

Form 5500-SF

Department of the Treasury
Internal Revenue Service

Department of Labor
Employee Benefits Security Administration
Pension Benefit Guaranty Corporation

Short Form Annual Return/Report of Small Employee Benefit Plan

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

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

OMB Nos. 1210-0110
1210-0089

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 single-employer plan a multiple-employer plan (not multiemployer) (Filers checking this box must attach a list of participating employer information in accordance with the form instructions.)
 a one-participant plan a foreign plan

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 Check box if filing under: Form 5558 automatic extension DFVC program
 special extension (enter description)

Part II Basic Plan Information—enter all requested information

1a Name of plan <u>HYGEN PHARMACEUTICALS, INC. 401(K) RETIREMENT PLAN</u>	1b Three-digit plan number (PN) ▶ <u>001</u>
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) <u>HYGEN PHARMACEUTICALS, INC.</u> <u>8635 154TH AVE NE</u> <u>STE -100</u> <u>REDMOND, WA 98052</u>	1c Effective date of plan <u>01/01/2014</u> 2b Employer Identification Number (EIN) <u>91-1606892</u> 2c Sponsor's telephone number <u>425-451-9178</u> 2d Business code (see instructions) <u>446110</u>
3a Plan administrator's name and address <input checked="" type="checkbox"/> Same as Plan Sponsor.	3b Administrator's EIN 3c Administrator's telephone number
4 If the name and/or EIN of the plan sponsor or the plan name has changed since the last return/report filed for this plan, enter the plan sponsor's name, EIN, the plan name and the plan number from the last return/report. a Sponsor's name c Plan Name	4b EIN 4d PN
5a Total number of participants at the beginning of the plan year	5a <u>19</u>
b Total number of participants at the end of the plan year	5b <u>19</u>
c Number of participants with account balances as of the end of the plan year (only defined contribution plans complete this item)	5c <u>17</u>
d(1) Total number of active participants at the beginning of the plan year	5d(1) <u>13</u>
d(2) Total number of active participants at the end of the plan year	5d(2) <u>11</u>
e Number of participants who terminated employment during the plan year with accrued benefits that were less than 100% vested	5e <u>0</u>

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, if applicable, a Schedule SB or Schedule MB completed and signed by an enrolled actuary, as well as the electronic version of this return/report, and to the best of my knowledge and belief, it is true, correct, and complete.

SIGN HERE	Filed with authorized/valid electronic signature.	09/25/2020	NISHIT MEHTA
	Signature of plan administrator	Date	Enter name of individual signing as plan administrator
SIGN HERE	Filed with authorized/valid electronic signature.	09/25/2020	NISHIT MEHTA
	Signature of employer/plan sponsor	Date	Enter name of individual signing as employer or plan sponsor

- 6a** Were all of the plan's assets during the plan year invested in eligible assets? (See instructions.) Yes No
- b** Are you claiming a waiver of the annual examination and report of an independent qualified public accountant (IQPA) under 29 CFR 2520.104-46? (See instructions on waiver eligibility and conditions.) Yes No
- If you answered "No" to either line 6a or line 6b, the plan cannot use Form 5500-SF and must instead use Form 5500.**
- c** 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.)

Part III Financial Information			
7		(a) Beginning of Year	(b) End of Year
7	Plan Assets and Liabilities		
a	Total plan assets	7a 438667	541089
b	Total plan liabilities	7b 0	345
c	Net plan assets (subtract line 7b from line 7a)	7c 438667	540744
8		(a) Amount	(b) Total
a	Contributions received or receivable from:		
	(1) Employers	8a(1) 20378	
	(2) Participants	8a(2) 44861	
	(3) Others (including rollovers)	8a(3) 0	
b	Other income (loss)	8b 113288	
c	Total income (add lines 8a(1), 8a(2), 8a(3), and 8b)	8c	178527
d	Benefits paid (including direct rollovers and insurance premiums to provide benefits)	8d 72497	
e	Certain deemed and/or corrective distributions (see instructions) ...	8e 0	
f	Administrative service providers (salaries, fees, commissions)	8f 3953	
g	Other expenses	8g 0	
h	Total expenses (add lines 8d, 8e, 8f, and 8g)	8h	76450
i	Net income (loss) (subtract line 8h from line 8c)	8i	102077
j	Transfers to (from) the plan (see instructions)	8j 0	

Part IV Plan Characteristics	
9a	If the plan provides pension benefits, enter the applicable pension feature codes from the List of Plan Characteristic Codes in the instructions: 2A 2E 2F 2G 2J 2K 2R 3D
b	If the plan provides welfare benefits, enter the applicable welfare feature codes from the List of Plan Characteristic Codes in the instructions:

Part V Compliance Questions		Yes	No	Amount
10	During the plan year:			
a	Was there a failure to transmit to the plan any participant contributions within the time period described in 29 CFR 2510.3-102? (See instructions and DOL's Voluntary Fiduciary Correction Program)	10a X		1500
b	Were there any nonexempt transactions with any party-in-interest? (Do not include transactions reported on line 10a.)	10b	X	
c	Was the plan covered by a fidelity bond?	10c X		340000
d	Did the plan have a loss, whether or not reimbursed by the plan's fidelity bond, that was caused by fraud or dishonesty?	10d	X	
e	Were any fees or commissions paid to any brokers, agents, or other persons by an insurance carrier, insurance service, or other organization that provides some or all of the benefits under the plan? (See instructions.)	10e	X	
f	Has the plan failed to provide any benefit when due under the plan?	10f	X	
g	Did the plan have any participant loans? (If "Yes," enter amount as of year-end.)	10g	X	
h	If this is an individual account plan, was there a blackout period? (See instructions and 29 CFR 2520.101-3.)	10h	X	
i	If 10h was answered "Yes," check the box if you either provided the required notice or one of the exceptions to providing the notice applied under 29 CFR 2520.101-3	10i		

Part VI Pension Funding Compliance

11 Is this a defined benefit plan subject to minimum funding requirements? (If "Yes," see instructions and complete Schedule SB (Form 5500) and lines 11a and b below.) If this is a defined contribution pension plan, leave line 12 blank and complete line 11 below. Yes No

a Enter the unpaid minimum required contributions for all years from Schedule SB (Form 5500) line 40 **11a**

b PBGC missed contribution reporting requirements. If the plan is covered by PBGC and the amount reported on line 11a is greater than \$0, 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 _____

12 Is this a defined contribution plan subject to the minimum funding requirements of section 412 of the Code or section 302 of ERISA? (If "Yes," complete line 12a or lines 12b, 12c, 12d, and 12e below, as applicable.) If this is a defined benefit pension plan, leave line 12 blank and complete line 11 above. Yes No

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

If you completed line 12a, complete lines 3, 9, and 10 of Schedule MB (Form 5500), and skip to line 13.

b Enter the minimum required contribution for this plan year **12b**

c Enter the amount contributed by the employer to the plan for this plan year **12c**

d Subtract the amount in line 12c from the amount in line 12b. Enter the result (enter a minus sign to the left of a negative amount) **12d**

e Will the minimum funding amount reported on line 12d be met by the funding deadline? Yes No N/A

Part VII Plan Terminations and Transfers of Assets

13a Has a resolution to terminate the plan been adopted in any plan year? Yes No

If "Yes," enter the amount of any plan assets that reverted to the employer this year. **13a**

b Were all the plan assets distributed to participants or beneficiaries, transferred to another plan, or brought under the control of the PBGC? Yes No

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

13c(1) Name of plan(s):	13c(2) EIN(s)	13c(3) PN(s)

Form 5500-SF

Short Form Annual Return/Report of Small Employee Benefit Plan

OMB Nos 1510-0110
1510-0049

2019

This Form is Open to Public Inspection

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

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

Part I Annual Report Identification Information

1. Plan year 2019 or fiscal plan year beginning **01/01/2019** and ending **12/31/2019**

2. This return/report is for: a single-employer plan a multiple-employer plan (not multiemployer) (Filers checking this box must attach a list of participating employer information in accordance with the form instructions.)

3. This return/report is: a one-participant plan a foreign plan
 the first return/report the final return/report
 an amended return/report a short plan year return/report (less than 12 months)

4. Check the box for filing under: Form 5558 automatic extension DFVC program
 special extension (enter description)

Part II Basic Plan Information --- enter all requested information

1. Name of plan: **Pharmaceuticals, Inc. 401(k) Retirement Plan**

2. Plan sponsor's name (employer, if for a single-employer plan): **Pharmaceuticals, Inc.**
 Mailing Address (include room, apt., suite no. and street, or P.O. Box): **137 114th Ave NE, Suite 100, Redmond, WA 98052**

3. Administrator's name and address: Same as Plan Sponsor

4. If the name and/or EIN of the plan sponsor or the plan name has changed since the last return/report filed for the plan, enter the plan sponsor's name, EIN, the plan name and the plan number from the last return/report.

5a	Number of participants at the beginning of the plan year	19
5b	Number of participants at the end of the plan year	19
5c	Number of participants with account balances as of the end of the plan year (only defined contribution plans complete this item)	17
5d(1)	Number of active participants at the beginning of the plan year	13
5d(2)	Number of active participants at the end of the plan year	11
5e	Number of participants who terminated employment during the plan year with accrued benefits that were at least 100% vested	0

5. If a late filing penalty for the late or incomplete filing of this return/report will be assessed unless reasonable cause is established, I declare that I have examined this return/report, including, if applicable, a Schedule MB completed and signed by an enrolled actuary, as well as the electronic version of this return/report, and to the best of my knowledge and belief, it is true, correct, and complete.

Signature of plan administrator	<i>Nishit K. Mehta</i>	Date	<i>09-25-2020</i>	Enter name of individual signing as plan administrator	<i>NISHIT MEHTA</i>
Signature of employer/plan sponsor	<i>Nishit K. Mehta</i>	Date	<i>09-25-2020</i>	Enter name of individual signing as employer or plan sponsor	<i>NISHIT MEHTA</i>

6. Did the plan's assets during the plan year invested in eligible assets? (See instructions.) Yes No
7. Did the plan obtain a waiver of the annual examination and report of an independent qualified public accountant (IQPA) under 29 CFR 2520.104-46? (See instructions on waiver eligibility and conditions.) Yes No
- If you answered "No" to either line 6a or line 6b, the plan cannot use Form 5500-SF and must instead use Form 5500.**
8. 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 year _____ (See instructions.)

Financial Information

Assets and Liabilities		(a) Beginning of Year	(b) End of Year
7a	Plan assets	438,667	541,089
7b	Plan liabilities	0	345
7c	Net plan assets (subtract line 7b from line 7a)	438,667	540,744
Expenses, and Transfers for this Plan Year		(a) Amount	(b) Total
Contributions received or receivable from:			
8a(1)	Employers	20,378	
8a(2)	Participants	44,861	
8a(3)	Others (including rollovers)	0	
8b	Net income (loss)	113,288	
8c	Net income (add lines 8a(1), 8a(2), 8a(3), and 8b)		178,527
8d	Net benefit paid (including direct rollovers and insurance premiums)	72,497	
8e	Net deemed and/or corrective distributions (see instructions)	0	
8f	Administrative service providers (salaries, fees, commissions)	3,953	
8g	Other expenses	0	
8h	Net expenses (add lines 8d, 8e, 8f, and 8g)		76,450
8i	Net income (loss) (subtract line 8h from line 8c)		102,077
8j	Net change to (from) the plan (see instructions)	0	

Plan Characteristics

9. If the plan provides pension benefits, enter the applicable pension feature codes from the List of Plan Characteristic Codes in the instructions:
2E 2F 2G 2J 2K 2R 3D
10. If the plan provides welfare benefits, enter the applicable welfare feature codes from the List of Plan Characteristic Codes in the instructions:

Compliance Questions

During the plan year:	Yes	No	N/A	Amount
10a. Was there a failure to transmit to the plan any participant contributions within the time period described in 29 CFR 2510.3-102? (See instructions and DOL's Voluntary Fiduciary Correction Program.)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	1,500
10b. Were there any nonexempt transactions with any party-in-interest? (Do not include transactions reported on line 10a.)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
10c. Was the plan covered by a fidelity bond?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	340,000
10d. Did the plan have a loss, whether or not reimbursed by the plan's fidelity bond, that was caused by fraud or dishonesty?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
10e. Did the plan have any fees or commissions paid to any brokers, agents, or other persons by an insurance carrier, insurance service, or other organization that provides some or all of the benefits under the plan? (See instructions.)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
10f. Did the plan fail to provide any benefit when due under the plan?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
10g. Did the plan have any participant loans? (If "Yes," enter amount as of year end.)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
10h. If this is an individual account plan, was there a blackout period? (See instructions and 29 CFR 2510.3-101-3.)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
10i. If "Yes" was answered "Yes," check the box if you either provided the required notice or one of the alternatives to providing the notice applied under 29 CFR 2520.101-3	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Pension Funding Compliance

Is this a defined benefit plan subject to minimum funding requirements? (If "Yes," see instructions and complete Schedule SB (Form 5500) and lines 11a and b below.) If this is a defined contribution pension plan, leave line 11 blank and complete line 12 Yes No

Enter the unpaid minimum required contributions for all years from Schedule SB (Form 5500) line 40 **11a**

Has the missed contribution reporting requirements. If the plan is covered by PBGC and the amount reported on line 11a is greater than \$0, has PBGC been notified as required by ERISA sections 4043(c)(5) and/or 303(k)(4)? Check the applicable box:

- Yes.
- 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.
- 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: _____

Is this a defined contribution plan subject to the minimum funding requirements of section 412 of the Code or section 302 of ERISA? Yes No
 If "Yes," complete line 12a or lines 12b, 12c, 12d, and 12e below, as applicable.) If this is a defined benefit pension plan, leave line 12 blank and complete line 11 above.

If the 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 letter ruling regarding the waiver Month _____ Day _____ Year _____

Completed line 12a, complete lines 3, 9, and 10 of Schedule MB (Form 5500), and skip to line 13.

Enter the minimum required contribution for this plan year.....	12b	
Enter the amount contributed by the employer to the plan for the plan year	12c	
Enter the amount in line 12c from the amount in line 12b. Enter the result (enter a minus sign to the left of a negative amount)	12d	
Has the minimum funding amount reported on line 12d be met by the funding deadline?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	

Plan Terminations and Transfers of Assets

Has a resolution to terminate the plan been adopted in any plan year? Yes No

Enter the amount of any plan assets that reverted to the employer this year **13a**

Has all the plan assets distributed to participants or beneficiaries, transferred to another plan, or brought under the control of the PBGC? Yes No

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.)

Name of plan(s):	13c(2) EIN(s)	13c(3) Plan(s)