| Form 5500-SF                                                                                                                                                                                                                                                                                                                                         | Short Form Annual R                                                                         | oyee                      | OMB Nos. 1210-0110<br>1210-0089           |                                                          |                                                            |  |  |  |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------|---------------------------|-------------------------------------------|----------------------------------------------------------|------------------------------------------------------------|--|--|--|
| Department of the Treasury<br>Internal Revenue Service                                                                                                                                                                                                                                                                                               | Benefit Plan This form is required to be filed under sections 104 and 4065 of the Employee  |                           |                                           |                                                          | 2018                                                       |  |  |  |
| Department of Labor<br>Employee Benefits Security Administration                                                                                                                                                                                                                                                                                     | Income Security Act of 1974 (ERIS)<br>Reve                                                  | Internal                  | This Form is Open to<br>Public Inspection |                                                          |                                                            |  |  |  |
| Pension Benefit Guaranty Corporation                                                                                                                                                                                                                                                                                                                 | <ul> <li>Complete all entries in accord</li> </ul>                                          | lance with the instru     | uctions to the Form 55                    |                                                          |                                                            |  |  |  |
|                                                                                                                                                                                                                                                                                                                                                      | Identification Information                                                                  |                           | and and's a to                            |                                                          |                                                            |  |  |  |
| For calendar plan year 2018 or f                                                                                                                                                                                                                                                                                                                     |                                                                                             |                           |                                           | ./ <u>31/2018</u>                                        | ing this hav must attach a                                 |  |  |  |
| A This return/report is for:                                                                                                                                                                                                                                                                                                                         |                                                                                             |                           |                                           |                                                          | king this box must attach a<br>ith the form instructions.) |  |  |  |
| <b>B</b> This return/report is                                                                                                                                                                                                                                                                                                                       |                                                                                             |                           |                                           |                                                          |                                                            |  |  |  |
|                                                                                                                                                                                                                                                                                                                                                      |                                                                                             |                           |                                           |                                                          |                                                            |  |  |  |
|                                                                                                                                                                                                                                                                                                                                                      | an amended return/report                                                                    | short plan year return    | /report (less than 12 mo                  | onths)                                                   |                                                            |  |  |  |
| <b>C</b> Check box if filing under:                                                                                                                                                                                                                                                                                                                  |                                                                                             | utomatic extension        | [                                         | DFVC p                                                   | rogram                                                     |  |  |  |
|                                                                                                                                                                                                                                                                                                                                                      | special extension (enter description)                                                       |                           |                                           |                                                          |                                                            |  |  |  |
| Part II Basic Plan Info                                                                                                                                                                                                                                                                                                                              | ormation—enter all requested information                                                    | on                        |                                           |                                                          |                                                            |  |  |  |
| 1a Name of plan                                                                                                                                                                                                                                                                                                                                      |                                                                                             |                           |                                           | 1b Three                                                 | e-digit<br>number                                          |  |  |  |
| CHRISTOPHERS RESTAURANT                                                                                                                                                                                                                                                                                                                              | RETIREMENT PLAN                                                                             |                           |                                           | (PN)                                                     |                                                            |  |  |  |
|                                                                                                                                                                                                                                                                                                                                                      |                                                                                             |                           | -                                         | 1c Effect                                                | tive date of plan<br>08/01/2001                            |  |  |  |
|                                                                                                                                                                                                                                                                                                                                                      | oyer, if for a single-employer plan)                                                        |                           |                                           | 2b Employer Identification Number                        |                                                            |  |  |  |
| City or town, state or provin                                                                                                                                                                                                                                                                                                                        | om, apt., suite no. and street, or P.O. Box)<br>ce, country, and ZIP or foreign postal code | e (if foreign, see instru | uctions)                                  | (EIN) 14-1613953<br><b>2c</b> Sponsor's telephone number |                                                            |  |  |  |
| CHRISTOPHERS RESTAURANT                                                                                                                                                                                                                                                                                                                              | , INC.                                                                                      |                           |                                           | 518-562-2730                                             |                                                            |  |  |  |
|                                                                                                                                                                                                                                                                                                                                                      |                                                                                             |                           |                                           | 2d Busir                                                 | ness code (see instructions)                               |  |  |  |
| 411 ROUTE 3<br>PLATTSBURGH, NY 12901-6520                                                                                                                                                                                                                                                                                                            |                                                                                             |                           |                                           |                                                          | 722511                                                     |  |  |  |
| <b>3a</b> Plan administrator's name a                                                                                                                                                                                                                                                                                                                | nd address 🛛 Same as Plan Sponsor.                                                          |                           |                                           | <b>3b</b> Admi                                           | nistrator's EIN                                            |  |  |  |
|                                                                                                                                                                                                                                                                                                                                                      |                                                                                             |                           | -                                         |                                                          |                                                            |  |  |  |
|                                                                                                                                                                                                                                                                                                                                                      |                                                                                             |                           |                                           | <b>3c</b> Administrator's telephone number               |                                                            |  |  |  |
|                                                                                                                                                                                                                                                                                                                                                      |                                                                                             |                           |                                           |                                                          |                                                            |  |  |  |
|                                                                                                                                                                                                                                                                                                                                                      |                                                                                             |                           |                                           |                                                          |                                                            |  |  |  |
| 4 If the name and/or EIN of the plan sponsor or the plan name has changed since the last return/report filed for this plan, enter the plan sponsor's name, EIN, the plan name and the plan number from the last return/report.                                                                                                                       |                                                                                             |                           |                                           | 4b EIN                                                   |                                                            |  |  |  |
| <b>a</b> Sponsor's name                                                                                                                                                                                                                                                                                                                              |                                                                                             |                           |                                           | <b>4d</b> PN                                             |                                                            |  |  |  |
| C Plan Name                                                                                                                                                                                                                                                                                                                                          |                                                                                             |                           |                                           |                                                          |                                                            |  |  |  |
| 5a Total number of participants at the beginning of the plan year                                                                                                                                                                                                                                                                                    |                                                                                             |                           |                                           | 5a                                                       | 59                                                         |  |  |  |
| <b>b</b> Total number of participants at the end of the plan year                                                                                                                                                                                                                                                                                    |                                                                                             |                           |                                           | 5b                                                       | 58                                                         |  |  |  |
| C Number of participants with account balances as of the end of the plan year (only defined contribution plans complete this item)                                                                                                                                                                                                                   |                                                                                             |                           |                                           | 5c                                                       | 10                                                         |  |  |  |
| d(1) Total number of active participants at the beginning of the plan year                                                                                                                                                                                                                                                                           |                                                                                             |                           |                                           | 5d(1)                                                    | 57                                                         |  |  |  |
| d(2) Total number of active participants at the end of the plan year                                                                                                                                                                                                                                                                                 |                                                                                             |                           | 5d(2)                                     | 53                                                       |                                                            |  |  |  |
| Number of participants who terminated employment during the plan year with accrued benefits that were less than 100% vested                                                                                                                                                                                                                          |                                                                                             |                           |                                           | 5e                                                       | 0                                                          |  |  |  |
|                                                                                                                                                                                                                                                                                                                                                      | or incomplete filing of this return/report                                                  |                           |                                           |                                                          |                                                            |  |  |  |
| Under penalties of perjury and other penalties set forth in the instructions, I declare that I have examined this return/report, including, if applicable, a Schedule SB or Schedule MB completed and signed by an enrolled actuary, as well as the electronic version of this return/report, and to the best of my knowledge and belief it is true. |                                                                                             |                           |                                           |                                                          |                                                            |  |  |  |
| belief, it is true, correct, and complete.           SIGN         Filed with authorized/valid electronic signature.         04/10/2019         MAUREEN LOZANO                                                                                                                                                                                        |                                                                                             |                           |                                           |                                                          |                                                            |  |  |  |
| HERE Signature of plan                                                                                                                                                                                                                                                                                                                               | J J J J J J J J J J J J J J J J J J J                                                       | Date                      | Enter name of individu                    | ual sianina :                                            | as plan administrator                                      |  |  |  |
| SIGN                                                                                                                                                                                                                                                                                                                                                 |                                                                                             |                           |                                           |                                                          |                                                            |  |  |  |
| HERE Signature of emplo                                                                                                                                                                                                                                                                                                                              | over/plan sponsor                                                                           | Date                      | Enter name of individu                    | ual signing :                                            | as employer or plan sponsor                                |  |  |  |
|                                                                                                                                                                                                                                                                                                                                                      | <u>· · · · · · · · · · · · · · · · · · · </u>                                               |                           |                                           | - 39                                                     | 1.7                                                        |  |  |  |

For Paperwork Reduction Act Notice, see the Instructions for Form 5500-SF.

Form 5500-SF (2018) v.171027

| 6a                                                                                                                  |                                                                                                                                                                                                                 |            |                                |           |           |  |  |  |
|---------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------|--------------------------------|-----------|-----------|--|--|--|
| b                                                                                                                   | <b>b</b> Are you claiming a waiver of the annual examination and report of an independent qualified public accountant (IQPA) under 29 CFR 2520.104-46? (See instructions on waiver eligibility and conditions.) |            |                                |           |           |  |  |  |
| If you answered "No" to either line 6a or line 6b, the plan cannot use Form 5500-SF and must instead use Form 5500. |                                                                                                                                                                                                                 |            |                                |           |           |  |  |  |
| С                                                                                                                   | <b>c</b> 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.)                                                                                   |            |                                |           |           |  |  |  |
|                                                                                                                     |                                                                                                                                                                                                                 |            | ernium ning for this plan year | ·         |           |  |  |  |
| Pa                                                                                                                  | art III Financial Information                                                                                                                                                                                   | e FBGC pie | ernium ning for this plan year |           |           |  |  |  |
| Ра<br>7                                                                                                             |                                                                                                                                                                                                                 |            | (a) Beginning of Year          | (b) End o | · · · · · |  |  |  |
| Pa<br>7<br>a                                                                                                        | Financial Information           Plan Assets and Liabilities                                                                                                                                                     | 7a         |                                |           | · · · · · |  |  |  |
| 7                                                                                                                   | Art III       Financial Information         Plan Assets and Liabilities       Total plan assets                                                                                                                 |            | (a) Beginning of Year          |           | of Year   |  |  |  |

| С  | C Net plan assets (subtract line 7b from line 7a)                                     |            | 105501                                    | 109943                     |
|----|---------------------------------------------------------------------------------------|------------|-------------------------------------------|----------------------------|
| 8  | Income, Expenses, and Transfers for this Plan Year                                    |            | (a) Amount                                | (b) Total                  |
| а  | Contributions received or receivable from:<br>(1) Employers                           | 8a(1)      |                                           |                            |
|    | (2) Participants                                                                      | 8a(2)      | 11369                                     |                            |
|    | (3) Others (including rollovers)                                                      | 8a(3)      |                                           |                            |
| b  | Other income (loss)                                                                   | 8b         | -6536                                     |                            |
| С  | Total income (add lines 8a(1), 8a(2), 8a(3), and 8b)                                  | 8c         |                                           | 4833                       |
| d  | Benefits paid (including direct rollovers and insurance premiums to provide benefits) | 8d         |                                           |                            |
| е  | Certain deemed and/or corrective distributions (see instructions)                     | 8e         |                                           |                            |
| f  | Administrative service providers (salaries, fees, commissions)                        | 8f         | 391                                       |                            |
| g  | Other expenses                                                                        | 8g         |                                           |                            |
| h  | Total expenses (add lines 8d, 8e, 8f, and 8g)                                         | 8h         |                                           | 391                        |
| i  | Net income (loss) (subtract line 8h from line 8c)                                     | 8i         |                                           | 4442                       |
| j  | j Transfers to (from) the plan (see instructions)                                     |            |                                           |                            |
| Pa | rt IV Plan Characteristics                                                            |            |                                           |                            |
| 9a | If the plan provides pension benefits, enter the applicable pension                   | feature co | odes from the List of Plan Characteristic | Codes in the instructions: |

9a lf ti pension feature codes from the List of Plan Characteristic Codes in the instructions: 2E 2F 2G 2J 2K 2T 3D 3H

b If the plan provides welfare benefits, enter the applicable welfare feature codes from the List of Plan Characteristic Codes 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 contributions within the time period described in 29 CFR 2510.3-102? (See instructions and DOL's Voluntary Fiduciary Correction Program)                        | 10a |     | X  |        |
| b   | Were there any nonexempt transactions with any party-in-interest? (Do not include transactions reported on line 10a.)                                                                                                       | 10b |     | X  |        |
| С   | Was the plan covered by a fidelity bond?                                                                                                                                                                                    | 10c | Х   |    | 20000  |
| d   | Did the plan have a loss, whether or not reimbursed by the plan's fidelity bond, that was caused by fraud or dishonesty?                                                                                                    | 10d |     | X  |        |
| e   | 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 |     | X  |        |
| g   | Did the plan have any participant loans? (If "Yes," enter amount as of year-end.)                                                                                                                                           | 10g | Х   |    | 4858   |
| h   | If this is an individual account plan, was there a blackout period? (See instructions and 29 CFR 2520.101-3.)                                                                                                               | 10h |     | X  |        |
| i   | If 10h was answered "Yes," check the box if you either provided the required notice or one of the exceptions to providing the notice applied under 29 CFR 2520.101-3                                                        | 10i |     |    |        |

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 So (Form 5500) and line 11a below)   |                                                                                                                                                                              |                  |        |     |     | Yes      | No   |
| 11a                                                                                                                                                                      | Ent                                                                                                                                                   | er the unpaid minimum required contributions for all years from Schedule SB (Form 5500) line 40                                                                              |                  | 11a    |     |     |          |      |
| 12 Is this a defined contribution plan subject to the minimum funding requirements of section 412 of the Code or sect<br>ERISA?                                          |                                                                                                                                                       |                                                                                                                                                                              |                  |        |     | [   | Yes      | X No |
| a If a waiver of the minimum funding standard for a prior year is being amortized in this plan year, see instructions, and enter the date of the let granting the waiver |                                                                                                                                                       |                                                                                                                                                                              |                  |        |     |     |          | ing  |
| lf                                                                                                                                                                       | you d                                                                                                                                                 | completed line 12a, complete lines 3, 9, and 10 of Schedule MB (Form 5500), and skip to line                                                                                 | 13.              |        | -   |     |          |      |
| b                                                                                                                                                                        | Ente                                                                                                                                                  | r the minimum required contribution for this plan year                                                                                                                       |                  | 12b    |     |     |          |      |
| С                                                                                                                                                                        | Ente                                                                                                                                                  | r the amount contributed by the employer to the plan for this plan year                                                                                                      |                  | 12c    |     |     |          |      |
| d                                                                                                                                                                        |                                                                                                                                                       | tract the amount in line 12c from the amount in line 12b. Enter the result (enter a minus sign to the ative amount)                                                          |                  | 12d    |     |     |          |      |
| e                                                                                                                                                                        | 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 | No       |      |
|                                                                                                                                                                          | lf "Y                                                                                                                                                 | es," enter the amount of any plan assets that reverted to the employer this year                                                                                             |                  | 13a    |     |     |          |      |
| b                                                                                                                                                                        | <b>b</b> Were all the plan assets distributed to participants or beneficiaries, transferred to another plan, or brought under th control of the PBGC? |                                                                                                                                                                              |                  |        |     | Yes | Yes 🗙 No |      |
| С                                                                                                                                                                        |                                                                                                                                                       | luring this plan year, any assets or liabilities were transferred from this plan to another plan(s), ident<br>ch assets or liabilities were transferred. (See instructions.) | tify the plan(s) | to     |     |     |          |      |
| 1                                                                                                                                                                        | 3c(1                                                                                                                                                  | ) Name of plan(s):                                                                                                                                                           | 13c(2)           | EIN(s) |     | 130 | :(3) PN  | l(s) |
|                                                                                                                                                                          |                                                                                                                                                       |                                                                                                                                                                              |                  |        |     |     |          |      |