Form 5500-SF

Department of the Treasury

Department of Labor Employee Benefits Security Administration Pension Benefit Guaranty Corporation

Internal Revenue Service

Short Form Annual Return/Report of Small Employee Benefit Plan

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

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

OMB Nos. 1210-0110 1210-0089

2017

This Form is Open to **Public Inspection**

Parti		identification information								
For calend	lar plan year 2017 or fi	scal plan year beginning 01/01/2	2017		and ending 12	2/31/2017				
A This re	turn/report is for:	x a single-employer plan			n (not multiemployer) (l		-			
		a one-participant plan	a fore	eign plan	•			,		
B This ret	urn/report is	the first return/report	=	nal return/report						
		an amended return/report	rt a short plan year return/report (less than 12 months)							
C Check	box if filing under:	Form 5558	ш	matic extension		DFVC pro	gram			
		special extension (enter desc	• /							
Part II	Basic Plan Info	ormation—enter all requested in	nformation							
1a Name GEISLER, H		AURICE, LLP 401(K) PLAN				1b Three-oplan nu (PN)	ımber	001		
						1c Effective date of plan 01/01/2013				
Mailin	g address (include roo	oyer, if for a single-employer plan) m, apt., suite no. and street, or P.0				2b Employer Identification Number (EIN) 46-1008568				
	r town, state or provinct HENNINGER & FITZM/	ce, country, and ZIP or foreign pos AURICE, LLP	stal code (if	foreign, see instru	uctions)	2c Sponsor's telephone number 516-743-9400				
						2d Business code (see instructions)				
170 OLD COUNTRY ROAD SUITE 303						541110				
MINEOLA, N	NY 11501									
3a Plan a	administrator's name a	nd address X Same as Plan Spo	onsor.			3b Adminis	strator's E	IN		
						3c Adminis	strator's te	elephone number		
		e plan sponsor or the plan name h				4b EIN				
	iian, enter the pian spo sor's name	onsor's name, EIN, the plan name a	and the pla	in number from the	e last return/report.	4d PN				
C Plan										
5a Total	number of participants	at the heginning of the plan year				5a		4		
		s at the beginning of the plan year. s at the end of the plan year			ſ	5b		7		
C Numb	per of participants with	account balances as of the end of	f the plan ye	ear (only defined o	contribution plans			7		
complete this item) d(1) Total number of active participants at the beginning of the plan year					5d(1)		3			
d(2) Total number of active participants at the end of the plan year					5d(2)		0			
Number of participants who terminated employment during the plan year with accrued benefits that were less than 100% vested					5e					
Caution:	A penalty for the late	or incomplete filing of this retur	rn/report w	vill be assessed u	ınless reasonable cau	ise is establi	shed.			
Under pen SB or Sch	alties of perjury and ot	ther penalties set forth in the instru nd signed by an enrolled actuary,	ıctions, I de	clare that I have e	examined this return/rep	oort, including	, if applic			
SIGN	Filed with authorized	I/valid electronic signature.	04	1/17/2018	STACY FITZMAURICE	≣				
HERE	Signature of plan a	Signature of plan administrator Date Enter name of individual signing as plan administrator						ninistrator		
SIGN	Filed with authorized	/valid electronic signature.	04	1/17/2018	STACY FITZMAURICE					

Date

HERE

Enter name of individual signing as employer or plan sponsor

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	Were all of the plan's assets during the plan year invested in eligible assets? (See instructions.)						X Yes	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 Yes	No
	If you answered "No" to either line 6a or line 6b, the plan cannot use Form 5500-SF and must instead use Form 5500.								
С	If the plan is a defined benefit plan, is it covered under the PBGC ir	nsurance p	rogram (see ERISA se	ection 4	021)?		Yes No	Not deter	mined
	If "Yes" is checked, enter the My PAA confirmation number from the	ne PBGC p	remium filing for this pl	lan yea	r			(See instruct	tions.)
Pa	rt III Financial Information								
7	Plan Assets and Liabilities		(a) Beginning (of Year			(b) End	l of Year	
a	Total plan assets	. 7a	37	76917				496392	
b	Total plan liabilities	. 7b							
<u> </u>	Net plan assets (subtract line 7b from line 7a)	. 7c	37	76917				496392	
8	Income, Expenses, and Transfers for this Plan Year		(a) Amoun	t			(b) ·	Total	
а	Contributions received or receivable from: (1) Employers	. 8a(1)	,	26489					
	. , . ,	` ` `		63061					
	(2) Participants	. 8a(2) . 8a(3)		30001					
	Other income (loss)			41848					
	Total income (add lines 8a(1), 8a(2), 8a(3), and 8b)	8c		11010				131398	
	Benefits paid (including direct rollovers and insurance premiums	. 00						101000	
	to provide benefits)	. 8d		9484	_				
е	Certain deemed and/or corrective distributions (see instructions)	. 8e							
f	Administrative service providers (salaries, fees, commissions)	. 8f		2439					
g	Other expenses	. 8g			_				
<u>h</u>	otal expenses (add lines 8d, 8e, 8f, and 8g)							11923	
<u> </u>	Net income (loss) (subtract line 8h from line 8c)	†						119475	
	Transfers to (from) the plan (see instructions)	8j							
	Part IV Plan Characteristics								
9a	If the plan provides pension benefits, enter the applicable pension 2A 2E 2G 2J 2T 3D	feature co	des from the List of Pla	an Cha	racteri	stic Co	odes in the ins	tructions:	
b	If the plan provides welfare benefits, enter the applicable welfare for	eature cod	les from the List of Pla	n Chara	acteris	tic Coc	des in the instr	uctions:	
Par	t V Compliance Questions								
10	During the plan year:				Yes	No		Amount	
a	Was there a failure to transmit to the plan any participant contribu	ıtions withi	n the time period					7 0	
	described in 29 CFR 2510.3-102? (See instructions and DOL's V	-	•	100		X			
b	Program)			10a		^			
	reported on line 10a.)			10b		Χ			
С	Was the plan covered by a fidelity bond?			10c	Χ			3500	0
d	Did the plan have a loss, whether or not reimbursed by the plan's by fraud or dishonesty?	-		10d		X			
е	Were any fees or commissions paid to any brokers, agents, or oth								
	carrier, insurance service, or other organization that provides some or all of the benefits under the plan? (See instructions.)			10e	Χ			69	2
f	Has the plan failed to provide any benefit when due under the pla	ın?		10f		Χ			
g		-		10g	Χ			1761	2
h	If this is an individual account plan, was there a blackout period? 2520.101-3.)	•		10h		X			
i	If 10h was answered "Yes," check the box if you either provided the exceptions to providing the notice applied under 29 CFR 2520.10	he require	d notice or one of the	10i					
	The state of the s				<u> </u>	!			

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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 Sch (Form 5500) and line 11a below)	В	Yes X No	
11a	Enter the unpaid minimum required contributions for all years from Schedule SB (Form 5500) line 40	11a		
12	Is this a defined contribution plan subject to the minimum funding requirements of section 412 of the Code or section ERISA?			Yes X No
	(If "Yes," complete line 12a or lines 12b, 12c, 12d, and 12e below, as applicable.)			
а	If a waiver of the minimum funding standard for a prior year is being amortized in this plan year, see instructions, and granting the waiver			of the letter ruling Year
lf y	you completed line 12a, complete lines 3, 9, and 10 of Schedule MB (Form 5500), and skip to line 13.			
b	Enter the minimum required contribution for this plan year	12b		
С	Enter the amount contributed by the employer to the plan for this plan year	12c		
d	Subtract the amount in line 12c from the amount in line 12b. Enter the result (enter a minus sign to the left of a negative amount)	12d		
e Will the minimum funding amount reported on line 12d be met by the funding deadline?				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?		X Yes	No
	If "Yes," enter the amount of any plan assets that reverted to the employer this year	13a		(
b	Were all the plan assets distributed to participants or beneficiaries, transferred to another plan, or brought under the control of the PBGC?		[Yes X No
С	If, during this plan year, any assets or liabilities were transferred from this plan to another plan(s), identify the plan(s) which assets or liabilities were transferred. (See instructions.)) to		
1	3c(1) Name of plan(s): 13c(2)	EIN(s)		13c(3) PN(s)

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**

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

OMB Nos. 1210-0110 1210-0089

2017

This Form is Open to Public Inspection

		t Identification Informatio	n			·
For calendar	plan year 2017 or	fiscal plan year beginning 01/01	/2017	and ending	12/31/2017	
A This retur	n/report is for:	a single-employer plan	100 miles (100 miles (an (not multiemployer nployer information in		
B This return	n/report is	a one-participant plan the first return/report	a foreign plan the final return/report			
		an amended return/report	a short plan year retur	n/report (less than 12	months)	
C Check bo	x if filing under:	Form 5558	automatic extension		DFVC program	n
		special extension (enter des	3.50. 12.00.00 May 2			
		ormation—enter all requested i	nformation			
1a Name of GEISLER, HEI	. And the proof	MAURICE, LLP 401(K) PLAN			1b Three-digit plan numb (PN) ▶	
					1c Effective d	ate of plan 01/01/2013
Mailing a	address (include ro	loyer, if for a single-employer plan) om, apt., suite no. and street, or P.	O. Box)		Company of the Compan	dentification Number 46-1008568
	NNINGER & FITZN	nce, country, and ZIP or foreign pos MAURICE, LLP	stal code (if foreign, see inst	ructions)		telephone number 6-743-9400
170 OLD COUI SUITE 303 MINEOLA, NY					2d Business o	ode (see instructions) 541110
3a Plan adn	ninistrator's name a	and address X Same as Plan Spo	onsor.		3b Administra 3c Administra	tor's EIN tor's telephone number
	n, enter the plan sp 's name	he plan sponsor or the plan name lonsor's name, EIN, the plan name			4b EIN 4d PN	
5a Total nu	mber of participant	ts at the beginning of the plan year			5a	4
b Total nu	mber of participant	ts at the end of the plan year			5b	7
		n account balances as of the end o			5c	7
50 - 10 - 10 - 10 - 10 - 10 - 10 - 10 -		articipants at the beginning of the				3
		participants at the end of the plan y no terminated employment during the				0
than 10	0% vested				5e	
Under penalti SB or Schedu	ies of perjury and o	e or incomplete filing of this retu other penalties set forth in the instr and signed by an enrolled actuary, polete.	uctions, I declare that I have	examined this return.	report, including, if	applicable, a Schedule
SIGN HERE	Signature of C		ylinlig	F	W. I. I. I.	
SIGN	Signature of plan	administrator	Date	Enter name of indiv	vidual signing as pla	ın administrator
HERE	Signature of emp	loyer/plan/sponsor	Date	Enter name of indiv	vidual signing as em	nployer or plan sponsor

plan's assets during the plan year invested in eliging a waiver of the annual examination and report of 2520.104-46? (See instructions on waiver eligibility and "No" to either line 6a or line 6b, the plan can defined benefit plan, is it covered under the PBGC is ked, enter the My PAA confirmation number from the cial Information	an independ and condition not use Forn nsurance pro	ent qualified public accountant (IQP ns.) n 5500-SF and must instead use F gram (see ERISA section 4021)?	A) X Yes 1 No Not determine
	,		
d Liabilities			
		(a) Beginning of Year	(b) End of Year
ts	. 7a	376917	496392
ties	. 7b		
(subtract line 7b from line 7a)	. 7c	376917	496392
ses, and Transfers for this Plan Year		(a) Amount	(b) Total
eceived or receivable from:	. 8a(1)	26489	
5	. 8a(2)	63061	
uding rollovers)	8a(3)		
oss)	. 8b	41848	
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ncluding direct rollovers and insurance premiums fits)	. 8d	9484	
and/or corrective distributions (see instructions)	. 8e		
service providers (salaries, fees, commissions)	. 8f	2439	
5	. 8g		
(add lines 8d, 8e, 8f, and 8g)	8h		11923
s) (subtract line 8h from line 8c)	. 8i		119475
om) the plan (see instructions)	8i	13	
haracteristics		•	
ides pension benefits, enter the applicable pension 2J 2T 3D	feature code	es from the List of Plan Characterist	ic Codes in the instructions:
ides welfare benefits, enter the applicable welfare	feature codes	from the List of Plan Characteristic	Codes in the instructions:
liance Questions			
n year:		Yes	No Amount
	(subtract line 7b from line 7a)	(subtract line 7b from line 7a)	cusubtract line 7b from line 7a)

10	During the plan year:			No	Amount
а	Was there a failure to transmit to the plan any participant contributions within the time period described in 29 CFR 2510.3-102? (See instructions and DOL's Voluntary Fiduciary Correction Program)	uciary Correction			
b	Were there any nonexempt transactions with any party-in-interest? (Do not include transactions reported on line 10a.)	10b		X	
С	Was the plan covered by a fidelity bond?	10c	X		35000
d	Did the plan have a loss, whether or not reimbursed by the plan's fidelity bond, that was caused by fraud or dishonesty?	10d		X	
е	Were any fees or commissions paid to any brokers, agents, or other persons by an insurance carrier, insurance service, or other organization that provides some or all of the benefits under the plan? (See instructions.)	10e	X		692
f	Has the plan failed to provide any benefit when due under the plan?	10f		Х	
g	Did the plan have any participant loans? (If "Yes," enter amount as of year-end.)	10g	Х		17612
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 the required notice or one of the exceptions to providing the notice applied under 29 CFR 2520.101-3	10i			

***				-
Form	5500	SE	201	7

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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 Sch (Form 5500) and line 11a below)	edule S	В	Yes	X No
11a	Enter the unpaid minimum required contributions for all years from Schedule SB (Form 5500) line 40				
12	Is this a defined contribution plan subject to the minimum funding requirements of section 412 of the Code or sectio ERISA? (If "Yes," complete line 12a or lines 12b, 12c, 12d, and 12e below, as applicable.)		f	Yes	X No
а	If a waiver of the minimum funding standard for a prior year is being amortized in this plan year, see instructions, and granting the waiver	d enter Da		f the letter rulin Year	ng
lf	you completed line 12a, complete lines 3, 9, and 10 of Schedule MB (Form 5500), and skip to line 13.				
b	Enter the minimum required contribution for this plan year	12b			
	Enter the amount contributed by the employer to the plan for this plan year	12c			
d	Subtract the amount in line 12c from the amount in line 12b. Enter the result (enter a minus sign to the left of a negative amount)	12d			
е	Will the minimum funding amount reported on line 12d be met by the funding deadline?		Yes	No N	/A
Part	VII Plan Terminations and Transfers of Assets				
13a	Has a resolution to terminate the plan been adopted in any plan year?		X Yes	No	
	If "Yes," enter the amount of any plan assets that reverted to the employer this year	13a			0
b	Were all the plan assets distributed to participants or beneficiaries, transferred to another plan, or brought under the control of the PBGC?			Yes X No	
С	If, during this plan year, any assets or liabilities were transferred from this plan to another plan(s), identify the plan(s which assets or liabilities were transferred. (See instructions.)) to			
1	3c(1) Name of plan(s): 13c(2)	EIN(s)		13c(3) PN(s)