5d(1)	26							
d	(2) Total number of active page	articipants at the end of the plan yea	ar	5d(2)	27					
е	Number of participants that	5e	0							

Caution: A penalty for the late or incomplete filing of this return/report will be assessed unless reasonable cause is established.

Under penalties of perjury and other penalties set forth in the instructions, I declare that I have examined this return/report, including, if applicable, a Schedule SB or Schedule MB completed and signed by an enrolled actuary, as well as the electronic version of this return/report, and to the best of my knowledge and

belief, it is true, correct, and complete

	Filed with authorized/valid electronic signature.	10/18/2016	ELFER GRIFFITH			
HERE	Signature of plan administrator	Date	Enter name of individual signing as plan administrator			
SIGN	Filed with authorized/valid electronic signature.	10/18/2016	TELFER GRIFFITH			
HERE	Signature of employer/plan sponsor	Date	Enter name of individual signing as employer or plan sponsor			
Preparer's	name (including firm name, if applicable) and address (include r	er) Preparer's telephone number				

For Paperwork Reduction Act Notice and OMB Control Numbers, see the instructions for Form 5500-SF.

Form 5500-SF 2015		Page 2						
 Were all of the plan's assets during the plan year invested in eligib Are you claiming a waiver of the annual examination and report of under 29 CFR 2520.104-46? (See instructions on waiver eligibility of the your answered "No" to either line 6a or line 6b, the plan cannot be a second to the plan cannot be a secon	an independ and condition	dent qualified public a	ccount	ant (IQ	PA)			X Yes No
C If the plan is a defined benefit plan, is it covered under the PBGC in	nsurance pr	ogram (see ERISA se	ection 4	021)? .		Yes	No	Not determined
Part III Financial Information	1							
7 Plan Assets and Liabilities		(a) Beginning	•			(b) End of Year		
a Total plan assets	7a		17165	449				19777079
b Total plan liabilities	7b 7c		17165	3//0				19777079
Net plan assets (subtract line 7b from line 7a) Income, Expenses, and Transfers for this Plan Year	76	17165449 (a) Amount				(b) Total		
a Contributions received or receivable from:		(a) Amot	4111				(1) 10	nai
(1) Employers	8a(1)	8a(1) 7630			3035			
(2) Participants	8a(2)		427954					
(3) Others (including rollovers)	8a(3)		40.40	2000				
b Other income (loss)	8b		1840	1330				2024240
C Total income (add lines 8a(1), 8a(2), 8a(3), and 8b) d Benefits paid (including direct rollovers and insurance premiums	8c							3031319
to provide benefits)	8d		310	271				
e Certain deemed and/or corrective distributions (see instructions)	8e							
f Administrative service providers (salaries, fees, commissions)	8f		109	9418				
g Other expenses	8g							
h Total expenses (add lines 8d, 8e, 8f, and 8g)	8h							419689
i Net income (loss) (subtract line 8h from line 8c)	8i							2611630
j Transfers to (from) the plan (see instructions)	8j							
Part IV Plan Characteristics								
9a If the plan provides pension benefits, enter the applicable pension 3D 2E 2G 2J 2K 2R 2F 2A	feature cod	es from the List of Pl	an Cha	racteris	stic Co	des in th	ne instruct	ions:
B If the plan provides welfare benefits, enter the applicable welfare for	eature code	s from the List of Pla	n Chara	acterist	ic Cod	les in the	e instruction	ons:
Part V Compliance Questions								
10 During the plan year:				Yes	No	N/A		Amount
Was there a failure to transmit to the plan any participant contributed described in 29 CFR 2510.3-102? (See instructions and DOL's Verogram)	oluntary Fig	duciary Correction	10a		X			
b Were there any nonexempt transactions with any party-in-interest reported on line 10a.)			10b		X			
C Was the plan covered by a fidelity bond?			10c	X				500000
d Did the plan have a loss, whether or not reimbursed by the plan's by fraud or dishonesty?	fidelity bon	d, that was caused	10d	7.	X			300000
Were any fees or commissions paid to any brokers, agents, or oth carrier, insurance service, or other organization that provides som the plan? (See instructions.)	ner persons ne or all of ti	by an insurance ne benefits under	10e		X			
			10f		X			
				V	^			11701
 g Did the plan have any participant loans? (If "Yes," enter amount as of year end.) h If this is an individual account plan, was there a blackout period? (See instructions and 29 CF 			10g	X				11721
2520.101-3.)	•		10h		X			
If 10h was answered "Yes," check the box if you either provided the required notice or one of the exceptions to providing the notice applied under 29 CFR 2520.101-3			10i					
j Did the plan trust incur unrelated business taxable income?			10i					
Part VI Pension Funding Compliance			,		<u> </u>	<u> </u>		
11 Is this a defined benefit plan subject to minimum funding requirem 5500) and line 11a below)								☐ Yes ☐ No
11a Enter the unpaid minimum required contribution for all years from						11a		
12 Is this a defined contribution plan subject to the minimum funding							RISA?	Yes X No

	F	orm 5500-SF 2015 Page 3 - 1							
(If "Yes," complete line 12a or lines 12b, 12c, 12d, and 12e below, as applicable.)									
а		aiver of the minimum funding standard for a prior year is being amortized in this plan year, see inc ng the waiver		enter the Day	date of t	he letter rul Year	ing		
lf		mpleted line 12a, complete lines 3, 9, and 10 of Schedule MB (Form 5500), and skip to line		Duy_		1 oui			
b	Enter t	ne minimum required contribution for this plan year		12b					
С	Enter th	ne amount contributed by the employer to the plan for this plan year		12c					
d		ct the amount in line 12c from the amount in line 12b. Enter the result (enter a minus sign to the		12d					
		ve amount)e minimum funding amount reported on line 12d be met by the funding deadline?		П	Yes	No 🗌	N/A		
Part		Plan Terminations and Transfers of Assets			100	110	1471		
		resolution to terminate the plan been adopted in any plan year?			Yes	s X No			
		s," enter the amount of any plan assets that reverted to the employer this year		13a					
b	Were	all the plan assets distributed to participants or beneficiaries, transferred to another plan, or brough	ght under the co	ontrol Yes X No					
С	If duri	ng this plan year, any assets or liabilities were transferred from this plan to another plan(s), identiassets or liabilities were transferred. (See instructions.)							
•	13c(1) N	lame of plan(s):	13c(2)	EIN(s) 130			PN(s)		
Part	: VIII	Trust Information							
14a	Name o	f trust		14b Trust's EIN					
14c	Name	of trustee or custodian		14d Trustee's or custodian's					
Name of trustee of custodian						telephone number			
Par	t IX	IRS Compliance Questions							
15a	Is the	plan a 401(k) plan?		Yes No					
15b	15b If "Yes," how does the 401(k) plan satisfy the nondiscrimination requirements for employee deferrals and employer matching contributions (as applicable) under sections 401(k)(3) and 401(m)(2)?					Design- based safe ADP/ACP harbor test method			
15c	C If the ADP/ACP test is used, did the 401(k) plan perform ADP/ACP testing for the plan year using the "current year testing method" for nonhighly compensated employees (Treas. Reg sections 1.401(k)-2(a)(2)(ii) and 1.401(m)-2(a)(2)(ii))?					Yes No			
16a	16a Check the box to indicate the method used by the plan to satisfy the coverage requirements under section 410(b):					Ratio Average benefit			
16b Does the plan satisfy the coverage and nondiscrimination tests of sections 410(b) and 401(a)(4) by combining this plan with any other plans under the permissive aggregation rules?					s	No			
17a	Has the	e plan been timely amended for all required tax law changes?		Ye	S	No	N/A		
17b		ne last plan amendment/restatement for the required tax law changes was adopted//law changes and codes).	plicable	code	(See ins	tructions			
17c If the plan sponsor is an adopter of a pre-approved master and prototype (M&P) or volume submitter plan that is subject to a favorable IRS opinion or advisory letter, enter the date of that favorable letter/ and the letter's serial number									
17d	17d If the plan is an individually-designed plan and received a favorable determination letter from the IRS, enter the date of the plan's last favorable determination letter/								
18		Is the Plan maintained in a U.S. territory (i.e., Puerto Rico (if no election under ERISA section 1022(i)(2) has been made), American Samoa, Guam, the Commonwealth of the Northern Mariana Islands or the U.S. Virgin Islands)?			5	No			
19	Were in-service distributions made during the plan year?			Ye	s	No			
	If "Yes," enter amount			19					
20	Were required minimum distributions made to 5% owners who have attained age 70 ½ (regardless of whether or not retired), as required under section 401(a)(9)?				s	No	N/A		