## 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** 

| Parti  | Annual Repor  | t identification information   |   |                                |                      |                                  |  |  |  |
|--|---|--|---|--------------------------------|----------------------|----------------------------------|--|--|--|
| For calenda  | ar plan year 2018 or  | fiscal plan year beginning 01/01/2   | 2018  | and ending                     | 12/31/2018           |                                  |  |  |  |
| A This ret   | urn/report is for:  | (Filers checking this box must attach a accordance with the form instructions.)  |   |                                |                      |                                  |  |  |  |
|  |   | a one-participant plan   | a foreign plan  |                                |                      |                                  |  |  |  |
| <b>B</b> This retu   | urn/report is   | the first return/report  | the final return/report                                 |                                |                      |                                  |  |  |  |
|  |   | an amended return/report   | t a short plan year return/report (less than 12 months) |                                |                      |                                  |  |  |  |
| C Check b  | oox if filing under:  | Form 5558  | automatic exten   | sion                           | DFVC progra          | m                                |  |  |  |
|  |   | special extension (enter desc  | ription)  |                                |                      |                                  |  |  |  |
| Part II  | Basic Plan Inf  | ormation—enter all requested in  | formation   |                                |                      |                                  |  |  |  |
| 1a Name  |   | ·  |   |                                | 1b Three-digi        | t                                |  |  |  |
|  | 401K(K) PLAN  |  |   |                                | plan numb            |                                  |  |  |  |
|  |   |  |   |                                | (PN) ▶               | 337                              |  |  |  |
|  |   |  |   |                                | 1c Effective of      | •                                |  |  |  |
| 20.01  |   |  |   |                                | 01 -                 | 01/01/2015                       |  |  |  |
|  |   | loyer, if for a single-employer plan)<br>om, apt., suite no. and street, or P.0  | D. Box)   |                                | (EIN)                | Identification Number 45-5253957 |  |  |  |
|  |   | nce, country, and ZIP or foreign post  |   | e instructions)                |                      |                                  |  |  |  |
| UNIFIED ENERGY, LLC  |   |  | <b>2c</b> Sponsor's telephone number 360-296-6092       |                                |                      |                                  |  |  |  |
|  |   |  |   |                                | 2d Business          | code (see instructions)          |  |  |  |
| P.O. BOX 44  |   |  |   |                                |                      | 221100                           |  |  |  |
| LYNDEN, WA   | A 98264   |  |   |                                |                      |                                  |  |  |  |
| 20 Dlan a  |   | and address D Cares as Black Cra   |   |                                | 2h Administra        | tor's CIN                        |  |  |  |
|  | dministrator's name   | <b>–</b>   |   |                                | <b>3b</b> Administra | 81-3799174                       |  |  |  |
| FIDUCIARY  | WISE, LLC   | 2487 SUITE 10  | JTH GILBERT ROAD<br>)6-455                              |                                | 3c Administra        | tor's telephone number           |  |  |  |
|  |   | GILBERT  | , AZ 85295  |                                |                      | 80-855-4017                      |  |  |  |
|  |   |  |   |                                |                      |                                  |  |  |  |
|  |   |  |   |                                |                      |                                  |  |  |  |
|  |   | he plan sponsor or the plan name h   |   |                                | 4b EIN               |                                  |  |  |  |
|  | an, enter the plan sp<br>or's name  | onsor's name, EIN, the plan name a   | and the plan number i                                   | rom me last retum/report.      | 4d PN                |                                  |  |  |  |
| C Plan N   |   |  |   |                                |                      |                                  |  |  |  |
|  |   |  |   |                                |                      |                                  |  |  |  |
| <b>5a</b> Total r  | number of participant   | ts at the beginning of the plan year.  |   |                                | . 5a                 | 9                                |  |  |  |
| <b>b</b> Total number of participants at the end of the plan year  |   |  | 5b  | 6                              |                      |                                  |  |  |  |
| C Number of participants with account balances as of the end of the plan year (only defined contribution plans complete this item) |   |  |   | -                              | 5c                   | 6                                |  |  |  |
| d(1) Total number of active participants at the beginning of the plan year   |   |  |   | . 5d(1)                        | 4                    |                                  |  |  |  |
| d(2) Total number of active participants at the end of the plan year   |   |  | 5d(2)   | 2                              |                      |                                  |  |  |  |
| Number of participants who terminated employment during the plan year with accrued benefits that were less than 100% vested        |   |  | 5e  | 0                              |                      |                                  |  |  |  |
| Caution: A   | penalty for the late  | or incomplete filing of this retur   | n/report will be asse                                   | ssed unless reasonable ca      | use is establishe    | ed.                              |  |  |  |
| Under pena   | alties of perjury and o   | other penalties set forth in the instru  | ctions, I declare that I                                | have examined this return/r    | eport, including, if | applicable, a Schedule           |  |  |  |
|  | true, correct, and cor  | and signed by an enrolled actuary, and signed by an enrolled actuary, and and signed actuary, and are signed actuary, are signed actuary, and are signed actuary, and are signed actuary, are signed actuary, and are signed actuary, and are signed actuary, are signed actuary, and are signed actuary, are signed actuary, and are signed actuary, and are signed actuary, are signed actuary, and are signed actuary, are signed actuary, are signed actuary, and are signed actuary, are signed actuary, and are signed actuary, are signed actuary, are signed actuary, and are signed actuary, are signed actuary, and are signed actuary, are signed actuary, are signed actuary, and are signed actuary, are signed actuary, and are signed actuary, are signed actuary, are signed actuary, and are signed actuary, and are signed actuary, are sign | as well as the electron                                 | iic version oi mis return/repo | nt, and to the best  | or my knowledge and              |  |  |  |
| SIGN   | Filed with authorized/valid electronic signature.  07/25/2019 KRISTI DALLEY |  |   |                                |                      |                                  |  |  |  |
| HERE   | Signature of plan   | administrator  | Date  | Enter name of indivi           | dual signing as pla  | an administrator                 |  |  |  |
| SIGN   | •   |  |   |                                |                      |                                  |  |  |  |
| HERE   | Signature of emp  | loyer/plan sponsor   | Date  | Enter name of indivi           | dual signing as em   | nployer or plan sponsor          |  |  |  |
|  |   |  |   | =o. Harris of Harvi            | J.g 19 40 011        |                                  |  |  |  |

Form 5500-SF (2018) Page **2** 

|            | Were all of the plan's assets during the plan year invested in eligible assets? (See instructions.)  |  |  |                      |                 |       |                         |           |  |  |
|------------|--|--|--|----------------------|-----------------|-------|-------------------------|-----------|--|--|
| С          | If you answered "No" to either line 6a or line 6b, the plan cann 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                 | n <b>ot use Fo</b><br>nsurance p           | orm 5500-SF and mus<br>program (see ERISA se | t instea<br>ection 4 | ad use<br>021)? | Forn  | n <b>5500.</b><br>] Yes |           |  |  |
| Pa         | rt III Financial Information   |  |  |                      |                 |       |                         |           |  |  |
| 7          | Plan Assets and Liabilities  |  | (a) Beginning                                | of Year              |                 |       | (b) En                  | d of Year |  |  |
| а          | Total plan assets  | 7a   |  | 54552                |                 | 62583 |                         | 62583     |  |  |
| b          | Total plan liabilities   | 7b   |  |                      |                 |       |                         |           |  |  |
| <u> </u>   | Net plan assets (subtract line 7b from line 7a)  | 7c   | ,  | 54552                |                 | 62583 |                         |           |  |  |
| 8          | Income, Expenses, and Transfers for this Plan Year   |  | (a) Amoun                                    | (a) Amount           |                 |       | (b) Total               |           |  |  |
| a          | Contributions received or receivable from: (1) Employers   | 8a(1)                                      |  | 6753                 |                 |       |                         |           |  |  |
|            | (2) Participants   | 8a(2)                                      |  | 6749                 |                 |       |                         |           |  |  |
|            | (3) Others (including rollovers)   | 8a(3)                                      |  |                      |                 |       |                         |           |  |  |
| <u>b</u>   | Other income (loss)  | 8b   |  | -4350                |                 |       |                         |           |  |  |
|            | Total income (add lines 8a(1), 8a(2), 8a(3), and 8b)   | 8c   |  |                      |                 | 9152  |                         | 9152      |  |  |
| d          | Benefits paid (including direct rollovers and insurance premiums to provide benefits)  | 8d   |  |                      |                 |       |                         |           |  |  |
| <u>e</u>   | Certain deemed and/or corrective distributions (see instructions)  | 8e   |  |                      |                 |       |                         |           |  |  |
|            | Administrative service providers (salaries, fees, commissions)   | 8f   |  | 1121                 | $\dashv$        |       |                         |           |  |  |
| <u>g</u>   | Other expenses   | 8g   |  |                      |                 |       |                         | 4404      |  |  |
| _ <u>n</u> | Total expenses (add lines 8d, 8e, 8f, and 8g)  | 8h   |  |                      |                 |       |                         | 1121      |  |  |
| ÷          | Net income (loss) (subtract line 8h from line 8c)  |  |  |                      |                 |       |                         | 8031      |  |  |
| ,          |  | 8j   |  |                      |                 |       |                         |           |  |  |
|            | Part IV Plan Characteristics   |  |  |                      |                 |       |                         |           |  |  |
|            | 9a If the plan provides pension benefits, enter the applicable pension feature codes from the List of Plan Characteristic Codes in the instructions: 2A 2E 2J 2K 2F 2G 3D  |  |  |                      |                 |       |                         |           |  |  |
| b          | <b>b</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 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? (Do not include transactions reported on line 10a.)  |  |  | 10b                  |                 | X     |                         |           |  |  |
| c          | Was the plan covered by a fidelity bond?   |  |  | 10c                  | X               |       |                         | 20000     |  |  |
| 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                  |                 | Х     |                         |           |  |  |
| f          | f Has the plan failed to provide any benefit when due under the plan?  |  |  |                      |                 | X     |                         |           |  |  |
| 9          | g Did the plan have any participant loans? (If "Yes," enter amount as of year-end.)  |  |  |                      | Χ               |       |                         | 4202      |  |  |
| h          | 2520.101-3.)   | ·<br>· · · · · · · · · · · · · · · · · · · |  | 10h                  |                 | X     |                         |           |  |  |
| i          | If 10h was answered "Yes," check the box if you either provided the exceptions to providing the notice applied under 29 CFR 2520.10  | •  |  | 10i                  |                 |       |                         |           |  |  |

| Form 5500-SF (2018) | Page <b>3-</b> 1 |
|---------------------|------------------|
|                     |                  |

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