Form 5500-SF

Department of the Treasury Internal Revenue Service

Department of Labor Employee Benefits Security Administration

Pension Benefit Guaranty Corporation

Short Form Annual Return/Report of Small Employee **Benefit Plan**

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

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

OMB Nos. 1210-0110 1210-0089

2017

This Form is Open to Public Inspection

Parti	Annual Report	identification information								
For calendar	plan year 2017 or fi	scal plan year beginning 01/01/2	2017	and ending 12	/31/2017					
A This retu	a single-employer plan a multiple-employer plan (not multiemployer) (Filers checking this box must attach a list of participating employer information in accordance with the form instructions.)									
D. Trick	,	a one-participant plan	a foreign plan							
B This return	n/report is	the first return/report	the final return/report							
		n/report (less than 12 mo	onths)							
C Check bo	x if filing under:	X Form 5558	automatic extension	c extension DFVC program						
		special extension (enter desc	. ,							
Part II	Basic Plan Info	ormation—enter all requested in	formation							
1a Name of EXEC/COMM	plan PROFIT SHARING	PLAN			1b Three-digit plan numb					
				_	(PN))	001				
					1c Effective date of plan 01/01/1986					
		oyer, if for a single-employer plan)			2b Employer I	dentification Number				
		m, apt., suite no. and street, or P.C ce, country, and ZIP or foreign post		ructions)	(=)	13-3550767				
EXEC/COMM		e, oddrity, and zir or foreign poor	tar oode (ii foreign, see inst	rudionay		telephone number 2-252-5848				
					2d Business c	ode (see instructions)				
1040 AVENUE 20TH FLOOR	OF THE AMERICA	.S			541600					
NEW YORK, N	IY 10018									
3a Plan adr	ministrator's name a	nd address X Same as Plan Spo	nsor.		3b Administra	tor's EIN				
				-	3c Administra	tor's telephone number				
					JC Auministra	tor's telepriorie number				
		e plan sponsor or the plan name honsor's name, EIN, the plan name a			4b EIN					
a Sponsor		•	·	·	4d PN					
C Plan Na	me									
5a Total nu	mber of participants	at the beginning of the plan year.			5a	62				
		at the end of the plan year			5b	72				
		account balances as of the end of			5c	68				
d(1) Total	number of active pa	rticipants at the beginning of the p	lan year		5d(1) 52					
` '	•	articipants at the end of the plan ye		-	5d(2)	72				
Number of participants who terminated employment during the plan year with accrued benefits that were less than 100% vested						5e 0				
Caution: A p	enalty for the late	or incomplete filing of this retur	n/report will be assessed	unless reasonable cau						
SB or Sched		ther penalties set forth in the instru nd signed by an enrolled actuary, a plete.								
0.0.0	Filed with authorized	/valid electronic signature.	10/04/2018	JOHN A SULLIVAN						
HERE	Signature of plan a	dministrator	Date	ividual signing as plan administrator						
SIGN										
HERE	Signature of emplo	yer/plan sponsor	Date	Enter name of individu	individual signing as employer or plan sponsor					

Form 5500-SF 2017 Page **2**

b	under 29 CFR 2520.104-46? (See instructions on waiver eligibility and conditions.)							X Yes No X Yes No Not determined			
С	c If the plan is a defined benefit plan, is it covered under the PBGC insurance program (see ERISA section 4021)? Yes No If "Yes" is checked, enter the My PAA confirmation number from the PBGC premium filing for this plan year										
Pa	t III Financial Information										
7	Plan Assets and Liabilities		(a) Beginning (of Year			(b) End	of Year			
а	Total plan assets	7a	680	04508				8476349			
b	Total plan liabilities	7b		0			0				
С	Net plan assets (subtract line 7b from line 7a)	7c	680	04508				8476349			
8	Income, Expenses, and Transfers for this Plan Year		(a) Amoun	ıt			(b) T	otal			
a	Contributions received or receivable from: (1) Employers	8a(1)	17	73165							
	(2) Participants	8a(2)	34	47129							
	(3) Others (including rollovers)	8a(3)									
b	Other income (loss)	8b	110	67591							
	Total income (add lines 8a(1), 8a(2), 8a(3), and 8b)	8c						1687885			
d	Benefits paid (including direct rollovers and insurance premiums to provide benefits)	nefits paid (including direct rollovers and insurance premiums provide benefits)									
<u>e</u>	Certain deemed and/or corrective distributions (see instructions)	8e			_						
f	Administrative service providers (salaries, fees, commissions)	8f		300							
	Other expenses										
<u>h</u>	Total expenses (add lines 8d, 8e, 8f, and 8g)	8h						16044			
÷	Net income (loss) (subtract line 8h from line 8c)	8i						1671841			
	Transfers to (from) the plan (see instructions)	8j		0							
Pai 9a	t IV Plan Characteristics	footure	don from the List of DI	on Cho	rootori	otio Co	doe in the inet	ruotiono:			
эа	If the plan provides pension benefits, enter the applicable pension 2A 2E 2G 2J 3D	reature co	des nom the List of Fi	an Cna	iacieni	Silc CO	ues in the inst	ructions.			
b	If the plan provides welfare benefits, enter the applicable welfare fe	eature cod	es from the List of Pla	n Chara	cterist	ic Cod	es in the instru	uctions:			
Par	t V Compliance Questions										
10	During the plan year:				Yes	No		Amount			
а	Was there a failure to transmit to the plan any participant contribu described in 29 CFR 2510.3-102? (See instructions and DOL's V Program)	oluntary F	iduciary Correction	10a		X					
b	Were there any nonexempt transactions with any party-in-interest reported on line 10a.)	? (Do not i	include transactions	10b		X					
С				10c	Χ			265000			
d	• • •	fidelity bo	nd, that was caused	10d		Χ		203000			
е	Were any fees or commissions paid to any brokers, agents, or other persons by an insurance carrier, insurance service, or other organization that provides some or all of the benefits under the plan? (See instructions.)					Х					
f	Has the plan failed to provide any benefit when due under the plan?					X					
g								42791			
h	If this is an individual account plan, was there a blackout period? 2520.101-3.)	•		10h		X					
i											

Form 5500-SF 2017	Page 3- 1		
-------------------	------------------	--	--

Part	VI Pension Funding Compliance								
11 Is this a defined benefit plan subject to minimum funding requirements? (If "Yes," see instructions and complete Schedule SB (Form 5500) and line 11a below)									
11a Enter the unpaid minimum required contributions for all years from Schedule SB (Form 5500) line 40									
Is this a defined contribution plan subject to the minimum funding requirements of section 412 of the Code or section 302 of ERISA? (If "Yes," complete line 12a or lines 12b, 12c, 12d, and 12e below, as applicable.)									
а	If a waiver of the minimum funding standard for a prior year is being amortized in this plan year, see instructions, an granting the waiver			of the lette Year _	r ruling				
lf y	you completed line 12a, complete lines 3, 9, and 10 of Schedule MB (Form 5500), and skip to line 13.								
b	Enter the minimum required contribution for this plan year	12b							
С	Enter the amount contributed by the employer to the plan for this plan year	12c							
d	Subtract the amount in line 12c from the amount in line 12b. Enter the result (enter a minus sign to the left of a negative amount)	12d							
е	Will the minimum funding amount reported on line 12d be met by the funding deadline?	. [Yes	No	N/A				
Part '	VII Plan Terminations and Transfers of Assets								
13a	Has a resolution to terminate the plan been adopted in any plan year?		Ye	s X N	0				
	If "Yes," enter the amount of any plan assets that reverted to the employer this year	13a							
b Were all the plan assets distributed to participants or beneficiaries, transferred to another plan, or brought under the control of the PBGC?									
С	If, during this plan year, any assets or liabilities were transferred from this plan to another plan(s), identify the plan(s which assets or liabilities were transferred. (See instructions.)) to							
1	13c(1) Name of plan(s): 13c(2)) PN(s)				

Form 5500-SF

Department of the Treasury Internal Revenue Service

Department of Labor Employee Benefits Security Administration Pension Benefit Guaranty Corporation

Short Form Annual Return/Report of Small Employee **Benefit Plan**

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

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

OMB Nos. 1210-0110 1210-0089

2017

This Form is Open to **Public Inspection**

Parti		t identification information								
For calend	dar plan year 2017 or	fiscal plan year beginning	01/01/2017	and ending		1/2017				
A This re	a single-employer plan [] a multiple-employer plan (not multiemployer) (Filers checking this box must attach a list of participating employer information in accordance with the form instructions.)									
D This was	house less as at in	a one-participant plan	a foreign plan			,				
D This re	tum/report is									
		an amended return/report	a short plan year return/report (less than 12 months)							
C Check	box if filing under:	∑ Form 5558	automatic extension DFVC program							
		special extension (enter desc	ription)							
Part II	Basic Plan Inf	ormation—enter all requested in	formation							
1a Name EXEC/C	1/1				1b Three-d plan nui (PN)	mber				
					1c Effective	e date of plan				
		oyer, if for a single-employer plan)				er Identification Number				
		om, apt., suite no. and street, or P.C ice, country, and ZIP or foreign post		ructions)	(EIN)13	3-3550767				
	COMM LLC		ar sous (ir isioigii, soo iria	, 404,0110,		r's telephone number 252-5848				
						s code (see instructions)				
	VENUE OF THE	AMERICAS				,				
20TH F NEW YO			NY	10018	54160	00				
3a Plan a	administrator's name a	and address X Same as Plan Spor			3b Administrator's EIN					
		_								
					3c Adminis	trator's telephone number				
						·				
4 100										
4 If the this p	name and/or EIN of tr plan, enter the plan spe	ne plan sponsor or the plan name ha onsor's name, EIN, the plan name a	as changed since the last re and the plan number from the	eturn/report filed for ne last return/report.	4b EIN					
	sor's name		•		4d PN					
C Plan N	Name									
5a Total	number of participants	s at the beginning of the plan year			5a	62				
	• •	s at the end of the plan year		-	5b	62 72				
C Numb	per of participants with	account balances as of the end of	the plan year (only defined	contribution plans	5c					
						52				
		articipants at the beginning of the pl		1	5d(1)	72				
		articipants at the end of the plan yea o terminated employment during the			5d(2)	0				
Number of participants who terminated employment during the plan year with accrued benefits that were less than 100% vested										
Linder nen	A penalty for the late	ther penalties set forth in the instruc	1/report will be assessed	unless reasonable cau	se is establis	hed.				
SB or Sche	edule MB completed a true, correct and com	and signed by an enrolled actuary, a	is well as the electronic ver	examined this return/report	ont, including, , and to the be	if applicable, a Schedule est of my knowledge and				
SIGN	45 hull	ful -	10-4-18	John A Sulliva	n					
HERE	Signature of plan	administrator	Date	Enter name of individu	al signing as p	lan administrator				
SIGN										
HERE										

Form 5500-SF 2017 Page **2**

_	Were all of the plan's assets during the plan year invested in eligible assets? (See instructions.) Are you claiming a waiver of the annual examination and report of an independent qualified public accountant (IQPA) under 29 CFR 2520.104-46? (See instructions on waiver eligibility and conditions.) If you answered "No" to either line 6a or line 6b, the plan cannot use Form 5500-SF and must instead use Form 5500.						∑ Yes ☐ No		
	If the plan is a defined benefit plan, is it covered under the PBGC ir If "Yes" is checked, enter the My PAA confirmation number from the					-			
Pa	t III Financial Information								
7	Plan Assets and Liabilities		(a) Beginning	of Year			(b) End of Year		
a	Total plan assets	7a	6,	804,	508		8,476,34		
<u>b</u>	Total plan liabilities	7b			0				
С	Net plan assets (subtract line 7b from line 7a)	7c	6,	804,	508		8,476,34		
8	Income, Expenses, and Transfers for this Plan Year		(a) Amoun	ıt			(b) Total		
_а 	Contributions received or receivable from: (1) Employers	8a(1)		173,	165				
	(2) Participants	8a(2)		347,	129				
	(3) Others (including rollovers)	8a(3)							
b	Other income (loss)	8b	1,	167,	591				
	Total income (add lines 8a(1), 8a(2), 8a(3), and 8b)	8c					1,687,88		
d	Benefits paid (including direct rollovers and insurance premiums to provide benefits)	8d		15,	744				
е	Certain deemed and/or corrective distributions (see instructions)	8e							
	Administrative service providers (salaries, fees, commissions)	8f			300				
a	Other expenses	8g			0				
	Total expenses (add lines 8d, 8e, 8f, and 8g)	8h			16,0				
	Net income (loss) (subtract line 8h from line 8c)	8i					1,671,84		
j	Transfers to (from) the plan (see instructions)	8j			0				
Par	t IV Plan Characteristics	٠,							
9a	If the plan provides pension benefits, enter the applicable pension 2A 2E 2G 2J 3D	feature co	odes from the List of Pl	an Cha	racteri	stic Co	odes in the instructions:		
b	If the plan provides welfare benefits, enter the applicable welfare for	eature cod	les from the List of Pla	n Chara	acteris	tic Cod	des in the instructions:		
Par	t V Compliance Questions								
10	During the plan year:				Yes	No	Amount		
а	Was there a failure to transmit to the plan any participant contribu described in 29 CFR 2510.3-102? (See instructions and DOL's V Program)	oluntary F	iduciary Correction	10a		Х			
b	Were there any nonexempt transactions with any party-in-interest reported on line 10a.)	t? (Do not	include transactions	10b		Х			
С	Was the plan covered by a fidelity bond?			10c	Х		265,00		
d				10d		Х	,		
е	Were any fees or commissions paid to any brokers, agents, or other persons by an insurance carrier, insurance service, or other organization that provides some or all of the benefits under the plan? (See instructions.)			10e		X			
f	Has the plan failed to provide any benefit when due under the plan?			10f		Х			
g	g Did the plan have any participant loans? (If "Yes," enter amount as of year-end.)			10g	Х		42,79		
h	If this is an individual account plan, was there a blackout period? 2520.101-3.)			10h		Х	22,773		
i									

Form 5500-SF 2017	Page 3 -

Part '	VI Pension Funding Compliance									
11 Is this a defined benefit plan subject to minimum funding requirements? (If "Yes," see instructions and complete Schedule SB (Form 5500) and line 11a below)										
11a Enter the unpaid minimum required contributions for all years from Schedule SB (Form 5500) line 40										
12										
а	If a waiver of the minimum funding standard for a prior year is being amortized in this plan year, see instructions, and granting the waiver		he date	of the lette Year_						
lf y	ou completed line 12a, complete lines 3, 9, and 10 of Schedule MB (Form 5500), and skip to line 13.									
b	Enter the minimum required contribution for this plan year	12b								
С	Enter the amount contributed by the employer to the plan for this plan year	12c								
d	Subtract the amount in line 12c from the amount in line 12b. Enter the result (enter a minus sign to the left of a negative amount)	12d								
е	Will the minimum funding amount reported on line 12d be met by the funding deadline?		Yes	No	N/A					
Part \	/II Plan Terminations and Transfers of Assets									
13a	Has a resolution to terminate the plan been adopted in any plan year?		Yes	S X N	No					
	If "Yes," enter the amount of any plan assets that reverted to the employer this year	13a								
b	Were all the plan assets distributed to participants or beneficiaries, transferred to another plan, or brought under the control of the PBGC?		Yes 🛛 No							
С	If, during this plan year, any assets or liabilities were transferred from this plan to another plan(s), identify the plan(s) which assets or liabilities were transferred. (See instructions.)	to								
1	13c(1) Name of plan(s): 13c(2) E				3) PN(s)					
					·					