# Form 5500

Department of the Treasury
Internal Revenue Service

Department of Labor
Employee Benefits Security Administration

Pension Benefit Guaranty Corporation

## Annual Return/Report of Employee Benefit Plan

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 6057(b) and 6058(a) of the Internal Revenue Code (the Code).

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

OMB Nos. 1210-0110
1210-0089

**2016**

**This Form is Open to Public Inspection**

## Part I Annual Report Identification Information

For calendar plan year 2016 or fiscal plan year beginning 11/01/2016 and ending 12/31/2016

**A** This return/report is for:
- [ ] a multiemployer plan
- [ ] a multiple-employer plan (Filers checking this box must attach a list of participating employer information in accordance with the form instructions.)
- [X] a single-employer plan
- [ ] a DFE (specify) ____

**B** This return/report is:
- [X] the first return/report
- [ ] the final return/report
- [X] an amended return/report
- [X] a short plan year return/report (less than 12 months)

**C** If the plan is a collectively-bargained plan, check here. . . . . ▶ [ ]

**D** Check box if filing under:
- [X] Form 5558
- [ ] automatic extension
- [ ] the DFVC program
- [ ] special extension (enter description)

## Part II Basic Plan Information—enter all requested information

**1a** Name of plan
MERIT INTEGRATED LOGISTICS 401(K) PROFIT SHARING PLAN & TRUST

**1b** Three-digit plan number (PN) ▶ 001

**1c** Effective date of plan 11/01/2016

**2a** Plan sponsor's name (employer, if for a single-employer plan)
Mailing address (include room, apt., suite no. and street, or P.O. Box)
City or town, state or province, country, and ZIP or foreign postal code (if foreign, see instructions)
MERIT INTEGRATED LOGISTICS

33332 VALLE ROAD, STE 100
SAN JUAN CAPISTRANO, CA 92675

**2b** Employer Identification Number (EIN) 46-1734845

**2c** Plan Sponsor's telephone number 949-481-0685

**2d** Business code (see instructions) 541519

**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.

| | | | |
|---|---|---|---|
| **SIGN HERE** | Filed with authorized/valid electronic signature. | 10/12/2017 | ROBERT GUNDERSON |
| | **Signature of plan administrator** | Date | Enter name of individual signing as plan administrator |
| **SIGN HERE** | Filed with authorized/valid electronic signature. | 10/12/2017 | ROBERT GUNDERSON |
| | **Signature of employer/plan sponsor** | Date | Enter name of individual signing as employer or plan sponsor |
| **SIGN HERE** | | | |
| | **Signature of DFE** | Date | Enter name of individual signing as DFE |

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

Preparer's telephone number

| | | |
|---|---|---|
| **3a** Plan administrator's name and address [X] Same as Plan Sponsor | **3b** Administrator's EIN | |
| | **3c** Administrator'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 | |
| **a** Sponsor's name | **4c** PN | |

| | | |
|---|---|---|
| **5** Total number of participants at the beginning of the plan year | **5** | 0 |
| **6** Number of participants as of the end of the plan year unless otherwise stated (welfare plans complete only lines **6a(1), 6a(2), 6b, 6c,** and **6d**). | | |
| **a(1)** Total number of active participants at the beginning of the plan year | **6a(1)** | 0 |
| **a(2)** Total number of active participants at the end of the plan year | **6a(2)** | 1286 |
| **b** Retired or separated participants receiving benefits | **6b** | 0 |
| **c** Other retired or separated participants entitled to future benefits | **6c** | 0 |
| **d** Subtotal. Add lines **6a(2)**, **6b**, and **6c**. | **6d** | 1286 |
| **e** Deceased participants whose beneficiaries are receiving or are entitled to receive benefits. | **6e** | 0 |
| **f** Total. Add lines **6d** and **6e**. | **6f** | 1286 |
| **g** Number of participants with account balances as of the end of the plan year (only defined contribution plans complete this item) | **6g** | 35 |
| **h** Number of participants that terminated employment during the plan year with accrued benefits that were less than 100% vested | **6h** | 0 |
| **7** Enter the total number of employers obligated to contribute to the plan (only multiemployer plans complete this item) | **7** | |

**8a** If the plan provides pension benefits, enter the applicable pension feature codes from the List of Plan Characteristics Codes in the instructions:
2E 2F 2G 2J 2T 3D

**b** If the plan provides welfare benefits, enter the applicable welfare feature codes from the List of Plan Characteristics Codes in the instructions:

| **9a** Plan funding arrangement (check all that apply) | | **9b** Plan benefit arrangement (check all that apply) | |
|---|---|---|---|
| **(1)** | [ ] Insurance | **(1)** | [ ] Insurance |
| **(2)** | [ ] Code section 412(e)(3) insurance contracts | **(2)** | [ ] Code section 412(e)(3) insurance contracts |
| **(3)** | [X] Trust | **(3)** | [X] Trust |
| **(4)** | [ ] General assets of the sponsor | **(4)** | [ ] General assets of the sponsor |

**10** Check all applicable boxes in 10a and 10b to indicate which schedules are attached, and, where indicated, enter the number attached. (See instructions)

**a Pension Schedules**

- **(1)** [X] **R** (Retirement Plan Information)
- **(2)** [ ] **MB** (Multiemployer Defined Benefit Plan and Certain Money Purchase Plan Actuarial Information) - signed by the plan actuary
- **(3)** [ ] **SB** (Single-Employer Defined Benefit Plan Actuarial Information) - signed by the plan actuary

**b General Schedules**

- **(1)** [X] **H** (Financial Information)
- **(2)** [ ] **I** (Financial Information – Small Plan)
- **(3)** [ ] 0 **A** (Insurance Information)
- **(4)** [X] **C** (Service Provider Information)
- **(5)** [ ] **D** (DFE/Participating Plan Information)
- **(6)** [ ] **G** (Financial Transaction Schedules)

## Part III Form M-1 Compliance Information (to be completed by welfare benefit plans)

**11a** If the plan provides welfare benefits, was the plan subject to the Form M-1 filing requirements during the plan year? (See instructions and 29 CFR 2520.101-2.) ..... ☐ Yes ☐ No

If "Yes" is checked, complete lines 11b and 11c.

**11b** Is the plan currently in compliance with the Form M-1 filing requirements? (See instructions and 29 CFR 2520.101-2.) ..... ☐ Yes ☐ No

**11c** Enter the Receipt Confirmation Code for the 2016 Form M-1 annual report. If the plan was not required to file the 2016 Form M-1 annual report, enter the Receipt Confirmation Code for the most recent Form M-1 that was required to be filed under the Form M-1 filing requirements. (Failure to enter a valid Receipt Confirmation Code will subject the Form 5500 filing to rejection as incomplete.)

Receipt Confirmation Code_____

| SCHEDULE C (Form 5500) | Service Provider Information | OMB No. 1210-0110 |
|---|---|---|
| Department of the Treasury<br>Internal Revenue Service<br>Department of Labor<br>Employee Benefits Security Administration<br>Pension Benefit Guaranty Corporation | This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA).<br>▶ **File as an attachment to Form 5500.** | **2016**<br>**This Form is Open to Public Inspection.** |

For calendar plan year 2016 or fiscal plan year beginning 11/01/2016 and ending 12/31/2016

**A** Name of plan
MERIT INTEGRATED LOGISTICS 401(K) PROFIT SHARING PLAN & TRUST

**B** Three-digit plan number (PN) ▶ 001

**C** Plan sponsor's name as shown on line 2a of Form 5500
MERIT INTEGRATED LOGISTICS

**D** Employer Identification Number (EIN)
46-1734845

## 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).. . . . . [X] 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

PAYCHEX SECURITIES CORPORATION
225 KENNETH DRIVE
ROCHESTER, NY 14623

16-1486352

**(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)

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

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

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

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

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

**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)** Service Code(s) | **(c)** Relationship to employer, employee organization, or person known to be a party-in-interest | **(d)** Enter direct compensation paid by the plan. If none, enter -0-. | **(e)** Did service provider receive indirect compensation? (sources other than plan or plan sponsor) | **(f)** Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures? | **(g)** 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)** Did the service provider give you a formula instead of an amount or estimated amount? |
|---|---|---|---|---|---|---|
| | | | Yes ☐ No ☐ | Yes ☐ No ☐ | | Yes ☐ No ☐ |

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

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

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

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

## 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 (see instructions) | **(c)** Enter amount of indirect compensation |
|---|---|---|
| | | |
| **(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. | |
| | | |

| **(a)** Enter service provider name as it appears on line 2 | **(b)** Service Codes (see instructions) | **(c)** Enter amount of indirect compensation |
|---|---|---|
| | | |
| **(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. | |
| | | |

| **(a)** Enter service provider name as it appears on line 2 | **(b)** Service Codes (see instructions) | **(c)** Enter amount of indirect compensation |
|---|---|---|
| | | |
| **(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. | |
| | | |

## 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 |
|---|---|---|
| | | |

| **(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 |
|---|---|---|
| | | |

| **(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 |
|---|---|---|
| | | |

| **(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 |
|---|---|---|
| | | |

| **(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 |
|---|---|---|
| | | |

| **(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)

| | |
|---|---|
| **a** Name: | **b** EIN: |
| **c** Position: | |
| **d** Address: | **e** Telephone: |

Explanation:

| | |
|---|---|
| **a** Name: | **b** EIN: |
| **c** Position: | |
| **d** Address: | **e** Telephone: |

Explanation:

| | |
|---|---|
| **a** Name: | **b** EIN: |
| **c** Position: | |
| **d** Address: | **e** Telephone: |

Explanation:

| | |
|---|---|
| **a** Name: | **b** EIN: |
| **c** Position: | |
| **d** Address: | **e** Telephone: |

Explanation:

| | |
|---|---|
| **a** Name: | **b** EIN: |
| **c** Position: | |
| **d** Address: | **e** Telephone: |

Explanation:

# SCHEDULE H (Form 5500)

Internal Revenue Service

Department of Labor
Employee Benefits Security Administration

Pension Benefit Guaranty Corporation

## Financial Information

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).

▶ **File as an attachment to Form 5500.**

OMB No. 1210-0110

**2016**

**This Form is Open to Public Inspection**

For calendar plan year 2016 or fiscal plan year beginning 11/01/2016 and ending 12/31/2016

**A** Name of plan
MERIT INTEGRATED LOGISTICS 401(K) PROFIT SHARING PLAN & TRUST

**B** Three-digit plan number (PN) ▶ 001

**C** Plan sponsor's name as shown on line 2a of Form 5500
MERIT INTEGRATED LOGISTICS

**D** Employer Identification Number (EIN)
46-1734845

## Part I Asset and Liability Statement

**1** 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. **Round off amounts to the nearest dollar.** 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.

| Assets | | (a) Beginning of Year | (b) End of Year |
|---|---|---|---|
| **a** Total noninterest-bearing cash | 1a | 0 | |
| **b** Receivables (less allowance for doubtful accounts): | | | |
| **(1)** Employer contributions | 1b(1) | 0 | |
| **(2)** Participant contributions | 1b(2) | 0 | |
| **(3)** Other | 1b(3) | 0 | |
| **c** General investments: | | | |
| **(1)** Interest-bearing cash (include money market accounts & certificates of deposit) | 1c(1) | 0 | |
| **(2)** U.S. Government securities | 1c(2) | 0 | |
| **(3)** Corporate debt instruments (other than employer securities): | | | |
| **(A)** Preferred | 1c(3)(A) | 0 | |
| **(B)** All other | 1c(3)(B) | 0 | |
| **(4)** Corporate stocks (other than employer securities): | | | |
| **(A)** Preferred | 1c(4)(A) | 0 | |
| **(B)** Common | 1c(4)(B) | 0 | |
| **(5)** Partnership/joint venture interests | 1c(5) | 0 | |
| **(6)** Real estate (other than employer real property) | 1c(6) | 0 | |
| **(7)** Loans (other than to participants) | 1c(7) | 0 | |
| **(8)** Participant loans | 1c(8) | 0 | |
| **(9)** Value of interest in common/collective trusts | 1c(9) | 0 | |
| **(10)** Value of interest in pooled separate accounts | 1c(10) | | |
| **(11)** Value of interest in master trust investment accounts | 1c(11) | 0 | |
| **(12)** Value of interest in 103-12 investment entities | 1c(12) | 0 | |
| **(13)** Value of interest in registered investment companies (e.g., mutual funds) | 1c(13) | 0 | 19720 |
| **(14)** Value of funds held in insurance company general account (unallocated contracts) | 1c(14) | | |
| **(15)** Other | 1c(15) | 0 | |

| | | | (a) Beginning of Year | (b) End of Year |
|---|---|---|---|---|
| **1d** | Employer-related investments: | | | |
| | **(1)** Employer securities | 1d(1) | 0 | |
| | **(2)** Employer real property | 1d(2) | 0 | |
| **e** | Buildings and other property used in plan operation | 1e | 0 | |
| **f** | Total assets (add all amounts in lines 1a through 1e) | 1f | 0 | 19720 |
| | **Liabilities** | | | |
| **g** | Benefit claims payable | 1g | 0 | |
| **h** | Operating payables | 1h | 0 | |
| **i** | Acquisition indebtedness | 1i | 0 | |
| **j** | Other liabilities | 1j | 0 | |
| **k** | Total liabilities (add all amounts in lines 1g through1j) | 1k | 0 | 0 |
| | **Net Assets** | | | |
| **l** | Net assets (subtract line 1k from line 1f) | 1l | 0 | 19720 |

## 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) Amount | (b) Total |
|---|---|---|---|---|
| **a** | **Contributions:** | | | |
| | **(1)** Received or receivable in cash from: **(A)** Employers | 2a(1)(A) | 0 | |
| | **(B)** Participants | 2a(1)(B) | 19791 | |
| | **(C)** Others (including rollovers) | 2a(1)(C) | 0 | |
| | **(2)** Noncash contributions | 2a(2) | | |
| | **(3)** Total contributions. Add lines **2a(1)(A), (B), (C),** and line **2a(2)** | 2a(3) | | 19791 |
| **b** | **Earnings on investments:** | | | |
| | **(1)** Interest: | | | |
| | **(A)** Interest-bearing cash (including money market accounts and certificates of deposit) | 2b(1)(A) | 0 | |
| | **(B)** U.S. Government securities | 2b(1)(B) | 0 | |
| | **(C)** Corporate debt instruments | 2b(1)(C) | 0 | |
| | **(D)** Loans (other than to participants) | 2b(1)(D) | 0 | |
| | **(E)** Participant loans | 2b(1)(E) | 0 | |
| | **(F)** Other | 2b(1)(F) | 0 | |
| | **(G)** Total interest. Add lines **2b(1)(A)** through **(F)** | 2b(1)(G) | | 0 |
| | **(2)** Dividends: **(A)** Preferred stock | 2b(2)(A) | 0 | |
| | **(B)** Common stock | 2b(2)(B) | 0 | |
| | **(C)** Registered investment company shares (e.g. mutual funds) | 2b(2)(C) | | |
| | **(D)** Total dividends. Add lines **2b(2)(A)**, **(B)**, and **(C)** | 2b(2)(D) | | 0 |
| | **(3)** Rents | 2b(3) | | 0 |
| | **(4)** Net gain (loss) on sale of assets: **(A)** Aggregate proceeds | 2b(4)(A) | 0 | |
| | **(B)** Aggregate carrying amount (see instructions) | 2b(4)(B) | 0 | |
| | **(C)** Subtract line **2b(4)(B)** from line **2b(4)(A)** and enter result | 2b(4)(C) | | 0 |
| | **(5)** Unrealized appreciation (depreciation) of assets: **(A)** Real estate | 2b(5)(A) | 0 | |
| | **(B)** Other | 2b(5)(B) | 0 | |
| | **(C)** Total unrealized appreciation of assets. Add lines **2b(5)(A)** and **(B)** | 2b(5)(C) | | 0 |

| | | (a) Amount | (b) Total |
|---|---|---|---|
| **(6)** Net investment gain (loss) from common/collective trusts | 2b(6) | | 0 |
| **(7)** Net investment gain (loss) from pooled separate accounts | 2b(7) | | 0 |
| **(8)** Net investment gain (loss) from master trust investment accounts | 2b(8) | | 0 |
| **(9)** Net investment gain (loss) from 103-12 investment entities | 2b(9) | | 0 |
| **(10)** Net investment gain (loss) from registered investment companies (e.g., mutual funds) | 2b(10) | | 3 |
| **c** Other income | 2c | | 0 |
| **d** Total income. Add all **income** amounts in column (b) and enter total | 2d | | 19794 |
| **Expenses** | | | |
| **e** Benefit payment and payments to provide benefits: | | | |
| **(1)** Directly to participants or beneficiaries, including direct rollovers | 2e(1) | 0 | |
| **(2)** To insurance carriers for the provision of benefits | 2e(2) | 0 | |
| **(3)** Other | 2e(3) | 0 | |
| **(4)** Total benefit payments. Add lines **2e(1)** through **(3)** | 2e(4) | | 0 |
| **f** Corrective distributions (see instructions) | 2f | | 0 |
| **g** Certain deemed distributions of participant loans (see instructions) | 2g | | 0 |
| **h** Interest expense | 2h | | 0 |
| **i** Administrative expenses: **(1)** Professional fees | 2i(1) | 0 | |
| **(2)** Contract administrator fees | 2i(2) | 0 | |
| **(3)** Investment advisory and management fees | 2i(3) | 0 | |
| **(4)** Other | 2i(4) | 74 | |
| **(5)** Total administrative expenses. Add lines **2i(1)** through **(4)** | 2i(5) | | 74 |
| **j** Total expenses. Add all **expense** amounts in column (b) and enter total | 2j | | 74 |
| **Net Income and Reconciliation** | | | |
| **k** Net income (loss). Subtract line **2j** from line **2d** | 2k | | 19720 |
| **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: **(2)** EIN:

**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:

| | | Yes | No | Amount |
|---|---|---|---|---|
| **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.) | 4a | | X | |
| **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.) | 4b | | X | |

| | | | Yes | No | Amount |
|---|---|---|---|---|---|
| c | 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.) | 4c | | X | |
| d | 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.) | 4d | | X | |
| e | Was this plan covered by a fidelity bond? | 4e | X | | 20000 |
| f | Did the plan have a loss, whether or not reimbursed by the plan's fidelity bond, that was caused by fraud or dishonesty? | 4f | | X | |
| g | 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? | 4g | | X | |
| h | 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? | 4h | | X | |
| i | Did the plan have assets held for investment? (Attach schedule(s) of assets if "Yes" is checked, and see instructions for format requirements.) | 4i | X | | |
| j | 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.) | 4j | | X | |
| k | Were all the plan assets either distributed to participants or beneficiaries, transferred to another plan, or brought under the control of the PBGC? | 4k | | X | |
| l | Has the plan failed to provide any benefit when due under the plan? | 4l | | X | |
| m | If this is an individual account plan, was there a blackout period? (See instructions and 29 CFR 2520.101-3.) | 4m | | X | |
| n | 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 | 4n | | | |
| o | 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? | 4o | | | |

**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
If "Yes" is checked, enter the My PAA confirmation number from the PBGC premium filing for this plan year_____. (See instructions.)

## Part V Trust Information

| **6a** Name of trust | **6b** Trust's EIN |
|---|---|
| | |

| **6c** Name of trustee or custodian | **6d** Trustee's or custodian's telephone number |
|---|---|
| | |

# SCHEDULE R (Form 5500)

Department of the Treasury
Internal Revenue Service

Department of Labor
Employee Benefits Security Administration

Pension Benefit Guaranty Corporation

## Retirement Plan Information

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

▶ **File as an attachment to Form 5500.**

OMB No. 1210-0110

**2016**

**This Form is Open to Public Inspection.**

For calendar plan year 2016 or fiscal plan year beginning 11/01/2016 and ending 12/31/2016

**A** Name of plan
MERIT INTEGRATED LOGISTICS 401(K) PROFIT SHARING PLAN & TRUST

**B** Three-digit plan number (PN) ▶ 001

**C** Plan sponsor's name as shown on line 2a of Form 5500
MERIT INTEGRATED LOGISTICS

**D** Employer Identification Number (EIN)
46-1734845

## Part I Distributions

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

**1** Total value of distributions paid in property other than in cash or the forms of property specified in the instructions ..... **1**

**2** 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):

EIN(s): _____ _____

**Profit-sharing plans, ESOPs, and stock bonus plans, skip line 3.**

**3** Number of participants (living or deceased) whose benefits were distributed in a single sum, during the plan year ..... **3**

## Part II Funding Information (If the plan is not subject to the minimum funding requirements of section of 412 of the Internal Revenue Code or ERISA section 302, skip this Part.)

**4** Is the plan administrator making an election under Code section 412(d)(2) or ERISA section 302(d)(2)? ..... ☐ **Yes** ☒ **No** ☐ **N/A**

**If the plan is a defined benefit plan, go to line 8.**

**5** 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. **Date:** Month _____ Day _____ Year _____

**If you completed line 5, complete lines 3, 9, and 10 of Schedule MB and do not complete the remainder of this schedule.**

**6** **a** Enter the minimum required contribution for this plan year (include any prior year accumulated funding deficiency not waived) ..... **6a**

**b** Enter the amount contributed by the employer to the plan for this plan year ..... **6b**

**c** 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) ..... **6c**

**If you completed line 6c, skip lines 8 and 9.**

**7** Will the minimum funding amount reported on line 6c be met by the funding deadline? ..... ☐ **Yes** ☐ **No** ☐ **N/A**

**8** 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? ..... ☐ **Yes** ☐ **No** ☐ **N/A**

## Part III Amendments

**9** 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. ..... ☐ **Increase** ☐ **Decrease** ☐ **Both** ☐ **No**

## Part IV ESOPs (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.

**10** Were unallocated employer securities or proceeds from the sale of unallocated securities used to repay any exempt loan? ..... ☐ **Yes** ☐ **No**

**11** **a** Does the ESOP hold any preferred stock? ..... ☐ **Yes** ☐ **No**

**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.) ..... ☐ **Yes** ☐ **No**

**12** Does the ESOP hold any stock that is not readily tradable on an established securities market? ..... ☐ **Yes** ☐ **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:

| | | |
|---|---|---|
| **a** The current year | **14a** | |
| **b** The plan year immediately preceding the current plan year | **14b** | |
| **c** The second preceding plan year | **14c** | |

**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:

| | | |
|---|---|---|
| **a** The corresponding number for the plan year immediately preceding the current plan year | **15a** | |
| **b** The corresponding number for the second preceding plan year | **15b** | |

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

| | | |
|---|---|---|
| **a** Enter the number of employers who withdrew during the preceding plan year | **16a** | |
| **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 | **16b** | |

**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):

## Part VII IRS Compliance Questions

| | |
|---|---|
| **20a** Is the plan a 401(k) plan? If "No," skip b | ☐ Yes ☐ No |
| **20b** How did the plan satisfy the nondiscrimination requirements for employee deferrals under section 401(k)(3) for the plan year? Check all that apply: | ☐ Design-based safe harbor ☐ "Prior year" ADP test ☐ "Current year" ADP test ☐ N/A |
| **21a** What testing method was used to satisfy the coverage requirements under section 410(b) for the plan year? Check all that apply: | ☐ Ratio percentage test ☐ Average benefit test ☐ N/A |
| **21b** 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? | ☐ Yes ☐ No |

**22a** 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 _____.

**22b** 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 _____/_____/_____.

**Administrative Office:**

Mid Atlantic Trust Company
1251 Waterfront Place, Suite 525
Pittsburgh, PA 15222-4236

**Account Information For:**

# MERIT INTEGRATED LOGISTICS LLC 401(k) Profit Sharing Plan & Trust

## For the Period 11/01/2016 through 12/31/2016

**Notes:**

Mid Atlantic Trust Company ("MATC"), in its capacity as custodian of the assets of the above referenced account hereby certifies that, with respect to the assets held in custody with MATC, the enclosed account statement accurately reflects the positions held in the account based on a review of MATC as of this statement period. Please note some assets shown on this statement may not be in custody with MATC. Such items may be held away and are reported as sundry assets as a courtesy and convenience. As an authorized representative of MATC, I certify on behalf of MATC that the information furnished to the Plan Administrator pursuant to 29 CFR 2520.103-5(c) is complete and accurate.



Paul D. Schneider

**Account Summary**

| | |
|---|---|
| **Beginning Market Value** | **0.00** |
| Undefined | 19,716.30 |
| Income | 77.80 |
| Investment Activity | -73.94 |
| **Net Change in Market Value** | **19,720.16** |
| **Ending Market Value** | **19,720.16** |

Prepared Jan 16, 2017

## Market Value Reconciliation

| | | | |
|---|---|---|---|
| **Beginning Market Value** | | | **0.00** |
| **Undefined** | | | |
| Undefined | 19,716.30 | | |
| | | **19,716.30** | |
| **Income** | | | |
| Dividend | 77.80 | | |
| | | **77.80** | |
| **Investment Activity** | | | |
| Purchase of Investments | 0.00 | | |
| Redemption of Investments | 0.20 | | |
| Short Term Gain Distributions | 0.80 | | |
| Long Term Gain Distributions | 332.89 | | |
| Unrealized Appreciation / Depreciation | -407.83 | | |
| | | **-73.94** | |
| **Net Change in Market Value** | | | **19,720.16** |
| **Ending Market Value** | | | **19,720.16** |

## Cash Reconciliation

| | | | |
|---|---|---|---|
| **Beginning Cash Balance** | | | **0.00** |
| **Undefined** | | | |
| Undefined | 19,716.30 | | |
| | | **19,716.30** | |
| **Income** | | | |
| Dividend | 0.00 | | |
| | | **0.00** | |
| **Investment Activity** | | | |
| Purchase of Investments | -19,790.76 | | |
| Redemption of Investments | 74.46 | | |
| Short Term Gain Distributions | 0.00 | | |
| Long Term Gain Distributions | 0.00 | | |
| Unrealized Appreciation / Depreciation | | | |
| | | **-19,716.30** | |
| **Net Change in Cash** | | | **0.00** |
| **Ending Cash Balance** | | | **0.00** |

## Asset Listing

| Security | Description | Beginning Shares | Price | Beginning Market Value | Ending Shares | Price | Ending Market Value |
|---|---|---|---|---|---|---|---|
| **Cash & Equivalents** | | | | | | | |
| CASH | Mid Atlantic Master Cash Account | | | - | | | - |
| **Total** | **Cash & Equivalents** | | | **-** | | | **-** |
| **Equity Fund** | | | | | | | |
| 277902680 | Eaton Vance Atlanta Capital SMID-Cap Fund Class R | - | 24.1800 | - | 14.0310 | 24.9100 | 349.51 |
| 315918318 | Fidelity Advisor Real Estate T | - | 22.4200 | - | 7.3080 | 22.4100 | 163.77 |
| 416649564 | Hartford Core Equity Fund Class R3 | - | 24.1800 | - | 3.1170 | 24.8400 | 77.43 |
| 47103C340 | Janus Triton Fund Class R | - | 22.0900 | - | 1.3960 | 22.8300 | 31.87 |
| 48121A209 | JPMorgan Mid Cap Value Fund Class R2 | - | 34.3200 | - | 4.4710 | 34.2900 | 153.31 |
| 723695508 | Pioneer Fundamental Growth Fund Class R | - | 18.9600 | - | 2.3770 | 18.9600 | 45.07 |
| 926464371 | Victory Sycamore Established Value Fund Class R | - | 33.4300 | - | 0.4490 | 35.7400 | 16.05 |
| **Total** | **Equity Fund** | | | **-** | | | **837.01** |
| **International Equity Fund** | | | | | | | |
| 315920256 | Fidelity Advisor Emerging Markets T | - | 22.1600 | - | 5.1070 | 20.4900 | 104.64 |
| 416649549 | The Hartford International Opportunities Fund Class R3 | - | 14.5800 | - | 4.8840 | 14.5500 | 71.06 |
| **Total** | **International Equity Fund** | | | **-** | | | **175.70** |
| **Fixed Income Fund** | | | | | | | |

## Asset Listing

| Security | Description | Beginning Shares | Price | Beginning Market Value | Ending Shares | Price | Ending Market Value |
|---|---|---|---|---|---|---|---|
| **Fixed Income Fund** | | | | | | | |
| 723622502 | Pioneer Bond Fund Class R | - | 9.8900 | - | 7.2730 | 9.7100 | 70.62 |
| 723884508 | Pioneer Strategic Income Fund Class R | - | 10.9200 | - | 4.1890 | 10.7900 | 45.20 |
| **Total Fixed Income Fund** | | | | **-** | | | **115.82** |
| **Balanced Fund** | | | | | | | |
| 024071854 | American Funds American Balanced Fund Class R-3 | - | 24.6200 | - | 8.4070 | 24.6900 | 207.57 |
| 02507F373 | American Century Investments One Choice 2055 Portfolio R Class | - | 12.9700 | - | 24.3360 | 12.9700 | 315.64 |
| 02507F548 | American Century Investments One Choice 2050 Portfolio R Class | - | 12.2900 | - | 1,062.7250 | 12.2000 | 12,965.24 |
| 02507F589 | American Century Investments One Choice 2040 Portfolio R Class | - | 12.2800 | - | 62.7690 | 12.1700 | 763.90 |
| 02507F639 | American Century Investments One Choice 2030 Portfolio R Class | - | 11.9100 | - | 65.4320 | 11.7800 | 770.79 |
| 02507F670 | American Century Investments One Choice 2020 Portfolio R Class | - | 11.8000 | - | 57.4030 | 11.6200 | 667.02 |
| 02507F803 | American Century Investments One Choice 2025 Portfolio R Class | - | 13.8600 | - | 11.4850 | 13.6600 | 156.89 |
| 02507F811 | American Century Investments One Choice 2045 Portfolio R Class | - | 15.2900 | - | 71.7080 | 15.1300 | 1,084.94 |
| 02507F852 | American Century Investments One Choice 2035 Portfolio R Class | - | 14.7500 | - | 113.6740 | 14.6000 | 1,659.64 |
| **Total Balanced Fund** | | | | **-** | | | **18,591.63** |

| | | |
|---|---|---|
| **Total For Account** | - | 19,720.16 |

## Transaction Listing

| Trade Date | Posting Date | | Shares | Price | Inventory Cost | Cash | Market to Market Effect |
|---|---|---|---|---|---|---|---|
| **Undefined** | | | | | | | |
| **Undefined** | | | | | | | |
| 11/29/16 | | Settlement ToPAYSWEEP | | | - | 6,660.24 | 6,660.24 |
| 12/1/16 | | Settlement ToPAYSWEEP | | | - | 64.63 | 64.63 |
| 12/2/16 | | Settlement ToPAYSWEEP | | | - | (2.76) | (2.76) |
| 12/9/16 | | Settlement ToPAYSWEEP | | | - | 6,596.03 | 6,596.03 |
| 12/27/16 | | Settlement ToPAYSWEEP | | | - | (71.70) | (71.70) |
| 12/30/16 | | Settlement ToPAYSWEEP | | | - | 6,469.86 | 6,469.86 |
| **Total Undefined** | | | | | **-** | **19,716.30** | **19,716.30** |
| **Total Undefined** | | | | | **-** | **19,716.30** | **19,716.30** |
| **Income** | | | | | | | |
| **Dividend** | | | | | | | |
| 12/16/16 | 315918318 | Fidelity Advisor Real Estate T (Rate: 0.17 per share) | 0.034 | 22.0800 | 0.76 | - | 0.76 |
| 12/20/16 | 024071854 | American Funds American Balanced Fund Class R-3 (Rate: 0.08 per share) | 0.018 | 24.8400 | 0.44 | - | 0.44 |
| 12/20/16 | 024071854 | American Funds American Balanced Fund Class R-3 (Rate: 0.04 per share) | 0.009 | 24.8400 | 0.22 | - | 0.22 |
| 12/20/16 | 48121A209 | JPMorgan Mid Cap Value Fund Class R2 (Rate: 0.07 per share) | 0.005 | 34.8300 | 0.19 | - | 0.19 |
| 12/27/16 | 723695508 | Pioneer Fundamental Growth Fund Class R (Rate: 0.01 per share) | 0.001 | 19.1800 | 0.02 | - | 0.02 |

## Transaction Listing

| Trade Date | Posting Date | | Shares | Price | Inventory Cost | Cash | Market to Market Effect |
|---|---|---|---|---|---|---|---|
| **Income** | | | | | | | |
| **Dividend** | | | | | | | |
| 12/28/16 | 416649549 | The Hartford International Opportunities Fund Class R3<br>(Rate: 0.13 per share) | 0.027 | 14.4400 | 0.39 | - | 0.39 |
| 12/28/16 | 416649564 | Hartford Core Equity Fund Class R3<br>(Rate: 0.10 per share) | 0.008 | 24.9600 | 0.20 | - | 0.20 |
| 12/28/16 | 926464371 | Victory Sycamore Established Value Fund Class R<br>(Rate: 0.05 per share) | - | 35.8200 | - | - | - |
| 12/29/16 | 02507F373 | American Century Investments One Choice 2055 Portfolio R Class<br>(Rate: 0.08 per share) | 0.098 | 13.0000 | 1.28 | - | 1.28 |
| 12/29/16 | 02507F548 | American Century Investments One Choice 2050 Portfolio R Class<br>(Rate: 0.07 per share) | 4.016 | 12.2300 | 49.12 | - | 49.12 |
| 12/29/16 | 02507F589 | American Century Investments One Choice 2040 Portfolio R Class<br>(Rate: 0.08 per share) | 0.341 | 12.2000 | 4.16 | - | 4.16 |
| 12/29/16 | 02507F639 | American Century Investments One Choice 2030 Portfolio R Class<br>(Rate: 0.08 per share) | 0.314 | 11.8000 | 3.71 | - | 3.71 |
| 12/29/16 | 02507F670 | American Century Investments One Choice 2020 Portfolio R Class<br>(Rate: 0.10 per share) | 0.304 | 11.6400 | 3.54 | - | 3.54 |
| 12/29/16 | 02507F803 | American Century Investments One Choice 2025 Portfolio R Class<br>(Rate: 0.11 per share) | 0.059 | 13.6800 | 0.81 | - | 0.81 |
| 12/29/16 | 02507F811 | American Century Investments One Choice 2045 Portfolio R Class<br>(Rate: 0.11 per share) | 0.326 | 15.1700 | 4.95 | - | 4.95 |

## Transaction Listing

| Trade Date | Posting Date | | | Shares | Price | Inventory Cost | Cash | Market to Market Effect |
|---|---|---|---|---|---|---|---|---|
| **Income** | | | | | | | | |
| | **Dividend** | | | | | | | |
| | 12/29/16 | 02507F852 | American Century Investments One Choice 2035 Portfolio R Class (Rate: 0.11 per share) | 0.539 | 14.6200 | 7.88 | - | 7.88 |
| | 12/30/16 | 723622502 | Pioneer Bond Fund Class R | 0.010 | 9.7100 | 0.10 | - | 0.10 |
| | 12/30/16 | 723884508 | Pioneer Strategic Income Fund Class R | 0.003 | 10.7900 | 0.03 | - | 0.03 |
| | **Total Dividend** | | | | | **77.80** | **-** | **77.80** |
| **Total Income** | | | | | | **77.80** | **-** | **77.80** |
| **Investment Activity** | | | | | | | | |
| | **Purchase of Investments** | | | | | | | |
| 11/28/16 | 11/29/16 | 024071854 | American Funds American Balanced Fund Class R-3 Settlement Control No:010163346157153 | 2.775 | 24.9500 | 69.23 | (69.23) | - |
| 11/28/16 | 11/29/16 | 02507F373 | American Century Investments One Choice 2055 Portfolio R Class Settlement Control No:010163346157062 | 7.968 | 13.1800 | 105.02 | (105.02) | - |
| 11/28/16 | 11/29/16 | 02507F548 | American Century Investments One Choice 2050 Portfolio R Class Settlement Control No:010163346157047 | 347.664 | 12.4800 | 4,338.85 | (4,338.85) | - |
| 11/28/16 | 11/29/16 | 02507F589 | American Century Investments One Choice 2040 Portfolio R Class Settlement Control No:010163346157054 | 24.354 | 12.4300 | 302.72 | (302.72) | - |
| 11/28/16 | 11/29/16 | 02507F639 | American Century Investments One Choice 2030 Portfolio R Class Settlement Control No:010163346157039 | 18.739 | 12.0100 | 225.06 | (225.06) | - |

## Transaction Listing

| Trade Date | Posting Date | | | Shares | Price | Inventory Cost | Cash | Market to Market Effect |
|---|---|---|---|---|---|---|---|---|
| **Investment Activity** | | | | | | | | |
| | **Purchase of Investments** | | | | | | | |
| 11/28/16 | 11/29/16 | 02507F670 | American Century Investments One Choice 2020 Portfolio R Class<br>Settlement Control No:010163346156999 | 18.998 | 11.8600 | 225.32 | (225.32) | - |
| 11/28/16 | 11/29/16 | 02507F803 | American Century Investments One Choice 2025 Portfolio R Class<br>Settlement Control No:010163346157005 | 3.775 | 13.9400 | 52.62 | (52.62) | - |
| 11/28/16 | 11/29/16 | 02507F811 | American Century Investments One Choice 2045 Portfolio R Class<br>Settlement Control No:010163346157021 | 25.824 | 15.5100 | 400.53 | (400.53) | - |
| 11/28/16 | 11/29/16 | 02507F852 | American Century Investments One Choice 2035 Portfolio R Class<br>Settlement Control No:010163346157013 | 38.578 | 14.9100 | 575.20 | (575.20) | - |
| 11/28/16 | 11/29/16 | 277902680 | Eaton Vance Atlanta Capital SMID-Cap Fund Class R<br>Settlement Control No:010163346157104 | 4.516 | 25.6200 | 115.69 | (115.69) | - |
| 11/28/16 | 11/29/16 | 315918318 | Fidelity Advisor Real Estate T<br>Settlement Control No:010163346157112 | 2.357 | 22.0400 | 51.95 | (51.95) | - |
| 11/28/16 | 11/29/16 | 315920256 | Fidelity Advisor Emerging Markets T<br>Settlement Control No:010163346157138 | 1.642 | 20.6600 | 33.92 | (33.92) | - |
| 11/28/16 | 11/29/16 | 416649549 | The Hartford International Opportunities Fund Class R3<br>Settlement Control No:010163346156981 | 1.556 | 14.2500 | 22.17 | (22.17) | - |
| 11/28/16 | 11/29/16 | 416649564 | Hartford Core Equity Fund Class R3<br>Settlement Control No:010163346157146 | 1.011 | 24.7800 | 25.06 | (25.06) | - |
| 11/28/16 | 11/29/16 | 47103C340 | Janus Triton Fund Class R<br>Settlement Control No:010163346157088 | 0.464 | 23.6900 | 10.99 | (10.99) | - |

## Transaction Listing

| Trade Date | Posting Date | | | Shares | Price | Inventory Cost | Cash | Market to Market Effect |
|---|---|---|---|---|---|---|---|---|
| **Investment Activity** | | | | | | | | |
| | **Purchase of Investments** | | | | | | | |
| 11/28/16 | 11/29/16 | 48121A209 | JPMorgan Mid Cap Value Fund Class R2<br>Settlement Control No:010163346156973 | 1.374 | 36.4700 | 50.12 | (50.12) | - |
| 11/28/16 | 11/29/16 | 723622502 | Pioneer Bond Fund Class R<br>Settlement Control No:010163346156965 | 2.282 | 9.7100 | 22.16 | (22.16) | - |
| 11/28/16 | 11/29/16 | 723695508 | Pioneer Fundamental Growth Fund Class R<br>Settlement Control No:010163346157070 | 0.734 | 19.1700 | 14.07 | (14.07) | - |
| 11/28/16 | 11/29/16 | 723884508 | Pioneer Strategic Income Fund Class R<br>Settlement Control No:010163346157096 | 1.311 | 10.7300 | 14.07 | (14.07) | - |
| 11/28/16 | 11/29/16 | 926464371 | Victory Sycamore Established Value Fund Class R<br>Settlement Control No:010163346157120 | 0.154 | 35.5600 | 5.49 | (5.49) | - |
| | | | | | | 11/29/2016 Total: | (6,660.24) | |
| 11/30/16 | 12/1/16 | 02507F639 | American Century Investments One Choice 2030 Portfolio R Class<br>Settlement Control No:010163357980840 | 5.386 | 12.0000 | 64.63 | (64.63) | - |
| | | | | | | 12/01/2016 Total: | (64.63) | |
| 12/8/16 | 12/9/16 | 024071854 | American Funds American Balanced Fund Class R-3<br>Settlement Control No:010163437534674 | 2.737 | 25.2900 | 69.23 | (69.23) | - |
| 12/8/16 | 12/9/16 | 02507F373 | American Century Investments One Choice 2055 Portfolio R Class<br>Settlement Control No:010163437534583 | 7.819 | 13.4400 | 105.09 | (105.09) | - |
| 12/8/16 | 12/9/16 | 02507F548 | American Century Investments One Choice 2050 Portfolio R Class<br>Settlement Control No:010163437534567 | 341.197 | 12.7100 | 4,336.61 | (4,336.61) | - |
| 12/8/16 | 12/9/16 | 02507F589 | American Century Investments One Choice 2040 Portfolio R Class<br>Settlement Control No:010163437534575 | 25.701 | 12.6300 | 324.60 | (324.60) | - |

## Transaction Listing

| Trade Date | Posting Date | | | Shares | Price | Inventory Cost | Cash | Market to Market Effect |
|---|---|---|---|---|---|---|---|---|
| **Investment Activity** | | | | | | | | |
| | **Purchase of Investments** | | | | | | | |
| 12/8/16 | 12/9/16 | 02507F639 | American Century Investments One Choice 2030 Portfolio R Class<br>Settlement Control No:010163437534559 | 20.459 | 12.1700 | 248.99 | (248.99) | - |
| 12/8/16 | 12/9/16 | 02507F670 | American Century Investments One Choice 2020 Portfolio R Class<br>Settlement Control No:010163437534518 | 18.086 | 12.0000 | 217.03 | (217.03) | - |
| 12/8/16 | 12/9/16 | 02507F803 | American Century Investments One Choice 2025 Portfolio R Class<br>Settlement Control No:010163437534526 | 3.761 | 14.1200 | 53.10 | (53.10) | - |
| 12/8/16 | 12/9/16 | 02507F811 | American Century Investments One Choice 2045 Portfolio R Class<br>Settlement Control No:010163437534542 | 21.346 | 15.7800 | 336.84 | (336.84) | - |
| 12/8/16 | 12/9/16 | 02507F852 | American Century Investments One Choice 2035 Portfolio R Class<br>Settlement Control No:010163437534534 | 35.974 | 15.1300 | 544.29 | (544.29) | - |
| 12/8/16 | 12/9/16 | 277902680 | Eaton Vance Atlanta Capital SMID-Cap Fund Class R<br>Settlement Control No:010163437534625 | 4.509 | 25.4500 | 114.76 | (114.76) | - |
| 12/8/16 | 12/9/16 | 315918318 | Fidelity Advisor Real Estate T<br>Settlement Control No:010163437534633 | 2.219 | 22.9000 | 50.81 | (50.81) | - |
| 12/8/16 | 12/9/16 | 315920256 | Fidelity Advisor Emerging Markets T<br>Settlement Control No:010163437534658 | 1.602 | 20.8000 | 33.33 | (33.33) | - |
| 12/8/16 | 12/9/16 | 416649549 | The Hartford International Opportunities Fund Class R3<br>Settlement Control No:010163437534500 | 1.511 | 14.7900 | 22.35 | (22.35) | - |
| 12/8/16 | 12/9/16 | 416649564 | Hartford Core Equity Fund Class R3<br>Settlement Control No:010163437534666 | 0.967 | 25.2300 | 24.39 | (24.39) | - |

## Transaction Listing

| Trade Date | Posting Date | | | Shares | Price | Inventory Cost | Cash | Market to Market Effect |
|---|---|---|---|---|---|---|---|---|
| **Investment Activity** | | | | | | | | |
| | **Purchase of Investments** | | | | | | | |
| 12/8/16 | 12/9/16 | 47103C340 | Janus Triton Fund Class R<br>Settlement Control No:010163437534609 | 0.441 | 24.0300 | 10.59 | (10.59) | - |
| 12/8/16 | 12/9/16 | 48121A209 | JPMorgan Mid Cap Value Fund Class R2<br>Settlement Control No:010163437534492 | 1.300 | 37.5200 | 48.78 | (48.78) | - |
| 12/8/16 | 12/9/16 | 723622502 | Pioneer Bond Fund Class R<br>Settlement Control No:010163437534484 | 2.299 | 9.7200 | 22.35 | (22.35) | - |
| 12/8/16 | 12/9/16 | 723695508 | Pioneer Fundamental Growth Fund Class R<br>Settlement Control No:010163437534591 | 0.728 | 18.9600 | 13.80 | (13.80) | - |
| 12/8/16 | 12/9/16 | 723884508 | Pioneer Strategic Income Fund Class R<br>Settlement Control No:010163437534617 | 1.281 | 10.7700 | 13.80 | (13.80) | - |
| 12/8/16 | 12/9/16 | 926464371 | Victory Sycamore Established Value Fund Class R<br>Settlement Control No:010163437534641 | 0.144 | 36.7800 | 5.29 | (5.29) | - |
| | | | | | | 12/09/2016 Total: | (6,596.03) | |
| 12/29/16 | 12/30/16 | 024071854 | American Funds American Balanced Fund Class R-3<br>Settlement Control No:010163648748287 | 2.797 | 24.7500 | 69.23 | (69.23) | - |
| 12/29/16 | 12/30/16 | 02507F373 | American Century Investments One Choice 2055 Portfolio R Class<br>Settlement Control No:010163648748196 | 8.203 | 13.0000 | 106.64 | (106.64) | - |
| 12/29/16 | 12/30/16 | 02507F548 | American Century Investments One Choice 2050 Portfolio R Class<br>Settlement Control No:010163648748170 | 354.748 | 12.2300 | 4,338.57 | (4,338.57) | - |
| 12/29/16 | 12/30/16 | 02507F589 | American Century Investments One Choice 2040 Portfolio R Class<br>Settlement Control No:010163648748188 | 11.439 | 12.2000 | 139.56 | (139.56) | - |

## Transaction Listing

| Trade Date | Posting Date | | | Shares | Price | Inventory Cost | Cash | Market to Market Effect |
|---|---|---|---|---|---|---|---|---|
| **Investment Activity** | | | | | | | | |
| | **Purchase of Investments** | | | | | | | |
| 12/29/16 | 12/30/16 | 02507F639 | American Century Investments One Choice 2030 Portfolio R Class<br>Settlement Control No:010163648748162 | 19.882 | 11.8000 | 234.61 | (234.61) | - |
| 12/29/16 | 12/30/16 | 02507F670 | American Century Investments One Choice 2020 Portfolio R Class<br>Settlement Control No:010163648748121 | 19.487 | 11.6400 | 226.83 | (226.83) | - |
| 12/29/16 | 12/30/16 | 02507F803 | American Century Investments One Choice 2025 Portfolio R Class<br>Settlement Control No:010163648748139 | 3.780 | 13.6800 | 51.71 | (51.71) | - |
| 12/29/16 | 12/30/16 | 02507F811 | American Century Investments One Choice 2045 Portfolio R Class<br>Settlement Control No:010163648748154 | 23.156 | 15.1700 | 351.28 | (351.28) | - |
| 12/29/16 | 12/30/16 | 02507F852 | American Century Investments One Choice 2035 Portfolio R Class<br>Settlement Control No:010163648748147 | 37.292 | 14.6200 | 545.21 | (545.21) | - |
| 12/29/16 | 12/30/16 | 277902680 | Eaton Vance Atlanta Capital SMID-Cap Fund Class R<br>Settlement Control No:010163648748238 | 4.880 | 24.9800 | 121.91 | (121.91) | - |
| 12/29/16 | 12/30/16 | 315918318 | Fidelity Advisor Real Estate T<br>Settlement Control No:010163648748246 | 2.622 | 22.1400 | 58.06 | (58.06) | - |
| 12/29/16 | 12/30/16 | 315920256 | Fidelity Advisor Emerging Markets T<br>Settlement Control No:010163648748261 | 1.880 | 20.5300 | 38.60 | (38.60) | - |
| 12/29/16 | 12/30/16 | 416649549 | The Hartford International Opportunities Fund Class R3<br>Settlement Control No:010163648748113 | 1.806 | 14.5200 | 26.23 | (26.23) | - |
| 12/29/16 | 12/30/16 | 416649564 | Hartford Core Equity Fund Class R3<br>Settlement Control No:010163648748279 | 1.127 | 24.9500 | 28.12 | (28.12) | - |

## Transaction Listing

| Trade Date | Posting Date | | | Shares | Price | Inventory Cost | Cash | Market to Market Effect |
|---|---|---|---|---|---|---|---|---|
| **Investment Activity** | | | | | | | | |
| | **Purchase of Investments** | | | | | | | |
| 12/29/16 | 12/30/16 | 47103C340 | Janus Triton Fund Class R<br>Settlement Control No:010163648748212 | 0.471 | 22.8900 | 10.79 | (10.79) | - |
| 12/29/16 | 12/30/16 | 48121A209 | JPMorgan Mid Cap Value Fund Class R2<br>Settlement Control No:010163648748105 | 1.635 | 34.4000 | 56.23 | (56.23) | - |
| 12/29/16 | 12/30/16 | 723622502 | Pioneer Bond Fund Class R<br>Settlement Control No:010163648748097 | 2.707 | 9.6900 | 26.23 | (26.23) | - |
| 12/29/16 | 12/30/16 | 723695508 | Pioneer Fundamental Growth Fund Class R<br>Settlement Control No:010163648748204 | 0.908 | 19.0800 | 17.33 | (17.33) | - |
| 12/29/16 | 12/30/16 | 723884508 | Pioneer Strategic Income Fund Class R<br>Settlement Control No:010163648748220 | 1.608 | 10.7800 | 17.33 | (17.33) | - |
| 12/29/16 | 12/30/16 | 926464371 | Victory Sycamore Established Value Fund Class R<br>Settlement Control No:010163648748253 | 0.150 | 35.8700 | 5.39 | (5.39) | - |
| | | | | | | 12/30/2016 Total: | (6,469.86) | |
| | **Total Purchase of Investments** | | | | | **19,790.76** | **(19,790.76)** | **-** |
| | **Redemption of Investments** | | | | | | | |
| 12/1/16 | 12/2/16 | 024071854 | American Funds American Balanced Fund Class R-3<br>Settlement Control No:010163368501247 | (0.001) | 24.9500 | (0.02) | 0.02 | - |
| 12/1/16 | 12/2/16 | 02507F373 | American Century Investments One Choice 2055 Portfolio R Class<br>Settlement Control No:010163368501213 | (0.003) | 13.1300 | (0.04) | 0.04 | - |
| 12/1/16 | 12/2/16 | 02507F548 | American Century Investments One Choice 2050 Portfolio R Class<br>Settlement Control No:010163368501197 | (0.146) | 12.4300 | (1.82) | 1.81 | (0.01) |

## Transaction Listing

| Trade Date | Posting Date | | | Shares | Price | Inventory Cost | Cash | Market to Market Effect |
|---|---|---|---|---|---|---|---|---|
| **Investment Activity** | | | | | | | | |
| | **Redemption of Investments** | | | | | | | |
| 12/1/16 | 12/2/16 | 02507F589 | American Century Investments One Choice 2040 Portfolio R Class<br>Settlement Control No:010163368501205 | (0.011) | 12.3800 | (0.14) | 0.14 | - |
| 12/1/16 | 12/2/16 | 02507F639 | American Century Investments One Choice 2030 Portfolio R Class<br>Settlement Control No:010163368501189 | (0.010) | 11.9600 | (0.12) | 0.12 | - |
| 12/1/16 | 12/2/16 | 02507F670 | American Century Investments One Choice 2020 Portfolio R Class<br>Settlement Control No:010163368501155 | (0.008) | 11.8300 | (0.09) | 0.09 | - |
| 12/1/16 | 12/2/16 | 02507F811 | American Century Investments One Choice 2045 Portfolio R Class<br>Settlement Control No:010163368501171 | (0.011) | 15.4400 | (0.17) | 0.17 | - |
| 12/1/16 | 12/2/16 | 02507F852 | American Century Investments One Choice 2035 Portfolio R Class<br>Settlement Control No:010163368501163 | (0.016) | 14.8500 | (0.24) | 0.24 | - |
| 12/1/16 | 12/2/16 | 277902680 | Eaton Vance Atlanta Capital SMID-Cap Fund Class R<br>Settlement Control No:010163368501221 | (0.002) | 25.5700 | (0.05) | 0.05 | - |
| 12/1/16 | 12/2/16 | 315918318 | Fidelity Advisor Real Estate T<br>Settlement Control No:010163368501239 | (0.002) | 21.7200 | (0.04) | 0.04 | - |
| 12/1/16 | 12/2/16 | 48121A209 | JPMorgan Mid Cap Value Fund Class R2<br>Settlement Control No:010163368501148 | (0.001) | 36.3300 | (0.04) | 0.04 | - |
| | | | | | | 12/02/2016 Total: | 2.76 | |
| 12/23/16 | 12/27/16 | 024071854 | American Funds American Balanced Fund Class R-3<br>Settlement Control No:010163596183040 | (0.030) | 24.8200 | (0.75) | 0.74 | (0.01) |
| 12/23/16 | 12/27/16 | 02507F373 | American Century Investments One Choice 2055 Portfolio R Class<br>Settlement Control No:010163596182950 | (0.085) | 13.3700 | (1.13) | 1.14 | 0.01 |

## Transaction Listing

| Trade Date | Posting Date | | | Shares | Price | Inventory Cost | Cash | Market to Market Effect |
|---|---|---|---|---|---|---|---|---|
| **Investment Activity** | | | | | | | | |
| | **Redemption of Investments** | | | | | | | |
| 12/23/16 | 12/27/16 | 02507F548 | American Century Investments One Choice 2050 Portfolio R Class<br>Settlement Control No:010163596182935 | (3.691) | 12.6500 | (46.48) | 46.69 | 0.21 |
| 12/23/16 | 12/27/16 | 02507F589 | American Century Investments One Choice 2040 Portfolio R Class<br>Settlement Control No:010163596182943 | (0.268) | 12.5800 | (3.36) | 3.37 | 0.01 |
| 12/23/16 | 12/27/16 | 02507F639 | American Century Investments One Choice 2030 Portfolio R Class<br>Settlement Control No:010163596182927 | (0.239) | 12.1200 | (2.89) | 2.90 | 0.01 |
| 12/23/16 | 12/27/16 | 02507F670 | American Century Investments One Choice 2020 Portfolio R Class<br>Settlement Control No:010163596182885 | (0.199) | 11.9700 | (2.37) | 2.38 | 0.01 |
| 12/23/16 | 12/27/16 | 02507F803 | American Century Investments One Choice 2025 Portfolio R Class<br>Settlement Control No:010163596182893 | (0.041) | 14.0700 | (0.58) | 0.58 | - |
| 12/23/16 | 12/27/16 | 02507F811 | American Century Investments One Choice 2045 Portfolio R Class<br>Settlement Control No:010163596182919 | (0.253) | 15.7100 | (3.95) | 3.97 | 0.02 |
| 12/23/16 | 12/27/16 | 02507F852 | American Century Investments One Choice 2035 Portfolio R Class<br>Settlement Control No:010163596182901 | (0.400) | 15.0700 | (6.01) | 6.03 | 0.02 |
| 12/23/16 | 12/27/16 | 277902680 | Eaton Vance Atlanta Capital SMID-Cap Fund Class R<br>Settlement Control No:010163596182992 | (0.049) | 25.0600 | (1.25) | 1.23 | (0.02) |
| 12/23/16 | 12/27/16 | 315918318 | Fidelity Advisor Real Estate T<br>Settlement Control No:010163596183008 | (0.026) | 21.9700 | (0.58) | 0.57 | (0.01) |
| 12/23/16 | 12/27/16 | 315920256 | Fidelity Advisor Emerging Markets T<br>Settlement Control No:010163596183024 | (0.017) | 20.1600 | (0.35) | 0.34 | (0.01) |

## Transaction Listing

| Trade Date | Posting Date | | | Shares | Price | Inventory Cost | Cash | Market to Market Effect |
|---|---|---|---|---|---|---|---|---|
| **Investment Activity** | | | | | | | | |
| **Redemption of Investments** | | | | | | | | |
| 12/23/16 | 12/27/16 | 416649549 | The Hartford International Opportunities Fund Class R3<br>Settlement Control No:010163596182877 | (0.016) | 14.6200 | (0.23) | 0.23 | - |
| 12/23/16 | 12/27/16 | 416649564 | Hartford Core Equity Fund Class R3<br>Settlement Control No:010163596183032 | (0.011) | 25.2400 | (0.28) | 0.28 | - |
| 12/23/16 | 12/27/16 | 47103C340 | Janus Triton Fund Class R<br>Settlement Control No:010163596182976 | (0.005) | 23.0400 | (0.12) | 0.12 | - |
| 12/23/16 | 12/27/16 | 48121A209 | JPMorgan Mid Cap Value Fund Class R2<br>Settlement Control No:010163596182869 | (0.015) | 34.6100 | (0.55) | 0.52 | (0.03) |
| 12/23/16 | 12/27/16 | 723622502 | Pioneer Bond Fund Class R<br>Settlement Control No:010163596182851 | (0.025) | 9.6800 | (0.24) | 0.24 | - |
| 12/23/16 | 12/27/16 | 723695508 | Pioneer Fundamental Growth Fund Class R<br>Settlement Control No:010163596182968 | (0.008) | 19.1500 | (0.15) | 0.15 | - |
| 12/23/16 | 12/27/16 | 723884508 | Pioneer Strategic Income Fund Class R<br>Settlement Control No:010163596182984 | (0.014) | 10.7500 | (0.15) | 0.15 | - |
| 12/23/16 | 12/27/16 | 926464371 | Victory Sycamore Established Value Fund Class R<br>Settlement Control No:010163596183016 | (0.002) | 36.4500 | (0.07) | 0.07 | - |
| | | | | | | 12/27/2016 Total: | 71.70 | |
| **Total Redemption of Investments** | | | | | | **(74.26)** | **74.46** | **0.20** |
| **Short Term Gain Distributions** | | | | | | | | |
| | 12/14/16 | 48121A209 | JPMorgan Mid Cap Value Fund Class R2<br>(Rate: 0.04 per share) | 0.003 | 34.6600 | 0.10 | - | 0.10 |
| | 12/29/16 | 02507F373 | American Century Investments One Choice 2055 Portfolio R Class | 0.001 | 13.0000 | 0.01 | - | 0.01 |

## Transaction Listing

| Trade Date | Posting Date | | Shares | Price | Inventory Cost | Cash | Market to Market Effect |
|---|---|---|---|---|---|---|---|
| **Investment Activity** | | | | | | | |
| **Short Term Gain Distributions** | | | | | | | |
| 12/29/16 | 02507F548 | American Century Investments One Choice 2050 Portfolio R Class (Rate: 0.00 per share) | 0.056 | 12.2300 | 0.69 | - | 0.69 |
| **Total** | **Short Term Gain Distributions** | | | | **0.80** | **-** | **0.80** |
| **Long Term Gain Distributions** | | | | | | | |
| 11/29/16 | 723695508 | Pioneer Fundamental Growth Fund Class R (Rate: 0.37 per share) | 0.014 | 18.8500 | 0.27 | - | 0.27 |
| 12/8/16 | 277902680 | Eaton Vance Atlanta Capital SMID-Cap Fund Class R (Rate: 1.00 per share) | 0.177 | 25.4500 | 4.50 | - | 4.50 |
| 12/14/16 | 48121A209 | JPMorgan Mid Cap Value Fund Class R2 (Rate: 2.21 per share) | 0.170 | 34.6600 | 5.90 | - | 5.90 |
| 12/16/16 | 315918318 | Fidelity Advisor Real Estate T (Rate: 0.50 per share) | 0.104 | 22.0800 | 2.30 | - | 2.30 |
| 12/16/16 | 416649564 | Hartford Core Equity Fund Class R3 (Rate: 0.19 per share) | 0.015 | 25.1600 | 0.38 | - | 0.38 |
| 12/19/16 | 47103C340 | Janus Triton Fund Class R (Rate: 0.65 per share) | 0.025 | 23.1700 | 0.59 | - | 0.59 |
| 12/20/16 | 024071854 | American Funds American Balanced Fund Class R-3 (Rate: 0.46 per share) | 0.102 | 24.8400 | 2.54 | - | 2.54 |
| 12/28/16 | 926464371 | Victory Sycamore Established Value Fund Class R (Rate: 0.35 per share) | 0.003 | 35.8200 | 0.10 | - | 0.10 |
| 12/29/16 | 02507F373 | American Century Investments One Choice 2055 Portfolio R Class (Rate: 0.28 per share) | 0.335 | 13.0000 | 4.35 | - | 4.35 |

## Transaction Listing

| Trade Date | Posting Date | | Shares | Price | Inventory Cost | Cash | Market to Market Effect |
|---|---|---|---|---|---|---|---|
| **Investment Activity** | | | | | | | |
| **Long Term Gain Distributions** | | | | | | | |
| 12/29/16 | 02507F548 | American Century Investments One Choice 2050 Portfolio R Class (Rate: 0.34 per share) | 18.881 | 12.2300 | 230.92 | - | 230.92 |
| 12/29/16 | 02507F589 | American Century Investments One Choice 2040 Portfolio R Class (Rate: 0.30 per share) | 1.213 | 12.2000 | 14.80 | - | 14.80 |
| 12/29/16 | 02507F639 | American Century Investments One Choice 2030 Portfolio R Class (Rate: 0.24 per share) | 0.901 | 11.8000 | 10.63 | - | 10.63 |
| 12/29/16 | 02507F670 | American Century Investments One Choice 2020 Portfolio R Class (Rate: 0.23 per share) | 0.735 | 11.6400 | 8.56 | - | 8.56 |
| 12/29/16 | 02507F803 | American Century Investments One Choice 2025 Portfolio R Class (Rate: 0.28 per share) | 0.151 | 13.6800 | 2.07 | - | 2.07 |
| 12/29/16 | 02507F811 | American Century Investments One Choice 2045 Portfolio R Class (Rate: 0.43 per share) | 1.320 | 15.1700 | 20.03 | - | 20.03 |
| 12/29/16 | 02507F852 | American Century Investments One Choice 2035 Portfolio R Class (Rate: 0.34 per share) | 1.707 | 14.6200 | 24.95 | - | 24.95 |
| **Total** | **Long Term Gain Distributions** | | | | **332.89** | **-** | **332.89** |
| **Unrealized Appreciation / Depreciation** | | | | | | | |

## Transaction Listing

| Trade Date | Posting Date | | Shares | Price | Inventory Cost | Cash | Market to Market Effect |
|---|---|---|---|---|---|---|---|
| **Investment Activity** | | | | | | | |
| **Unrealized Appreciation / Depreciation** | | | | | | | |
| | 024071854 | American Funds American Balanced Fund Class R-3 | | | | | (2.55) |
| | | Beginning Value: 0.00 | | | | | |
| | | Plus Purchased Inventory: 210.89 | | | | | |
| | | Less Sold Inventory: -0.77 | | | | | |
| | | Ending Inventory Value: 210.12 | | | | | |
| | | Ending Market Value: 207.57 | | | | | |
| | 02507F373 | American Century Investments One Choice 2055 Portfolio R Class | | | | | (5.58) |
| | | Beginning Value: 0.00 | | | | | |
| | | Plus Purchased Inventory: 322.39 | | | | | |
| | | Less Sold Inventory: -1.17 | | | | | |
| | | Ending Inventory Value: 321.22 | | | | | |
| | | Ending Market Value: 315.64 | | | | | |
| | 02507F548 | American Century Investments One Choice 2050 Portfolio R Class | | | | | (281.22) |
| | | Beginning Value: 0.00 | | | | | |
| | | Plus Purchased Inventory: 13,294.76 | | | | | |
| | | Less Sold Inventory: -48.30 | | | | | |
| | | Ending Inventory Value: 13,246.46 | | | | | |
| | | Ending Market Value: 12,965.24 | | | | | |
| | 02507F589 | American Century Investments One Choice 2040 Portfolio R Class | | | | | (18.44) |
| | | Beginning Value: 0.00 | | | | | |
| | | Plus Purchased Inventory: 785.84 | | | | | |
| | | Less Sold Inventory: -3.50 | | | | | |
| | | Ending Inventory Value: 782.34 | | | | | |
| | | Ending Market Value: 763.90 | | | | | |

## Transaction Listing

| Trade Date | Posting Date | | Shares | Price | Inventory Cost | Cash | Market to Market Effect |
|---|---|---|---|---|---|---|---|
| **Investment Activity** | | | | | | | |
| **Unrealized Appreciation / Depreciation** | | | | | | | |
| | 02507F639 | American Century Investments One Choice 2030 Portfolio R Class | | | | | (13.83) |
| | | Beginning Value: 0.00 | | | | | |
| | | Plus Purchased Inventory: 787.63 | | | | | |
| | | Less Sold Inventory: -3.01 | | | | | |
| | | Ending Inventory Value: 784.62 | | | | | |
| | | Ending Market Value: 770.79 | | | | | |
| | 02507F670 | American Century Investments One Choice 2020 Portfolio R Class | | | | | (11.80) |
| | | Beginning Value: 0.00 | | | | | |
| | | Plus Purchased Inventory: 681.28 | | | | | |
| | | Less Sold Inventory: -2.46 | | | | | |
| | | Ending Inventory Value: 678.82 | | | | | |
| | | Ending Market Value: 667.02 | | | | | |
| | 02507F803 | American Century Investments One Choice 2025 Portfolio R Class | | | | | (2.84) |
| | | Beginning Value: 0.00 | | | | | |
| | | Plus Purchased Inventory: 160.31 | | | | | |
| | | Less Sold Inventory: -0.58 | | | | | |
| | | Ending Inventory Value: 159.73 | | | | | |
| | | Ending Market Value: 156.89 | | | | | |
| | 02507F811 | American Century Investments One Choice 2045 Portfolio R Class | | | | | (24.57) |
| | | Beginning Value: 0.00 | | | | | |
| | | Plus Purchased Inventory: 1,113.63 | | | | | |
| | | Less Sold Inventory: -4.12 | | | | | |
| | | Ending Inventory Value: 1,109.51 | | | | | |
| | | Ending Market Value: 1,084.94 | | | | | |

## Transaction Listing

| Trade Date | Posting Date | | Shares | Price | Inventory Cost | Cash | Market to Market Effect |
|---|---|---|---|---|---|---|---|
| **Investment Activity** | | | | | | | |
| **Unrealized Appreciation / Depreciation** | | | | | | | |
| | 02507F852 | American Century Investments One Choice 2035 Portfolio R Class | | | | | (31.64) |
| | | Beginning Value: 0.00 | | | | | |
| | | Plus Purchased Inventory: 1,697.53 | | | | | |
| | | Less Sold Inventory: -6.25 | | | | | |
| | | Ending Inventory Value: 1,691.28 | | | | | |
| | | Ending Market Value: 1,659.64 | | | | | |
| | 277902680 | Eaton Vance Atlanta Capital SMID-Cap Fund Class R | | | | | (6.05) |
| | | Beginning Value: 0.00 | | | | | |
| | | Plus Purchased Inventory: 356.86 | | | | | |
| | | Less Sold Inventory: -1.30 | | | | | |
| | | Ending Inventory Value: 355.56 | | | | | |
| | | Ending Market Value: 349.51 | | | | | |
| | 315918318 | Fidelity Advisor Real Estate T | | | | | 0.51 |
| | | Beginning Value: 0.00 | | | | | |
| | | Plus Purchased Inventory: 163.88 | | | | | |
| | | Less Sold Inventory: -0.62 | | | | | |
| | | Ending Inventory Value: 163.26 | | | | | |
| | | Ending Market Value: 163.77 | | | | | |
| | 315920256 | Fidelity Advisor Emerging Markets T | | | | | (0.86) |
| | | Beginning Value: 0.00 | | | | | |
| | | Plus Purchased Inventory: 105.85 | | | | | |
| | | Less Sold Inventory: -0.35 | | | | | |
| | | Ending Inventory Value: 105.50 | | | | | |
| | | Ending Market Value: 104.64 | | | | | |

## Transaction Listing

| Trade Date | Posting Date | | Shares | Price | Inventory Cost | Cash | Market to Market Effect |
|---|---|---|---|---|---|---|---|
| **Investment Activity** | | | | | | | |
| **Unrealized Appreciation / Depreciation** | | | | | | | |
| | 416649549 | The Hartford International Opportunities Fund Class R3 | | | | | 0.15 |
| | | Beginning Value: 0.00 | | | | | |
| | | Plus Purchased Inventory: 71.14 | | | | | |
| | | Less Sold Inventory: -0.23 | | | | | |
| | | Ending Inventory Value: 70.91 | | | | | |
| | | Ending Market Value: 71.06 | | | | | |
| | 416649564 | Hartford Core Equity Fund Class R3 | | | | | (0.44) |
| | | Beginning Value: 0.00 | | | | | |
| | | Plus Purchased Inventory: 78.15 | | | | | |
| | | Less Sold Inventory: -0.28 | | | | | |
| | | Ending Inventory Value: 77.87 | | | | | |
| | | Ending Market Value: 77.43 | | | | | |
| | 47103C340 | Janus Triton Fund Class R | | | | | (0.97) |
| | | Beginning Value: 0.00 | | | | | |
| | | Plus Purchased Inventory: 32.96 | | | | | |
| | | Less Sold Inventory: -0.12 | | | | | |
| | | Ending Inventory Value: 32.84 | | | | | |
| | | Ending Market Value: 31.87 | | | | | |
| | 48121A209 | JPMorgan Mid Cap Value Fund Class R2 | | | | | (7.42) |
| | | Beginning Value: 0.00 | | | | | |
| | | Plus Purchased Inventory: 161.32 | | | | | |
| | | Less Sold Inventory: -0.59 | | | | | |
| | | Ending Inventory Value: 160.73 | | | | | |
| | | Ending Market Value: 153.31 | | | | | |

## Transaction Listing

| Trade Date | Posting Date | | Shares | Price | Inventory Cost | Cash | Market to Market Effect |
|---|---|---|---|---|---|---|---|
| **Investment Activity** | | | | | | | |
| **Unrealized Appreciation / Depreciation** | | | | | | | |
| | | 723622502 Pioneer Bond Fund Class R | | | | | 0.02 |
| | | Beginning Value: | 0.00 | | | | |
| | | Plus Purchased Inventory: | 70.84 | | | | |
| | | Less Sold Inventory: | -0.24 | | | | |
| | | Ending Inventory Value: | 70.60 | | | | |
| | | Ending Market Value: | 70.62 | | | | |
| | | 723695508 Pioneer Fundamental Growth Fund Class R | | | | | (0.27) |
| | | Beginning Value: | 0.00 | | | | |
| | | Plus Purchased Inventory: | 45.49 | | | | |
| | | Less Sold Inventory: | -0.15 | | | | |
| | | Ending Inventory Value: | 45.34 | | | | |
| | | Ending Market Value: | 45.07 | | | | |
| | | 723884508 Pioneer Strategic Income Fund Class R | | | | | 0.12 |
| | | Beginning Value: | 0.00 | | | | |
| | | Plus Purchased Inventory: | 45.23 | | | | |
| | | Less Sold Inventory: | -0.15 | | | | |
| | | Ending Inventory Value: | 45.08 | | | | |
| | | Ending Market Value: | 45.20 | | | | |
| | | 926464371 Victory Sycamore Established Value Fund Class R | | | | | (0.15) |
| | | Beginning Value: | 0.00 | | | | |
| | | Plus Purchased Inventory: | 16.27 | | | | |
| | | Less Sold Inventory: | -0.07 | | | | |
| | | Ending Inventory Value: | 16.20 | | | | |
| | | Ending Market Value: | 16.05 | | | | |
| **Total** | **Unrealized Appreciation / Depreciation** | | | | | | **(407.83)** |
| **Total** | **Investment Activity** | | | | **20,050.19** | **(19,716.30)** | **(73.94)** |
| **Total For Account** | | | | | **20,127.99** | **-** | **19,720.16** |

## 5% Reportable Transactions

**Plan Value:** 19,720.16

| Trade Date | Posting Date | | Shares | Price | Inventory Cost | Cash Value | % of Plan Value | Mkt to Mkt Gain (Loss) |
|---|---|---|---|---|---|---|---|---|
| **02507F548 - American Century Investments One Choice 2050 Portfolio R Class** | | | | | | | | |
| 11/28/16 | 11/29/16 | | 347.664 | 12.4800 | 4,338.85 | 4,338.85 | 22 % | - |
| 12/8/16 | 12/9/16 | | 341.197 | 12.7100 | 4,336.61 | 4,336.61 | 22 % | - |
| 12/29/16 | 12/30/16 | | 354.748 | 12.2300 | 4,338.57 | 4,338.57 | 22 % | - |
| | **Total** | **Purchase of Investments** | | | | **13,014.03** | **3 Items** | |
| | **Total** | **Redemption of Investments** | | | | **48.50** | **2 Items** | |
| **Total** | **02507F548 - American Century Investments One Choice 2050 Portfolio R Class** | | | | | **13,062.53** | **66 %** | **0.20** |
| **02507F811 - American Century Investments One Choice 2045 Portfolio R Class** | | | | | | | | |
| | **Total** | **Purchase of Investments** | | | | **1,088.65** | **3 Items** | |
| | **Total** | **Redemption of Investments** | | | | **4.14** | **2 Items** | |
| **Total** | **02507F811 - American Century Investments One Choice 2045 Portfolio R Class** | | | | | **1,092.79** | **6 %** | **0.02** |
| **02507F852 - American Century Investments One Choice 2035 Portfolio R Class** | | | | | | | | |
| | **Total** | **Purchase of Investments** | | | | **1,664.70** | **3 Items** | |
| | **Total** | **Redemption of Investments** | | | | **6.27** | **2 Items** | |
| **Total** | **02507F852 - American Century Investments One Choice 2035 Portfolio R Class** | | | | | **1,670.97** | **8 %** | **0.02** |

## Rebates From Investments

| Security | Dealer Concessions | 12b1 Fees | Sub-TA/SSF Fees | Total Rebate |
|---|---|---|---|---|

**No Rebates Paid In Period For Account**

MID ATLANTIC TRUST COMPANY

# FACTS

**WHAT DOES Mid Atlantic Group of Companies and Associates DO WITH YOUR PERSONAL INFORMATION?**

| | |
|---|---|
| **Why?** | Financial companies choose how they share your personal information. Federal law gives consumers the right to limit some but not all sharing. Federal law also requires us to tell you how we collect, share and protect your personal information. Please read this notice carefully to understand what we do. |
| **What?** | The types of personal information we collect and share depend on the product or service you have with us. This information can include:<br>· Social Security number and name/address<br>· financial information and investment objectives<br>· suitability information and investment experience<br>When you are no longer our customer, we continue to share your information as described in this notice. |
| **How?** | All financial companies need to share customer's personal information to run their everyday business. In the section below, we list the reasons financial companies can share their customer's personal information; the reasons Mid Atlantic chooses to share; and whether you can limit this sharing. |

| Reasons we can share your personal information | Does Mid Atlantic share? | Can you limit this sharing? |
|---|---|---|
| **For our everyday business purposes -** such as to process your transactions, maintain your account(s), respond to court orders and legal investigations, or report to credit bureaus | Yes | No |
| **For our marketing purposes -** to offer our products and services to you | Yes | No |
| **For joint marketing with other financial companies** | No | N/A |
| **For our affiliates' everyday business purposes -** information about your transactions and experiences | Yes | No |
| **For our affiliates' everyday business purposes -** information about your creditworthiness | No | N/A |
| **For nonaffiliates to market to you** | No | N/A |

| | |
|---|---|
| **Questions?** | Call 800-693-7800 or go to www.macg.com |

| Who we are | |
|---|---|
| **Who is providing this notice?** | Mid Atlantic Capital Group, Inc., Mid Atlantic Capital Corp., Mid Atlantic Trust Company, and for additional Companies see below. |

| What we do | |
|---|---|
| **How does Mid Atlantic protect my personal information?** | To protect your personal information from unauthorized access and use, we use security measures that comply with federal law.<br>These measures include computer safeguards and secured files and buildings. |
| **How does Mid Atlantic collect my personal information?** | We collect your personal information, for example, when you<br>· open an account or transfer an account<br>· update your account or transact in your account<br>· or from your representative regarding your preferences |
| **Why can't I limit all sharing?** | Federal law gives you the right to limit only<br>· sharing for affiliates' everyday business purposes - information about your creditworthiness<br>· affiliates from using your information to market to you<br>· sharing for nonaffiliates to market to you<br>State laws and individual companies may give you additional rights to limit sharing. |

| Definitions | |
|---|---|
| **Affiliates** | Companies related by common ownership or control. They can be financial and nonfinancial companies.<br>· These are: Mid Atlantic Capital Group, Inc.; Mid Atlantic Capital Corp.; Mid Atlantic Financial Management, Inc.; Mid Atlantic Trust Company; LPA Insurance Agency, Inc.; GUA/Uniontown Capital |
| **Nonaffiliates** | Companies not related by common ownership or control. They can be financial and nonfinancial companies.<br>· Our nonaffiliated service providers are obligated to keep the personal information we share with them confidential and use it only to provide services specified by Mid Atlantic ** |
| **Joint marketing** | A formal agreement between nonaffiliated financial companies that together market financial products or services to you.<br>· Mid Atlantic does not share personal information with unaffiliated third parties for use in marketing their products or services. |

## Other important information

Additional Notice Providers: Mid Atlantic Financial Management, Inc., LPA Insurance Agency, Inc., GUA/Uniontown Capital Corporation, Mid Atlantic Securities Partnership, Select Opportunity, LP, Mid Atlantic Properties Corporation and Pennsylvania Dithridge Associates.

** If you conduct business with Mid Atlantic through a nonaffiliated investment professional, we may exchange information that we collect with your investment professional or with others they may authorize.

3.NF-0AB-PN-0614