## 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

2018

This Form is Open to **Public Inspection** 

| Part I   | Annual Report             | Identification Information   |  |   |   |                           |  |  |
|--|---------------------------|--|--|---|---|---------------------------|--|--|
| For calend   | ar plan year 2018 or fi   | scal plan year beginning 01/01/2   | 018  | and ending 12                                       | 2/31/2018   |                           |  |  |
| A This re  | turn/report is for:       | a single-employer plan   | a multiple-employer plan (not multiemployer) (Filers checking this box must att list of participating employer information in accordance with the form instruction |   |   |                           |  |  |
|  |                           | a one-participant plan   | a foreign plan   |   |   |                           |  |  |
| <b>B</b> This ret  | urn/report is             | the first return/report  | the final return/report  |   |   |                           |  |  |
| _  |                           | an amended return/report   | a short plan year retu   | urn/report (less than 12 m                          | onths)  |                           |  |  |
| C Check  | box if filing under:      | X Form 5558  | automatic extension  |   | DFVC program                                      | n                         |  |  |
|  |                           | special extension (enter descr   | . ,  |   |   |                           |  |  |
| Part II  | Basic Plan Info           | ermation—enter all requested inf   | ormation   |   |   |                           |  |  |
| 1a Name of plan SEAGULL SCIENTIFIC INC 401K PROFIT SHARING PLAN & TRUST  |                           |  |  |   | <b>1b</b> Three-digit plan numb (PN) ▶            |                           |  |  |
|  |                           |  |  |   | 1c Effective d                                    | ate of plan<br>01/01/1996 |  |  |
|  |                           | oyer, if for a single-employer plan)   | ) Pov)   |   | 2b Employer Identification Number                 |                           |  |  |
| ,  | `                         | m, apt., suite no. and street, or P.C<br>e, country, and ZIP or foreign post           | ,  | structions)   | (EIN) 91-1428721                                  |                           |  |  |
| SEAGULL S  | CIENTIFIC INC             |  |  |   | <b>2c</b> Sponsor's telephone number 425-289-4162 |                           |  |  |
|  |                           |  |  |   | 2d Business code (see instructions)               |                           |  |  |
| BELLEVUE,  | OTH PLACE 100<br>WA 98007 |  |  |   | 518210  |                           |  |  |
|  |                           |  |  |   |   |                           |  |  |
| 3a Plan a  | dministrator's name a     | nd address X Same as Plan Spor   | nsor.  |   | <b>3b</b> Administrator's EIN                     |                           |  |  |
|  |                           |  |  |   | 3c Administrati                                   | tor's telephone number    |  |  |
| <b>4</b> 16 (b.s.)   |                           | and an arrange of the other property.  |  | and the second file of feet                         | 4h Eni  |                           |  |  |
|  |                           | e plan sponsor or the plan name hans<br>ensor's name, EIN, the plan name a             |  |   | 4b EIN  |                           |  |  |
| a Sponsor's name   |                           |  |  |   | 4d PN   |                           |  |  |
| C Plan N   | varrie                    |  |  |   |   |                           |  |  |
| 5a Total number of participants at the beginning of the plan year  |                           |  |  |   | <b>5a</b> 118                                     |                           |  |  |
| <b>b</b> Total number of participants at the end of the plan year  |                           |  |  |   | <b>5b</b> 128                                     |                           |  |  |
| C Number of participants with account balances as of the end of the plan year (only defined contribution plans complete this item) |                           |  |  |   | 5c  | 115                       |  |  |
| d(1) Total number of active participants at the beginning of the plan year   |                           |  |  |   | 5d(1)   | 98                        |  |  |
| d(2) Total number of active participants at the end of the plan year   |                           |  |  |   | <b>5d(2)</b> 108                                  |                           |  |  |
| Number of participants who terminated employment during the plan year with accrued benefits that were less than 100% vested        |                           |  |  |   | 5e  | 4                         |  |  |
| Caution: A   | A penalty for the late    | or incomplete filing of this return  | n/report will be assesse   | d unless reasonable cau                             |   |                           |  |  |
| SB or Sche   |                           | her penalties set forth in the instruction and signed by an enrolled actuary, a plete. |  |   |   |                           |  |  |
| SIGN   |                           | /valid electronic signature.   | 06/07/2019   | MARLA YETSO   | MARLA YETSO                                       |                           |  |  |
| HERE   | Signature of plan a       | dministrator   | Date   | Enter name of individual signing as plan administra |   |                           |  |  |
| SIGN   | Filed with authorized     | /valid electronic signature.   | 06/07/2019   | MARLA YETSO   |   |                           |  |  |
| HERE   | C:                        |  |  | alarra and alarra                                   |   |                           |  |  |

Date

Enter name of individual signing as employer or plan sponsor

Form 5500-SF (2018) 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.) |            |                            |         |          |         | Yes No Yes No    |                                      |  |
|----------|---|------------|----------------------------|---------|----------|---------|------------------|--------------------------------------|--|
|          |   |            |                            |         |          |         |                  | Not determined . (See instructions.) |  |
| Pa       | rt III   Financial Information  |            |                            |         |          |         |                  |                                      |  |
| 7        | Plan Assets and Liabilities   |            | (a) Beginning (            |         |          |         | of Year          |                                      |  |
| <u>a</u> | Total plan assets   | . 7a       | 888                        | 8886894 |          |         | 9091548          |                                      |  |
| <u>b</u> | Total plan liabilities  | 7b         |                            |         |          |         |                  |                                      |  |
|          | Net plan assets (subtract line 7b from line 7a)   | 7c         | 888                        | 86894   |          |         | 9091548          |                                      |  |
| 8        | Income, Expenses, and Transfers for this Plan Year  |            | (a) Amoun                  | nt      |          |         | (b) Total        |                                      |  |
| a        | Contributions received or receivable from:  (1) Employers   | 8a(1)      |                            | 271454  |          |         |                  |                                      |  |
|          | (2) Participants  | 8a(2)      | 72                         | 29979   |          |         |                  |                                      |  |
|          | (3) Others (including rollovers)  | 8a(3)      |                            | 4498    |          |         |                  |                                      |  |
| <u>b</u> | Other income (loss)   | 8b         | -51                        | 12957   |          |         |                  |                                      |  |
|          | Total income (add lines 8a(1), 8a(2), 8a(3), and 8b)  | 8c         |                            |         |          |         |                  | 492974                               |  |
| d        | Benefits paid (including direct rollovers and insurance premiums to provide benefits)   | 8d         | 20                         | 264090  |          |         |                  |                                      |  |
| <u>e</u> | Certain deemed and/or corrective distributions (see instructions)   | 8e         |                            | 1405    |          |         |                  |                                      |  |
| f        | Administrative service providers (salaries, fees, commissions)  | 8f         | 2                          | 22825   |          |         |                  |                                      |  |
| g        | Other expenses  | 8g         |                            |         |          |         |                  |                                      |  |
| <u>h</u> | h Total expenses (add lines 8d, 8e, 8f, and 8g)   |            |                            |         |          | 288320  |                  |                                      |  |
| <u> </u> | Net income (loss) (subtract line 8h from line 8c)   | 8i         |                            |         |          |         |                  | 204654                               |  |
|          | Transfers to (from) the plan (see instructions)   | 8j         |                            |         |          |         |                  |                                      |  |
| Pai      | t IV Plan Characteristics   |            |                            |         |          |         |                  |                                      |  |
| 9a       | If the plan provides pension benefits, enter the applicable pension 2E 2F 2G 2J 2K 2T 3D  | feature co | des from the List of Plant | an Cha  | racteris | stic Co | des in the ins   | tructions:                           |  |
| b        | If the plan provides welfare benefits, enter the applicable welfare for   | eature cod | es from the List of Pla    | n Chara | acterist | ic Cod  | les in the insti | ructions:                            |  |
| Par      | t V Compliance Questions  |            |                            |         |          |         |                  |                                      |  |
| 10       | During the plan year:   |            |                            |         | Yes      | No      |                  | Amount                               |  |
| а        | <b>a</b> 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     | X        |         |                  | 500000                               |  |
| d        | d Did the plan have a loss, whether or not reimbursed by the plan's fidelity bond, that was caused by fraud or dishonesty?  |            |                            | 10d     |          | X       |                  |                                      |  |
| е        | • Were any fees or commissions paid to any brokers, agents, or other persons by an insurance carrier, insurance service, or other organization that provides some or all of the benefits under the plan? (See instructions.)  |            |                            | 10e     |          | X       |                  |                                      |  |
| _ f      | <b>f</b> 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     | X        |         |                  | 46110                                |  |
| h        | h If this is an individual account plan, was there a blackout period? (See instructions and 29 CFR 2520.101-3.)   |            |                            | 10h     |          | X       |                  |                                      |  |
| i        | i If 10h was answered "Yes," check the box if you either provided the required notice or one of the exceptions to providing the notice applied under 29 CFR 2520.101-3  |            |                            | 10i     |          |         |                  |                                      |  |

| Form 5500-SF (2018) | Page <b>3</b> - 1 |
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| Part  | VI Pension Funding Compliance   |                  |         |                           |   |  |  |
|---|---|------------------|---------|---------------------------|---|--|--|
| 11  | Is this a defined benefit plan subject to minimum funding requirements? (If "Yes," see instructions and complete Sc (Form 5500) and line 11a below) | В                | Yes 🛚 N | Ю                         |   |  |  |
| 11a   | Enter the unpaid minimum required contributions for all years from Schedule SB (Form 5500) line 40  | 11a              |         |                           |   |  |  |
| 12  | Is this a defined contribution plan subject to the minimum funding requirements of section 412 of the Code or section ERISA?                        |                  | f       | Yes 🛛 N                   | Ю |  |  |
|   | (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, ar granting the waiver         | d enter t<br>Day |         | of the letter ruling 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)   |   |                  |         |                           |   |  |  |
| 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?   |                  | Yes     | s 🔀 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?       | )<br>            |         | Yes X No                  |   |  |  |
| <b>c</b> 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.) |   |                  |         |                           |   |  |  |
| 13c(1) Name of plan(s): 13c(2   |   |                  |         | <b>13c(3)</b> PN(s)       |   |  |  |
|   |   |                  |         |                           |   |  |  |