Form 5500-SF

Department of the Treasury

Employee Benefits Security Administration Pension Benefit Guaranty Corporation

Part I

Internal Revenue Service Department of Labor

Annual Report Identification Information

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.

2016

OMB Nos. 1210-0110

1210-0089

This Form is Open to **Public Inspection**

| For calend | dar plan year 2016 or | fiscal plan year beginning 01/01/ | 2016 | and ending 12 | 2/31/2016 | |
|--|---|--|---|--|--|---|
| | | a single-employer plan | | plan (not multiemployer) (| _ | |
| A This re | eturn/report is for: | a one-participant plan | list of participating a foreign plan | employer information in ac | ccordance with the | form instructions.) |
| D | | the first return/report | The final return/rene | ·• | | |
| B This ret | turn/report is | the first return/report | the final return/repo | | th -) | |
| | | an amended return/report | a snort plan year re | turn/report (less than 12 m | ontns) | |
| C Check | box if filing under: | Form 5558 | automatic extensio | n | DFVC program | n |
| | | special extension (enter desc | cription) | | | |
| Part II | Basic Plan In | formation—enter all requested in | nformation | | | |
| 1a Name NORTHWE | | 401(K) RETIREMENT SAVINGS P | LAN | | 1b Three-digit plan numbe (PN) ▶ | er 001 |
| | | | | | 1c Effective da | ate of plan 01/01/1993 |
| | | oloyer, if for a single-employer plan) oom, apt., suite no. and street, or P. | O. Box) | | | dentification Number 91-1108061 |
| | or town, state or proving ST CASTINGS, INC. | nce, country, and ZIP or foreign pos | stal code (if foreign, see in | structions) | | elephone number 6-621-7560 |
| | | | | | 2d Business co | ode (see instructions) |
| P. O. BOX 8 SEATTLE, V | | | | | 3 | 332900 |
| | | | | | | |
| 3a Plan a | administrator's name | and address X Same as Plan Spo | onsor. | | 3b Administrate | or's EIN |
| | | | | | 2 | |
| | | | | | 3c Administrate | nr's telennone ni imper |
| | | | | | | or a telepriorie framber |
| | | | | | | or a telephone number |
| | | | | | | or a telephone number |
| 4 If the | name and/or FIN of t | the plan sponsor has changed since | e the last return/report file | d for this plan, enter the | | or a colognone number |
| | | the plan sponsor has changed since number from the last return/report. | e the last return/report file | d for this plan, enter the | 4b EIN | or a coophone number |
| name | | | e the last return/report file | d for this plan, enter the | 4b EIN 4c PN | |
| name a Spons | e, EIN, and the plan r sor's name | | · | | 4b EIN 4c PN 5a | 41 |
| a Spons 5a Total b Total | e, EIN, and the plan r sor's name number of participan number of participan | number from the last return/report. Its at the beginning of the plan year | | | 4b EIN 4c PN | |
| a Spons 5a Total b Total c Numb | e, EIN, and the plan r sor's name number of participan number of participan ber of participants wit | number from the last return/report. Its at the beginning of the plan year Its at the end of the plan year | f the plan year (only defir | ed contribution plans | 4b EIN 4c PN 5a | 41 |
| a Spons 5a Total b Total c Numb | e, EIN, and the plan r sor's name number of participan number of participan ber of participants wit blete this item) | number from the last return/report. Its at the beginning of the plan year | f the plan year (only defir | ed contribution plans | 4b EIN 4c PN 5a 5b | 41 36 |
| name a Spons 5a Total b Total c Numb comp d(1) To | e, EIN, and the plan resor's name number of participan number of participan ber of participants with plete this item) | number from the last return/report. Its at the beginning of the plan year Its at the end of the plan year It account balances as of the end o | f the plan year (only defir | ed contribution plans | 4b EIN 4c PN 5a 5b 5c | 41 36 16 |
| name a Spons 5a Total b Total c Numb comp d(1) Tot d(2) To e Num | e, EIN, and the plan resor's name number of participan number of participants with plete this item) | ts at the beginning of the plan year at the end of the plan year | f the plan year (only defir | ed contribution plans | 4b EIN 4c PN 5a 5b 5c 5d(1) 5d(2) | 41 36 16 |
| name a Spons 5a Total b Total c Numb comp d(1) Tot d(2) To e Num than | e, EIN, and the plan resor's name number of participan number of participants with plete this item) | ts at the beginning of the plan year at the end of the plan year | of the plan year (only defironal plan year | ed contribution plans | 4b EIN 4c PN 5a 5b 5c 5d(1) 5d(2) 5e | 41 36 16 39 33 |
| name a Spons 5a Total b Total c Numb comp d(1) Tot d(2) Tot e Num than Caution: A Under per SB or Sch | e, EIN, and the plan resor's name number of participant unumber of participants with plete this item) | ts at the beginning of the plan year at the end of the plan year | f the plan year (only definology) plan yeare plan year with accrued rn/report will be assess | ed contribution plans benefits that were less ed unless reasonable cau | 4b EIN 4c PN 5a 5b 5c 5d(1) 5d(2) 5e use is established port, including, if a | 41 36 16 39 33 0 d. |
| name a Spons 5a Total b Total c Numb comp d(1) Tot d(2) To e Num than Caution: Under per SB or Sch belief, it is | e, EIN, and the plan resor's name number of participant number of participants with plete this item) In tall number of active plate of participants the plate of participants the plate of participants the plate of participants the plate of perjury and pedule MB completed atrue, correct, and co | ts at the beginning of the plan year at the end of the plan year | olan year (only defined as the plan year (only defined as the plan year with accrued as the plan year will be assessuctions, I declare that I have as well as the electronic | ed contribution plans benefits that were less ed unless reasonable cau ve examined this return/report | 4b EIN 4c PN 5a 5b 5c 5d(1) 5d(2) 5e use is established port, including, if a | 41 36 16 39 33 0 d. |
| name a Spons 5a Total b Total c Numb comp d(1) Tot d(2) Tot e Num than Caution: A Under per SB or Sch | e, EIN, and the plan resor's name number of participant unumber of participants with plete this item) | ts at the beginning of the plan year at the end of the plan year | f the plan year (only definance) plan year e plan year with accrued rn/report will be assess uctions, I declare that I has as well as the electronic 05/15/2017 | ed contribution plans benefits that were less ed unless reasonable cauve examined this return/report | 4b EIN 4c PN 5a 5b 5c 5d(1) 5d(2) 5e use is established port, including, if a t, and to the best of the control of the | 41 36 16 39 33 0 d. pplicable, a Schedule of my knowledge and |
| name a Spons 5a Total b Total c Numb comp d(1) Tot d(2) Tot e Num than Caution: A Under per SB or Sch belief, it is SIGN HERE | e, EIN, and the plan resor's name number of participant number of participants with plete this item) In tall number of active plate of participants the plate of participants the plate of participants the plate of participants the plate of perjury and pedule MB completed atrue, correct, and co | ts at the beginning of the plan year at the end of the plan year | olan year (only defined as the plan year (only defined as the plan year with accrued as the plan year will be assessuctions, I declare that I have as well as the electronic | ed contribution plans benefits that were less ed unless reasonable cau ve examined this return/report | 4b EIN 4c PN 5a 5b 5c 5d(1) 5d(2) 5e use is established port, including, if a t, and to the best of the control of the | 41 36 16 39 33 0 d. pplicable, a Schedule of my knowledge and |
| name a Spons 5a Total b Total c Numb comp d(1) Tot d(2) Tot e Num than Caution: Under per SB or Sch belief, it is | e, EIN, and the plan resor's name number of participant unumber of participants with plete this item) | ts at the beginning of the plan year at the end of the plan year | f the plan year (only definance) plan year e plan year with accrued rn/report will be assess uctions, I declare that I has as well as the electronic 05/15/2017 Date | ed contribution plans benefits that were less ed unless reasonable cauve examined this return/report version of this return/report | 4b EIN 4c PN 5a 5b 5c 5d(1) 5d(2) 5e use is established port, including, if a t, and to the best could use the set of the se | 41 36 16 39 33 0 d. pplicable, a Schedule of my knowledge and |
| name a Spons 5a Total b Total c Numb comp d(1) Tot d(2) To e Num than Caution: A Under per SB or Sch belief, it is SIGN HERE SIGN HERE | e, EIN, and the plan resor's name number of participant number of participants with plete this item) | ts at the beginning of the plan year at the end of the plan year | f the plan year (only definition of the plan year (only definition of the plan year with accrued of the plan year with accrued of the plan year will be assess the plan year will be assess the plan year will be assess the plan year with accrued of the plan year (only definition of the plan year). Ostable | benefits that were less ed unless reasonable cau ve examined this return/re version of this return/report JOSEPH PEREZ Enter name of individual | 4b EIN 4c PN 5a 5b 5c 5d(1) 5d(2) 5e use is established port, including, if a t, and to the best could use the set of the se | 41 36 16 39 33 0 d. pplicable, a Schedule of my knowledge and |
| name a Spons 5a Total b Total c Numb comp d(1) Tot d(2) To e Num than Caution: A Under per SB or Sch belief, it is SIGN HERE SIGN HERE | e, EIN, and the plan resor's name number of participant number of participants with plete this item) | ts at the beginning of the plan year at the end of the plan year | f the plan year (only definition of the plan year (only definition of the plan year with accrued of the plan year with accrued of the plan year will be assess the plan year will be assess the plan year will be assess the plan year with accrued of the plan year (only definition of the plan year). Ostable | benefits that were less ed unless reasonable cau ve examined this return/re version of this return/report JOSEPH PEREZ Enter name of individual | 4b EIN 4c PN 5a 5b 5c 5d(1) 5d(2) 5e use is established port, including, if a t, and to the best could use the set of the se | 41 36 16 39 33 0 d. pplicable, a Schedule of my knowledge and |
| name a Spons 5a Total b Total c Numb comp d(1) Tot d(2) To e Num than Caution: A Under per SB or Sch belief, it is SIGN HERE SIGN HERE | e, EIN, and the plan resor's name number of participant number of participants with plete this item) | ts at the beginning of the plan year at the end of the plan year | f the plan year (only definition of the plan year (only definition of the plan year with accrued of the plan year with accrued of the plan year will be assess the plan year will be assess the plan year will be assess the plan year with accrued of the plan year (only definition of the plan year). Ostable | benefits that were less ed unless reasonable cau ve examined this return/re version of this return/report JOSEPH PEREZ Enter name of individual | 4b EIN 4c PN 5a 5b 5c 5d(1) 5d(2) 5e use is established port, including, if a t, and to the best could use the set of the se | 41 36 16 39 33 0 d. pplicable, a Schedule of my knowledge and administrator |

Form 5500-SF 2016 Page **2**

| | Were all of the plan's assets during the plan year invested in eligib | | • | | | | | | X Ye | es No |
|-----|---|-------------|--------------------------|---------|----------|---------|----------|-----------|-----------|----------|
| | Are you claiming a waiver of the annual examination and report of under 29 CFR 2520.104-46? (See instructions on waiver eligibility If you answered "No" to either line 6a or line 6b, the plan cann | and condit | ions.) | | | | | | X Ye | s No |
| | If the plan is a defined benefit plan, is it covered under the PBGC in | | | | | | - | No | Not de | termined |
| Par | t III Financial Information | | | | | | | | | |
| | Plan Assets and Liabilities | | (a) Beginning | of Year | | | | (b) End | of Year | |
| а | Total plan assets | 7a | | 768983 | | | | | 44695 | i9 |
| b | Total plan liabilities | 7b | | 212 | | | | | 34 | 14 |
| С | Net plan assets (subtract line 7b from line 7a) | 7c | | 768771 | | | | | 44661 | 5 |
| 8 | Income, Expenses, and Transfers for this Plan Year | | (a) Amoun | nt | | | | (b) T | otal | |
| | Contributions received or receivable from: | | | 16231 | | | | | | |
| | (1) Employers | 8a(1) | | 28490 | | | | | | |
| | (2) Participants | 8a(2) | | 20490 | | | | | | |
| | (3) Others (including rollovers) | 8a(3) | | 19836 | | | | | | |
| | Other income (loss) | 8b | | 13030 | | | | | 6455 | 7 |
| | Total income (add lines 8a(1), 8a(2), 8a(3), and 8b) | 8c | | | | | | | 0400 |)/ |
| | Benefits paid (including direct rollovers and insurance premiums to provide benefits) | 8d | | 386713 | | | | | | |
| е | Certain deemed and/or corrective distributions (see instructions). | 8e | | | | | | | | |
| f | Administrative service providers (salaries, fees, commissions) | 8f | | | | | | | | |
| | Other expenses | 8g | | | | | | | | |
| h | Total expenses (add lines 8d, 8e, 8f, and 8g) | 8h | | 386713 | | | | 3 | | |
| i | Net income (loss) (subtract line 8h from line 8c) | 8i | | | | -322156 | | | | i6 |
| j | Transfers to (from) the plan (see instructions) | 8j | | | | | | | | |
| Par | t IV Plan Characteristics | | | | | | | | | |
| 9a | If the plan provides pension benefits, enter the applicable pension 2E 2F 2G 2J 2K 2T 3D | feature co | des from the List of Pl | an Cha | racteri | stic Co | odes in | the inst | ructions: | |
| b | If the plan provides welfare benefits, enter the applicable welfare for | eature cod | les from the List of Pla | n Chara | acterist | tic Cod | des in t | he instru | ictions: | |
| Par | t V Compliance Questions | | | | | | | | | |
| 10 | During the plan year: | | | | Yes | No | N/A | | Amoun | t |
| а | Was there a failure to transmit to the plan any participant contributes described in 29 CFR 2510.3-102? (See instructions and DOL's Verogram) | oluntary F | iduciary Correction | 10a | | X | | | | |
| b | Were there any nonexempt transactions with any party-in-interest reported on line 10a.) | | | 10b | | Χ | | | | |
| С | Was the plan covered by a fidelity bond? | | | 10c | X | | | | | 120000 |
| d | Did the plan have a loss, whether or not reimbursed by the plan's by fraud or dishonesty? | | 10d | | X | | | | | |
| е | • Were any fees or commissions paid to any brokers, agents, or other persons by an insura carrier, insurance service, or other organization that provides some or all of the benefits u the plan? (See instructions.) | | | | X | | | | | 3998 |
| f | Has the plan failed to provide any benefit when due under the pla | ın? | | 10f | | Χ | | | | |
| g | Did the plan have any participant loans? (If "Yes," enter amount a | s of year-e | end.) | 10g | | X | | | | |
| h | h If this is an individual account plan, was there a blackout period? (See instructions and 29 CFR 2520.101-3.) | | | | | | | | | |
| i | If 10h was answered "Yes," check the box if you either provided the exceptions to providing the notice applied under 29 CFR 2520.10 | | | 10i | | | | | | |

| ı | Form | 550 | 0-SF | 201 | 16 |
|---|------|-----|------|-----|----|
| | | | | | |

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

| Part | VI | Pension Funding Compliance | | | | | | |
|---|--|---|---------|----------|---------------------------------|----------------------------|---------------------------|--------------|
| 11 | 1 Is this a defined benefit plan subject to minimum funding requirements? (If "Yes," see instructions and complete Schedule SB (Form 5500) and line 11a below) | | | | | | es No | |
| 11a | 11a Enter the unpaid minimum required contributions for all years from Schedule SB (Form 5500) line 40 | | | | | | | |
| 12 | ERISA? | | | | | | | es X No |
| | | Yes," complete line 12a or lines 12b, 12c, 12d, and 12e below, as applicable.) vaiver of the minimum funding standard for a prior year is being amortized in this plan year, see inst | ruotior | 20.000 | d ontor t | ho data | of the letter | ruling |
| | gran | ting the waiver | onth _ | 15, and | _ Day | | Year _ | |
| | | ompleted line 12a, complete lines 3, 9, and 10 of Schedule MB (Form 5500), and skip to line 1 | | | 406 | | | |
| <u> </u> | Enter | the minimum required contribution for this plan year | | | 12b | | | |
| С | Enter | the amount contributed by the employer to the plan for this plan year | | | 12c | | | |
| d | | ract the amount in line 12c from the amount in line 12b. Enter the result (enter a minus sign to the leastive amount) | | | 12d | | | - |
| <u>e</u> | Will | the minimum funding amount reported on line 12d be met by the funding deadline? | | | | Yes | No | N/A |
| Part ' | VII | Plan Terminations and Transfers of Assets | | | | | | |
| 13a | Has | a resolution to terminate the plan been adopted in any plan year? | | | | Yes | s X No |) |
| | If "Y | es," enter the amount of any plan assets that reverted to the employer this year | | | 13a | | | |
| b | | e all the plan assets distributed to participants or beneficiaries, transferred to another plan, or brouging of the PBGC? | | | | | Yes X | No |
| С | | uring this plan year, any assets or liabilities were transferred from this plan to another plan(s), identifich assets or liabilities were transferred. (See instructions.) | y the p | plan(s) |) to | | | |
| 1 | 3c(1) | Name of plan(s): | | 13c(2) | EIN(s) | | 13c(3) | PN(s) |
| | | | | | | | | |
| Part | VIII | Trust Information | | | | | | |
| 14a | Name | of trust | | | 14b ⁻ | Trust's E | EIN | |
| 14c | Name | e of trustee or custodian | | | | | s or custodi ne number | an's |
| Part | : IX | IRS Compliance Questions | | | | | | |
| 15a | Is the | plan a 401(k) plan? If "No," skip b | | Yes | | [| No | |
| | | did the plan satisfy the nondiscrimination requirements for employee deferrals under section)(3) for the plan year? Check all that apply: | | · | ign-based "Prior year" ADP test | | | ar" ADP |
| □ "Cur | | | | | | rent year" N/A test | | |
| 16a What testing method was used to satisfy the coverage requirements under section 410(b) for the plan year? Check all that apply: | | | | | | o Average N/A benefit test | | |
| 16b Did the plan satisfy the coverage and nondiscrimination requirements of sections 410(b) and 401(a)(4) for the plan year by combining this plan with any other plan under the permissive aggregation rules? | | | | | | | No | |
| 17a | If the | plan is a master and prototype plan (M&P) or volume submitter plan that received a favorable IRS deter | opinio | n letter | or advi | sory lett | ter, enter the | e date of |
| | letter | | ter the | e date | of the m | nost rece | ent determir | nation |
| | Were | ed Benefit Plan or Money Purchase Pension Plan Only: any distributions made during the plan year to an employee who attained age 62 and had not sepace? | | from | Ye | s [| No | |
| 19 | Was | any plan participant a 5% owner who had attained at least age 70 $^{1\!\!/}_{2}$ during the prior plan year? | | | Ye | s [| No | |

Form 5500-SF

Department of the Treasury Internal Revenue Service

Department of Labor Pension Benefit Guaranty Corporation

Employee Benefits Security Administration

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.

OMB Nos. 1210-0110 1210-0089

2016

This Form is Open to **Public Inspection**

| Part I | | Identification Information | | | | |
|---------------------|---|---|-----------------------------------|--|---------------------------------------|--|
| For calenda | ar plan year 2016 or f | iscal plan year beginning | 01/01/2016 | and ending | 12/31/2 | |
| A This ret | urn/report is for: | X a single-employer plan | a multiple-employer pla | n (not multiemployer) (l ployer information in ac | | |
| 22 71110100 | accordence to total | a one-participant plan | a foreign plan | | | ······································ |
| B This retu | urn/report is | the first return/report | the final return/report | | | |
| | | an amended return/report | a short plan year return | /report (less than 12 m | onths) | |
| C Check I | box if filing under: | Form 5558 | automatic extension | | DFVC progran | n |
| Do-4 II | Dania Dian Infe | special extension (enter desc | | | | |
| Part II | | ormation—enter all requested in | ntormation | | 1b Three-digit | |
| 1a Name NORTHWES | - | INC. 401(K) RETIREME | NT SAVINGS PLAN | | plan numbe | |
| | | | | | (PN) • | ate of plan |
| | | | | | 01/01/19 | • |
| Mailing | address (include roo | oyer, if for a single-employer plan) om, apt., suite no. and street, or P. | O. Box) | | 2b Employer lo (EIN) 91 - 3 | dentification Number 1108061 |
| • | town, state or proving EST CASTINGS, | ce, country, and ZIP or foreign pos INC . | stal code (if foreign, see instri | uctions) | 2c Sponsor's 206-621 | telephone number - 7560 |
| D 0 F | 3OX 84704 | | | | 2d Business c | ode (see instructions) |
| r. O. L | 3021 04704 | | | | 332900 | |
| SEATTLE | | WA 98124 | | | 3b Administrat | indo EINI |
| 3a Plan a | dministrator's name a | and address 🛛 Same as Plan Spo | onsor. | | 3D Administrat | ors EIN |
| | | | | | 3c Administrat | tor's telephone number |
| | | | | | | · |
| | | | | | | |
| | | | | | | |
| | | ne plan sponsor has changed since | e the last return/report filed fo | or this plan, enter the | 4b EIN | |
| | , EIN, and the plan hi or's name | umber from the last return/report. | | | 4c PN | |
| 5a Total | number of participant | s at the beginning of the plan year | | .,, | 5a | 41 |
| b Total | number of participant | s at the end of the plan year | | | . 5b | 36 |
| | | account balances as of the end o | | contribution plans | 5c | 16 |
| | | articipants at the beginning of the | | | 5d(1) | 3.9 |
| d(2) Tot | al number of active p | articipants at the end of the plan y | ear | | 5d(2) | 33 |
| | | t terminated employment during th | | | 5e | C |
| Caution: A | A penalty for the late | or incomplete filing of this retu | rn/report will be assessed | unless reasonable ca | | ed. |
| SB or Sche | | other penalties set forth in the instri and signed by an enrolled actuary, | | | | |
| SIGN | Koseph | heren | 5/15/2017 | JOSEPH PEREZ | | |
| HERE | Signature of plan | administrator | Date | Enter name of individ | dual signing as pla | n administrator |
| SIGN | | | | | | |
| HERE | Signature of empl | loyer/plan sponsor | Date | Enter name of individ | dual signing as em | ployer or plan sponsor |
| Preparer's | | name, if applicable) and address | (include room or suite numbe | | Preparer's telep | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| I . | | | | | | |