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.

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2016

OMB Nos. 1210-0110

1210-0089

This Form is Open to Public Inspection

Annual Report Identification Information For calendar plan year 2016 or fiscal plan year beginning and ending X a single-employer plan a multiple-employer plan (not multiemployer) (Filers checking this box must attach a list of participating employer information in accordance with the form instructions.) **A** This return/report is for: a one-participant plan a foreign plan the final return/report B This return/report is the first return/report an amended return/report a short plan year return/report (less than 12 months) C Check box if filing under: DFVC program Form 5558 automatic extension special extension (enter description) Part II Basic Plan Information—enter all requested information 1a Name of plan 1b Three-digit KELLY 401(K) TRUST plan number 001 (PN) • 1c Effective date of plan 01/01/2006 2a Plan sponsor's name (employer, if for a single-employer plan) **2b** Employer Identification Number Mailing address (include room, apt., suite no. and street, or P.O. Box) 03-0545444 (EIN) City or town, state or province, country, and ZIP or foreign postal code (if foreign, see instructions) Sponsor's telephone number BRYAN T. KELLY, MD, PLLC 646-797-8529 2d Business code (see instructions) 535 EAST 70TH STREET 621111 NEW YORK, NY 10021 **3a** Plan administrator's name and address X Same as Plan Sponsor. 3b Administrator's EIN 3c Administrator's telephone number 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 a Sponsor's name 5a 12 5a Total number of participants at the beginning of the plan year 5b 11 **b** Total number of participants at the end of the plan year..... Number of participants with account balances as of the end of the plan year (only defined contribution plans 11 5c complete this item)..... 9 5d(1) d(1) Total number of active participants at the beginning of the plan year..... 5d(2) 8 d(2) Total number of active participants at the end of the plan year..... Number of participants that terminated employment during the plan year with accrued benefits that were less than 100% vested 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

belief, it is true, correct, and complete Filed with authorized/valid electronic signature. 07/27/2017 KARA LYNCH SIGN HERE Signature of plan administrator Date Enter name of individual signing as plan administrator Filed with authorized/valid electronic signature 07/27/2017 **KARA LYNCH SIGN HERE** Date Enter name of individual signing as employer or plan sponsor Signature of employer/plan sponsor

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

Preparer's name (including firm name, if applicable) and address (include room or suite number)

Preparer's telephone number

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6a	Were all of the plan's assets during the plan year invested in eligib	ole assets?	(See instructions.)						X Ye	s No	
b	Are you claiming a waiver of the annual examination and report of an independent qualified public accountant (IQPA) under 29 CFR 2520.104-46? (See instructions on waiver eligibility and conditions.)						X Ye	s No			
С	If the plan is a defined benefit plan, is it covered under the PBGC in					_	-	_	□ Not de	termined	
	rt III Financial Information					····· <u>L</u>					
7	Plan Assets and Liabilities		(a) Beginning	of Voor				(b) End	of Vear		
a	Total plan assets	7a		870556		(b) End of Year 905836					
_	Total plan liabilities	7b	0			0					
	Net plan assets (subtract line 7b from line 7a)	7c	870556			905836					
8	Income, Expenses, and Transfers for this Plan Year		(a) Amour				(b) Total				
	Contributions received or receivable from:		(a) runoai	•			(2) 1032				
	(1) Employers	8a(1)		46450							
	(2) Participants	8a(2)		38123							
	(3) Others (including rollovers)	8a(3)									
b	Other income (loss)	8b		53165							
<u>C</u>	Total income (add lines 8a(1), 8a(2), 8a(3), and 8b)	8c					137738				
d	Benefits paid (including direct rollovers and insurance premiums	8d		99169							
	to provide benefits)		99109								
	Administrative service providers (salaries, fees, commissions)	8e	3289								
_ <u>'</u>	Other expenses	tive service providers (salaries, rees, commissions)									
		8g				102458				58	
"	Net income (loss) (subtract line 8h from line 8c)	l expenses (add lines 8d, 8e, 8f, and 8g)							3528		
÷	Transfers to (from) the plan (see instructions)	8i									
,	, , , , ,	8j									
	Part IV Plan Characteristics										
	9a If the plan provides pension benefits, enter the applicable pension feature codes from the List of Plan Characteristic Codes in the instructions: 2A 2E 2F 2G 2J 2K 3D										
b	If the plan provides welfare benefits, enter the applicable welfare f	eature cod	des from the List of Pla	n Chara	acterist	tic Cod	des in t	he instru	ctions:		
Par	t V Compliance Questions										
10	During the plan year:				Yes	No	N/A		Amount	t	
а	Was there a failure to transmit to the plan any participant contribudescribed in 29 CFR 2510.3-102? (See instructions and DOL's Vergram)	oluntary F	Fiduciary Correction	10a		X					
b	Program)			10b		X					
	· · · · · · · · · · · · · · · · · · ·			10c	X					500000	
d	Did the plan have a loss, whether or not reimbursed by the plan's by fraud or dishonesty?			10d		X					
е				10e	X					3636	
f	Has the plan failed to provide any benefit when due under the plan?			10f		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? (See instructions and 29 CFR 2520.101-3.)			10h		X					
i	If 10h was answered "Yes," check the box if you either provided to exceptions to providing the notice applied under 29 CFR 2520.10	he require	d notice or one of the	10i							

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Part	VI	Pension Funding Compliance								
11		Is this a defined benefit plan subject to minimum funding requirements? (If "Yes," see instructions and complete Sc (Form 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	2 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.)								
	a If a waiver of the minimum funding standard for a prior year is being amortized in this plan year, see instructions, and enter the date of the letter ruling granting the waiver Month Day Year									
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 ⁻	D Trust's EIN					
14c Name of trustee or custodian						14d Trustee's or custodian's telephone number				
Par	t IX	IRS Compliance Questions								
15a Is the plan a 401(k) plan? If "No," skip b.					☐ No					
15b How did the plan satisfy the nondiscrimination requirements for employee deferrals under section 401(k)(3) for the plan year? Check all that apply:					n-based "Prior year" ADP test					
"Curre			ent year test	ear" N/A						
16a What testing method was used to satisfy the coverage requirements under section 410(b) for the plan year? Check all that apply:				entage	Average N/A benefit test N/A					
16b Did the plan satisfy the coverage and nondiscrimination requirements of sections 410(b) and 401(a)(4) Yes 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 opinion letter or advisory letter, enter the date of the letter/ and the serial number										
17b If the plan is an individually-designed plan that received a favorable determination letter from the IRS, enter the date of the most recent determination letter/										
Defined Benefit Plan or Money Purchase Pension Plan Only: Were any distributions made during the plan year to an employee who attained age 62 and had not separated from service?					Ye	es No				
19 Was any plan participant a 5% owner who had attained at least age 70 ½ during the prior plan year?					Ye	Yes No				