# Form 5500

Department of the Treasury
Internal Revenue Service

Department of Labor
Employee Benefits Security Administration

Pension Benefit Guaranty Corporation

## Annual Return/Report of Employee Benefit Plan

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

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

OMB Nos. 1210-0110
1210-0089

**2019**

**This Form is Open to Public Inspection**

## Part I Annual Report Identification Information

For calendar plan year 2019 or fiscal plan year beginning 01/01/2019 and ending 12/31/2019

**A** This return/report is for:
- [ ] a multiemployer plan
- [ ] a multiple-employer plan (Filers checking this box must attach a list of participating employer information in accordance with the form instructions.)
- [X] a single-employer plan
- [ ] a DFE (specify) ____

**B** This return/report is:
- [ ] the first return/report
- [ ] the final return/report
- [ ] an amended return/report
- [ ] a short plan year return/report (less than 12 months)

**C** If the plan is a collectively-bargained plan, check here. . . . . ▶ [ ]

**D** Check box if filing under:
- [X] Form 5558
- [ ] automatic extension
- [ ] the DFVC program
- [ ] special extension (enter description)

## Part II Basic Plan Information—enter all requested information

**1a** Name of plan
THE ROUND ROCK BASEBALL CLUB EMPLOYEES 401(K) PLAN

**1b** Three-digit plan number (PN) ▶ 001

**1c** Effective date of plan 10/01/1999

**2a** Plan sponsor's name (employer, if for a single-employer plan)
Mailing address (include room, apt., suite no. and street, or P.O. Box)
City or town, state or province, country, and ZIP or foreign postal code (if foreign, see instructions)
ROUND ROCK BASEBALL CLUB, LP

3400 E. PALM VALLEY BOULEVARD
ROUND ROCK, TX 78665

**2b** Employer Identification Number (EIN) 77-0646382

**2c** Plan Sponsor's telephone number 512-238-2205

**2d** Business code (see instructions) 711210

**Caution: A penalty for the late or incomplete filing of this return/report will be assessed unless reasonable cause is established.**

Under penalties of perjury and other penalties set forth in the instructions, I declare that I have examined this return/report, including accompanying schedules, statements and attachments, as well as the electronic version of this return/report, and to the best of my knowledge and belief, it is true, correct, and complete.

| | | | |
|---|---|---|---|
| **SIGN HERE** | Filed with authorized/valid electronic signature. | 09/25/2020 | DEBORAH COUGHLIN |
| | **Signature of plan administrator** | Date | Enter name of individual signing as plan administrator |
| **SIGN HERE** | | | |
| | **Signature of employer/plan sponsor** | Date | Enter name of individual signing as employer or plan sponsor |
| **SIGN HERE** | | | |
| | **Signature of DFE** | Date | Enter name of individual signing as DFE |

**3a** Plan administrator's name and address ☐ Same as Plan Sponsor

ROUND ROCK BASEBALL CLUB, LP

3400 E. PALM VALLEY BOULEVARD
ROUND ROCK, TX 78665

**3b** Administrator's EIN: 77-0646382

**3c** Administrator's telephone number: 512-238-2205

**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:
**a** Sponsor's name
**c** Plan Name

**4b** EIN

**4d** PN

| | | |
|---|---|---|
| **5** Total number of participants at the beginning of the plan year | **5** | 162 |
| **6** Number of participants as of the end of the plan year unless otherwise stated (welfare plans complete only lines **6a(1), 6a(2), 6b, 6c,** and **6d**). | | |
| **a(1)** Total number of active participants at the beginning of the plan year | **6a(1)** | 149 |
| **a(2)** Total number of active participants at the end of the plan year | **6a(2)** | 145 |
| **b** Retired or separated participants receiving benefits | **6b** | 0 |
| **c** Other retired or separated participants entitled to future benefits | **6c** | 19 |
| **d** Subtotal. Add lines **6a(2)**, **6b**, and **6c** | **6d** | 164 |
| **e** Deceased participants whose beneficiaries are receiving or are entitled to receive benefits. | **6e** | 0 |
| **f** Total. Add lines **6d** and **6e** | **6f** | 164 |
| **g** Number of participants with account balances as of the end of the plan year (only defined contribution plans complete this item) | **6g** | 120 |
| **h** Number of participants who terminated employment during the plan year with accrued benefits that were less than 100% vested | **6h** | 6 |
| **7** Enter the total number of employers obligated to contribute to the plan (only multiemployer plans complete this item) | **7** | |

**8a** If the plan provides pension benefits, enter the applicable pension feature codes from the List of Plan Characteristics Codes in the instructions:

2E 2F 2G 2J 2K 2T 3B 3D 3H

**b** If the plan provides welfare benefits, enter the applicable welfare feature codes from the List of Plan Characteristics Codes in the instructions:

**9a** Plan funding arrangement (check all that apply)

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

**9b** Plan benefit arrangement (check all that apply)

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

**10** Check all applicable boxes in 10a and 10b to indicate which schedules are attached, and, where indicated, enter the number attached. (See instructions)

**a Pension Schedules**

| | | |
|---|---|---|
| **(1)** | X | **R** (Retirement Plan Information) |
| **(2)** | ☐ | **MB** (Multiemployer Defined Benefit Plan and Certain Money Purchase Plan Actuarial Information) - signed by the plan actuary |
| **(3)** | ☐ | **SB** (Single-Employer Defined Benefit Plan Actuarial Information) - signed by the plan actuary |

**b General Schedules**

| | | | |
|---|---|---|---|
| **(1)** | X | | **H** (Financial Information) |
| **(2)** | ☐ | | **I** (Financial Information – Small Plan) |
| **(3)** | X | 1 | **A** (Insurance Information) |
| **(4)** | X | | **C** (Service Provider Information) |
| **(5)** | X | | **D** (DFE/Participating Plan Information) |
| **(6)** | ☐ | | **G** (Financial Transaction Schedules) |

## Part III Form M-1 Compliance Information (to be completed by welfare benefit plans)

**11a** If the plan provides welfare benefits, was the plan subject to the Form M-1 filing requirements during the plan year? (See instructions and 29 CFR 2520.101-2.) ..... ☐ Yes ☐ No

If "Yes" is checked, complete lines 11b and 11c.

**11b** Is the plan currently in compliance with the Form M-1 filing requirements? (See instructions and 29 CFR 2520.101-2.) ..... ☐ Yes ☐ No

**11c** Enter the Receipt Confirmation Code for the 2019 Form M-1 annual report. If the plan was not required to file the 2019 Form M-1 annual report, enter the Receipt Confirmation Code for the most recent Form M-1 that was required to be filed under the Form M-1 filing requirements. (Failure to enter a valid Receipt Confirmation Code will subject the Form 5500 filing to rejection as incomplete.)

Receipt Confirmation Code_____

# SCHEDULE A (Form 5500)

Department of the Treasury
Internal Revenue Service

Department of Labor
Employee Benefits Security Administration

Pension Benefit Guaranty Corporation

# Insurance Information

This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA).

▶ **File as an attachment to Form 5500.**

▶ Insurance companies are required to provide the information pursuant to ERISA section 103(a)(2).

OMB No. 1210-0110

**2019**

**This Form is Open to Public Inspection**

For calendar plan year 2019 or fiscal plan year beginning 01/01/2019 and ending 12/31/2019

**A** Name of plan
THE ROUND ROCK BASEBALL CLUB EMPLOYEES 401(K) PLAN

**B** Three-digit plan number (PN) ▶ 001

**C** Plan sponsor's name as shown on line 2a of Form 5500
ROUND ROCK BASEBALL CLUB, LP

**D** Employer Identification Number (EIN)
77-0646382

**Part I** **Information Concerning Insurance Contract Coverage, Fees, and Commissions** Provide information for each contract on a separate Schedule A. Individual contracts grouped as a unit in Parts II and III can be reported on a single Schedule A.

**1** Coverage Information:

**(a)** Name of insurance carrier
TRANSAMERICA LIFE INSURANCE COMPANY

| (b) EIN | (c) NAIC code | (d) Contract or identification number | (e) Approximate number of persons covered at end of policy or contract year | Policy or contract year | |
|---|---|---|---|---|---|
| | | | | (f) From | (g) To |
| 39-0989781 | 86231 | 803661 | 120 | 01/01/2019 | 12/31/2019 |

**2** Insurance fee and commission information. Enter the total fees and total commissions paid. List in line 3 the agents, brokers, and other persons in descending order of the amount paid.

| (a) Total amount of commissions paid | (b) Total amount of fees paid |
|---|---|
| 10397 | 1591 |

**3** Persons receiving commissions and fees. (Complete as many entries as needed to report all persons).

**(a)** Name and address of the agent, broker, or other person to whom commissions or fees were paid
LINCOLN FINANCIAL SECURITIES CORPOR

| (b) Amount of sales and base commissions paid | Fees and other commissions paid | | |
|---|---|---|---|
| | (c) Amount | (d) Purpose | (e) Organization code |
| 10397 | | BROKER COMMISSIONS | 3 |

**(a)** Name and address of the agent, broker, or other person to whom commissions or fees were paid
NOVA 401K ASSOCIATES LP

| (b) Amount of sales and base commissions paid | Fees and other commissions paid | | |
|---|---|---|---|
| | (c) Amount | (d) Purpose | (e) Organization code |
| | 1591 | TPA FEES | 5 |

**(a)** Name and address of the agent, broker, or other person to whom commissions or fees were paid

| **(b)** Amount of sales and base commissions paid | Fees and other commissions paid | | **(e)** Organization code |
|---|---|---|---|
| | **(c)** Amount | **(d)** Purpose | |
| | | | |

**(a)** Name and address of the agent, broker, or other person to whom commissions or fees were paid

| **(b)** Amount of sales and base commissions paid | Fees and other commissions paid | | **(e)** Organization code |
|---|---|---|---|
| | **(c)** Amount | **(d)** Purpose | |
| | | | |

**(a)** Name and address of the agent, broker, or other person to whom commissions or fees were paid

| **(b)** Amount of sales and base commissions paid | Fees and other commissions paid | | **(e)** Organization code |
|---|---|---|---|
| | **(c)** Amount | **(d)** Purpose | |
| | | | |

**(a)** Name and address of the agent, broker, or other person to whom commissions or fees were paid

| **(b)** Amount of sales and base commissions paid | Fees and other commissions paid | | **(e)** Organization code |
|---|---|---|---|
| | **(c)** Amount | **(d)** Purpose | |
| | | | |

**(a)** Name and address of the agent, broker, or other person to whom commissions or fees were paid

| **(b)** Amount of sales and base commissions paid | Fees and other commissions paid | | **(e)** Organization code |
|---|---|---|---|
| | **(c)** Amount | **(d)** Purpose | |
| | | | |

## Part II Investment and Annuity Contract Information

Where individual contracts are provided, the entire group of such individual contracts with each carrier may be treated as a unit for purposes of this report.

| | | | |
|---|---|---|---|
| 4 | Current value of plan's interest under this contract in the general account at year end | 4 | 40489 |
| 5 | Current value of plan's interest under this contract in separate accounts at year end | 5 | 3559342 |

6 Contracts With Allocated Funds:

a State the basis of premium rates ▶

| | | | |
|---|---|---|---|
| b | Premiums paid to carrier | 6b | |
| c | Premiums due but unpaid at the end of the year | 6c | |
| d | If the carrier, service, or other organization incurred any specific costs in connection with the acquisition or retention of the contract or policy, enter amount. Specify nature of costs ▶ | 6d | |

e Type of contract: (1) ☐ individual policies (2) ☐ group deferred annuity (3) ☐ other (specify) ▶

f If contract purchased, in whole or in part, to distribute benefits from a terminating plan, check here ▶ ☐

7 Contracts With Unallocated Funds (Do not include portions of these contracts maintained in separate accounts)

a Type of contract: (1) ☐ deposit administration (2) ☐ immediate participation guarantee (3) ☐ guaranteed investment (4) ☒ other ▶ STABLE VALUE OPTION

| | | | | | |
|---|---|---|---|---|---|
| b | Balance at the end of the previous year | | | 7b | 27121 |
| c | Additions: (1) Contributions deposited during the year | 7c(1) | 6893 | | |
| | (2) Dividends and credits | 7c(2) | 0 | | |
| | (3) Interest credited during the year | 7c(3) | 331 | | |
| | (4) Transferred from separate account | 7c(4) | 15341 | | |
| | (5) Other (specify below) | 7c(5) | 21931 | | |
| | ▶ FORFEITURE CREDITS, LOAN REPAYMENTS | | | | |
| | (6) Total additions | | | 7c(6) | 44496 |
| d | Total of balance and additions (add lines **7b** and **7c(6)**) | | | 7d | 71617 |
| e | Deductions: | | | | |
| | (1) Disbursed from fund to pay benefits or purchase annuities during year | 7e(1) | 1567 | | |
| | (2) Administration charge made by carrier | 7e(2) | 0 | | |
| | (3) Transferred to separate account | 7e(3) | 7613 | | |
| | (4) Other (specify below) | 7e(4) | 21948 | | |
| | ▶ FORFEITURE, LOANS, CHECK FEE, TPA LOAN FEE | | | | |
| | (5) Total deductions | | | 7e(5) | 31128 |
| f | Balance at the end of the current year (subtract line **7e(5)** from line **7d**) | | | 7f | 40489 |

## Part III Welfare Benefit Contract Information

If more than one contract covers the same group of employees of the same employer(s) or members of the same employee organizations(s), the information may be combined for reporting purposes if such contracts are experience-rated as a unit. Where contracts cover individual employees, the entire group of such individual contracts with each carrier may be treated as a unit for purposes of this report.

**8** Benefit and contract type (check all applicable boxes)

**a** ☐ Health (other than dental or vision) **b** ☐ Dental **c** ☐ Vision **d** ☐ Life insurance

**e** ☐ Temporary disability (accident and sickness) **f** ☐ Long-term disability **g** ☐ Supplemental unemployment **h** ☐ Prescription drug

**i** ☐ Stop loss (large deductible) **j** ☐ HMO contract **k** ☐ PPO contract **l** ☐ Indemnity contract

**m** ☐ Other (specify) ▶

| | | | | |
|---|---|---|---|---|
| **9** Experience-rated contracts: | | | | |
| **a** Premiums: (1) Amount received | **9a(1)** | | | |
| (2) Increase (decrease) in amount due but unpaid | **9a(2)** | | | |
| (3) Increase (decrease) in unearned premium reserve | **9a(3)** | | | |
| (4) Earned (**(1)** + **(2)** - **(3)**) | | | **9a(4)** | |
| **b** Benefit charges (1) Claims paid | **9b(1)** | | | |
| (2) Increase (decrease) in claim reserves | **9b(2)** | | | |
| (3) Incurred claims (add **(1)** and **(2)**) | | | **9b(3)** | |
| (4) Claims charged | | | **9b(4)** | |
| **c** Remainder of premium: (1) Retention charges (on an accrual basis) -- | | | | |
| (A) Commissions | **9c(1)(A)** | | | |
| (B) Administrative service or other fees | **9c(1)(B)** | | | |
| (C) Other specific acquisition costs | **9c(1)(C)** | | | |
| (D) Other expenses | **9c(1)(D)** | | | |
| (E) Taxes | **9c(1)(E)** | | | |
| (F) Charges for risks or other contingencies | **9c(1)(F)** | | | |
| (G) Other retention charges | **9c(1)(G)** | | | |
| (H) Total retention | | | **9c(1)(H)** | |
| (2) Dividends or retroactive rate refunds. (These amounts were ☐ paid in cash, or ☐ credited.) | | | **9c(2)** | |
| **d** Status of policyholder reserves at end of year: (1) Amount held to provide benefits after retirement | | | **9d(1)** | |
| (2) Claim reserves | | | **9d(2)** | |
| (3) Other reserves | | | **9d(3)** | |
| **e** Dividends or retroactive rate refunds due. (Do not include amount entered in line **9c(2)**.) | | | **9e** | |
| **10** Nonexperience-rated contracts: | | | | |
| **a** Total premiums or subscription charges paid to carrier | | | **10a** | |
| **b** If the carrier, service, or other organization incurred any specific costs in connection with the acquisition or retention of the contract or policy, other than reported in Part I, line 2 above, report amount | | | **10b** | |

Specify nature of costs.

## Part IV Provision of Information

**11** Did the insurance company fail to provide any information necessary to complete Schedule A? ☐ Yes ☒ No

**12** If the answer to line 11 is "Yes," specify the information not provided. ▶

| SCHEDULE C (Form 5500) | Service Provider Information | OMB No. 1210-0110 |
|---|---|---|
| Department of the Treasury<br>Internal Revenue Service<br>Department of Labor<br>Employee Benefits Security Administration<br>Pension Benefit Guaranty Corporation | This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA).<br>▶ **File as an attachment to Form 5500.** | **2019**<br>**This Form is Open to Public Inspection.** |

For calendar plan year 2019 or fiscal plan year beginning 01/01/2019 and ending 12/31/2019

**A** Name of plan
THE ROUND ROCK BASEBALL CLUB EMPLOYEES 401(K) PLAN

**B** Three-digit plan number (PN) ▶ 001

**C** Plan sponsor's name as shown on line 2a of Form 5500
ROUND ROCK BASEBALL CLUB, LP

**D** Employer Identification Number (EIN)
77-0646382

## Part I Service Provider Information (see instructions)

You must complete this Part, in accordance with the instructions, to report the information required for **each person** who received, directly or indirectly, $5,000 or more in total compensation (i.e., money or anything else of monetary value) in connection with services rendered to the plan or the person's position with the plan during the plan year. If a person received **only** eligible indirect compensation for which the plan received the required disclosures, you are required to answer line 1 but are not required to include that person when completing the remainder of this Part.

### 1 Information on Persons Receiving Only Eligible Indirect Compensation

**a** Check "Yes" or "No" to indicate whether you are excluding a person from the remainder of this Part because they received only eligible indirect compensation for which the plan received the required disclosures (see instructions for definitions and conditions).. . . . . [X] Yes [ ] No

**b** If you answered line 1a "Yes," enter the name and EIN or address of each person providing the required disclosures for the service providers who received only eligible indirect compensation. Complete as many entries as needed (see instructions).

**(b)** Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation

TRANSAMERICA LIFE INSURANCE COMPANY

39-0989781

**(b)** Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation

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**2. Information on Other Service Providers Receiving Direct or Indirect Compensation.** Except for those persons for whom you answered "Yes" to line 1a above, complete as many entries as needed to list each person receiving, directly or indirectly, $5,000 or more in total compensation (i.e., money or anything else of value) in connection with services rendered to the plan or their position with the plan during the plan year. (See instructions).

**(a)** Enter name and EIN or address (see instructions)

NOVA 401(K) ASSOCIATES

20-1181458

| (b) Service Code(s) | (c) Relationship to employer, employee organization, or person known to be a party-in-interest | (d) Enter direct compensation paid by the plan. If none, enter -0-. | (e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor) | (f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures? | (g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-. | (h) Did the service provider give you a formula instead of an amount or estimated amount? |
|---|---|---|---|---|---|---|
| 15 37 64 | CONTRACT ADMINISTRATOR | 3435 | Yes [X] No [ ] | Yes [X] No [ ] | 389 | Yes [ ] No [X] |

**(a)** Enter name and EIN or address (see instructions)

TRANSAMERICA LIFE INSURANCE COMPANY

39-0989781

| (b) Service Code(s) | (c) Relationship to employer, employee organization, or person known to be a party-in-interest | (d) Enter direct compensation paid by the plan. If none, enter -0-. | (e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor) | (f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures? | (g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-. | (h) Did the service provider give you a formula instead of an amount or estimated amount? |
|---|---|---|---|---|---|---|
| 15 37 52 62 64 67 | RECORDKEEPER | 568 | Yes [X] No [ ] | Yes [X] No [ ] | 0 | Yes [ ] No [X] |

**(a)** Enter name and EIN or address (see instructions)

| (b) Service Code(s) | (c) Relationship to employer, employee organization, or person known to be a party-in-interest | (d) Enter direct compensation paid by the plan. If none, enter -0-. | (e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor) | (f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures? | (g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-. | (h) Did the service provider give you a formula instead of an amount or estimated amount? |
|---|---|---|---|---|---|---|
| | | | Yes [ ] No [ ] | Yes [ ] No [ ] | | Yes [ ] No [ ] |

**2. Information on Other Service Providers Receiving Direct or Indirect Compensation.** Except for those persons for whom you answered "Yes" to line 1a above, complete as many entries as needed to list each person receiving, directly or indirectly, $5,000 or more in total compensation (i.e., money or anything else of value) in connection with services rendered to the plan or their position with the plan during the plan year. (See instructions).

**(a)** Enter name and EIN or address (see instructions)

| **(b)** Service Code(s) | **(c)** Relationship to employer, employee organization, or person known to be a party-in-interest | **(d)** Enter direct compensation paid by the plan. If none, enter -0-. | **(e)** Did service provider receive indirect compensation? (sources other than plan or plan sponsor) | **(f)** Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures? | **(g)** Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-. | **(h)** Did the service provider give you a formula instead of an amount or estimated amount? |
|---|---|---|---|---|---|---|
| | | | Yes ☐ No ☐ | Yes ☐ No ☐ | | Yes ☐ No ☐ |

**(a)** Enter name and EIN or address (see instructions)

| **(b)** Service Code(s) | **(c)** Relationship to employer, employee organization, or person known to be a party-in-interest | **(d)** Enter direct compensation paid by the plan. If none, enter -0-. | **(e)** Did service provider receive indirect compensation? (sources other than plan or plan sponsor) | **(f)** Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures? | **(g)** Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-. | **(h)** Did the service provider give you a formula instead of an amount or estimated amount? |
|---|---|---|---|---|---|---|
| | | | Yes ☐ No ☐ | Yes ☐ No ☐ | | Yes ☐ No ☐ |

**(a)** Enter name and EIN or address (see instructions)

| **(b)** Service Code(s) | **(c)** Relationship to employer, employee organization, or person known to be a party-in-interest | **(d)** Enter direct compensation paid by the plan. If none, enter -0-. | **(e)** Did service provider receive indirect compensation? (sources other than plan or plan sponsor) | **(f)** Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures? | **(g)** Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-. | **(h)** Did the service provider give you a formula instead of an amount or estimated amount? |
|---|---|---|---|---|---|---|
| | | | Yes ☐ No ☐ | Yes ☐ No ☐ | | Yes ☐ No ☐ |

## Part I Service Provider Information (continued)

**3.** If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

| **(a)** Enter service provider name as it appears on line 2 | **(b)** Service Codes (see instructions) | **(c)** Enter amount of indirect compensation |
|---|---|---|
| | | |
| **(d)** Enter name and EIN (address) of source of indirect compensation | **(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation. | |
| | | |

| **(a)** Enter service provider name as it appears on line 2 | **(b)** Service Codes (see instructions) | **(c)** Enter amount of indirect compensation |
|---|---|---|
| | | |
| **(d)** Enter name and EIN (address) of source of indirect compensation | **(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation. | |
| | | |

| **(a)** Enter service provider name as it appears on line 2 | **(b)** Service Codes (see instructions) | **(c)** Enter amount of indirect compensation |
|---|---|---|
| | | |
| **(d)** Enter name and EIN (address) of source of indirect compensation | **(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation. | |
| | | |

## Part II Service Providers Who Fail or Refuse to Provide Information

**4** Provide, to the extent possible, the following information for each service provider who failed or refused to provide the information necessary to complete this Schedule.

| **(a)** Enter name and EIN or address of service provider (see instructions) | **(b)** Nature of Service Code(s) | **(c)** Describe the information that the service provider failed or refused to provide |
|---|---|---|
| | | |

| **(a)** Enter name and EIN or address of service provider (see instructions) | **(b)** Nature of Service Code(s) | **(c)** Describe the information that the service provider failed or refused to provide |
|---|---|---|
| | | |

| **(a)** Enter name and EIN or address of service provider (see instructions) | **(b)** Nature of Service Code(s) | **(c)** Describe the information that the service provider failed or refused to provide |
|---|---|---|
| | | |

| **(a)** Enter name and EIN or address of service provider (see instructions) | **(b)** Nature of Service Code(s) | **(c)** Describe the information that the service provider failed or refused to provide |
|---|---|---|
| | | |

| **(a)** Enter name and EIN or address of service provider (see instructions) | **(b)** Nature of Service Code(s) | **(c)** Describe the information that the service provider failed or refused to provide |
|---|---|---|
| | | |

| **(a)** Enter name and EIN or address of service provider (see instructions) | **(b)** Nature of Service Code(s) | **(c)** Describe the information that the service provider failed or refused to provide |
|---|---|---|
| | | |

## Part III Termination Information on Accountants and Enrolled Actuaries (see instructions)

(complete as many entries as needed)

| | |
|---|---|
| **a** Name: | **b** EIN: |
| **c** Position: | |
| **d** Address: | **e** Telephone: |

Explanation:

| | |
|---|---|
| **a** Name: | **b** EIN: |
| **c** Position: | |
| **d** Address: | **e** Telephone: |

Explanation:

| | |
|---|---|
| **a** Name: | **b** EIN: |
| **c** Position: | |
| **d** Address: | **e** Telephone: |

Explanation:

| | |
|---|---|
| **a** Name: | **b** EIN: |
| **c** Position: | |
| **d** Address: | **e** Telephone: |

Explanation:

| | |
|---|---|
| **a** Name: | **b** EIN: |
| **c** Position: | |
| **d** Address: | **e** Telephone: |

Explanation:

# SCHEDULE D (Form 5500)

Department of the Treasury
Internal Revenue Service

Department of Labor
Employee Benefits Security Administration

## DFE/Participating Plan Information

This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA).

▶ **File as an attachment to Form 5500.**

OMB No. 1210-0110

**2019**

**This Form is Open to Public Inspection.**

For calendar plan year 2019 or fiscal plan year beginning 01/01/2019 and ending 12/31/2019

**A** Name of plan
THE ROUND ROCK BASEBALL CLUB EMPLOYEES 401(K) PLAN

**B** Three-digit plan number (PN) ▶ 001

**C** Plan or DFE sponsor's name as shown on line 2a of Form 5500
ROUND ROCK BASEBALL CLUB, LP

**D** Employer Identification Number (EIN)
77-0646382

**Part I** **Information on interests in MTIAs, CCTs, PSAs, and 103-12 IEs (to be completed by plans and DFEs)**
(Complete as many entries as needed to report all interests in DFEs)

| | | | |
|---|---|---|---|
| **a** Name of MTIA, CCT, PSA, or 103-12 IE: | AMERICAN FUNDS BALANCED RET OPT | | |
| **b** Name of sponsor of entity listed in (a): | TRANSAMERICA LIFE INSURANCE COMPANY | | |
| **c** EIN-PN 39-0989781-232 | **d** Entity code P | **e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) | 1167 |
| **a** Name of MTIA, CCT, PSA, or 103-12 IE: | T. ROWE PRICE RETIRE 2060 RET | | |
| **b** Name of sponsor of entity listed in (a): | TRANSAMERICA LIFE INSURANCE COMPANY | | |
| **c** EIN-PN 39-0989781-745 | **d** Entity code P | **e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) | 10648 |
| **a** Name of MTIA, CCT, PSA, or 103-12 IE: | T. ROWE PRICE RETIRE2005 RET | | |
| **b** Name of sponsor of entity listed in (a): | TRANSAMERICA LIFE INSURANCE COMPANY | | |
| **c** EIN-PN 39-0989781-480 | **d** Entity code P | **e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) | 18902 |
| **a** Name of MTIA, CCT, PSA, or 103-12 IE: | T. ROWE PRICE RETIRE 2020 RET | | |
| **b** Name of sponsor of entity listed in (a): | TRANSAMERICA LIFE INSURANCE COMPANY | | |
| **c** EIN-PN 39-0989781-483 | **d** Entity code P | **e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) | 23964 |
| **a** Name of MTIA, CCT, PSA, or 103-12 IE: | T. ROWE PRICE RETIRE2055 RET | | |
| **b** Name of sponsor of entity listed in (a): | TRANSAMERICA LIFE INSURANCE COMPANY | | |
| **c** EIN-PN 39-0989781-490 | **d** Entity code P | **e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) | 30615 |
| **a** Name of MTIA, CCT, PSA, or 103-12 IE: | T. ROWE PRICE RETIRE 2010 RET | | |
| **b** Name of sponsor of entity listed in (a): | TRANSAMERICA LIFE INSURANCE COMPANY | | |
| **c** EIN-PN 39-0989781-481 | **d** Entity code P | **e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) | 32331 |
| **a** Name of MTIA, CCT, PSA, or 103-12 IE: | STATE STREET S&P MID CAP INDX | | |
| **b** Name of sponsor of entity listed in (a): | TRANSAMERICA LIFE INSURANCE COMPANY | | |
| **c** EIN-PN 39-0989781-036 | **d** Entity code P | **e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) | 61274 |

**a** Name of MTIA, CCT, PSA, or 103-12 IE: TA VANGUARD SMALL-CAP VAL INDX

**b** Name of sponsor of entity listed in (a): TRANSAMERICA LIFE INSURANCE COMPANY

| **c** EIN-PN | **d** Entity code | **e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) |
|---|---|---|
| 39-0989781-108 | P | 61994 |

**a** Name of MTIA, CCT, PSA, or 103-12 IE: IVY MID CAP GROWTH RET OPT

**b** Name of sponsor of entity listed in (a): TRANSAMERICA LIFE INSURANCE COMPANY

| **c** EIN-PN | **d** Entity code | **e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) |
|---|---|---|
| 39-0989781-515 | P | 63842 |

**a** Name of MTIA, CCT, PSA, or 103-12 IE: DFA EMERGING MARKETS PORTFOLIO

**b** Name of sponsor of entity listed in (a): TRANSAMERICA LIFE INSURANCE COMPANY

| **c** EIN-PN | **d** Entity code | **e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) |
|---|---|---|
| 39-0989781-525 | P | 71648 |

**a** Name of MTIA, CCT, PSA, or 103-12 IE: LORD ABBETT HIGH YIELD RET OPT

**b** Name of sponsor of entity listed in (a): TRANSAMERICA LIFE INSURANCE COMPANY

| **c** EIN-PN | **d** Entity code | **e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) |
|---|---|---|
| 39-0989781-663 | P | 76065 |

**a** Name of MTIA, CCT, PSA, or 103-12 IE: TA VANGUARD SMALL-CAP INDEX RET OPT

**b** Name of sponsor of entity listed in (a): TRANSAMERICA LIFE INSURANCE COMPANY

| **c** EIN-PN | **d** Entity code | **e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) |
|---|---|---|
| 39-0989781-107 | P | 81244 |

**a** Name of MTIA, CCT, PSA, or 103-12 IE: T. ROWE PRICE RETIRE 2015 RET

**b** Name of sponsor of entity listed in (a): TRANSAMERICA LIFE INSURANCE COMPANY

| **c** EIN-PN | **d** Entity code | **e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) |
|---|---|---|
| 39-0989781-482 | P | 85495 |

**a** Name of MTIA, CCT, PSA, or 103-12 IE: T. ROWE PRICE RETIRE 2050 RET

**b** Name of sponsor of entity listed in (a): TRANSAMERICA LIFE INSURANCE COMPANY

| **c** EIN-PN | **d** Entity code | **e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) |
|---|---|---|
| 39-0989781-489 | P | 89902 |

**a** Name of MTIA, CCT, PSA, or 103-12 IE: AB SMALL CAP GROWTH RET OPT

**b** Name of sponsor of entity listed in (a): TRANSAMERICA LIFE INSURANCE COMPANY

| **c** EIN-PN | **d** Entity code | **e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) |
|---|---|---|
| 39-0989781-509 | P | 116196 |

**a** Name of MTIA, CCT, PSA, or 103-12 IE: AMERICAN FUNDS SMALLCAP WORLD

**b** Name of sponsor of entity listed in (a): TRANSAMERICA LIFE INSURANCE COMPANY

| **c** EIN-PN | **d** Entity code | **e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) |
|---|---|---|
| 39-0989781-069 | P | 126362 |

**a** Name of MTIA, CCT, PSA, or 103-12 IE: T. ROWE PRICE RETIRE 2035 RET

**b** Name of sponsor of entity listed in (a): TRANSAMERICA LIFE INSURANCE COMPANY

| **c** EIN-PN | **d** Entity code | **e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) |
|---|---|---|
| 39-0989781-486 | P | 127468 |

**a** Name of MTIA, CCT, PSA, or 103-12 IE: MFS INTERNATIONAL DIVERSIFICATION

**b** Name of sponsor of entity listed in (a): TRANSAMERICA LIFE INSURANCE COMPANY

| **c** EIN-PN 39-0989781-665 | **d** Entity code P | **e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 136540 |
|---|---|---|

**a** Name of MTIA, CCT, PSA, or 103-12 IE: T. ROWE PRICE RETIRE 2025 RET

**b** Name of sponsor of entity listed in (a): TRANSAMERICA LIFE INSURANCE COMPANY

| **c** EIN-PN 39-0989781-484 | **d** Entity code P | **e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 157553 |
|---|---|---|

**a** Name of MTIA, CCT, PSA, or 103-12 IE: T. ROWE PRICE RETIRE 2045 RET

**b** Name of sponsor of entity listed in (a): TRANSAMERICA LIFE INSURANCE COMPANY

| **c** EIN-PN 39-0989781-488 | **d** Entity code P | **e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 159922 |
|---|---|---|

**a** Name of MTIA, CCT, PSA, or 103-12 IE: T. ROWE PRICE RETIREM 2030 RET

**b** Name of sponsor of entity listed in (a): TRANSAMERICA LIFE INSURANCE COMPANY

| **c** EIN-PN 39-0989781-485 | **d** Entity code P | **e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 175538 |
|---|---|---|

**a** Name of MTIA, CCT, PSA, or 103-12 IE: VIRTUS CEREDEX MID-CAP VAL EQUITY

**b** Name of sponsor of entity listed in (a): TRANSAMERICA LIFE INSURANCE COMPANY

| **c** EIN-PN 39-0989781-302 | **d** Entity code P | **e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 197009 |
|---|---|---|

**a** Name of MTIA, CCT, PSA, or 103-12 IE: WMC CORE EQUITY RET OPT

**b** Name of sponsor of entity listed in (a): TRANSAMERICA LIFE INSURANCE COMPANY

| **c** EIN-PN 39-0989781-168 | **d** Entity code P | **e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 206383 |
|---|---|---|

**a** Name of MTIA, CCT, PSA, or 103-12 IE: MORGAN STANLEY GROWTH RET OPT

**b** Name of sponsor of entity listed in (a): TRANSAMERICA LIFE INSURANCE COMPANY

| **c** EIN-PN 39-0989781-166 | **d** Entity code P | **e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 245593 |
|---|---|---|

**a** Name of MTIA, CCT, PSA, or 103-12 IE: PGIM TOTAL RETURN BOND RET OPT

**b** Name of sponsor of entity listed in (a): TRANSAMERICA LIFE INSURANCE COMPANY

| **c** EIN-PN 39-0989781-602 | **d** Entity code P | **e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 301034 |
|---|---|---|

**a** Name of MTIA, CCT, PSA, or 103-12 IE: JPMORGAN EQUITY INCOME RET OPT

**b** Name of sponsor of entity listed in (a): TRANSAMERICA LIFE INSURANCE COMPANY

| **c** EIN-PN 39-0989781-584 | **d** Entity code P | **e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 357750 |
|---|---|---|

**a** Name of MTIA, CCT, PSA, or 103-12 IE: T. ROWE PRICE RETIRE 2040 RET

**b** Name of sponsor of entity listed in (a): TRANSAMERICA LIFE INSURANCE COMPANY

| **c** EIN-PN 39-0989781-487 | **d** Entity code P | **e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 540388 |
|---|---|---|

**a** Name of MTIA, CCT, PSA, or 103-12 IE: AEGON BALANCED RET OPT

**b** Name of sponsor of entity listed in (a): TRANSAMERICA LIFE INSURANCE COMPANY

| **c** EIN-PN 39-0989781-119 | **d** Entity code P | **e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 2515 |
|---|---|---|

**a** Name of MTIA, CCT, PSA, or 103-12 IE:

**b** Name of sponsor of entity listed in (a):

| **c** EIN-PN | **d** Entity code | **e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) |
|---|---|---|

**a** Name of MTIA, CCT, PSA, or 103-12 IE:

**b** Name of sponsor of entity listed in (a):

| **c** EIN-PN | **d** Entity code | **e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) |
|---|---|---|

**a** Name of MTIA, CCT, PSA, or 103-12 IE:

**b** Name of sponsor of entity listed in (a):

| **c** EIN-PN | **d** Entity code | **e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) |
|---|---|---|

**a** Name of MTIA, CCT, PSA, or 103-12 IE:

**b** Name of sponsor of entity listed in (a):

| **c** EIN-PN | **d** Entity code | **e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) |
|---|---|---|

**a** Name of MTIA, CCT, PSA, or 103-12 IE:

**b** Name of sponsor of entity listed in (a):

| **c** EIN-PN | **d** Entity code | **e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) |
|---|---|---|

**a** Name of MTIA, CCT, PSA, or 103-12 IE:

**b** Name of sponsor of entity listed in (a):

| **c** EIN-PN | **d** Entity code | **e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) |
|---|---|---|

**a** Name of MTIA, CCT, PSA, or 103-12 IE:

**b** Name of sponsor of entity listed in (a):

| **c** EIN-PN | **d** Entity code | **e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) |
|---|---|---|

**a** Name of MTIA, CCT, PSA, or 103-12 IE:

**b** Name of sponsor of entity listed in (a):

| **c** EIN-PN | **d** Entity code | **e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) |
|---|---|---|

**a** Name of MTIA, CCT, PSA, or 103-12 IE:

**b** Name of sponsor of entity listed in (a):

| **c** EIN-PN | **d** Entity code | **e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) |
|---|---|---|

## Part II Information on Participating Plans (to be completed by DFEs)

(Complete as many entries as needed to report all participating plans)

| | |
|---|---|
| **a** Plan name | |
| **b** Name of plan sponsor | **c** EIN-PN |

| | |
|---|---|
| **a** Plan name | |
| **b** Name of plan sponsor | **c** EIN-PN |

| | |
|---|---|
| **a** Plan name | |
| **b** Name of plan sponsor | **c** EIN-PN |

| | |
|---|---|
| **a** Plan name | |
| **b** Name of plan sponsor | **c** EIN-PN |

| | |
|---|---|
| **a** Plan name | |
| **b** Name of plan sponsor | **c** EIN-PN |

| | |
|---|---|
| **a** Plan name | |
| **b** Name of plan sponsor | **c** EIN-PN |

| | |
|---|---|
| **a** Plan name | |
| **b** Name of plan sponsor | **c** EIN-PN |

| | |
|---|---|
| **a** Plan name | |
| **b** Name of plan sponsor | **c** EIN-PN |

| | |
|---|---|
| **a** Plan name | |
| **b** Name of plan sponsor | **c** EIN-PN |

| | |
|---|---|
| **a** Plan name | |
| **b** Name of plan sponsor | **c** EIN-PN |

| | |
|---|---|
| **a** Plan name | |
| **b** Name of plan sponsor | **c** EIN-PN |

| | |
|---|---|
| **a** Plan name | |
| **b** Name of plan sponsor | **c** EIN-PN |

| | |
|---|---|
| **a** Plan name | |
| **b** Name of plan sponsor | **c** EIN-PN |

# SCHEDULE H (Form 5500)

Department of the Treasury
Internal Revenue Service

Department of Labor
Employee Benefits Security Administration

Pension Benefit Guaranty Corporation

## Financial Information

This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA), and section 6058(a) of the Internal Revenue Code (the Code).

▶ **File as an attachment to Form 5500.**

OMB No. 1210-0110

**2019**

**This Form is Open to Public Inspection**

For calendar plan year 2019 or fiscal plan year beginning 01/01/2019 and ending 12/31/2019

**A** Name of plan
THE ROUND ROCK BASEBALL CLUB EMPLOYEES 401(K) PLAN

**B** Three-digit plan number (PN) ▶ 001

**C** Plan sponsor's name as shown on line 2a of Form 5500
ROUND ROCK BASEBALL CLUB, LP

**D** Employer Identification Number (EIN)
77-0646382

## Part I Asset and Liability Statement

**1** Current value of plan assets and liabilities at the beginning and end of the plan year. Combine the value of plan assets held in more than one trust. Report the value of the plan's interest in a commingled fund containing the assets of more than one plan on a line-by-line basis unless the value is reportable on lines 1c(9) through 1c(14). Do not enter the value of that portion of an insurance contract which guarantees, during this plan year, to pay a specific dollar benefit at a future date. **Round off amounts to the nearest dollar.** MTIAs, CCTs, PSAs, and 103-12 IEs do not complete lines 1b(1), 1b(2), 1c(8), 1g, 1h, and 1i. CCTs, PSAs, and 103-12 IEs also do not complete lines 1d and 1e. See instructions.

| Assets | | (a) Beginning of Year | (b) End of Year |
|---|---|---|---|
| **a** Total noninterest-bearing cash | 1a | | |
| **b** Receivables (less allowance for doubtful accounts): | | | |
| **(1)** Employer contributions | 1b(1) | 0 | 0 |
| **(2)** Participant contributions | 1b(2) | 0 | 0 |
| **(3)** Other | 1b(3) | 0 | 0 |
| **c** General investments: | | | |
| **(1)** Interest-bearing cash (include money market accounts & certificates of deposit) | 1c(1) | | |
| **(2)** U.S. Government securities | 1c(2) | | |
| **(3)** Corporate debt instruments (other than employer securities): | | | |
| **(A)** Preferred | 1c(3)(A) | | |
| **(B)** All other | 1c(3)(B) | | |
| **(4)** Corporate stocks (other than employer securities): | | | |
| **(A)** Preferred | 1c(4)(A) | | |
| **(B)** Common | 1c(4)(B) | | |
| **(5)** Partnership/joint venture interests | 1c(5) | | |
| **(6)** Real estate (other than employer real property) | 1c(6) | | |
| **(7)** Loans (other than to participants) | 1c(7) | | |
| **(8)** Participant loans | 1c(8) | 282668 | 233060 |
| **(9)** Value of interest in common/collective trusts | 1c(9) | | |
| **(10)** Value of interest in pooled separate accounts | 1c(10) | | |
| **(11)** Value of interest in master trust investment accounts | 1c(11) | | |
| **(12)** Value of interest in 103-12 investment entities | 1c(12) | | |
| **(13)** Value of interest in registered investment companies (e.g., mutual funds) | 1c(13) | 2636379 | 3599831 |
| **(14)** Value of funds held in insurance company general account (unallocated contracts) | 1c(14) | | |
| **(15)** Other | 1c(15) | | |

| | | | (a) Beginning of Year | (b) End of Year |
|---|---|---|---|---|
| **1d** | Employer-related investments: | | | |
| | **(1)** Employer securities | 1d(1) | | |
| | **(2)** Employer real property | 1d(2) | | |
| **e** | Buildings and other property used in plan operation | 1e | | |
| **f** | Total assets (add all amounts in lines 1a through 1e) | 1f | 2919047 | 3832891 |
| | **Liabilities** | | | |
| **g** | Benefit claims payable | 1g | | |
| **h** | Operating payables | 1h | | |
| **i** | Acquisition indebtedness | 1i | | |
| **j** | Other liabilities | 1j | | |
| **k** | Total liabilities (add all amounts in lines 1g through1j) | 1k | | |
| | **Net Assets** | | | |
| **l** | Net assets (subtract line 1k from line 1f) | 1l | 2919047 | 3832891 |

## Part II Income and Expense Statement

**2** Plan income, expenses, and changes in net assets for the year. Include all income and expenses of the plan, including any trust(s) or separately maintained fund(s) and any payments/receipts to/from insurance carriers. Round off amounts to the nearest dollar. MTIAs, CCTs, PSAs, and 103-12 IEs do not complete lines 2a, 2b(1)(E), 2e, 2f, and 2g.

| | Income | | (a) Amount | (b) Total |
|---|---|---|---|---|
| **a** | **Contributions:** | | | |
| | **(1)** Received or receivable in cash from: **(A)** Employers | 2a(1)(A) | 131575 | |
| | **(B)** Participants | 2a(1)(B) | 254220 | |
| | **(C)** Others (including rollovers) | 2a(1)(C) | 17416 | |
| | **(2)** Noncash contributions | 2a(2) | | |
| | **(3)** Total contributions. Add lines **2a(1)(A), (B), (C),** and line **2a(2)** | 2a(3) | | 403211 |
| **b** | **Earnings on investments:** | | | |
| | **(1)** Interest: | | | |
| | **(A)** Interest-bearing cash (including money market accounts and certificates of deposit) | 2b(1)(A) | 0 | |
| | **(B)** U.S. Government securities | 2b(1)(B) | | |
| | **(C)** Corporate debt instruments | 2b(1)(C) | | |
| | **(D)** Loans (other than to participants) | 2b(1)(D) | | |
| | **(E)** Participant loans | 2b(1)(E) | 16976 | |
| | **(F)** Other | 2b(1)(F) | | |
| | **(G)** Total interest. Add lines **2b(1)(A)** through **(F)** | 2b(1)(G) | | 16976 |
| | **(2)** Dividends: **(A)** Preferred stock | 2b(2)(A) | | |
| | **(B)** Common stock | 2b(2)(B) | | |
| | **(C)** Registered investment company shares (e.g. mutual funds) | 2b(2)(C) | 0 | |
| | **(D)** Total dividends. Add lines **2b(2)(A)**, **(B)**, and **(C)** | 2b(2)(D) | | 0 |
| | **(3)** Rents | 2b(3) | | |
| | **(4)** Net gain (loss) on sale of assets: **(A)** Aggregate proceeds | 2b(4)(A) | | |
| | **(B)** Aggregate carrying amount (see instructions) | 2b(4)(B) | | |
| | **(C)** Subtract line **2b(4)(B)** from line **2b(4)(A)** and enter result | 2b(4)(C) | | |
| | **(5)** Unrealized appreciation (depreciation) of assets: **(A)** Real estate | 2b(5)(A) | | |
| | **(B)** Other | 2b(5)(B) | | |
| | **(C)** Total unrealized appreciation of assets. Add lines **2b(5)(A)** and **(B)** | 2b(5)(C) | | |

| | | (a) Amount | (b) Total |
|---|---|---|---|
| **(6)** Net investment gain (loss) from common/collective trusts | 2b(6) | | |
| **(7)** Net investment gain (loss) from pooled separate accounts | 2b(7) | | |
| **(8)** Net investment gain (loss) from master trust investment accounts | 2b(8) | | |
| **(9)** Net investment gain (loss) from 103-12 investment entities | 2b(9) | | |
| **(10)** Net investment gain (loss) from registered investment companies (e.g., mutual funds) | 2b(10) | | 596681 |
| **c** Other income | 2c | | |
| **d** Total income. Add all **income** amounts in column (b) and enter total | 2d | | 1016868 |
| **Expenses** | | | |
| **e** Benefit payment and payments to provide benefits: | | | |
| **(1)** Directly to participants or beneficiaries, including direct rollovers | 2e(1) | 100971 | |
| **(2)** To insurance carriers for the provision of benefits | 2e(2) | 0 | |
| **(3)** Other | 2e(3) | | |
| **(4)** Total benefit payments. Add lines **2e(1)** through **(3)** | 2e(4) | | 100971 |
| **f** Corrective distributions (see instructions) | 2f | | |
| **g** Certain deemed distributions of participant loans (see instructions) | 2g | | 0 |
| **h** Interest expense | 2h | | |
| **i** Administrative expenses: **(1)** Professional fees | 2i(1) | | |
| **(2)** Contract administrator fees | 2i(2) | 2053 | |
| **(3)** Investment advisory and management fees | 2i(3) | | |
| **(4)** Other | 2i(4) | | |
| **(5)** Total administrative expenses. Add lines **2i(1)** through **(4)** | 2i(5) | | 2053 |
| **j** Total expenses. Add all **expense** amounts in column (b) and enter total | 2j | | 103024 |
| **Net Income and Reconciliation** | | | |
| **k** Net income (loss). Subtract line **2j** from line **2d** | 2k | | 913844 |
| **l** Transfers of assets: | | | |
| **(1)** To this plan | 2l(1) | | |
| **(2)** From this plan | 2l(2) | | |

## Part III Accountant's Opinion

**3** Complete lines 3a through 3c if the opinion of an independent qualified public accountant is attached to this Form 5500. Complete line 3d if an opinion is not attached.

**a** The attached opinion of an independent qualified public accountant for this plan is (see instructions):

**(1)** ☐ Unmodified **(2)** ☐ Qualified **(3)** ☒ Disclaimer **(4)** ☐ Adverse

**b** Did the accountant perform a limited scope audit pursuant to 29 CFR 2520.103-8 and/or 103-12(d)? ☒ Yes ☐ No

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

**(1)** Name: NOLEN & ASSOCIATES **(2)** EIN: 46-5473497

**d** The opinion of an independent qualified public accountant is **not attached** because:

**(1)** ☐ This form is filed for a CCT, PSA, or MTIA. **(2)** ☐ It will be attached to the next Form 5500 pursuant to 29 CFR 2520.104-50.

## Part IV Compliance Questions

**4** CCTs and PSAs do not complete Part IV. MTIAs, 103-12 IEs, and GIAs do not complete lines 4a, 4e, 4f, 4g, 4h, 4k, 4m, 4n, or 5. 103-12 IEs also do not complete lines 4j and 4l. MTIAs also do not complete line 4l.

During the plan year:

| | | Yes | No | Amount |
|---|---|---|---|---|
| **a** Was there a failure to transmit to the plan any participant contributions within the time period described in 29 CFR 2510.3-102? Continue to answer "Yes" for any prior year failures until fully corrected. (See instructions and DOL's Voluntary Fiduciary Correction Program.) | 4a | X | | 12154 |
| **b** Were any loans by the plan or fixed income obligations due the plan in default as of the close of the plan year or classified during the year as uncollectible? Disregard participant loans secured by participant's account balance. (Attach Schedule G (Form 5500) Part I if "Yes" is checked.) | 4b | | X | |

| | | | Yes | No | Amount |
|---|---|---|---|---|---|
| c | Were any leases to which the plan was a party in default or classified during the year as uncollectible? (Attach Schedule G (Form 5500) Part II if "Yes" is checked.) | 4c | | X | |
| d | Were there any nonexempt transactions with any party-in-interest? (Do not include transactions reported on line 4a. Attach Schedule G (Form 5500) Part III if "Yes" is checked.) | 4d | | X | |
| e | Was this plan covered by a fidelity bond? | 4e | X | | 500000 |
| f | Did the plan have a loss, whether or not reimbursed by the plan's fidelity bond, that was caused by fraud or dishonesty? | 4f | | X | |
| g | Did the plan hold any assets whose current value was neither readily determinable on an established market nor set by an independent third party appraiser? | 4g | | X | |
| h | Did the plan receive any noncash contributions whose value was neither readily determinable on an established market nor set by an independent third party appraiser? | 4h | | X | |
| i | Did the plan have assets held for investment? (Attach schedule(s) of assets if "Yes" is checked, and see instructions for format requirements.) | 4i | X | | |
| j | Were any plan transactions or series of transactions in excess of 5% of the current value of plan assets? (Attach schedule of transactions if "Yes" is checked, and see instructions for format requirements.) | 4j | X | | |
| k | Were all the plan assets either distributed to participants or beneficiaries, transferred to another plan, or brought under the control of the PBGC? | 4k | | X | |
| l | Has the plan failed to provide any benefit when due under the plan? | 4l | | X | |
| m | If this is an individual account plan, was there a blackout period? (See instructions and 29 CFR 2520.101-3.) | 4m | | X | |
| n | If 4m was answered "Yes," check the "Yes" box if you either provided the required notice or one of the exceptions to providing the notice applied under 29 CFR 2520.101-3. | 4n | | | |

**5a** Has a resolution to terminate the plan been adopted during the plan year or any prior plan year? ☐ Yes ☒ No
If "Yes," enter the amount of any plan assets that reverted to the employer this year _____.

**5b** If, during this plan year, any assets or liabilities were transferred from this plan to another plan(s), identify the plan(s) to which assets or liabilities were transferred. (See instructions.)

| **5b(1)** Name of plan(s) | **5b(2)** EIN(s) | **5b(3)** PN(s) |
|---|---|---|
| | | |
| | | |
| | | |
| | | |

**5c** If the plan is a defined benefit plan, is it covered under the PBGC insurance program (See ERISA section 4021.)? ..... ☐ Yes ☐ No ☐ Not determined
If "Yes" is checked, enter the My PAA confirmation number from the PBGC premium filing for this plan year_____. (See instructions.)

# SCHEDULE R (Form 5500)

Department of the Treasury
Internal Revenue Service

Department of Labor
Employee Benefits Security Administration

Pension Benefit Guaranty Corporation

## Retirement Plan Information

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

▶ **File as an attachment to Form 5500.**

OMB No. 1210-0110

**2019**

**This Form is Open to Public Inspection.**

For calendar plan year 2019 or fiscal plan year beginning 01/01/2019 and ending 12/31/2019

**A** Name of plan
THE ROUND ROCK BASEBALL CLUB EMPLOYEES 401(K) PLAN

**B** Three-digit plan number (PN) ▶ 001

**C** Plan sponsor's name as shown on line 2a of Form 5500
ROUND ROCK BASEBALL CLUB, LP

**D** Employer Identification Number (EIN)
77-0646382

## Part I Distributions

**All references to distributions relate only to payments of benefits during the plan year.**

**1** Total value of distributions paid in property other than in cash or the forms of property specified in the instructions ..... **1** 0

**2** Enter the EIN(s) of payor(s) who paid benefits on behalf of the plan to participants or beneficiaries during the year (if more than two, enter EINs of the two payors who paid the greatest dollar amounts of benefits):

EIN(s): 39-0989781

**Profit-sharing plans, ESOPs, and stock bonus plans, skip line 3.**

**3** Number of participants (living or deceased) whose benefits were distributed in a single sum, during the plan year ..... **3**

## Part II Funding Information (If the plan is not subject to the minimum funding requirements of section 412 of the Internal Revenue Code or ERISA section 302, skip this Part.)

**4** Is the plan administrator making an election under Code section 412(d)(2) or ERISA section 302(d)(2)? ..... ☐ **Yes** ☐ **No** ☐ **N/A**

**If the plan is a defined benefit plan, go to line 8.**

**5** If a waiver of the minimum funding standard for a prior year is being amortized in this plan year, see instructions and enter the date of the ruling letter granting the waiver. **Date:** Month _____ Day _____ Year _____

**If you completed line 5, complete lines 3, 9, and 10 of Schedule MB and do not complete the remainder of this schedule.**

**6** **a** Enter the minimum required contribution for this plan year (include any prior year accumulated funding deficiency not waived) ..... **6a**

**b** Enter the amount contributed by the employer to the plan for this plan year ..... **6b**

**c** Subtract the amount in line 6b from the amount in line 6a. Enter the result (enter a minus sign to the left of a negative amount) ..... **6c**

**If you completed line 6c, skip lines 8 and 9.**

**7** Will the minimum funding amount reported on line 6c be met by the funding deadline? ..... ☐ **Yes** ☐ **No** ☐ **N/A**

**8** If a change in actuarial cost method was made for this plan year pursuant to a revenue procedure or other authority providing automatic approval for the change or a class ruling letter, does the plan sponsor or plan administrator agree with the change? ..... ☐ **Yes** ☐ **No** ☐ **N/A**

## Part III Amendments

**9** If this is a defined benefit pension plan, were any amendments adopted during this plan year that increased or decreased the value of benefits? If yes, check the appropriate box. If no, check the "No" box. ..... ☐ **Increase** ☐ **Decrease** ☐ **Both** ☐ **No**

## Part IV ESOPs (see instructions). If this is not a plan described under section 409(a) or 4975(e)(7) of the Internal Revenue Code, skip this Part.

**10** Were unallocated employer securities or proceeds from the sale of unallocated securities used to repay any exempt loan? ..... ☐ **Yes** ☐ **No**

**11** **a** Does the ESOP hold any preferred stock? ..... ☐ **Yes** ☐ **No**

**b** If the ESOP has an outstanding exempt loan with the employer as lender, is such loan part of a "back-to-back" loan? (See instructions for definition of "back-to-back" loan.) ..... ☐ **Yes** ☐ **No**

**12** Does the ESOP hold any stock that is not readily tradable on an established securities market? ..... ☐ **Yes** ☐ **No**

## Part V Additional Information for Multiemployer Defined Benefit Pension Plans

**13** Enter the following information for each employer that contributed more than 5% of total contributions to the plan during the plan year (measured in dollars). See instructions. *Complete as many entries as needed to report all applicable employers.*

**a** Name of contributing employer

**b** EIN **c** Dollar amount contributed by employer

**d** Date collective bargaining agreement expires *(If employer contributes under more than one collective bargaining agreement, check box* ☐ *and see instructions regarding required attachment. Otherwise, enter the applicable date.)* Month _____ Day _____ Year _____

**e** Contribution rate information *(If more than one rate applies, check this box* ☐ *and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)*
(1) Contribution rate (in dollars and cents) _____
(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify):

---

**a** Name of contributing employer

**b** EIN **c** Dollar amount contributed by employer

**d** Date collective bargaining agreement expires *(If employer contributes under more than one collective bargaining agreement, check box* ☐ *and see instructions regarding required attachment. Otherwise, enter the applicable date.)* Month _____ Day _____ Year _____

**e** Contribution rate information *(If more than one rate applies, check this box* ☐ *and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)*
(1) Contribution rate (in dollars and cents) _____
(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

---

**a** Name of contributing employer

**b** EIN **c** Dollar amount contributed by employer

**d** Date collective bargaining agreement expires *(If employer contributes under more than one collective bargaining agreement, check box* ☐ *and see instructions regarding required attachment. Otherwise, enter the applicable date.)* Month _____ Day _____ Year _____

**e** Contribution rate information *(If more than one rate applies, check this box* ☐ *and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)*
(1) Contribution rate (in dollars and cents) _____
(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

---

**a** Name of contributing employer

**b** EIN **c** Dollar amount contributed by employer

**d** Date collective bargaining agreement expires *(If employer contributes under more than one collective bargaining agreement, check box* ☐ *and see instructions regarding required attachment. Otherwise, enter the applicable date.)* Month _____ Day _____ Year _____

**e** Contribution rate information *(If more than one rate applies, check this box* ☐ *and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)*
(1) Contribution rate (in dollars and cents) _____
(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

---

**a** Name of contributing employer

**b** EIN **c** Dollar amount contributed by employer

**d** Date collective bargaining agreement expires *(If employer contributes under more than one collective bargaining agreement, check box* ☐ *and see instructions regarding required attachment. Otherwise, enter the applicable date.)* Month _____ Day _____ Year _____

**e** Contribution rate information *(If more than one rate applies, check this box* ☐ *and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)*
(1) Contribution rate (in dollars and cents) _____
(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

---

**a** Name of contributing employer

**b** EIN **c** Dollar amount contributed by employer

**d** Date collective bargaining agreement expires *(If employer contributes under more than one collective bargaining agreement, check box* ☐ *and see instructions regarding required attachment. Otherwise, enter the applicable date.)* Month _____ Day _____ Year _____

**e** Contribution rate information *(If more than one rate applies, check this box* ☐ *and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)*
(1) Contribution rate (in dollars and cents) _____
(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

**14** Enter the number of participants on whose behalf no contributions were made by an employer as an employer of the participant for:

| | | |
|---|---|---|
| **a** The current year | **14a** | |
| **b** The plan year immediately preceding the current plan year | **14b** | |
| **c** The second preceding plan year | **14c** | |

**15** Enter the ratio of the number of participants under the plan on whose behalf no employer had an obligation to make an employer contribution during the current plan year to:

| | | |
|---|---|---|
| **a** The corresponding number for the plan year immediately preceding the current plan year | **15a** | |
| **b** The corresponding number for the second preceding plan year | **15b** | |

**16** Information with respect to any employers who withdrew from the plan during the preceding plan year:

| | | |
|---|---|---|
| **a** Enter the number of employers who withdrew during the preceding plan year | **16a** | |
| **b** If line 16a is greater than 0, enter the aggregate amount of withdrawal liability assessed or estimated to be assessed against such withdrawn employers | **16b** | |

**17** If assets and liabilities from another plan have been transferred to or merged with this plan during the plan year, check box and see instructions regarding supplemental information to be included as an attachment. ☐

## Part VI Additional Information for Single-Employer and Multiemployer Defined Benefit Pension Plans

**18** If any liabilities to participants or their beneficiaries under the plan as of the end of the plan year consist (in whole or in part) of liabilities to such participants and beneficiaries under two or more pension plans as of immediately before such plan year, check box and see instructions regarding supplemental information to be included as an attachment ☐

**19** If the total number of participants is 1,000 or more, complete lines (a) through (c)

**a** Enter the percentage of plan assets held as:
Stock: _____% Investment-Grade Debt: _____% High-Yield Debt: _____% Real Estate: _____% Other: _____%

**b** Provide the average duration of the combined investment-grade and high-yield debt:
☐ 0-3 years ☐ 3-6 years ☐ 6-9 years ☐ 9-12 years ☐ 12-15 years ☐ 15-18 years ☐ 18-21 years ☐ 21 years or more

**c** What duration measure was used to calculate line 19(b)?
☐ Effective duration ☐ Macaulay duration ☐ Modified duration ☐ Other (specify):

**20** **PBGC missed contribution reporting requirements.** If this is a multiemployer plan or a single-employer plan that is not covered by PBGC, skip line 20.

**a** Is the amount of unpaid minimum required contributions for all years from Schedule SB (Form 5500) line 40 greater than zero? ☐ Yes ☐ No

**b** If line 20a is "Yes," has PBGC been notified as required by ERISA sections 4043(c)(5) and/or 303(k)(4)? Check the applicable box:

☐ Yes.

☐ No. Reporting was waived under 29 CFR 4043.25(c)(2) because contributions equal to or exceeding the unpaid minimum required contribution were made by the 30th day after the due date.

☐ No. The 30-day period referenced in 29 CFR 4043.25(c)(2) has not yet ended, and the sponsor intends to make a contribution equal to or exceeding the unpaid minimum required contribution by the 30th day after the due date.

☐ No. Other. Provide explanation_____




# THE ROUND ROCK BASEBALL CLUB EMPLOYEES 401(k) PLAN

Financial Statements and Supplemental Schedule
December 31, 2019 and 2018
(With Independent Auditor's Report Thereon)

**The Round Rock Baseball Club Employees 401(k) Plan**
Index to Financial Statements and Supplemental Schedules
December 31, 2019 and 2018


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Nolen & Associates, PLLC
Consultants & Certified Public Accountants

# Independent Auditor's Report

To the Administrative Committee of
The Round Rock Baseball Club Employees 401(k) Plan

## Report on the Financial Statements

We were engaged to audit the accompanying financial statements of The Round Rock Baseball Club Employees 401(k) Plan, which comprise the statements of net assets available for benefits as of December 31, 2019 and 2018, and the related statements of changes in net assets available for benefits for the years then ended, and the related notes to the financial statements.

## Management's Responsibility for the Financial Statements

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

## Auditor's Responsibility

Our responsibility is to express an opinion on these financial statements based on conducting the audits in accordance with auditing standards generally accepted in the United States of America. Because of the matter described in the Basis for Disclaimer of Opinion paragraph, however, we were not able to obtain sufficient appropriate audit evidence to provide a basis for an audit opinion.

## Basis for Disclaimer of Opinion

As permitted by 29 CFR 2520.103-8 of the Department of Labor's Rules and Regulations for Reporting and Disclosure under the Employee Retirement Income Security Act of 1974, the plan administrator instructed us not to perform, and we did not perform, any auditing procedures with respect to the information summarized in Note C, which was certified by Transamerica Retirement Solutions, LLC Emerging Markets, the trustee of the Plan, except for comparing the information with the related information included in the financial statements. We have been informed by the plan administrator that the trustee holds the Plan's investment assets and executes investment transactions. The plan administrator has obtained a certification from the trustee as of and for the years ended December 31, 2019 and 2018, that the information provided to the plan administrator by the trustee is complete and accurate.

## Disclaimer of Opinion

Because of the significance of the matter described in the Basis for Disclaimer of Opinion paragraph, we have not been able to obtain sufficient appropriate audit evidence to provide a basis for an audit opinion. Accordingly, we do not express an opinion on these financial statements.

**Other Matters**

The supplemental schedules of assets held for investment purposes at end of year December 31, 2019 and delinquent participant contributions for the year ended December 31, 2019, are required by the Department of Labor's Rules and Regulations for Reporting and Disclosure under the Employee Retirement Income Security Act of 1974 and are presented for the purpose of additional analysis and is not a required part of the financial statements. Because of the significance of the matter described in the Basis for Disclaimer of Opinion paragraph, we do not express an opinion on the supplemental schedules referred to above.

**Report on Form and Content in Compliance With DOL Rules and Regulations**

The form and content of the information included in the financial statements and supplemental schedules, other than that derived from the information certified by the trustee, have been audited by us in accordance with auditing standards generally accepted in the United States of America and, in our opinion, are presented in compliance with the Department of Labor's Rules and Regulations for Reporting and Disclosure under the Employee Retirement Income Security Act of 1974.

**NOLEN & ASSOCIATES, PLLC**



Austin, Texas
September 22, 2020

**The Round Rock Baseball Club Employees 401(k) Plan**
Statements of Net Assets Available for Benefits
December 31, 2019 and 2018

| | 2019 | 2018 |
|---|---|---|
| ASSETS | | |
| Investments, at fair value | | |
| Pooled separate accounts | $ 3,559,342 | $ 2,609,257 |
| Stable value fund | 40,489 | 27,122 |
| Total investments | 3,599,831 | 2,636,379 |
| Receivables | | |
| Notes receivable from participants | 233,060 | 282,668 |
| Participant contributions receivable | - | 1 |
| Total receivables | 233,060 | 282,669 |
| TOTAL ASSETS | 3,832,891 | 2,919,048 |
| LIABILITIES | | |
| Corrective distributions payable | - | - |
| TOTAL LIABILITIES | - | - |
| NET ASSETS AVAILABLE FOR BENEFITS | $ 3,832,891 | $ 2,919,048 |

See accompanying notes and independent auditor's report.

**The Round Rock Baseball Club Employees 401(k) Plan**
Statement of Changes in Net Assets Available for Benefits
Plan Year Endeded December 31, 2019

| | | |
|---|---|---|
| ADDITIONS: | | |
| Additions to net assets attributable to: | | |
| Investment gain | | |
| Net appreciation in fair value of investments | $ | 596,681 |
| Total investment income | | 596,681 |
| Interest on notes receivable from participants | | 16,976 |
| Contributions | | |
| Participants | | 254,219 |
| Employer | | 110,894 |
| Rollover | | 17,416 |
| Total contributions | | 382,529 |
| Total additions | | 996,186 |
| DEDUCTIONS: | | |
| Distributions and plan expenses: | | |
| Benefits paid to participants | | 73,110 |
| Deemed distributions | | 5,230 |
| Administrative expenses | | 4,003 |
| Total deductions | | 82,343 |
| NET INCREASE | | 913,843 |
| **Net Assets Available for Benefits:** | | |
| BEGINNING OF YEAR | | 2,919,048 |
| END OF YEAR | $ | 3,832,891 |

See accompanying notes and independent auditor's report.

## NOTE A-DESCRIPTION OF PLAN

The following description of The Round Rock Baseball Club Employees 401(k) Plan ("Plan") provides only general information. Participants should refer to the Plan agreement for a more complete description of the Plan's provisions.

The Round Rock Baseball Club, LLC ("the Company" or "RRBC" or "Plan Sponsor") is a sports franchise operating a professional baseball team in Round Rock, Texas. RRBC is the employer of record and provider of employee benefits for its employees. To this end, the Plan has been adopted by RRBC for the benefits of such employees. References in these notes an "employee" shall mean an employee RRBC.

### General

The Plan is a defined contribution profit-sharing plan with 401(k) option covering non-excluded employees of the Company who are at least twenty-one years old and have completed one year of service (as defined by the Plan). The Plan was originally established on October 1, 1999. It is subject to the provisions of the Employee Retirement Income Security Act of 1974 (ERISA).

### Contributions

Each year, participants may contribute the lesser of 90% of their eligible compensation or the maximum amount allowed by law ($19,000 for 2019) of pre-tax and after-tax annual compensation, as defined in the Plan. The Plan allows for participants to contribute pre-tax elective deferrals and Roth elective deferrals. This Plan also allows for catch-up contributions for participants over 50 years of age, ($6,000 for 2019) of pretax annual compensation. Participants may also contribute amounts representing distributions from other qualified defined benefit or contribution plans. The Plan currently offers twenty-eight pooled separate accounts and a stable value fund as investment options for participants.

For each Plan year, the Company, in its sole discretion, may make a discretionary profit-sharing contribution and/or a discretionary matching contribution. The Company's profit-sharing contribution is allocated among all eligible employees who are employed by the Company on the last day of the Plan year and have completed at least 1,000 hours of service during the Plan year. The Company's 2% matching contribution is allocated among all active participants who are contributing to the Plan throughout the Plan year. For the year ended December 31, 2019, the Company made matching contributions totaling $110,894. The Company has the discretion to true-up the Company matching contributions, as December 31, 2019 no true-up was funded to the Plan.

### Participant Accounts

Each participant's account is credited with the participant's contribution and allocations of (a) the Company's contribution and, (b) Plan earnings, and charged with an allocation of administrative expenses. Allocations are based on participant earnings or account balances, as defined. The benefit to which a participant is entitled is the benefit that can be provided from the participant's vested account.

### Notes Receivable from Participants

Participants may borrow from their fund accounts a minimum of $1,000 up to a maximum equal to 50% of the total vest account balance or $50,000, whichever is less. The note receivables are secured by the balance in the participant's account and bear interest at which are commensurate with prevailing rates as determined by the Plan administrator. All notes must be repaid within a specified period of time, not to exceed 60 months, except those that are used for the purchase of a principal residence in which case the note can be extended for a reasonable time, maximum loan term is determined by the Plan administrator.

In most cases, repayment of the note will be made through after-tax payroll deductions. The Plan allows for a maximum of two loans for a participant at any one time.

**Rollovers and Transfers**
Participants who have a balance in another qualified employee benefit plan, simple IRA, and from a traditional IRA, as described in Section 401(a) of the Internal Revenue Code, may transfer or rollover the lump sum values of their account directly into the Plan, provided it meets the requirements of the Internal Revenue Code. In-Plan Roth rollovers contributions are not permitted.

**Vesting**
Participants are immediately vested in their contributions plus actual earnings thereon. Vesting in the Company's contribution portion of their accounts plus actual earnings thereon is based on years of continuous service.

A participant is 100% vested after five years of credited service as summarized as follows:

| Years of Service | Vested Percentage |
|---|---|
| Less than 1 year | 0% |
| 1 but less than 2 years | 20% |
| 2 but less than 3 years | 40% |
| 3 but less than 4 years | 60% |
| 4 but less than 5 years | 80% |
| 5 years or more | 100% |

**Payment of Benefits**
Benefits become available to participants on the earliest of four events: (1) termination of employment, (2) death of the participant (benefits are payable to the participant's spouse or beneficiary), (3) upon the participant's retirement, or (4) disability. Benefits are payable as lump sums, rollover distributions, or installment distributions.

**Individual Account (including rollovers)**
Terminating employees with vested account balances (including rollovers) below $1,000 will automatically be paid out.

If the participant is terminated and the vested balance exceeds $1,000, but is less than $5,000, the Company will direct the balance to be paid. If the participant has not provided distribution instructions, the balance will be distributed to an individual retirement account established in the participant name. If the participants vested account balance exceeds $5,000, the participant's benefits will not be distributed until the participant requests payment from the Plan Administrator. The benefits can be left in the plan until the participant retires. However, the participant is required to begin taking minimum distributions no later than April 1 of the calendar year following the calendar year the participant turns 70½ or terminates employment, whichever is later. In-service withdrawals are permitted after age 59½.

On termination of service due to death prior to retirement, 100% of the Company contributions become immediately vested. If the vested balance is less than $5,000, the beneficiary will receive a lump sum payment of the entire balance unless the beneficiary elects for the distribution to be directly rolled into IRA. If the vested balance exceeds $5,000 and is not subject to Retirement Equity Act (REA), the beneficiary will receive the money in periodic payments from an insurance company, unless a special form is signed. These periodic payments will be made on a monthly basis. If the vested balance exceeds $5,000 and is subject to REA, the beneficiary will receive benefits in one of the following forms of distributions, lump sum, installment payments, or annuity contract.

Upon the participant reaching the normal retirement age of 65, benefits will be provided as described below at the option of the participant. The participant may defer benefit payments after reaching the normal retirement age of 65 if the participant's vested benefit in the Plan does not exceed $5,000. Benefits must start being paid by April 1 following the calendar year in which a participant reaches age of 70½ (for participants defined over 5% owners) or the calendar year in which they retire, if later (available only for participants that do not qualify as over 5% owners).

If the participant becomes disabled and is eligible for Social Security disability benefits or is determined disabled by a physician selected by the Plan Administrator, the full value of the participant's account becomes 100% vested.

**Eligible Rollover Distributions**
Payments from the plan that are eligible rollover distributions may be taken in two ways: (1) paid in a direct rollover to an individual retirement account or another eligible retirement plan, (2) paid to the participant. If the participant elects to have plan benefits paid directly to the participant, only 80% is paid as the Plan Administrator is required to withhold 20% of the payment for income tax withholding.

If the participant account balance exceeds $1,000, but is less than $5,000, the participant may request the benefits which are paid in a lump sum payment or direct rollover to a traditional IRA. If the balance exceeds $5,000, the benefits are paid in the form of an annuity or elect for different payment method.

If at least one of the following events has occurred for a qualified distribution: (1) employee attains age 59½, (2) death of participant, or (3) long-term disability, the entire amount of the Roth Deferral account, including investment earnings, will be distributed to the participant tax-free if the qualification distribution rule is satisfied.

**Forfeited Accounts**
At December 31, 2019 and 2018, forfeited non-vested accounts totaled $1,164 and $1,196, respectively. These accounts may be used to reduce future Plan administrative expenses and employer contributions. In 2019, $1,950 of forfeited non-vested account balances were utilized to pay Plan administrative expenses.

**Distributions During Employment**
As a general rule, participant's contributions will remain in the Plan as long as the participant remains employed by the Company. The Plan does provide exceptions to this rule for withdrawals of the participant's contributions under certain circumstances (subject to the satisfaction of the Plan Administrator) that include the following:

- Medical expenses
- Purchase of a principal residence
- Tuition, related educational fees and room and board
- Payments necessary to prevent the eviction of the participant from the participant's principal residence or foreclosure
- Funeral expenses
- Certain repairs of participant's principal residence

**Plan Expenses**
The expenses of operating and maintaining the Plan have been paid by the Company and through utilization of forfeited accounts. In the event the Company does not continue to pay the Plan expenses, the Plan expenses will be paid by the Plan and charged on a pro-rata basis to the value of the participants account balances.

**NOTE B-SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES**

**Basis of Accounting**
The financial statements of the Plan are prepared under the accrual method of accounting in accordance with accounting principles generally accepted in the United States of America ("GAAP"). Investments are presented at fair value in accordance with GAAP as prescribed for defined contribution plans.

**Estimates**
The preparation of financial statements in conformity with accounting principles generally accepted in the United States of America requires the plan administrator to make estimates and assumptions that affect certain reported amounts and disclosures. Accordingly, actual results may differ from those estimates.

**Income Recognition**
The Plan presents in the statement of changes in net assets available for benefits the net appreciation or depreciation in the fair value of its investments, which consists of realized gains or losses and the unrealized appreciation or depreciation on those investments. Purchases and sales of securities are recorded on a settlement date basis. Interest income is recorded on the accrual basis. Dividends are recorded on the ex-dividend date.

**Investment Valuation**
Pooled separate accounts are reflected in the accompanying statements of net assets available for benefits at their estimated fair values. Fair value at December 31, 2019 and 2018, as determined by the Trustee, is based primarily on the quoted market prices of the underlying securities. The Stable Value Fund is valued at contract value, which approximates fair value, as determined by the Trustee. Because of the inherent uncertainty of these valuations, the estimated values may differ from the actual fair values that may or may not be ultimately realized.

**Certified Investments**
Certain information related to investments and notes receivable from participants disclosed in the accompanying financial statements and supplemental schedule, including investments and notes receivable from participants held at December 31, 2019 and 2018 and net appreciation and depreciation in fair value of investments, interest and dividends for the year ended December 31, 2019, was obtained or derived from information supplied to the plan administrator and certified as complete and accurate by Transamerica Retirement Solutions, LLC Emerging Markets (the trustee of the Plan).

**Notes Receivable from Participants**
Notes receivable from participants are measured at their unpaid balance plus any accrued but unpaid interest. No allowances for credit losses have been recorded as of December 31, 2019 and 2018. Delinquent participant loans are classified as deemed distributions based upon the terms of the plan document. For the year ended December 31, 2019, $16,976 was recorded as interest income on notes receivable from participants in Statement of Changes in Net Assets Available for the Benefits.

**Payment of Benefits**
Benefits are recorded when paid.

**Administrative Expenses**
Certain administrative expenses, including legal and accounting, are paid by the Plan Sponsor and, accordingly, are not reflected in the accompanying financial statements of the Plan. Certain transaction processing fees are charged to the participants and, therefore, are reflected in the accompanying statement of changes in net assets available for benefits as administrative expenses.

**Excess Contribution Refunds**
Excess contributions are related to participant's accounts that were overfunded in the Plan year, which would be subsequently paid to the participants by the Plan in following Plan year. These amounts are reported as excess contribution refunds in the statements of net assets available for benefits. As of December 31, 2019 and 2018, the Plan had no excess contribution refunds.

**Deemed Distributions**
Deemed distributions are recorded when a participant defaults on repayment of an outstanding notes receivables the Plan. The Plan reports these amounts separately from benefits paid to participants in Statement of Changes in Net Assets Available for Benefits. As of December 31, 2019, the deemed distributions from delinquent participant loans was $5,230.

**New Accounting Pronouncement**
The Plan evaluated all new accounting pronouncements in relation the Plan's financial statements for years ended December 31, 2019.

In August 2018, Financial Accounting Standards Board ("FASB) issued ASU 2018-13, *Changes to the Disclosure Requirements for Fair Value Measurement*. The accounting pronouncement eliminates certain disclosures of the amount of and reasons for transfers between Level 1 and 2, policy of timing of transfers between various Levels, the valuation policies and procedures for Level 3 measurements, and the changes in unrealized gains and losses for the period included in earnings for recurring Level 3 fair value measurements.

Amended disclosures for Level 3 rollforward for purchases/sales and transfers into and out of Level 3 instead of rollforward. For investments in certain companies that calculate net asset value, the timing of liquidation of investee's assets, and the date when restrictions from redemption might lapse.

Measurement uncertainty- communicate information about uncertainty in measurement as of the reporting date. The term at a minimum is removed from the disclosure requirements to make it clear that materiality and discretion are appropriate considerations. The Plan will adopt ASU 2018-13 for all reporting periods beginning after December 15, 2019.

No new accounting pronouncements were adopted during 2019.

**Subsequent Events**
The Plan evaluates events that occur subsequent to the statement of net assets available for benefits date of periodic reports, but before financial statements are issued for periods ending on such statement of net assets available for benefits dates, for possible adjustment to such financial statements or other disclosure. This evaluation generally occurs through the date at which the Plan's financial statements are electronically prepared for filing with Department of Labor's Rules and Regulations for Reporting and Disclosure under the Employee Retirement Income Security Act of 1974. For the financial statements as of and for the year ending December 31, 2019, this date was September 22, 2020.

**NOTE C-INVESTMENTS (UNAUDITED)**

The Plan Administrator has elected the method of annual reporting compliance permitted by 29 CFR 2520.103-8 of the Department of Labor Rules and Regulations for Reporting and Disclosure under ERISA. Accordingly, Transamerica Retirement Solutions, LLC Emerging Markets, the trustee of the Plan, has certified that the following data included in the accompanying financial statements and supplemental schedule is complete and accurate:

a. Investments, as shown in the Statements of Net Assets Available for Benefits, as of December 31, 2019 and 2018.
b. Net appreciation/depreciation in fair value of investments, as shown in the Statement of Changes in Net Assets Available for Benefits, for the year ended December 31, 2019.
c. The Schedule of Assets Held for Investment Purposes at End of Year as of December 31, 2019, as shown in the attached schedule at page 15.

The Plan's independent public accountants did not perform auditing procedures with respect to this information, except for comparing such information to the related information included in the financial statements and supplemental schedule.

The Plan's Stable Value Fund is a separately managed account within the Plan's trust managed by Transamerica Retirement Solutions, LLC Emerging Markets, whereby the Plan owns the Stable Value Fund's underlying investment.

The Stable Value Fund is a synthetic guaranteed investment contract which is designed to deliver intermediate bond-like returns, with less volatility, while providing risks similar-to that of a money market fund. The crediting rate is adjusted semiannually. The average yield for the Stable Value Fund for the year ended December 31, 2019 was 0.84%. The Stable Value Fund is designed to pay all participant-initiated transactions at contract value.

**NOTE D-FAIR VALUE MEASUREMENTS**

ASC Topic 820, Fair Value Measurement and Disclosures, defines fair value as the exchange price that would be received for an asset or paid to transfer a liability (an exit price) in the principal or most advantageous market for the asset or liability in an orderly transaction between market participants on the measurement date. This topic also establishes a fair value hierarchy which requires classification based on observable and unobservable inputs when measuring fair value.

The fair value hierarchy distinguishes between assumptions based on market data (observable inputs) and an entity's own assumptions (unobservable inputs). The hierarchy consists of three levels:

Level one — Inputs to the valuation methodology are quoted prices (unadjusted) in active markets for identical assets or liabilities that the Plan can access at the measurement date;
Level two — Inputs other than quote prices included within Level 1 that are observable for the asset or liability, either directly or indirectly, such as:

- Quoted prices for similar assets or liabilities in active markets
- Quoted prices for identical or similar assets or liabilities in inactive markets
- Inputs other than quoted prices that are observable for the asset or liability
- Inputs that are derived principally from or corroborated by observable market data by correlation or other means.

Level three — Inputs that are unobservable inputs for the asset or liability.

Following is a description of the valuation methodologies used for the assets measured at fair value. There have been no changes in the methodologies used at December 31, 2019 and 2018.

Pooled separate accounts. Valued at the daily closing price as reported by the underlying mutual fund investments. Mutual funds held by the Pooled Separate Accounts are open-end mutual funds that are registered with U.S. Securities and Exchange Commission. These funds are required to publish their daily net asset value and to transact at that price. The Plan uses the net asset value of the underlying mutual funds as a practical expedient for valuation of the pooled separate accounts, however they are not deemed to be actively traded.

The following table presents the assets and liabilities that are measured at fair value on a recurring basis by level within the fair value hierarchy as reported on the statements of net assets available for benefits at December 31, 2019 and 2018. Financial assets and liabilities are classified in their entirety based on the lowest level of input that is significant to the fair value measurement.

| | **Fair Value Measurements at Reporting Date Using:** | | | |
|---|---|---|---|---|
| | **December 31, 2019** | **Quoted Prices in Active Markets for Identical Assets (Level 1)** | **Significant Other Observable Inputs (Level 2)** | **Significant Unobservable Inputs (Level 3)** |
| **Investments:** | | | | |
| Pooled separate accounts | $ 3,559,342 | $ - | $ 3,559,342 | $ - |
| Total investments | $ 3,559,342 | $ - | $ 3,559,342 | $ - |

| | Fair Value Measurements at Reporting Date Using: | | | |
|---|---|---|---|---|
| | December 31, 2018 | Quoted Prices in Active Markets for Identical Assets (Level 1) | Significant Other Observable Inputs (Level 2) | Significant Unobservable Inputs (Level 3) |
| **Investments:** | | | | |
| Pooled separate accounts | $ 2,609,257 | $ - | $ 2,609,257 | $ - |
| Total investments | $ 2,609,257 | $ - | $ 2,609,257 | $ - |

The investment securities are reported at fair value utilizing Level 2 inputs. The prices for these instruments are obtained through the Plan Trustee with whom the Company has historically transacted both purchases and sales of investment securities. Prices obtained from these sources include market quotations and matrix pricing. The fair value measurements consider observable data that may include market quotes, market spreads, and cash flows, among other things.

Management reviews the data and assumptions used in pricing the securities by its third-party providers to ensure the lowest level of significant input is market observable data.

**Transfers between Levels:**
For the years ended December 31, 2019 and 2018, there were no transfers between Level 1 and 2 and no transfers in or out of Level 3.

## NOTE E-NONPARTICIPANT-DIRECTED INVESTMENTS

The Plan's participants directed all investments. There are no non-participant directed investments as of December 31, 2019 and 2018.

## NOTE F-RELATED PARTY TRANSACTIONS

Certain Plan expenses for administrative fees and other charges from the Plan's record keeper can be paid on behalf of the Plan. The Company paid certain Plan expenses totaling $10,250 during 2019 for administrative fees and other charges from third party service providers.

## NOTE G-PLAN TERMINATION

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

## NOTE H-TAX STATUS

The prototype plan sponsor has obtained an opinion letter dated March 31, 2014 in which the IRS states that the restated prototype plan document was in compliance with applicable requirements of the Internal Revenue Code (IRC). The plan administrator timely adopted the restated prototype plan. The plan administrator believes that the plan is currently being operated in accordance with the Internal Revenue Code. Therefore, no provision for income taxes has been included in the Plan's financial statements.

GAAP requires Plan management to evaluate tax positions taken by the Plan and recognizes a tax liability (or asset) if the Plan has taken an uncertain position that more likely than not would be sustained upon examination by the applicable authorities. The Plans is subject to routine audits by taxing jurisdictions; however, there are currently no audits for any tax periods in progress. The plan administrator believes it is no longer subject to income examination for the year prior to 2017.

## NOTE I-FIDELITY BOND

The Plan was covered by a fidelity bond which automatically increases that Limit of Liability to equal the amount required under ERISA at the beginning of the Insured Plan's fiscal year or $500,000, whichever is less during 2019. As of December 31, 2019, 10% of plan assets were approximately $383,000 and as result the Company was in compliance with the ERISA bonding requirements.

## NOTE J-PROHIBITED TRANSACTIONS

During the 2019 Plan year, the Plan Sponsor failed to remit certain participant contributions and participant loan repayments in a timely manner. The Plan Sponsor identified three instances for a total of $9,599 in participant contributions and one participant loan repayment for $2,555 were remitted to the Plan in violation of Department of Labor (DOL) regulations. A total loss of earnings of $14 was remitted to the Plan on December 10, 2019 for late remittances. The Plan Sponsor corrected the delinquent late remittances prior to the year ended December 31, 2019. The Plan Sponsor does not intend to enter into the DOL's Voluntary Fiduciary Correction Program as the funding of lost earnings was completed prior to December 31, 2019.

## NOTE K-RECONCILIATION OF FINANCIAL STATEMENTS TO FORM 5500

The following is a reconciliation of net assets available for benefits per the financial statements to the Form 5500:

| | 2019 | 2018 |
|---|---|---|
| Net assets available for benefits per financial statements | $ 3,832,891 | $ 2,919,048 |
| Deduct: Participant contribution receivable prior year | - | (1) |
| Net assets available for benefits per Form 5500 | $ 3,832,891 | $ 2,919,047 |

The following is a reconciliation of additions for benefits per the financial statements to the Form 5500:

| | |
|---|---|
| Additions per financial statements | $ 996,186 |
| Add: Participant contributions from prior year | 1 |
| Add: Employer contributions from current year | 20,681 |
| Additions per Form 5500 | $ 1,016,868 |

The following is a reconciliation of deductions per the financial statements to the distributions of deductions per Form 5500:

| | | |
|---|---|---|
| Deductions per financial statements | $ | 82,343 |
| Deduct: Deemed distributions | | (5,230) |
| Add: Benefits paid to participants from current year | | 27,861 |
| Deduct: Administrative expenses to the current year | | (1,950) |
| Deductions per Form 5500 | $ | 103,024 |

**NOTE L-SUBSEQUENT EVENTS OR RISKS AND UNCERTAINTIES**

**Impact of COVID-19:**
The 2019 novel coronavirus (or "COVID-19") has adversely affected, and may continue to adversely affect economic activity globally, nationally and locally. Following the COVID-19 outbreak in January 2020, the values of investment securities have declined significantly and in recent months the markets have had recent rebounds due to volatility of the markets. These economic and market conditions and other effects on COVID-19 outbreak may continue to adversely affect the Plan due to continual market volatility. The extent of the adverse impact of the COVID-19 outbreak on the Plan's participants' account balances and the amounts reported in the 2019 Statement of Net Assets Available for Benefits cannot be predicted at this time.

**Partial Plan Termination:**
In 2020, the Company downsized its operations due to COVID-19 which depending on relief from the Government, the Plan may result in a partial termination. Assuming the Plan is determined to have a partial termination during 2020, management's estimates the following: 38 participants of which 7 participants have taken distributions from the Plan in approximately $484,000 in the current year. Approximately, $672,000 remains payable to the affected participants. The Plan will continue to assess the impact of the partial plan termination through year-ended December 31, 2020. If at December 31, 2020, the Government has not determined relief, all participants affected by the partial plan termination will become fully vested in participant accounts.

**Suspension of Discretionary Employer Match:**
On April 1, 2020, the Company suspended the discretionary employer match of 2% as result of the COVID-19 outbreak. The Company will continue to evaluate the situation through 2020 as result of the pandemic continues.

**The Round Rock Baseball Club Employees 401(k) Plan**

Schedule of Assets Held for Investment Purposes at End of Year

Schedule H, Part IV, Line 4i

December 31, 2019

| (a) | (b) Identity of Issuer, Borrower, Lesser of Similar Party | (c) Description of Investment including Maturity Date, Rate of Interest, Collateral, Par of Maturity Value | (d) Cost | (e) Current Value |
|---|---|---|---|---|
| | **Stable Value Fund** | | | |
| * | Transamerica Insurance Company | Transamerica Stable Value Fund | ** | $ 40,489 |
| | **Pooled Separate Accounts** | | | |
| * | Transamerica Insurance Company | AB Small Cap Growth | ** | 116,196 |
| * | Transamerica Insurance Company | Aegon Balanced | ** | 2,515 |
| * | Transamerica Insurance Company | American Funds Balanced | ** | 1,167 |
| * | Transamerica Insurance Company | American Funds Small Cap World | ** | 126,362 |
| * | Transamerica Insurance Company | DFA Emerging Markets Portfolio | ** | 71,648 |
| * | Transamerica Insurance Company | Ivy Mid Cap Growth | ** | 63,842 |
| * | Transamerica Insurance Company | JP Morgan Equity Income | ** | 357,750 |
| * | Transamerica Insurance Company | Lord Abbett High Yield | ** | 76,065 |
| * | Transamerica Insurance Company | MFS Intl Diversification | ** | 136,540 |
| * | Transamerica Insurance Company | Morgan Stanley Growth | ** | 245,593 |
| * | Transamerica Insurance Company | Prudential Total Return Bond | ** | 301,034 |
| * | Transamerica Insurance Company | State Street S&P Mid Cap Index | ** | 61,274 |
| * | Transamerica Insurance Company | T. Rowe Price Retirement 2005 | ** | 18,902 |
| * | Transamerica Insurance Company | T. Rowe Price Retirement 2010 | ** | 32,331 |
| * | Transamerica Insurance Company | T. Rowe Price Retirement 2015 | ** | 85,495 |
| * | Transamerica Insurance Company | T. Rowe Price Retirement 2020 | ** | 23,964 |
| * | Transamerica Insurance Company | T. Rowe Price Retirement 2025 | ** | 157,553 |
| * | Transamerica Insurance Company | T. Rowe Price Retirement 2030 | ** | 175,538 |
| * | Transamerica Insurance Company | T. Rowe Price Retirement 2035 | ** | 127,468 |
| * | Transamerica Insurance Company | T. Rowe Price Retirement 2040 | ** | 540,388 |
| * | Transamerica Insurance Company | T. Rowe Price Retirement 2045 | ** | 159,922 |
| * | Transamerica Insurance Company | T. Rowe Price Retirement 2050 | ** | 89,902 |
| * | Transamerica Insurance Company | T. Rowe Price Retirement 2055 | ** | 30,615 |
| * | Transamerica Insurance Company | T. Rowe Price Retirement 2060 | ** | 10,648 |
| * | Transamerica Insurance Company | TA Vanguard Small Cap Index | ** | 81,244 |
| * | Transamerica Insurance Company | TA Vanguard Small Cap Value Index | ** | 61,994 |
| * | Transamerica Insurance Company | Virtus Cerdex Mid Cap Value Equity | ** | 197,009 |
| * | Transamerica Insurance Company | WMC Core Equity | ** | 206,383 |
| | | | | 3,559,342 |
| * | **Notes Receivable from Participants** | Interest Rates 5.25% - 7.5% | ** | 233,060 |
| | Total Assets Held for Investment Purposes | | | $ 3,832,891 |

* Party-in-interest

** Self-directed investment

**The Round Rock Baseball Club Employees 401(k) Plan**

Schedule of Delinquent Participant Contributions for the Year Ended

Schedule H, Part IV, Line 4a

December 31, 2019

| Participant Contributions Transferred Late to the Plan | Participant Loan Repayments Late to the Plan | Lost Earnings Remitted to the Plan | Contributions Not Corrected | Contributions Corrected Outside Voluntary Fiduciary Correction Program | Contributions Pending Correction in Voluntary Fiduciary Correction Program | Total Fully Corrected Under Voluntary Fiduciary Correction Program and Prohibited Transaction Exemption 2002-51 |
|---|---|---|---|---|---|---|
| $ 485 | $ - | $ 0.52 | $ - | $ 0.52 | $ - | $ - |
| $ 8,527 | $ 2,555 | $ 10.88 | $ - | $ 10.88 | $ - | $ - |
| $ 587 | $ - | $ 2.95 | $ - | $ 2.95 | $ - | $ - |

**The Round Rock Baseball Club Employees 401(k) Plan**
Schedule of Reportable Transactions for the Year Ended
Schedule H, Part IV, Line 4j
December 31, 2019

| Identify of Party | Description of Asset | Number of Transactions | Purchase Price | Number of Transactions | Selling Price | Cost | Net Gain (Loss) |
|---|---|---|---|---|---|---|---|
| Amercian Funds SmallCap World Ret Opt | Pooled Separate | 1 | $ 151,693 | 0 | $ - | $ - | $ - |
| JP Morgan Equity Income Ret Opt | Pooled Separate | 1 | $ 318,752 | 0 | $ - | $ - | $ - |
| Morgan Stanley Growth Ret Opt | Pooled Separate | 1 | $ 262,602 | 0 | $ - | $ - | $ - |
| Prudential Total Return Bond Ret Opt | Pooled Separate | 1 | $ 300,614 | 0 | $ - | $ - | $ - |
| TA Vanguard Small-Cap Index Ret Opt | Pooled Separate | 1 | $ 162,928 | 0 | $ - | $ - | $ - |
| WMC Core Equity Ret Opt | Pooled Separate | 1 | $ 179,687 | 0 | $ - | $ - | $ - |
| Invesco Diversified Divident Ret Opt | Pooled Separate | 0 | $ - | 1 | $ 323,972 | $ 313,699 | $ 10,273 |
| Lord Abbott Total Return Rep Opt | Pooled Separate | 0 | $ - | 1 | $ 276,546 | $ 268,698 | $ 7,848 |
| Oakmark International Ret Opt | Pooled Separate | 0 | $ - | 1 | $ 154,408 | $ 149,537 | $ 4,871 |
| Oppenheimer International Growth Ret Opt | Pooled Separate | 0 | $ - | 1 | $ 148,211 | $ 140,601 | $ 7,610 |
| Pioneer Fundemental Growth Ret Opt | Pooled Separate | 0 | $ - | 1 | $ 273,015 | $ 261,498 | $ 11,517 |
| Prudential Jenn Mid Cap Growth Ret Opt | Pooled Separate | 0 | $ - | 1 | $ 180,496 | $ 176,656 | $ 3,840 |
| SSgA Russell Small Cap Index Ret Opt | Pooled Separate | 0 | $ - | 1 | $ 162,576 | $ 159,428 | $ 3,148 |

**The Round Rock Baseball Club Employees 401(k) Plan**
Schedule of Reportable Transactions for the Year Ended
Schedule H, Part IV, Line 4j
December 31, 2019

| Identify of Party | Description of Asset | Number of Transactions | Purchase Price | Number of Transactions | Selling Price | Cost | Net Gain (Loss) |
|---|---|---|---|---|---|---|---|
| Amercian Funds SmallCap World Ret Opt | Pooled Separate | 1 | $ 151,693 | 0 | $ - | $ - | $ - |
| JP Morgan Equity Income Ret Opt | Pooled Separate | 1 | $ 318,752 | 0 | $ - | $ - | $ - |
| Morgan Stanley Growth Ret Opt | Pooled Separate | 1 | $ 262,602 | 0 | $ - | $ - | $ - |
| Prudential Total Return Bond Ret Opt | Pooled Separate | 1 | $ 300,614 | 0 | $ - | $ - | $ - |
| TA Vanguard Small-Cap Index Ret Opt | Pooled Separate | 1 | $ 162,928 | 0 | $ - | $ - | $ - |
| WMC Core Equity Ret Opt | Pooled Separate | 1 | $ 179,687 | 0 | $ - | $ - | $ - |
| Invesco Diversified Divident Ret Opt | Pooled Separate | 0 | $ - | 1 | $ 323,972 | $ 313,699 | $ 10,273 |
| Lord Abbott Total Return Rep Opt | Pooled Separate | 0 | $ - | 1 | $ 276,546 | $ 268,698 | $ 7,848 |
| Oakmark International Ret Opt | Pooled Separate | 0 | $ - | 1 | $ 154,408 | $ 149,537 | $ 4,871 |
| Oppenheimer International Growth Ret Opt | Pooled Separate | 0 | $ - | 1 | $ 148,211 | $ 140,601 | $ 7,610 |
| Pioneer Fundemental Growth Ret Opt | Pooled Separate | 0 | $ - | 1 | $ 273,015 | $ 261,498 | $ 11,517 |
| Prudential Jenn Mid Cap Growth Ret Opt | Pooled Separate | 0 | $ - | 1 | $ 180,496 | $ 176,656 | $ 3,840 |
| SSgA Russell Small Cap Index Ret Opt | Pooled Separate | 0 | $ - | 1 | $ 162,576 | $ 159,428 | $ 3,148 |

**Schedule H, Line 4i**
**Schedule of Assets (Held At End of Year)**

Name of Plan:

► The Round Rock Baseball Club Employees 401(k) Plan

Employer Identification Number:► 77-0646382

For plan year (beginning/ending)► 01/01/2019 thru 12/31/2019 Plan number:► 001

| (a) | (b) Identity of issue, borrower, lessor, or similar party | (c) Description of investment including maturity date, rate of interest, collateral, par or maturity value | (d) Cost | (e) Current value |
|---|---|---|---|---|
| * | TRANSAMERICA FINANCIAL LIFE INSURANCE COMPANY | American Funds Balanced Ret Opt | | 1,166.90 |
| * | TRANSAMERICA FINANCIAL LIFE INSURANCE COMPANY | T. Rowe Price Retirement 2060 Ret Opt | | 10,647.58 |
| * | TRANSAMERICA FINANCIAL LIFE INSURANCE COMPANY | T. Rowe Price Retirement 2005 Ret Opt | | 18,901.96 |
| * | TRANSAMERICA FINANCIAL LIFE INSURANCE COMPANY | T. Rowe Price Retirement 2020 Ret Opt | | 23,963.95 |
| * | TRANSAMERICA FINANCIAL LIFE INSURANCE COMPANY | T. Rowe Price Retirement 2055 Ret Opt | | 30,615.48 |
| * | TRANSAMERICA FINANCIAL LIFE INSURANCE COMPANY | T. Rowe Price Retirement 2010 Ret Opt | | 32,331.42 |
| * | TRANSAMERICA FINANCIAL LIFE INSURANCE COMPANY | State Street S&P Mid Cap Index Ret Opt | | 61,273.98 |
| * | TRANSAMERICA FINANCIAL LIFE INSURANCE COMPANY | TA Vanguard Small-Cap Value Index Ret Opt | | 61,992.58 |
| * | TRANSAMERICA FINANCIAL LIFE INSURANCE COMPANY | Ivy Mid Cap Growth Ret Opt | | 63,842.25 |
| * | TRANSAMERICA FINANCIAL LIFE INSURANCE COMPANY | DFA Emerging Markets Portfolio Ret Opt | | 71,648.46 |
| * | TRANSAMERICA FINANCIAL LIFE INSURANCE COMPANY | Lord Abbett High Yield Ret Opt | | 76,065.43 |
| * | TRANSAMERICA FINANCIAL LIFE INSURANCE COMPANY | TA Vanguard Small-Cap Index Ret Opt | | 81,243.68 |
| * | TRANSAMERICA FINANCIAL LIFE INSURANCE COMPANY | T. Rowe Price Retirement 2015 Ret Opt | | 85,494.72 |
| * | TRANSAMERICA FINANCIAL LIFE INSURANCE COMPANY | T. Rowe Price Retirement 2050 Ret Opt | | 89,902.45 |
| * | TRANSAMERICA FINANCIAL LIFE INSURANCE COMPANY | AB Small Cap Growth Ret Opt | | 116,195.94 |
| * | TRANSAMERICA FINANCIAL LIFE INSURANCE COMPANY | American Funds SMALLCAP World Ret Opt | | 126,362.31 |
| * | TRANSAMERICA FINANCIAL LIFE INSURANCE COMPANY | T. Rowe Price Retirement 2035 Ret Opt | | 127,468.16 |
| * | TRANSAMERICA FINANCIAL LIFE INSURANCE COMPANY | MFS International Diversification Ret Opt | | 136,540.05 |
| * | TRANSAMERICA FINANCIAL LIFE INSURANCE COMPANY | T. Rowe Price Retirement 2025 Ret Opt | | 157,552.65 |
| * | TRANSAMERICA FINANCIAL LIFE INSURANCE COMPANY | T. Rowe Price Retirement 2045 Ret Opt | | 159,921.68 |
| * | TRANSAMERICA FINANCIAL LIFE INSURANCE COMPANY | T. Rowe Price Retirement 2030 Ret Opt | | 175,538.33 |
| * | TRANSAMERICA FINANCIAL LIFE INSURANCE COMPANY | Virtus Ceredex Mid-Cap Value Equity Ret Opt | | 197,008.53 |
| * | TRANSAMERICA FINANCIAL LIFE INSURANCE COMPANY | WMC Core Equity Ret Opt | | 206,382.24 |
| * | TRANSAMERICA FINANCIAL LIFE INSURANCE COMPANY | Morgan Stanley Growth Ret Opt | | 245,593.21 |
| * | TRANSAMERICA FINANCIAL LIFE INSURANCE COMPANY | PGIM Total Return Bond Ret Opt | | 301,033.72 |
| * | TRANSAMERICA FINANCIAL LIFE INSURANCE COMPANY | JPMorgan Equity Income Ret Opt | | 357,749.98 |
| * | TRANSAMERICA FINANCIAL LIFE INSURANCE COMPANY | T. Rowe Price Retirement 2040 Ret Opt | | 540,388.19 |
| * | TRANSAMERICA FINANCIAL LIFE INSURANCE COMPANY | AEGON Balanced Ret Opt | | 2,515.19 |
| * | TRANSAMERICA FINANCIAL LIFE INSURANCE COMPANY | Transamerica Stable Value Core Option | | 40,489.43 |
| * | TRANSAMERICA FINANCIAL LIFE INSURANCE COMPANY | PARTICIPANT LOANS | | 233,060.34 |
| | | | **Total** | **3,832,890.79** |
| | | | | |