Form 5500-SF

Department of the Treasury Internal Revenue Service

Employee Benefits Security Administration Pension Benefit Guaranty Corporation

Department of Labor

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

For calendar pla		dentification Information	0.4.0		0.10.1.10.0.1.0					
	an year 2016 or fis	cal plan year beginning 01/01/20		on the critical s	2/31/2016					
X a single-employer plan ☐ a multiple-employer plan ☐ ist of participating employer information in					· ·					
A This return/report is for:		a one-participant plan		ccordance with the f	form instructions.)					
		a one participant plan	a foreign plan	a foreign plan						
B This return/re	anart ia	the first return/report	the final return/report							
D This returning	eport is	rn/report (less than 12 m	onths)							
_	iontris)									
C Check box if filing under: ☐ Form 5558 ☐ automatic extension ☐ DFVC program										
		special extension (enter descri	ption)							
Part II Ba	asic Plan Infor	mation—enter all requested info	ormation							
1a Name of pl	an				1b Three-digit					
UNIVERSAL MEDICAL SERVICES, LLC. 401(K) PROFIT SHARING PLAN					plan number					
					(PN))	002				
					1c Effective dat	e of plan 1/01/2004				
Mailing add	dress (include room	rer, if for a single-employer plan) n, apt., suite no. and street, or P.O			2b Employer Identification Number (EIN) 13-4048733					
	n, state or province DICAL SERVICES:	e, country, and ZIP or foreign posta	al code (if foreign, see ins	tructions)	2c Sponsor's telephone number					
ONIVERSAL WEL	DICAL SLIVICES,	, LLO.			718-605-3700					
44 0114 DTED 04	IK BOAD				2d Business coo	de (see instructions)				
11 CHARTER OA STATEN ISLAND	NK ROAD), NY 10304				62	21111				
3a Plan admin	nistrator's name and	d address X Same as Plan Spon	sor.		3b Administrato	r's EIN				
					3c Administrato	r'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					4b EIN					
name, EIN, and the plan number from the last return/report.				4c PN						
Sponsor's name Total number of participants at the beginning of the plan year					<u> </u>					
_					5b	6				
		at the end of the plan year			30					
		ccount balances as of the end of t	. , , ,	•	5c	6				
		ticipants at the beginning of the pla			5d(1)	4				
					5d(2)					
d(2) Total number of active participants at the end of the plan yeare Number of participants that terminated employment during the plan year with accrued benefits that were less			34(2)	4						
			nian vear with accrited b	enefits that were less	_					
	% vested	eminated employment during the			5e					
than 100%	nalty for the late o	r incomplete filing of this return	/report will be assessed	d unless reasonable ca	use is established					
than 100% Caution: A per Under penalties	nalty for the late one of perjury and oth	r incomplete filing of this return	/report will be assessed	d unless reasonable ca	use is established eport, including, if ap	oplicable, a Schedule				
Caution: A per Under penalties SB or Schedule	nalty for the late one of perjury and oth	r incomplete filing of this return er penalties set forth in the instruc d signed by an enrolled actuary, a	/report will be assessed	d unless reasonable ca	use is established eport, including, if ap	oplicable, a Schedule				
Caution: A per Under penalties SB or Schedule belief, it is true, SIGN	nalty for the late of s of perjury and oth the MB completed an correct, and comp	r incomplete filing of this return er penalties set forth in the instruc d signed by an enrolled actuary, a	/report will be assessed	d unless reasonable ca	use is established eport, including, if ap	oplicable, a Schedule				
Caution: A per Under penalties SB or Schedule belief, it is true, SIGN HERE	nalty for the late of s of perjury and oth the MB completed an correct, and comp	or incomplete filing of this return er penalties set forth in the instruct d signed by an enrolled actuary, a lete.	Vreport will be assessed tions, I declare that I have s well as the electronic versions.	d unless reasonable ca e examined this return/re ersion of this return/repo	use is established eport, including, if aprt, and to the best of	pplicable, a Schedule f my knowledge and				
than 100% Caution: A per Under penalties SB or Schedule belief, it is true, SIGN HERE Sig	nalty for the late of s of perjury and oth MB completed an correct, and comp d with authorized/v gnature of plan ac	or incomplete filing of this return er penalties set forth in the instruct d signed by an enrolled actuary, a lete.	Veport will be assessed tions, I declare that I have swell as the electronic ve	d unless reasonable ca e examined this return/re ersion of this return/repo	use is established eport, including, if aprt, and to the best of	pplicable, a Schedule f my knowledge and				
than 100% Caution: A per Under penalties SB or Schedule belief, it is true, SIGN HERE Sig SIGN HERE File	alty for the late of sof perjury and other MB completed an correct, and compid with authorized/vegnature of plan action distributions and with authorized/vegnature of plan actions.	or incomplete filing of this return er penalties set forth in the instruct d signed by an enrolled actuary, a lete. ralid electronic signature. ralid electronic signature.	Vreport will be assessed tions, I declare that I have swell as the electronic version of the control of the con	d unless reasonable ca e examined this return/re- ersion of this return/repo BING LU Enter name of individ	use is established eport, including, if aprt, and to the best of	oplicable, a Schedule f my knowledge and administrator				
than 100% Caution: A per Under penalties SB or Schedule belief, it is true, SIGN HERE Sig HERE Sig SigN File	alty for the late of sof perjury and other MB completed an correct, and compid with authorized/vegnature of plan and with authorized/vegnature of employenature and other employenature of employ	or incomplete filing of this return er penalties set forth in the instruct d signed by an enrolled actuary, a lete. ralid electronic signature. ralid electronic signature.	or/o5/2017 Date 07/05/2017 Date	d unless reasonable ca e examined this return/reportsion of this return of the return of this return of this return of the return of this retur	use is established eport, including, if aprt, and to the best of	pplicable, a Schedule f my knowledge and administrator				
than 100% Caution: A per Under penalties SB or Schedule belief, it is true, SIGN HERE Sig HERE Sig SigN File	alty for the late of sof perjury and other MB completed an correct, and compid with authorized/vegnature of plan and with authorized/vegnature of employenature and other employenature of employ	or incomplete filing of this return er penalties set forth in the instruct d signed by an enrolled actuary, a lete. ralid electronic signature. ralid electronic signature. ralid electronic signature. retriplements	or/o5/2017 Date 07/05/2017 Date	d unless reasonable ca e examined this return/reportsion of this return of the return of this return of this return of the return of this retur	use is established eport, including, if aprt, and to the best of dual signing as plan	pplicable, a Schedule f my knowledge and administrator				
than 100% Caution: A per Under penalties SB or Schedule belief, it is true, SIGN HERE Sig HERE Sig SigN File	alty for the late of sof perjury and other MB completed an correct, and compid with authorized/vegnature of plan and with authorized/vegnature of employenature and other employenature of employ	or incomplete filing of this return er penalties set forth in the instruct d signed by an enrolled actuary, a lete. ralid electronic signature. ralid electronic signature. ralid electronic signature. retriplements	or/o5/2017 Date 07/05/2017 Date	d unless reasonable ca e examined this return/reportsion of this return of the return of this return of this return of the return of this retur	use is established eport, including, if aprt, and to the best of dual signing as plan	pplicable, a Schedule f my knowledge and administrator				
than 100% Caution: A per Under penalties SB or Schedule belief, it is true, SIGN HERE Sig HERE Sig SigN File	alty for the late of sof perjury and other MB completed an correct, and compid with authorized/vegnature of plan and with authorized/vegnature of employenature and other employenature of employ	or incomplete filing of this return er penalties set forth in the instruct d signed by an enrolled actuary, a lete. ralid electronic signature. ralid electronic signature. ralid electronic signature. retriplements	or/o5/2017 Date 07/05/2017 Date	d unless reasonable ca e examined this return/reportsion of this return of the return of this return of this return of the return of this retur	use is established eport, including, if aprt, and to the best of dual signing as plan	pplicable, a Schedule f my knowledge and administrator				

Form 5500-SF 2016 Page **2**

 Were all of the plan's assets during the plan year invested in elig Are you claiming a waiver of the annual examination and report o under 29 CFR 2520.104-46? (See instructions on waiver eligibility If you answered "No" to either line 6a or line 6b, the plan can 	f an indepe , and condit	ndent qualified public a	account	ant (IC	(PA)			X Yes	No No	
C If the plan is a defined benefit plan, is it covered under the PBGC					_	-	_	Not deter	rmined	
Part III Financial Information										
7 Plan Assets and Liabilities		(a) Beginning	of Year				(b) End	of Year		
a Total plan assets	7a		652658		768061					
b Total plan liabilities	7b		0)	0					
C Net plan assets (subtract line 7b from line 7a)	7c		652658	3				768061		
8 Income, Expenses, and Transfers for this Plan Year		(a) Amour	nt				(b) T	otal		
a Contributions received or receivable from:	2 (1)		18568							
(1) Employers	8a(1)		68000	_						
(2) Participants	8a(2)		00000							
(3) Others (including rollovers)			28835							
b Other income (loss)			20000		445402					
C Total income (add lines 8a(1), 8a(2), 8a(3), and 8b) d Benefits paid (including direct rollovers and insurance premiums	8c				115403					
to provide benefits)	8d		0)						
e Certain deemed and/or corrective distributions (see instructions).	8e		0							
f Administrative service providers (salaries, fees, commissions)	8f		0							
g Other expenses	8g		0							
h Total expenses (add lines 8d, 8e, 8f, and 8g)	8h					0				
i Net income (loss) (subtract line 8h from line 8c)	8i					115403				
j Transfers to (from) the plan (see instructions)	j Transfers to (from) the plan (see instructions))						
Part IV Plan Characteristics										
9a If the plan provides pension benefits, enter the applicable pensio 2A 2E 2J 3D	n feature co	odes from the List of Pl	an Cha	racteri	stic Co	odes in	the instr	uctions:		
b If the plan provides welfare benefits, enter the applicable welfare	feature coo	les from the List of Pla	n Chara	acteris	tic Cod	des in t	he instru	ctions:		
Part V Compliance Questions										
10 During the plan year:				Yes	No	N/A		Amount		
a Was there a failure to transmit to the plan any participant contrib described in 29 CFR 2510.3-102? (See instructions and DOL's Program)	Voluntary F	iduciary Correction	10a		X					
b Were there any nonexempt transactions with any party-in-intere reported on line 10a.)			10b		X					
C Was the plan covered by a fidelity bond?	C Was the plan covered by a fidelity bond?				X					
	d Did the plan have a loss, whether or not reimbursed by the plan's fidelity bond, that was caused by fraud or dishonesty?				Х					
Were any fees or commissions paid to any brokers, agents, or other persons by an insurance carrier, insurance service, or other organization that provides some or all of the benefits under the plan? (See instructions.)			10e		X					
f Has the plan failed to provide any benefit when due under the p	f Has the plan failed to provide any benefit when due under the plan?			L	X					
g Did the plan have any participant loans? (If "Yes," enter amount	as of year-	end.)	10g		X					
h If this is an individual account plan, was there a blackout period' 2520.101-3.)			10h		X					
i If 10h was answered "Yes," check the box if you either provided exceptions to providing the notice applied under 29 CFR 2520.1	the require	d notice or one of the	10i							

Form	5500	-SF	201	6

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

Part	VI	Pension Funding Compliance							
11		s a defined benefit plan subject to minimum funding requirements? (If "Yes," see instructions and con 5500) and line 11a below)						Yes X No	
		the unpaid minimum required contributions for all years from Schedule SB (Form 5500) line 40			11a				
12	12 Is this a defined contribution plan subject to the minimum funding requirements of section 412 of the Code or section ERISA?								
	(lf "\	es," complete line 12a or lines 12b, 12c, 12d, and 12e below, as applicable.)							
	grant	aiver of the minimum funding standard for a prior year is being amortized in this plan year, see ins ing the waiver	/lonth _	s, and	d enter t Day		of the lette Year _	er ruling	
If	you co	empleted line 12a, complete lines 3, 9, and 10 of Schedule MB (Form 5500), and skip to line	13.	1		T			
<u>b</u>	Enter	the minimum required contribution for this plan year			12b				
С	Enter	he amount contributed by the employer to the plan for this plan year			12c				
d		act the amount in line 12c from the amount in line 12b. Enter the result (enter a minus sign to the l ive amount)			12d				
		ne 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 N	lo	
	If "Ye	s," enter the amount of any plan assets that reverted to the employer this year			13a				
b		all the plan assets distributed to participants or beneficiaries, transferred to another plan, or brougol of the PBGC?		er the		Yes X No			
С		ring this plan year, any assets or liabilities were transferred from this plan to another plan(s), identi n assets or liabilities were transferred. (See instructions.)	ify the p	olan(s)) to				
	13c(1)	Name of plan(s):	1	3c(2)	EIN(s)		13c(3	3) PN(s)	
Part	VIII	Trust Information							
14a	Name	of trust			14b ⁻	Trust's E	EIN		
14c	Name	of trustee or custodian					s or custod ne number	lian's	
Par	t IX	IRS Compliance Questions							
15a	Is the	plan a 401(k) plan? If "No," skip b		Yes			No		
		id the plan satisfy the nondiscrimination requirements for employee deferrals under section (3) for the plan year? Check all that apply:	IШ		n-based narbor	^d [Prior ye test	ear" ADP	
				"Curre	ent year test	"	N/A		
16a 		testing method was used to satisfy the coverage requirements under section 410(b) for the plan Check all that apply:		Ratio perce test	entage		verage enefit test	□ N/A	
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				
	the le								
	letter	plan is an individually-designed plan that received a favorable determination letter from the IRS, en	nter the	date	of the m	nost rece	ent determi	nation	
18	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 sepa e?		rom	Ye	s [No		
19 Was any plan participant a 5% owner who had attained at least age 70 ½ during the prior plan year?									