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 10/01/2016 and ending 09/30/2017

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:
- [ ] the first return/report
- [ ] the final return/report
- [ ] an amended return/report
- [ ] 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
THE TREMONT GROUP, INC. 401(K) PROFIT SHARING PLAN

1b Three-digit plan number (PN) ▶ 001

1c Effective date of plan 10/24/1990

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)
THE TREMONT GROUP, INC.

201 EAST STREET
WOODLAND, CA 95776

2b Employer Identification Number (EIN)
68-0230147

2c Plan Sponsor's telephone number
530-662-5442

2d Business code (see instructions)
325300

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.	04/12/2018	LESLIE LYMAN
	Signature of plan administrator	Date	Enter name of individual signing as plan administrator
SIGN HERE			
	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**	151
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)**	122
a(2)	Total number of active participants at the end of the plan year	**6a(2)**	135
b	Retired or separated participants receiving benefits	**6b**	0
c	Other retired or separated participants entitled to future benefits	**6c**	16
d	Subtotal. Add lines **6a(2)**, **6b**, and **6c**.	**6d**	151
e	Deceased participants whose beneficiaries are receiving or are entitled to receive benefits.	**6e**	0
f	Total. Add lines **6d** and **6e**.	**6f**	151
g	Number of participants with account balances as of the end of the plan year (only defined contribution plans complete this item)	**6g**	148
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 2J 2K 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)

- **(1)** [ ] Insurance
- **(2)** [ ] Code section 412(e)(3) insurance contracts
- **(3)** [X] Trust
- **(4)** [ ] General assets of the sponsor

9b Plan benefit arrangement (check all that apply)

- **(1)** [ ] Insurance
- **(2)** [ ] Code section 412(e)(3) insurance contracts
- **(3)** [X] Trust
- **(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)** [ ] **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 Internal Revenue Service Department of Labor Employee Benefits Security Administration Pension Benefit Guaranty Corporation	This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA). ▶ **File as an attachment to Form 5500.**	**2016** **This Form is Open to Public Inspection.**

For calendar plan year 2016 or fiscal plan year beginning 10/01/2016 and ending 09/30/2017

A Name of plan
THE TREMONT GROUP, INC. 401(K) PROFIT SHARING PLAN

B Three-digit plan number (PN) ▶ 001

C Plan sponsor's name as shown on line 2a of Form 5500
THE TREMONT GROUP, INC.

D Employer Identification Number (EIN)
68-0230147

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). . . . . ☐ 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

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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)

MORGAN STANLEY SMITH BARNEY

26-4310632

(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?
27 33 51 52 72	NONE	0	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 10/01/2016 and ending 09/30/2017

A Name of plan
THE TREMONT GROUP, INC. 401(K) PROFIT SHARING PLAN

B Three-digit plan number (PN) ▶ 001

C Plan sponsor's name as shown on line 2a of Form 5500
THE TREMONT GROUP, INC.

D Employer Identification Number (EIN)
68-0230147

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)	748010	691650
(2) Participant contributions	1b(2)	0	0
(3) Other	1b(3)	320	16878040
c General investments:			
(1) Interest-bearing cash (include money market accounts & certificates of deposit)	1c(1)	19563	915868
(2) U.S. Government securities	1c(2)		
(3) Corporate debt instruments (other than employer securities):			
(A) Preferred	1c(3)(A)		
(B) All other	1c(3)(B)		
(4) Corporate stocks (other than employer securities):			
(A) Preferred	1c(4)(A)		
(B) Common	1c(4)(B)	0	0
(5) Partnership/joint venture interests	1c(5)		
(6) Real estate (other than employer real property)	1c(6)		
(7) Loans (other than to participants)	1c(7)		
(8) Participant loans	1c(8)		
(9) Value of interest in common/collective trusts	1c(9)		
(10) Value of interest in pooled separate accounts	1c(10)		
(11) Value of interest in master trust investment accounts	1c(11)		
(12) Value of interest in 103-12 investment entities	1c(12)		
(13) Value of interest in registered investment companies (e.g., mutual funds)	1c(13)	14505138	0
(14) Value of funds held in insurance company general account (unallocated contracts)	1c(14)		
(15) Other	1c(15)		

			(a) Beginning of Year	(b) End of Year
1d	Employer-related investments:			
	(1) Employer securities	**1d(1)**		
	(2) Employer real property	**1d(2)**		
e	Buildings and other property used in plan operation	**1e**		
f	Total assets (add all amounts in lines 1a through 1e)	**1f**	15273031	18485558
	Liabilities			
g	Benefit claims payable	**1g**		
h	Operating payables	**1h**		
i	Acquisition indebtedness	**1i**		
j	Other liabilities	**1j**		
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**	15273031	18485558

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)**	691650	
	(B) Participants	**2a(1)(B)**	759295	
	(C) Others (including rollovers)	**2a(1)(C)**	79958	
	(2) Noncash contributions	**2a(2)**	0	
	(3) Total contributions. Add lines **2a(1)(A), (B), (C),** and line **2a(2)**	**2a(3)**		1530903
b	**Earnings on investments:**			
	(1) Interest:			
	(A) Interest-bearing cash (including money market accounts and certificates of deposit)	**2b(1)(A)**	135	
	(B) U.S. Government securities	**2b(1)(B)**		
	(C) Corporate debt instruments	**2b(1)(C)**		
	(D) Loans (other than to participants)	**2b(1)(D)**		
	(E) Participant loans	**2b(1)(E)**		
	(F) Other	**2b(1)(F)**		
	(G) Total interest. Add lines **2b(1)(A)** through **(F)**	**2b(1)(G)**		135
	(2) Dividends: **(A)** Preferred stock	**2b(2)(A)**		
	(B) Common stock	**2b(2)(B)**		
	(C) Registered investment company shares (e.g. mutual funds)	**2b(2)(C)**	300206	
	(D) Total dividends. Add lines **2b(2)(A)**, **(B)**, and **(C)**	**2b(2)(D)**		300206
	(3) Rents	**2b(3)**		
	(4) Net gain (loss) on sale of assets: **(A)** Aggregate proceeds	**2b(4)(A)**	19926120	
	(B) Aggregate carrying amount (see instructions)	**2b(4)(B)**	15838184	
	(C) Subtract line **2b(4)(B)** from line **2b(4)(A)** and enter result	**2b(4)(C)**		4087936
	(5) Unrealized appreciation (depreciation) of assets: **(A)** Real estate	**2b(5)(A)**		
	(B) Other	**2b(5)(B)**	-1838784	
	(C) Total unrealized appreciation of assets. Add lines **2b(5)(A)** and **(B)**	**2b(5)(C)**		-1838784

		(a) Amount	(b) Total
(6) Net investment gain (loss) from common/collective trusts	2b(6)		
(7) Net investment gain (loss) from pooled separate accounts	2b(7)		
(8) Net investment gain (loss) from master trust investment accounts	2b(8)		
(9) Net investment gain (loss) from 103-12 investment entities	2b(9)		
(10) Net investment gain (loss) from registered investment companies (e.g., mutual funds)	2b(10)		
c Other income	2c		5096
d Total income. Add all **income** amounts in column (b) and enter total	2d		4085492
Expenses			
e Benefit payment and payments to provide benefits:			
(1) Directly to participants or beneficiaries, including direct rollovers	2e(1)	690319	
(2) To insurance carriers for the provision of benefits	2e(2)		
(3) Other	2e(3)		
(4) Total benefit payments. Add lines **2e(1)** through **(3)**	2e(4)		690319
f Corrective distributions (see instructions)	2f		
g Certain deemed distributions of participant loans (see instructions)	2g		
h Interest expense	2h		
i Administrative expenses: (1) Professional fees	2i(1)		
(2) Contract administrator fees	2i(2)		
(3) Investment advisory and management fees	2i(3)	182646	
(4) Other	2i(4)		
(5) Total administrative expenses. Add lines **2i(1)** through **(4)**	2i(5)		182646
j Total expenses. Add all **expense** amounts in column (b) and enter total	2j		872965
Net Income and Reconciliation			
k Net income (loss). Subtract line **2j** from line **2d**	2k		3212527
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) [X] 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 [X] No

c Enter the name and EIN of the accountant (or accounting firm) below:

(1) Name: KCOE ISOM, LLP **(2)** EIN: 48-0567703

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		1000000
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 10/01/2016 and ending 09/30/2017

A Name of plan
THE TREMONT GROUP, INC. 401(K) PROFIT SHARING PLAN

B Three-digit plan number (PN) ▶ 001

C Plan sponsor's name as shown on line 2a of Form 5500
THE TREMONT GROUP, INC.

D Employer Identification Number (EIN)
68-0230147

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** 0

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): 68-0468835

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 _____/_____/_____.

The Tremont Group, Inc.
401(k) Profit Sharing Plan

Woodland, California

FINANCIAL STATEMENTS AND SUPPLEMENTARY INFORMATION
WITH INDEPENDENT AUDITORS' REPORT

September 30, 2017 and 2016



K·COE
ISOM

The Tremont Group, Inc. 401(k) Profit Sharing Plan

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September 30, 2017 and 2016

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K·COE ISOM

INDEPENDENT AUDITORS' REPORT

To the Plan Trustees
The Tremont Group, Inc.
401(k) Profit Sharing Plan
Woodland, California

We have audited the accompanying financial statements of The Tremont Group, Inc. 401(k) Profit Sharing Plan (the Plan), which comprise the statements of net assets available for benefits as of September 30, 2017 and 2016; the related statements of changes in net assets available for benefits for the years then ended; and the related notes to the financial statements.

Management's Responsibility for the Financial Statements

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

Auditors' Responsibility

Our responsibility is to express an opinion on these financial statements based on our audits. We conducted our audits in accordance with auditing standards generally accepted in the United States of America. Those standards require that we plan and perform the audits to obtain reasonable assurance about whether the financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditors' judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the Plan's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the Plan's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

INDEPENDENT AUDITORS' REPORT
(Continued)

Opinion

In our opinion, the financial statements referred to above present fairly, in all material respects, the net assets available for benefits of the Plan as of September 30, 2017 and 2016, and the changes in net assets available for benefits for the years then ended in accordance with accounting principles generally accepted in the United States of America.

Report on Supplementary Information

Our audits were conducted for the purpose of forming an opinion on the financial statements as a whole. The supplementary schedule of assets held at end of year as of September 30, 2017, and schedule of assets acquired and disposed of within the plan year for the year ended September 30, 2017, are presented for the purpose of additional analysis and are not a required part of the financial statements, but are supplementary information required by the Department of Labor's Rules and Regulations for Reporting and Disclosure under the Employee Retirement Income Security Act of 1974. Such information is the responsibility of the Plan's management and was derived from, and relates directly to, the underlying accounting and other records used to prepare the financial statements. The information has been subjected to the auditing procedures applied in the audits of the financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the financial statements, or to the financial statements themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America. In our opinion, the information is fairly stated in all material respects in relation to the financial statements as a whole.

KCoe Isom, LLP

July 13, 2018
Chico, California

FINANCIAL SECTION

The Tremont Group, Inc. 401(k) Profit Sharing Plan

STATEMENTS OF NET ASSETS AVAILABLE FOR BENEFITS

September 30	2017	2016
ASSETS		
Investments at fair value	$ 915,868	$ 14,524,702
Receivables		
Employer matching contributions	391,650	333,083
Employer discretionary nonelective contributions	300,000	414,926
Net unsettled sales	16,878,040	-
Other	-	320
Total Receivables	17,569,690	748,329
NET ASSETS AVAILABLE FOR BENEFITS	$ 18,485,558	$ 15,273,031

The accompanying notes are an integral part of these financial statements.

The Tremont Group, Inc. 401(k) Profit Sharing Plan

STATEMENTS OF CHANGES IN NET ASSETS AVAILABLE FOR BENEFITS

Years Ended September 30	2017	2016
ADDITIONS TO NET ASSETS ATTRIBUTED TO		
Investment Income		
Net appreciation in fair value of investments	$ 2,071,602	$ 1,059,303
Interest and dividends	300,341	318,428
Total Investment Income	2,371,943	1,377,731
Contributions		
Employer matching	391,650	353,293
Employer discretionary nonelective	300,000	414,926
Participant salary deferrals	759,295	701,940
Participant rollover	79,958	-
Total Contributions	1,530,903	1,470,159
TOTAL ADDITIONS	3,902,846	2,847,890
DEDUCTIONS FROM NET ASSETS ATTRIBUTED TO		
Benefits paid	(690,319)	(275,668)
Net Increase	3,212,527	2,572,222
Net Assets Available for Benefits - Beginning of Year	15,273,031	12,700,809
Net Assets Available for Benefits - End of Year	$ 18,485,558	$ 15,273,031

The accompanying notes are an integral part of these financial statements.

1. DESCRIPTION OF PLAN

The following description of The Tremont Group, Inc. 401(k) Profit Sharing Plan (the Plan) provides only general information. Participants should refer to the Plan agreement for a complete description of the Plan's provisions.

General The Plan is a defined contribution plan covering substantially all employees of The Tremont Group, Inc. (the Company), who are age 21 or older and have one year of service through September 30, 2017. The Plan is subject to the provisions of the Employee Retirement Income Security Act of 1974 (ERISA). The Plan was originally established as of October 24, 1990, and has been subsequently amended and restated. The Plan trustees are responsible for oversight of the Plan, including the appropriateness of the Plan's investment offerings and investment performance.

Contributions Participants may elect to contribute to the Plan, in the form of employee 401(k) salary deferral contributions, up to the lesser of 100% of their eligible compensation or the maximum amount allowable by law. Participants who obtained age 50 before the end of the Plan year are eligible to make catch-up contributions. Participants may also contribute amounts representing distributions from other qualified retirement plans.

The Company makes safe harbor matching contributions of 100% of each participant's deferral up to 3% of the participant's eligible compensation and 50% of the next 2% of eligible compensation. The Company made safe harbor matching contributions of $391,650 and $353,293, respectively, for the years ended September 30, 2017 and 2016.

Additionally, the Company may make discretionary matching contributions and discretionary nonelective contributions to the Plan. No discretionary matching contributions were made for the years ended September 30, 2017 and 2016. The Company made discretionary nonelective contributions of $300,000 and $414,926, respectively, for the years ended September 30, 2017 and 2016.

All contributions are invested in a portfolio of investments as directed by the Plan trustees.

Participant Accounts Each participant's account is credited with the participant's contributions, employer contributions, and an allocation of Plan earnings, and may be charged with an allocation of administrative expenses that are paid by the Plan. The Company's discretionary nonelective contribution is allocated in the same ratio that each participant's eligible compensation for the Plan year bears to the total eligible compensation of all participants for the year. The benefit to which a participant is entitled is the benefit that can be provided from the participant's vested account.

Vesting Participants are immediately vested in their contributions, employer safe harbor matching contributions, and earnings thereon. Discretionary matching contributions and discretionary nonelective contributions are subject to vesting. A participant is 100% vested after six years of credited service. Participants are credited with one year of service for each plan year in which they worked at least 1,000 hours.

Payment of Benefits Withdrawals are allowed in the event of termination, disability, death, retirement, or attainment of age 59 ½. Depending on the event, the withdrawal may be subject to early withdrawal penalties imposed by the *Internal Revenue Code* (IRC). Payments are made in the form of a lump-sum distribution or annual installments over a period of time of not more than the participant's life expectancy.

Forfeitures Forfeitures attributable to discretionary matching and discretionary nonelective contributions may be used to pay for administrative expenses or reduce future employer safe harbor matching contributions. Forfeited nonvested account balances totaling $-0- and $4,652 were used to reduce employer safe harbor matching contributions for the years ended September 30, 2017 and 2016, respectively. At September 30, 2017 and 2016, there were no remaining forfeited nonvested accounts.

Plan Termination Although it has not expressed any intent to do so, the Company has the right, under the Plan, to discontinue contributions at any time and to terminate the Plan subject to the provisions of ERISA. In the event of Plan termination, participants would become 100% vested in their employer contributions.

2. SIGNIFICANT ACCOUNTING POLICIES

Basis of Accounting The financial statements of the Plan are prepared under the accrual method of accounting.

Use of Estimates The preparation of financial statements, in conformity with accounting principles generally accepted in the United States of America, requires management to make estimates and assumptions that affect the reported amounts of assets, liabilities, and changes therein, and disclosure of contingent assets and liabilities. Actual results could differ from those estimates.

Investment Valuation and Income Recognition Investments are reported at fair value. Fair value is the price that would be received to sell an asset, or paid to transfer a liability, in an orderly transaction between market participants at the measurement date. The Plan trustees determine the Plan's valuation policies utilizing information provided by the investment advisers and custodian. Fair value measurements are discussed below.

Purchases and sales of securities are recorded on a trade-date basis. Interest income is recorded on the accrual basis. Dividends are recorded on the ex-dividend date. Net appreciation (depreciation) in fair value of investments includes the Plan's gains and losses on investments purchased and sold as well as held during the year.

Fair Value Measurements The framework for measuring fair value provides a fair value hierarchy that prioritizes the inputs to valuation techniques used to measure fair value. The hierarchy gives the highest priority to unadjusted quoted prices in active markets for identical assets or liabilities (level 1) and the lowest priority to unobservable inputs (level 3). The three levels of the fair value hierarchy are described below:

Level 1: Inputs to the valuation methodology are unadjusted, quoted prices for identical assets or liabilities in active markets that the Plan has the ability to access.

Level 2: Inputs to the valuation methodology include quoted prices for similar assets or liabilities in active markets; quoted prices for identical or similar assets or liabilities in inactive markets; inputs other than quoted prices that are observable for the asset or liability; or inputs that are derived principally from, or corroborated by, observable market data by correlation or other means.

If the asset or liability has a specified (contractual) term, the level 2 input must be observable for substantially the full term of the asset or liability.

Level 3: Inputs to the valuation methodology are unobservable and significant to the fair value measurement.

The asset or liability's fair value measurement level within the fair value hierarchy is based on the lowest level of any input that is significant to the fair value measurement. Valuation techniques maximize the use of relevant observable inputs and minimize the use of unobservable inputs.

Following is a description of the valuation methodologies used for assets measured at fair value. There have been no changes in the methodologies used at September 30, 2017 and 2016.

Interest-Bearing Cash: Assets are bank deposits that are insured by the Federal Deposit Insurance Corporation.

Common Stocks: Assets are valued at the closing price reported on the active market on which the individual securities are traded.

Mutual Funds: Assets are valued at the daily closing price as reported by the fund. Mutual funds held by the Plan are open-ended mutual funds that are registered with the U.S. Securities and Exchange Commission. These funds are required to publish their daily net asset value (NAV) and to transact at that price. The mutual funds held by the Plan are deemed to be actively traded.

Exchange Traded Funds: Assets are valued at the NAV reported on the active market on which the securities are traded. The valuation occurs throughout the day based on the market value of the underlying securities as well as the market supply and demand for the particular exchange traded fund.

See note 3 for the classification of these assets within the fair value hierarchy.

The methods described above may produce a fair value calculation that may not be indicative of net realizable value or reflective of future fair values. Furthermore, while the Plan believes its valuation methods are appropriate and consistent with other market participants, the use of different methodologies or assumptions to determine the fair value of certain financial instruments could result in a different fair value measurement at the reporting date.

Net Unsettled Sales Net unsettled sales represent amounts due for securities sold. These unsettled transactions were successfully converted into interest-bearing cash subsequent to September 30, 2017, and were ultimately invested with Fidelity Management and Research Company.

Payment of Benefits Benefits are recorded when paid.

Expenses Certain operating expenses of the Plan are deducted from participant accounts and the remaining expenses are paid by the Company. Expenses that are paid by the Company are excluded from these financial statements. Investment-related expenses are included in net appreciation (depreciation) in fair value of investments.

Evaluation of Subsequent Events The Plan has evaluated subsequent events through July 13, 2018, the date the financial statements were available to be issued.

3. INVESTMENTS

The following tables set forth by level, within the fair value hierarchy, the Plan's investments at fair value.

September 30, 2017	Level 1	Level 2	Level 3	Total
Interest-bearing cash	$ 915,868	$ -	$ -	$ 915,868

September 30, 2016	Level 1	Level 2	Level 3	Total
Interest-bearing cash	$ 609,178	$ -	$ -	$ 609,178
Common stocks	10,530,918	-	-	10,530,918
Mutual funds	1,331,330	-	-	1,331,330
Exchange traded funds	2,053,276	-	-	2,053,276
Investments at Fair Value	$ 14,524,702	$ -	$ -	$ 14,524,702

4. RELATED-PARTY AND PARTY-IN-INTEREST TRANSACTIONS

The Company is the administrator of the Plan. The Plan's administrator may designate other persons to carry out the day-to-day operations of the Plan. The Plan has an investment contract with Morgan Stanley Smith Barney. Morgan Stanley Smith Barney, as the Plan's broker, qualifies as a party in interest with respect to the investments managed by them; however, they are exempt from the prohibited transaction rules under ERISA. Fees paid by the Plan for investment management services are included in net appreciation in fair value of investments and amounted to $177,550 and $166,133 for the years ended September 30, 2017 and 2016, respectively.

5. TAX STATUS

The Plan has adopted a prototype, non-standardized profit sharing plan established by Capital Pension Services, Inc. (the Sponsor). The Sponsor's prototype plan obtained an opinion letter on March 31, 2014, in which the Internal Revenue Service stated that the form of the prototype plan, as then designed, was acceptable under Section 401 of the IRC. The Plan administrator believes that the Plan is currently designed and being operated in compliance with the applicable requirements of the IRC and, therefore, believes that the Plan is qualified, and the related trust is tax-exempt.

6. RISKS AND UNCERTAINTIES

The Plan invests in various investment securities. Investment securities are exposed to various risks such as interest rate, market, and credit risks. Due to the level of risk associated with certain investment securities, it is at least reasonably possible that changes in the values of investment securities will occur in the near term, and that such changes could materially affect participants' account balances and the amounts reported in the statements of net assets available for benefits.

7. SUBSEQUENT EVENT

As of October 1, 2017, the Plan changed third-party service providers and adopted a new Plan adoption agreement. The new adoption agreement contained significant changes including removal of the service requirement for employee contributions, converting the Plan to allow participants to direct their contributions into investment options offered by the Plan and adding an automatic enrollment feature to the Plan. Subsequent to year end, all assets were successfully transferred from Morgan Stanley Smith Barney to Fidelity Management and Research Company.

SUPPLEMENTARY INFORMATION SECTION

The Tremont Group, Inc. 401(k) Profit Sharing Plan

FORM 5500, SCHEDULE H, LINE 4i – SCHEDULE OF ASSETS HELD AT END OF YEAR

EIN: 68-0230147, PLAN: 001

September 30, 2017

(a)	(b) Identity of Issue, Borrower, Lessor, or Similar Party	(c) Description of Investment (Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value)	(d) Cost	(e) Current Value
	*Morgan Stanley Private Bank N.A.	Interest-bearing cash	$ 915,868	$ 915,868

** Party in interest.*

The Tremont Group, Inc. 401(k) Profit Sharing Plan

FORM 5500, SCHEDULE H, LINE 4i – SCHEDULE OF ASSETS ACQUIRED AND DISPOSED OF WITHIN THE PLAN YEAR

EIN: 68-0230147, PLAN: 001

Year Ended September 30, 2017

(a) Identity of Issue, Borrower, Lessor, or Similar Party	(b) Description of Investment Including Maturity Date, Rate of Interest, Collateral, Par, or Maturity Value	(c) Costs of Acquisitions	(d) Proceeds of Dispositions
1St Source Corp	Common stock	$ 1,713	$ 1,852
3M Company	Common stock	7,023	7,737
Aac Technologies Hldg Inc	Common stock	3,717	7,186
Aaon Inc	Common stock	1,179	1,220
Abbvie Inc Com	Common stock	13,560	13,873
Abercrombie & Fitch Co	Common stock	8,018	9,579
Accenture Plc Ireland Cl A	Common stock	19,819	22,044
Acco Brands Corp	Common stock	255	241
Acs Activ De Construc Y Serv	Common stock	15,250	14,206
Activision Blizzard Inc	Common stock	47,924	58,354
Adidas Ag	Common stock	12,268	15,408
Adient Plc Com	Common stock	7,561	7,307
Adobe Systems	Common stock	4,089	5,757
Advance Auto Parts	Common stock	21,131	16,050
Advanced Micro Devices	Common stock	6,220	6,140
Advanced Semicndctr Eng Sp Adr	Common stock	4,455	5,255
Aecom	Common stock	1,641	1,669
Aercap Holdings N.V.	Common stock	5,933	6,663
Aes Corp	Common stock	7,599	7,430
Aetna Inc (New)(Ct)	Common stock	7,209	9,612
Affiliated Mgrs Group Inc	Common stock	1,032	1,335
Akbank Turk Anonim Sirketi Adr	Common stock	584	717
Akzo Nobel Nv Adr	Common stock	2,535	3,672
Alarm Com Hldgs Inc Com	Common stock	6,394	8,219
Alaska Air Group Incorporated	Common stock	2,837	2,745
Albemarle Corporation	Common stock	19,080	25,732
Alexion Pharm Inc	Common stock	36,586	34,222
Alibaba Group Hldg Ltd	Common stock	14,740	24,746
Allegiant Travel Co	Common stock	166	134
Allegion Pub Ltd Co	Common stock	1,901	2,498
Allergan Plc Shs	Common stock	45,620	48,957
Allianz Se Ads	Common stock	2,049	2,782
Allison Transmn Hldgs Inc	Common stock	3,466	3,332
Allstate Corp	Common stock	218	274
Ally Financial Inc	Common stock	6,311	7,474
Alphabet Inc Cl A	Common stock	6,405	7,772
Alphabet Inc Cl C	Common stock	7,034	8,600
Amazon Com Inc	Common stock	6,838	8,659
Ambev S A Sponsored Adr	Common stock	1,692	2,315
Amc Networks Inc Cl A	Common stock	8,001	8,854
Balance Forward		$ 370,053	$ 420,622

The Tremont Group, Inc. 401(k) Profit Sharing Plan

FORM 5500, SCHEDULE H, LINE 4I – SCHEDULE OF ASSETS ACQUIRED AND DISPOSED OF WITHIN THE PLAN YEAR

EIN: 68-0230147, PLAN: 001

Year Ended September 30, 2017

(a) Identity of Issue, Borrower, Lessor, or Similar Party	(b) Description of Investment Including Maturity Date, Rate of Interest, Collateral, Par, or Maturity Value	(c) Costs of Acquisitions	(d) Proceeds of Dispositions
Balance Brought Forward		$ 370,053	$ 420,622
Amdocs Limited Ord	Common stock	180	189
Amer Intl Gp Inc New	Common stock	28,079	27,768
America Movil Sa De Cv Adr L	Common stock	11,705	15,895
Americas Car-Mart Inc	Common stock	2,415	2,280
Amerisourcebergen Corp	Common stock	4,906	5,600
Ametek Inc New	Common stock	1,941	2,565
Amphenol Corp New Cl A	Common stock	338	421
Analog Devices Inc	Common stock	1,840	2,229
Anheuser Busch Inbev Sa Spon	Common stock	3,101	3,577
Annaly Capital Mngmt Inc	Common stock	3,649	3,584
Antero Res Corp Com	Common stock	8,743	7,330
Anthem Inc Com	Common stock	3,766	4,529
Aon Plc Shs Cl-A	Common stock	2,264	2,939
Apple Inc	Common stock	43,988	54,684
Aramark Holdings Corporation	Common stock	2,035	2,312
Arris Intl Inc	Common stock	1,068	1,163
Ashtead Group Plc Adr	Common stock	2,962	3,384
Assa Abloy Ab Unsp Adr	Common stock	1,007	1,253
Assoc British Fds Plc Adr-New	Common stock	5,592	6,784
Astrazeneca Plc Ads	Common stock	23,457	27,234
Atlantica Yield Plc	Common stock	305	353
Atlas Worldwide Hldgs Inc New	Common stock	2,726	3,362
Atwood Oceanics Inc	Common stock	2,413	1,632
Autozone Inc	Common stock	1,600	1,035
Avista Corp	Common stock	3,995	5,248
Avnet Inc	Common stock	1,026	989
Axa Ads	Common stock	15,628	15,591
Axalta Coating Systems Ltd.	Common stock	186	203
Banca Mediolanum S P A Adr	Common stock	1,724	2,058
Bancfirst Corp	Common stock	1,526	1,781
Banco Macro S.A. Spons Adr	Common stock	-	1
Bancorpsouth Inc	Common stock	1,709	1,858
Bank Of The Ozarks Inc	Common stock	2,611	2,281
Barnes Group Incorporated	Common stock	524	774
Bb Seguridade Participacoes	Common stock	6,344	6,133
Be Aerospace Inc	Common stock	1,380	1,586
Beacon Roofing Supply Inc	Common stock	279	307
Becton Dickinson & Co	Common stock	676	777
Bed Bath & Beyond Inc	Common stock	2,096	1,543
Berkshire Hills Bancorp Inc	Common stock	2,157	2,411
Balance Forward		$ 571,994	$ 646,265

The Tremont Group, Inc. 401(k) Profit Sharing Plan

FORM 5500, SCHEDULE H, LINE 4I – SCHEDULE OF ASSETS ACQUIRED AND DISPOSED OF WITHIN THE PLAN YEAR

EIN: 68-0230147, PLAN: 001

Year Ended September 30, 2017

(a) Identity of Issue, Borrower, Lessor, or Similar Party	(b) Description of Investment Including Maturity Date, Rate of Interest, Collateral, Par, or Maturity Value	(c) Costs of Acquisitions	(d) Proceeds of Dispositions
Balance Brought Forward		$ 571,994	$ 646,265
Bezeq The Israeli Telecomm Cp	Common stock	4,629	4,417
Bhp Billiton Ltd	Common stock	755	769
Bidvest Group Ltd Spons Adr	Common stock	9,080	9,107
Biogen Inc Com	Common stock	29,636	34,396
Biomarin Pharmac Se	Common stock	7,136	7,743
Bioverativ Inc	Common stock	5,231	6,211
Boeing Co	Common stock	16,654	23,925
Bottomline Tech De Inc	Common stock	2,097	2,588
Bridgestone Cp Adr	Common stock	1,233	1,489
Briggs & Stratton Cp Wisc	Common stock	2,224	2,463
Brighthouse Finl Inc	Common stock	1,654	1,657
Bristol Myers Squibb Co	Common stock	33,174	38,756
British Amer Tob Spon Adr	Common stock	3,203	3,627
Burlington Stores Inc	Common stock	175	192
C R Bard Inc Nj	Common stock	2,844	3,984
Ca Incorporated	Common stock	443	464
California Res Corp	Common stock	3,764	3,630
Callidus Software Inc	Common stock	5,168	5,259
Canadian Natl Railway Co	Common stock	1,694	2,074
Cantel Medical Corp	Common stock	933	1,014
Capgemini S E Unsponsored Adr	Common stock	4,348	6,208
Cardinal Health Inc	Common stock	3,537	3,563
Carlisle Co Inc	Common stock	221	200
Carlsberg As	Common stock	3,344	3,743
Carnival Plc	Common stock	2,992	3,713
Casey's General Stores Inc	Common stock	6,180	6,034
Cavium Inc Com	Common stock	3,426	3,647
Cbre Group Inc	Common stock	4,333	5,168
Cdw Corporation	Common stock	1,476	1,658
Celgene Corp	Common stock	13,732	15,139
Centene Corporation	Common stock	281	479
Centerstate Bank Corp	Common stock	367	404
Charter Communications Inc	Common stock	27,568	35,603
Chevron Corp	Common stock	11,800	11,913
China Construction Bank Corp	Common stock	2,346	2,617
China Eastn Airls Ltd Sp Adr H	Common stock	4,450	4,973
China Mobile Ltd	Common stock	18,389	17,791
Church & Dwight Co Inc	Common stock	2,805	2,801
Cielo Sa Sponsored Adr New	Common stock	10,196	9,638
Cinemark Holdings Inc.	Common stock	5,918	5,408
Balance Forward		$ 831,430	$ 940,730

The Tremont Group, Inc. 401(k) Profit Sharing Plan

FORM 5500, SCHEDULE H, LINE 4I – SCHEDULE OF ASSETS ACQUIRED AND DISPOSED OF WITHIN THE PLAN YEAR

EIN: 68-0230147, PLAN: 001

Year Ended September 30, 2017

(a) Identity of Issue, Borrower, Lessor, or Similar Party	(b) Description of Investment Including Maturity Date, Rate of Interest, Collateral, Par, or Maturity Value	(c) Costs of Acquisitions	(d) Proceeds of Dispositions
Balance Brought Forward		$ 831,430	$ 940,730
Cit Group Inc New	Common stock	374	395
Citi Trends Inc	Common stock	2,031	2,051
Citigroup Inc New	Common stock	15,180	16,232
Citrix Systems Inc	Common stock	2,896	3,157
Clicks Group Ltd Spons Adr	Common stock	390	535
Clorox Co	Common stock	3,013	3,249
Cme Group Inc	Common stock	1,107	1,054
Cms Energy Cp	Common stock	871	947
Cnooc Ltd Ads	Common stock	523	516
Coach Inc	Common stock	3,334	2,946
Cobalt Intl Energy Inc	Common stock	1,951	779
Coca Cola Co	Common stock	1,253	1,347
Colliers Intl Group Inc Sub	Common stock	1,756	2,334
Columbia Banking Systems Inc	Common stock	3,243	3,163
Comcast Corp (New) Class A	Common stock	7,170	7,860
Commercial Metals Co	Common stock	4,861	4,702
Community Hlth Sys Inc New	Common stock	5,434	5,980
Compagnie Fin Richemontag Adr	Common stock	2,274	3,167
Compass Group Plc Spd Adr	Common stock	2,543	3,043
Concho Res Inc	Common stock	8,919	8,629
Consolidated Water Co Ltd	Common stock	3,728	3,807
Constellation Brands Inc Cl A	Common stock	7,044	9,147
Contl Ag Spons Adr	Common stock	3,613	4,765
Controladora Vuela Cia Avi Spn	Common stock	4,674	3,697
Convatec Group Plc Adr	Common stock	8,529	7,372
Cooper Co Inc New	Common stock	348	466
Cooper Tire & Rubber	Common stock	3,303	3,376
Copart Inc	Common stock	167	187
Corning Inc	Common stock	10,718	10,199
Costco Wholesale Corp New	Common stock	7,861	7,726
Cpi Card Group Inc Com	Common stock	1,003	308
Crh Plc Adr	Common stock	14,653	15,754
Crown Castle Intl Corp	Common stock	33,204	34,886
Daiwa House Ind Ltd Adr	Common stock	3,013	3,636
Dbs Group Holdings Ltd Sp	Common stock	13,930	15,988
Dell Technologies Inc Com Cl V	Common stock	1,274	2,012
Delphi Automotive Plc	Common stock	70	99
Denbury Resources Inc New	Common stock	1,761	1,649
Dentsply Sirona Inc	Common stock	3,713	3,960
Deutsche Post Ag Sponsored Adr	Common stock	20,860	25,986
Balance Forward		$ 1,044,019	$ 1,167,836

The Tremont Group, Inc. 401(k) Profit Sharing Plan

FORM 5500, SCHEDULE H, LINE 4I – SCHEDULE OF ASSETS ACQUIRED AND DISPOSED OF WITHIN THE PLAN YEAR

EIN: 68-0230147, PLAN: 001

Year Ended September 30, 2017

(a) Identity of Issue, Borrower, Lessor, or Similar Party	(b) Description of Investment Including Maturity Date, Rate of Interest, Collateral, Par, or Maturity Value	(c) Costs of Acquisitions	(d) Proceeds of Dispositions
Balance Brought Forward		$ 1,044,019	$ 1,167,836
Dexcom Inc	Common stock	2,194	1,402
Diageo Plc Spon Adr New	Common stock	7,440	8,816
Discovery Communications Ser A	Common stock	6,213	4,666
Discovery Communications Ser C	Common stock	4,014	3,441
Dish Network Corp Class A	Common stock	3,551	3,494
Dividend Reinvestment	Common stock	195	199
Dolby Cla A Com Stk	Common stock	19,157	23,642
Dollar Gen Corp New Com	Common stock	4,114	4,695
Dollar Tree Inc	Common stock	1,583	1,818
Dominion Energy Inc	Common stock	226	230
Donaldson Co Inc	Common stock	794	829
Dorman Products, Inc	Common stock	688	646
Dowdupont Inc	Common stock	58,840	67,472
Dr Pepper Snapple Group Inc	Common stock	22,992	22,267
Drill-Quip Inc	Common stock	194	147
Du Pont Ei De Nemours & Co	Common stock	904	934
Ducommun Inc	Common stock	657	773
Dxc Technology Company	Common stock	3,419	3,739
Dynavax Technologies Corp	Common stock	2,003	2,317
E*Trade Financial Corp New Com	Common stock	4,677	5,785
Echostar Corporation	Common stock	52	55
Edward Lifesciences Corp	Common stock	5,674	6,519
Electronic Arts Inc	Common stock	241	350
Electronics For Imaging Inc	Common stock	3,499	3,274
Ellie Mae Inc	Common stock	1,010	980
Enn Energy Holdings Ltd Unspon	Common stock	20,972	22,412
Ennis Inc	Common stock	2,155	2,546
Enterprise Fincl Svcs Corp	Common stock	245	256
Envestnet Inc	Common stock	2,641	4,084
Envision Healthcare Corp	Common stock	-	6
Eog Resources Inc	Common stock	20,039	17,253
Equinix Inc Com Par $0.001	Common stock	1,810	2,209
Estee Lauder Co Inc Cl A	Common stock	25,039	26,215
Ethan Allen Interiors Inc	Common stock	2,450	2,598
Exelixis Inc	Common stock	3,188	2,833
Exlservice Hldgs Inc	Common stock	1,244	1,453
Expedia Inc New	Common stock	20,919	24,371
Exponent Inc	Common stock	266	297
Exxon Mobil Corp	Common stock	999	848
Facebook Inc Cl-A	Common stock	11,108	14,797
Balance Forward		$ 1,311,425	$ 1,458,504

The Tremont Group, Inc. 401(k) Profit Sharing Plan

FORM 5500, SCHEDULE H, LINE 4I – SCHEDULE OF ASSETS ACQUIRED AND DISPOSED OF WITHIN THE PLAN YEAR

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Balance Brought Forward		$ 1,311,425	$ 1,458,504
Fair Isaac & Co Inc	Common stock	366	423
Fanuc Corporation Unsp Adr	Common stock	2,411	2,727
Fastenal Co	Common stock	5,464	5,440
Fedex Corp	Common stock	22,980	29,067
Ferguson Plc Sponsored Adr	Common stock	3,081	3,200
Fidelity National Financial In	Common stock	3,420	5,048
Fidelity Natl Information Se	Common stock	1,892	2,150
First Bancorp Nc	Common stock	4,211	5,963
First Citiz Bancshares A	Common stock	6,187	6,321
First Defiance Financial Corp	Common stock	791	895
First Interstate Banc System	Common stock	83	70
First Merchants Corp	Common stock	3,118	3,714
First Midw Bncp Dela	Common stock	1,384	1,348
First Nbc Bank Holding Company	Common stock	1,202	100
First Republic Bank	Common stock	1,277	1,465
First Solar, Inc.	Common stock	2,041	2,768
Firstenergy Corp	Common stock	41,129	40,510
Fitbit Inc Cl A	Common stock	3,437	4,444
Fleetcor Technologies	Common stock	4,897	5,114
Flextronics Intl Ltd	Common stock	5,453	5,241
Flushing Financial Corp	Common stock	29	28
Fmc Corp New	Common stock	1,180	1,937
Fnb Corporation	Common stock	1,624	1,433
Fossil Group Inc Com	Common stock	1,305	518
Fox Factory Holding Corp	Common stock	6,244	7,694
Fresenius Se & Co Spn Adr	Common stock	1,120	1,209
Frontier Communications Corp	Common stock	9,607	7,563
Fulton Finl Corp Pa	Common stock	5,001	5,045
G Iii Apparel Group	Common stock	379	244
Gaming & Leisure Pptys Inc Com	Common stock	1,517	1,715
Gap Inc	Common stock	257	237
Gea Group Ag Spon Adr	Common stock	899	882
Genesee & Wyoming Inc A	Common stock	557	517
Gkn Plc Spons Adr	Common stock	15,375	15,603
Global Payment Inc	Common stock	3,396	4,354
Goldman Sachs Grp Inc	Common stock	40,379	43,590
Grace Wr & Co Dela New	Common stock	760	755
Green Dot Corp Cl A	Common stock	1,634	3,391
Grupo Fin Santander-Adr B	Common stock	14,225	16,249
Grupo Financiero Banorte Sab	Common stock	3,189	4,397
Balance Forward		$ 1,534,926	$ 1,701,873

The Tremont Group, Inc. 401(k) Profit Sharing Plan

FORM 5500, SCHEDULE H, LINE 4I – SCHEDULE OF ASSETS ACQUIRED AND DISPOSED OF WITHIN THE PLAN YEAR

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Balance Brought Forward		$ 1,534,926	$ 1,701,873
H & R Block Inc	Common stock	2,711	3,617
Hain Celestial Group Inc	Common stock	1,013	1,162
Halcon Resources Corporation	Common stock	1,735	2,628
Halliburton Co	Common stock	30,566	29,877
Hancock Hldg Co	Common stock	2,527	2,783
Hanmi Financial Corp New	Common stock	1,425	1,560
Hci Group Inc	Common stock	3,275	2,778
Healthequity Inc Com	Common stock	7,701	8,392
Hecla Mining Co	Common stock	263	217
Heineken Nv Spn Adr	Common stock	3,608	3,686
Henry Schein Inc	Common stock	1,267	1,293
Hess Corporation	Common stock	14,916	13,679
Hhgregg Inc	Common stock	986	152
Hibbett Sports Inc	Common stock	1,023	336
Hilton Grnd Vctn	Common stock	92	106
Hilton Worldwide Hldgs Inc	Common stock	2,919	3,415
Hlth Care Svc Grp	Common stock	364	494
Home Depot Inc	Common stock	15,261	16,371
Honeywell International Inc	Common stock	117	141
Horizon Bancorp Indiana	Common stock	1,469	1,651
Hovnanian Enterpr Inc A	Common stock	1,732	1,457
Howard Hughes Corp	Common stock	3,593	3,419
Iberia Bk Corp	Common stock	3,484	3,649
Icon Plc	Common stock	924	1,359
Iconix Brand Grp Inc	Common stock	29	17
Ihs Markit Ltd	Common stock	251	309
Illumina Inc	Common stock	23,408	28,583
Immunogen Inc	Common stock	3,718	15,846
Imperial Hldgs Ltd Adr	Common stock	1,828	1,942
Incyte Corp	Common stock	5,214	4,442
Infineon Technologies Ag	Common stock	710	1,054
Informa Plc	Common stock	674	1,481
Ingles Markets A	Common stock	2,684	2,060
Insight Enterprises Inc	Common stock	952	1,188
Intel Corp	Common stock	5,421	5,194
Intelsat S.A.	Common stock	534	692
International Paper Co	Common stock	644	682
Intuit Inc	Common stock	1,512	1,702
Invesco Floating Rate	Common stock	80,101	80,208
Ionis Pharmaceuticals Inc	Common stock	11,571	12,794
Balance Forward		$ 1,777,148	$ 1,964,289

The Tremont Group, Inc. 401(k) Profit Sharing Plan

FORM 5500, SCHEDULE H, LINE 4I – SCHEDULE OF ASSETS ACQUIRED AND DISPOSED OF WITHIN THE PLAN YEAR

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Balance Brought Forward		$ 1,777,148	$ 1,964,289
Ipg Photonics Corp	Common stock	1,414	2,506
Iron Mtn Inc New Com	Common stock	1,742	1,942
Ishares Msci Eafe Etf	Common stock	52,320	61,002
Ishares Msci Emerging Mkts Etf	Common stock	27,003	33,557
Ishares Russell 1000 Grw Etf	Common stock	43,986	51,862
Ishares Russell 2000 Grwth Etf	Common stock	5,628	6,426
Ishares Russell Midcap G Etf	Common stock	6,621	7,566
Japan Tob Inc	Common stock	687	678
Jazz Pharmaceuticals Plc	Common stock	2,784	4,002
Jb Hunt Trans Serv	Common stock	2,034	2,314
Jetblue Airways Corp	Common stock	6,406	6,401
Johnson & Johnson	Common stock	1,037	1,163
Johnson Ctls Intl Plc	Common stock	15,031	13,844
Jpmorgan Chase & Co	Common stock	48,296	53,121
Kao Corp Spons Adr	Common stock	8,677	7,998
Kar Auction Svcs Inc	Common stock	1,708	1,782
Kasikornbank Pub Co Ltd Unspon	Common stock	155	204
Kate Spade & Co Com	Common stock	661	771
Kb Financial Grp Inc Sons Adr	Common stock	12,982	14,118
Kbc Group Nv Unspons Adr	Common stock	220	296
Kddi Corp Unspon Adr	Common stock	1,079	1,099
Kellogg Co	Common stock	5,435	4,924
Kimberly Clark Spon Adr	Common stock	1,581	1,832
Komatsu Ltd Spon Adr New	Common stock	2,645	3,190
Koninklijke Ahold Delhaize Nv	Common stock	3,259	2,914
Koninklijke Phil El Sp Adr New	Common stock	48,513	60,580
Korea Electric Power Corp Ads	Common stock	2,691	2,317
Kroger Co	Common stock	1,061	628
Lakeland Bancorp Inc N. J.	Common stock	1,524	1,625
Lakeland Fincl	Common stock	1,554	1,705
Legacy Tex Finl Group Inc Com	Common stock	2,083	2,149
Lemaitre Vascular Inc	Common stock	3,434	4,284
Leucadia Nat Cp	Common stock	1,458	1,707
Liberty Broadband Corp S-A	Common stock	908	1,211
Liberty Expedia Hold Ser A	Common stock	3,348	4,272
Liberty Interactive Corp	Common stock	5,091	7,362
Liberty Interactive Corp Qvc A	Common stock	17,716	20,273
Liberty Media C Ser A Siriusxm	Common stock	2,092	2,509
Liberty Media C Ser C Siriusxm	Common stock	2,539	3,094
Liberty Media Corp S-C Braves	Common stock	142	166
Balance Forward		$ 2,124,693	$ 2,363,683

The Tremont Group, Inc. 401(k) Profit Sharing Plan

FORM 5500, SCHEDULE H, LINE 4I – SCHEDULE OF ASSETS ACQUIRED AND DISPOSED OF WITHIN THE PLAN YEAR

EIN: 68-0230147, PLAN: 001

Year Ended September 30, 2017

(a) Identity of Issue, Borrower, Lessor, or Similar Party	(b) Description of Investment Including Maturity Date, Rate of Interest, Collateral, Par, or Maturity Value	(c) Costs of Acquisitions	(d) Proceeds of Dispositions
Balance Brought Forward		$ 2,124,693	$ 2,363,683
Liberty Media Corp Ser A	Common stock	830	985
Life Healthcare Grp Hldgs Ltd	Common stock	1,212	1,416
Ligand Pharmaceuticals Inc New	Common stock	3,331	3,505
Linde Ag Sponsored Adr	Common stock	13,686	15,549
Lions Gate Entmnt Corp Cl B	Common stock	6,020	7,207
Lkq Corporation	Common stock	66	64
Localiza Rent A Car Sa Spon	Common stock	765	1,464
Loews Corporation	Common stock	1,091	1,149
Logmein Inc Com	Common stock	745	762
Lowes Companies Inc	Common stock	23,040	23,553
Madison Square Garden Cl A	Common stock	689	858
Makita Corporation Ltd Adr New	Common stock	2,859	3,538
Manitowoc Co	Common stock	301	448
Marathon Oil Co	Common stock	649	467
Marathon Petroleum Corp	Common stock	3,243	3,525
Marketaxess Holdings Inc	Common stock	1,190	1,483
Marlin Business Services Corp	Common stock	2,893	3,747
Marriott Intl Inc New Cl A	Common stock	8,420	10,904
Marsh & Mclennan Cos Inc	Common stock	485	585
Marvell Tech Group Ltd	Common stock	3,568	3,634
Masimo Corporation	Common stock	258	343
Mastercard Inc Cl A	Common stock	4,521	6,082
Mattel Inc	Common stock	17,467	14,028
Mc Donalds Corp	Common stock	35,802	37,309
Mckesson Corp	Common stock	31,399	29,211
Mdc Prtnrs Inc Cl A Sub Vtg Sh	Common stock	1,493	2,536
Medidata Solutions Inc Com	Common stock	2,950	4,158
Mednax Inc	Common stock	7,585	6,331
Medtronic Plc Shs	Common stock	20,179	19,105
Merck & Co Inc New Com	Common stock	12,091	11,779
Meta Fncl Grp Inc	Common stock	1,244	1,192
Metlife Incorporated	Common stock	20,702	22,413
Mfa Financial Inc	Common stock	165	184
Michael Kors Holdings Ltd	Common stock	5,212	6,195
Michelin Compagnie Generale De	Common stock	11,421	12,995
Microchip Technology Inc	Common stock	4,673	5,523
Microsoft Corp	Common stock	24,257	27,777
Midland States Bancorp Inc	Common stock	3,015	3,121
Mobile Telesystems Pjsc	Common stock	1,140	1,294
Mobileye N.V.	Common stock	5,029	7,988
Balance Forward		$ 2,410,379	$ 2,668,090

The Tremont Group, Inc. 401(k) Profit Sharing Plan

FORM 5500, SCHEDULE H, LINE 4I – SCHEDULE OF ASSETS ACQUIRED AND DISPOSED OF WITHIN THE PLAN YEAR

EIN: 68-0230147, PLAN: 001

Year Ended September 30, 2017

(a) Identity of Issue, Borrower, Lessor, or Similar Party	(b) Description of Investment Including Maturity Date, Rate of Interest, Collateral, Par, or Maturity Value	(c) Costs of Acquisitions	(d) Proceeds of Dispositions
Balance Brought Forward		$ 2,410,379	$ 2,668,090
Mohawk Industries Inc	Common stock	4,958	5,177
Monolithic Pwr Systems Inc	Common stock	4,314	5,528
Monro Inc	Common stock	175	166
Monster Beverage Corp New Com	Common stock	3,094	3,893
Msc Indl Direct Co Class A	Common stock	3,632	2,580
Msg Network Inc Cl A	Common stock	2,707	2,871
Murata Manufacturing Co Ltd	Common stock	3,338	3,584
Nautilus Inc.	Common stock	979	873
Nelnet Inc Cl A	Common stock	3,360	3,742
Netease.Com Inc Ads	Common stock	6,726	8,156
Netflix Inc	Common stock	28,334	37,310
Netgear Inc	Common stock	1,405	1,511
Newell Brands Inc	Common stock	8,167	7,035
News Corporation Cl B	Common stock	793	884
News Corporation Cl A	Common stock	6,678	6,635
Nielsen Hldgs Plc	Common stock	24,687	24,871
Nike Inc B	Common stock	36,315	33,767
Nippon Telegraph & Telephone Ads	Common stock	3,763	4,141
Noble Energy Inc	Common stock	2,720	2,112
Nordea Nk Sweden Ab (Publ) Adr	Common stock	8,759	8,582
Northrop Grumman Cp(Hldg Co)	Common stock	1,616	1,990
Northwestern Corporation	Common stock	2,803	2,848
Norwegian Cruise Line Hlds Inc	Common stock	702	850
Novartis Ag Adr	Common stock	2,502	3,067
Novavax Inc	Common stock	2,058	2,057
Nuance Communications Inc	Common stock	3,247	3,261
Nvidia Corporation	Common stock	30,778	48,639
Nxp Semiconductors Nv	Common stock	2,161	2,485
Nxstage Medical Inc	Common stock	4,680	4,608
Occidental Petroleum Corp De	Common stock	2,286	2,058
Oclaro Inc Com New	Common stock	758	786
Ocwen Financial Corp New	Common stock	948	620
Office Depot	Common stock	226	324
Ollies Bargain Outlet Hldg Inc	Common stock	5,131	5,320
Omnicell Inc	Common stock	1,692	2,552
Oracle Corp	Common stock	20,574	24,677
O'reilly Automotive Inc New	Common stock	15,265	9,688
Pacific Premier Bancorp Inc	Common stock	5,225	5,469
Palo Alto Networks Inc	Common stock	6,479	6,570
Pandora A /S Adr	Common stock	1,226	1,009
Balance Forward		$ 2,675,640	$ 2,960,386

The Tremont Group, Inc. 401(k) Profit Sharing Plan

FORM 5500, SCHEDULE H, LINE 4I – SCHEDULE OF ASSETS ACQUIRED AND DISPOSED OF WITHIN THE PLAN YEAR

EIN: 68-0230147, PLAN: 001

Year Ended September 30, 2017

(a) Identity of Issue, Borrower, Lessor, or Similar Party	(b) Description of Investment Including Maturity Date, Rate of Interest, Collateral, Par, or Maturity Value	(c) Costs of Acquisitions	(d) Proceeds of Dispositions
Balance Brought Forward		$ 2,675,640	$ 2,960,386
Park Hotel Rsrts	Common stock	212	218
Parker Hannifin Corp	Common stock	28,905	34,603
Patterson -Uti Energy Inc	Common stock	4,243	3,373
Paycom Software Inc	Common stock	1,911	3,300
Paypal Hldgs Inc Com	Common stock	20,384	21,313
Pentair Plc	Common stock	2,395	2,719
Peoples Bancorp Inc	Common stock	1,057	1,150
Persimmon Plc Unspons Adr	Common stock	1,231	2,027
Pfizer Inc	Common stock	27,684	29,460
Pg&E Corporation	Common stock	32,881	33,398
Pinnacle Fincl Partners Inc	Common stock	1,632	1,501
Pioneer Energy Svcs Corp Com	Common stock	1,765	2,260
Pioneer Floating Rate Y	Common stock	63,333	63,240
Pioneer Mlti Ast Ult Sht Inc Y	Common stock	34,310	34,207
Pjsc Lukoil Sponsored Adr	Common stock	13,883	13,214
Pldt Inc Adr	Common stock	216	253
Portland General Elec Co	Common stock	10,465	10,509
Ppl Corporation	Common stock	1,016	1,141
Preferred Bank Com Stock New	Common stock	1,538	1,823
Priceline Grp Inc Com New	Common stock	3,070	3,641
Procter & Gamble	Common stock	1,614	1,726
Progressive Corp Ohio	Common stock	207	290
Proto Labs	Common stock	265	396
Prudential Plc Adr	Common stock	2,822	3,385
Pt Bk Mandiri Persero Tbk Unsp	Common stock	3,072	3,790
Pt Semen Gresik Persero Adr	Common stock	1,916	2,048
Pt Telekomunikasi Indonesia	Common stock	2,213	2,611
Public Service Enterprise Gp	Common stock	22,298	23,625
Quad Graphics Inc Com	Common stock	2,474	2,184
Qualcomm Inc	Common stock	34,448	31,606
Quanta Services Inc	Common stock	2,972	3,178
Quest Diagnostics Inc	Common stock	1,376	1,393
Quintiles Ims Holdings Inc Com	Common stock	3,358	3,502
Range Resources Corp	Common stock	8,262	6,357
Rbc Bearings Inc	Common stock	453	635
Red Electrica Corporacion Sa	Common stock	2,612	3,006
Red Hat Inc	Common stock	3,226	4,512
Regeneron Pharm	Common stock	16,443	17,595
Relx Plc Sponsored Adr	Common stock	3,171	4,014
Renault S A Adr	Common stock	2,962	3,373
Balance Forward		$ 3,043,935	$ 3,342,962

The Tremont Group, Inc. 401(k) Profit Sharing Plan

FORM 5500, SCHEDULE H, LINE 4I – SCHEDULE OF ASSETS ACQUIRED AND DISPOSED OF WITHIN THE PLAN YEAR

EIN: 68-0230147, PLAN: 001

Year Ended September 30, 2017

(a) Identity of Issue, Borrower, Lessor, or Similar Party	(b) Description of Investment Including Maturity Date, Rate of Interest, Collateral, Par, or Maturity Value	(c) Costs of Acquisitions	(d) Proceeds of Dispositions
Balance Brought Forward		$ 3,043,935	$ 3,342,962
Rent-A-Ctr Inc.	Common stock	607	588
Republic Bancorp Inc Class A	Common stock	2,856	3,271
Rex American Resources Corp	Common stock	7,981	8,090
Reynolds American Inc	Common stock	386	420
Rice Energy Inc	Common stock	3,376	4,868
Rocket Fuel Inc	Common stock	348	458
Rockwell Collins Inc	Common stock	3,382	4,037
Roper Technologies, Inc.	Common stock	1,291	1,697
Ross Stores Inc	Common stock	1,212	1,167
Royal Dutch Shell Plc	Common stock	51,617	57,429
Royal Kpn Nv Spons Adr	Common stock	1,010	1,222
Ryanair Hldgs Plc Adr	Common stock	4,883	5,903
Ryohin Keikaku Co Ltd Adr	Common stock	5,883	8,806
S&P Global Inc Com	Common stock	3,575	4,039
Salesforce.Com,Inc.	Common stock	14,814	16,808
Sampo Oyj Unspon Adr	Common stock	5,201	6,100
Sanmina Corp	Common stock	1,214	1,165
Sanofi Adr	Common stock	15,834	15,810
Sap Ag	Common stock	10,154	12,835
Sba Communicatns Corp New Cl A	Common stock	1,445	2,013
Scana Corp New	Common stock	4,562	3,798
Schlumberger Ltd	Common stock	9,415	7,341
Scor Ads	Common stock	14,629	17,536
Sealed Air Cp New	Common stock	906	855
Sensient Tech Corp	Common stock	410	385
Seven & I Hldgs Co Ltd Adr	Common stock	2,359	2,396
Shinhan Financial Group Co Ltd	Common stock	724	793
Shire Plc Adr	Common stock	13,138	11,718
Sinopec Shanghai Petro Ltd Ads	Common stock	13,543	14,840
Sk Telecom Co Ltd	Common stock	1,678	1,866
Slm Corporation	Common stock	2,266	2,761
Smc Corp Japan Sponsored Adr	Common stock	1,295	1,786
Softbank Corp Unspons Adr	Common stock	1,586	1,888
Sony Corp Adr 1974 New	Common stock	1,369	1,742
South St Corp Com	Common stock	1,664	1,704
Spartannash Co	Common stock	2,521	2,449
Spirit Airlines Inc	Common stock	1,684	1,316
Splunk Inc	Common stock	2,910	3,480
Spx Cp	Common stock	2,447	2,898
Starbucks Corp Washington	Common stock	6,232	5,857
Balance Forward		$ 3,266,342	$ 3,587,097

The Tremont Group, Inc. 401(k) Profit Sharing Plan

FORM 5500, SCHEDULE H, LINE 4I – SCHEDULE OF ASSETS ACQUIRED AND DISPOSED OF WITHIN THE PLAN YEAR

EIN: 68-0230147, PLAN: 001

Year Ended September 30, 2017

(a) Identity of Issue, Borrower, Lessor, or Similar Party	(b) Description of Investment Including Maturity Date, Rate of Interest, Collateral, Par, or Maturity Value	(c) Costs of Acquisitions	(d) Proceeds of Dispositions
Balance Brought Forward		$ 3,266,342	$ 3,587,097
Starwood Property Trust Inc	Common stock	736	718
State Bank Financial Corp	Common stock	1,722	1,897
Statoil Asa Adr	Common stock	8,552	10,165
Stericycle Inc	Common stock	8,847	7,932
Sterling Bancorp Com	Common stock	1,624	1,650
Stone Energy Corp	Common stock	1,682	2,546
Stoneridge Inc	Common stock	54	60
Sumitomo Mitsui Finl Group Inc	Common stock	877	842
Suncor Energy Inc	Common stock	44,684	49,659
Supernus Pharmaceuticals Inc	Common stock	5,431	4,959
Supervalu Inc	Common stock	1,508	1,549
Swedbank Ab Spons Adr	Common stock	2,933	3,054
Sykes Enterprises Inc	Common stock	1,816	1,787
Synopsys Inc	Common stock	1,783	2,399
Taiwan Smcndctr Mfg Co Ltd Adr	Common stock	33,560	40,540
Targa Resources Corp	Common stock	3,845	3,817
Td Ameritrade Holding Corp	Common stock	669	837
Te Connectivity Ltd New	Common stock	1,062	1,245
Telenor Asa Ads	Common stock	3,860	4,919
Tencent Hldgs Ltd Unspon Adr	Common stock	22,569	23,014
Territorial Bancorp Inc	Common stock	816	827
Tesla Inc	Common stock	13,514	14,361
Teva Pharmaceuticals Adr	Common stock	488	436
Texas Cap Bncshs Inc	Common stock	605	695
Texas Instruments	Common stock	23,820	27,355
Texas Roadhouse Inc Cl A	Common stock	3,418	3,576
The J.M. Smucker Company	Common stock	133	124
The Mosaic Co (Hldg Co) New	Common stock	3,713	3,058
Time Warner Inc New	Common stock	1,136	1,212
Tjx Cos Inc New	Common stock	924	942
Tokyo Electron Ltd Unspon Adr	Common stock	8,289	11,365
Toll Brothers	Common stock	1,582	1,620
Toray Inds Adr	Common stock	3,035	3,638
Total S A Spon Adr	Common stock	18,265	18,677
Transocean Ltd	Common stock	1,779	2,060
Travelers Companies Inc Com	Common stock	1,418	1,473
Treehouse Foods Inc	Common stock	6,414	5,453
Trex Company Inc	Common stock	5,003	6,581
Triple-S Management Corp-B	Common stock	47	32
Ttm Tech Inc	Common stock	6,618	6,278
Balance Forward		$ 3,515,173	$ 3,860,449

The Tremont Group, Inc. 401(k) Profit Sharing Plan

FORM 5500, SCHEDULE H, LINE 4I – SCHEDULE OF ASSETS ACQUIRED AND DISPOSED OF WITHIN THE PLAN YEAR

EIN: 68-0230147, PLAN: 001

Year Ended September 30, 2017

(a) Identity of Issue, Borrower, Lessor, or Similar Party	(b) Description of Investment Including Maturity Date, Rate of Interest, Collateral, Par, or Maturity Value	(c) Costs of Acquisitions	(d) Proceeds of Dispositions
Balance Brought Forward		$ 3,515,173	$ 3,860,449
Turk Telekomunikasyon As Adr	Common stock	3,647	3,955
Turkiye Garanti Bankasi A S	Common stock	3,920	3,961
Twitter Inc	Common stock	12,525	14,377
Tyler Technologies Inc	Common stock	290	347
U S Bancorp Com New	Common stock	155	162
Ulta Beauty Inc	Common stock	4,450	3,735
Ultimate Software Gp Inc	Common stock	188	187
Umb Financial Corp	Common stock	1,981	2,028
Under Armour Inc Cl A	Common stock	319	306
Unibail-Rodamco Se Adr	Common stock	3,154	3,198
Unilever Nv Ny Sh New	Common stock	8,737	9,660
Unilever Plc (New) Ads	Common stock	7,713	11,044
Union Bankshares Corp New	Common stock	867	881
Union Pacific Corp	Common stock	1,564	1,742
United Community Banks Inc	Common stock	1,578	1,584
United Continental Hldgs Inc	Common stock	5,148	4,772
United Parcel Ser Inc Cl-B	Common stock	2,401	2,402
United Therapeutics Corp	Common stock	2,388	2,250
Unitedhealth Gp Inc	Common stock	13,062	13,129
Uniti Group Inc	Common stock	6,155	3,500
Universal Health Services B	Common stock	553	553
Us Foods Holding Corp	Common stock	5,452	5,136
Vail Resorts	Common stock	2,738	3,552
Valeo Sponsored Adr	Common stock	6,322	8,127
Valley Natl Bancorp	Common stock	1,756	1,933
Vantiv Inc Cl-A	Common stock	3,983	4,667
Vereit, Inc.	Common stock	3,556	3,432
Verizon Communications	Common stock	12,105	12,308
Vertex Pharmaceuticals	Common stock	20,502	39,744
Vestas Wind Systems Ads	Common stock	3,051	4,829
Viacom Inc New Class B	Common stock	3,590	3,104
Vinci Sa Adr	Common stock	4,807	6,953
Visa Inc Cl A	Common stock	5,860	7,888
Vishay Intertechnology Inc	Common stock	9,974	11,122
Vodacom Group Limited	Common stock	6,128	6,323
Voya Finl Inc	Common stock	3,769	3,861
Vulcan Materials Co	Common stock	2,080	2,020
Weatherford International	Common stock	15,795	13,039
Webster Fincl Corp	Common stock	1,544	1,575
Wec Energy Group Inc Com	Common stock	461	501
Balance Forward		$ 3,709,441	$ 4,084,336

The Tremont Group, Inc. 401(k) Profit Sharing Plan

FORM 5500, SCHEDULE H, LINE 4I – SCHEDULE OF ASSETS ACQUIRED AND DISPOSED OF WITHIN THE PLAN YEAR

EIN: 68-0230147, PLAN: 001

Year Ended September 30, 2017

(a) Identity of Issue, Borrower, Lessor, or Similar Party	(b) Description of Investment Including Maturity Date, Rate of Interest, Collateral, Par, or Maturity Value	(c) Costs of Acquisitions	(d) Proceeds of Dispositions
Balance Brought Forward		$ 3,709,441	$ 4,084,336
Weichai Pwr Co Ltd Unspon Adr	Common stock	1,624	2,255
Wells Fargo & Co New	Common stock	16,385	16,699
Wesco Aircraft Holdings Inc	Common stock	2,146	1,544
West Pharmaceutical Svcs Inc	Common stock	5,235	6,160
Western Un Co	Common stock	2,361	2,376
Westmoreland Coal Co	Common stock	5,282	1,248
Weyerhaeuser Co	Common stock	230	235
Wh Group Adr	Common stock	119	147
Whole Foods Markets Inc	Common stock	1,394	1,882
Wintrust Fin Corp	Common stock	6,071	6,601
Wipro Ltd Ads	Common stock	4,225	5,091
Wolters Kluwer Nv Spon Adr	Common stock	5,726	7,210
Workday Inc Cl A	Common stock	3,365	4,952
Worldpay Group Plc Adr	Common stock	3,043	4,568
Wsfs Financial Corp	Common stock	2,159	2,698
Xpo Logistics Inc New	Common stock	8,437	9,814
Ypf Sociedad Ads Rep 1 Cl-D Sh	Common stock	11,186	14,539
Zafgen Inc	Common stock	61	61
Zimmer Biomet Hldgs Inc Com	Common stock	3,540	3,365
Zoetis Inc Class-A	Common stock	358	442
Total Assets Acquired and Disposed of Within the Plan Year		$ 3,792,388	$ 4,176,223

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 10/01/2016 and ending 09/30/2017

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.)
- ☒ a single-employer plan
- ☐ a DFE (specify) ___

B This return/report is:
- ☐ the first return/report
- ☐ the final return/report
- ☐ an amended return/report
- ☐ 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:
- ☒ Form 5558
- ☐ automatic extension
- ☐ the DFVC program
- ☐ special extension (enter description)

Part II Basic Plan Information—enter all requested information

1a Name of plan
THE TREMONT GROUP, INC. 401(K) PROFIT SHARING PLAN

1b Three-digit plan number (PN) ▶ 001

1c Effective date of plan 10/24/1990

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)
THE TREMONT GROUP, INC.

201 EAST STREET

WOODLAND CA 95776

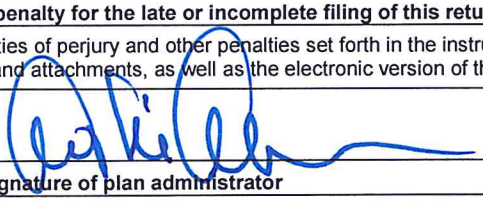
2b Employer Identification Number (EIN) 68-0230147

2c Plan Sponsor's telephone number (530) 662-5442

2d Business code (see instructions) 325300

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		4/12/18	LESLIE LYMAN
	Signature of plan administrator	Date	Enter name of individual signing as plan administrator
SIGN HERE			
	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**	151
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)**	122
a(2) Total number of active participants at the end of the plan year	**6a(2)**	135
b Retired or separated participants receiving benefits	**6b**	0
c Other retired or separated participants entitled to future benefits	**6c**	16
d Subtotal. Add lines **6a(2)**, **6b**, and **6c**	**6d**	151
e Deceased participants whose beneficiaries are receiving or are entitled to receive benefits	**6e**	0
f Total. Add lines **6d** and **6e**	**6f**	151
g Number of participants with account balances as of the end of the plan year (only defined contribution plans complete this item)	**6g**	148
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 2J 2K 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)

- (1) [ ] Insurance
- (2) [ ] Code section 412(e)(3) insurance contracts
- (3) [X] Trust
- (4) [ ] General assets of the sponsor

9b Plan benefit arrangement (check all that apply)

- (1) [ ] Insurance
- (2) [ ] Code section 412(e)(3) insurance contracts
- (3) [X] Trust
- (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) [ ] ___ **A** (Insurance Information)
- (4) [X] **C** (Service Provider Information)
- (5) [ ] **D** (DFE/Participating Plan Information)
- (6) [ ] **G** (Financial Transaction Schedules)

ATTACHMENT TO 2016 FORM 5500
SCHEDULE H

Plan Name: THE TREMONT GROUP, INC. 401(K) PROFIT SHARING PLAN **EIN:** 94-2045832

Plan Sponsor's Name: THE TREMONT GROUP, INC. **PN:** 001

The required schedule of assets and/or schedule of reportable transactions is included in the accountant's audit report attachment.

ATTACHMENT TO 2016 FORM 5500
SCHEDULE H

Plan Name: THE TREMONT GROUP, INC. 401(K) PROFIT SHARING PLAN **EIN:** 94-2045832

Plan Sponsor's Name: THE TREMONT GROUP, INC. **PN:** 001

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ATTACHMENT TO 2016 FORM 5500
SCHEDULE H

Plan Name: THE TREMONT GROUP, INC. 401(K) PROFIT SHARING PLAN **EIN:** 94-2045832

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ATTACHMENT TO 2016 FORM 5500
SCHEDULE H

Plan Name: THE TREMONT GROUP, INC. 401(K) PROFIT SHARING PLAN **EIN:** 94-2045832

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ATTACHMENT TO 2016 FORM 5500
SCHEDULE H

Plan Name: THE TREMONT GROUP, INC. 401(K) PROFIT SHARING PLAN **EIN:** 94-2045832

Plan Sponsor's Name: THE TREMONT GROUP, INC. **PN:** 001

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