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.)
- ☒ 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:
- ☒ Form 5558
- ☐ automatic extension
- ☐ the DFVC program
- ☐ special extension (enter description)

Part II Basic Plan Information—enter all requested information

1a Name of plan
COLORADO ALLERGY & ASTHMA CENTERS, P.C. PROFIT SHARING 401(K) PLAN

1b Three-digit plan number (PN) ▶ 001

1c Effective date of plan 07/01/1977

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)
COLORADO ALLERGY & ASTHMA CENTERS, P.C.

125 RAMPART WAY, SUITE 200
DENVER, CO 80230

2b Employer Identification Number (EIN) 84-0735271

2c Plan Sponsor's telephone number 720-858-7433

2d Business code (see instructions) 621111

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.	10/13/2020	JILL YOUSAF
	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 [X] 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	
5 Total number of participants at the beginning of the plan year	**5**	172
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)**	129
a(2) Total number of active participants at the end of the plan year	**6a(2)**	121
b Retired or separated participants receiving benefits	**6b**	0
c Other retired or separated participants entitled to future benefits	**6c**	43
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**	1
f Total. Add lines **6d** and **6e**.	**6f**	165
g Number of participants with account balances as of the end of the plan year (only defined contribution plans complete this item)	**6g**	156
h Number of participants who terminated employment during the plan year with accrued benefits that were less than 100% vested	**6h**	0
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 2R 2T 3D

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)		**9b** Plan benefit arrangement (check all that apply)	
(1)	[ ] Insurance	**(1)**	[ ] Insurance
(2)	[ ] Code section 412(e)(3) insurance contracts	**(2)**	[ ] Code section 412(e)(3) insurance contracts
(3)	[X] Trust	**(3)**	[X] Trust
(4)	[ ] General assets of the sponsor	**(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)** [ ] ___ **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 C (Form 5500)	Service Provider Information	OMB No. 1210-0110
Department of the Treasury Internal Revenue Service Department of Labor Employee Benefits Security Administration Pension Benefit Guaranty Corporation	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.**	**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
COLORADO ALLERGY & ASTHMA CENTERS, P.C. PROFIT SHARING 401(K) PLAN

B Three-digit plan number (PN) ▶ 001

C Plan sponsor's name as shown on line 2a of Form 5500
COLORADO ALLERGY & ASTHMA CENTERS, P.C.

D Employer Identification Number (EIN)
84-0735271

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

AMERICAN CENTURY INVESTMENTS

44-6006315

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

BARON CAPITAL GROUP

13-3122938

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

DODGE & COX

94-1441976

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

METLIFE ADVISORS, LLC

04-3240897

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

MFS

04-2747644

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

T. ROWE PRICE

52-2264646

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

AMERICAN FUNDS

95-1411037

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

BLACKROCK

04-6171663

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

DOUBLELINE FUNDS

39-1982827

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

INVESCO

58-2287224

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

JPMORGAN

13-2624428

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

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)

WELLS FARGO BANK, N.A.

94-1347393

(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 50 62 64	SERVICE PROVIDER	30675	Yes [X] No [ ]	Yes [X] No [ ]	0	Yes [ ] No [X]

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

PENSIONMARK FINANCIAL GROUP LLC

61-1758632

(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?
27 50	SERVICE PROVIDER	19426	Yes [ ] No [X]	Yes [ ] No [ ]		Yes [ ] No [ ]

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

KESTRA ADVISORY SERVICES LLC

35-2552359

(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?
27 50	SERVICE PROVIDER	5991	Yes [ ] No [X]	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: CROWE LLP	**b** EIN:	35-0921680
c	Position: ACCOUNTANT		
d	Address: 1801 CALIFORNIA STREET, STE 2200 DENVER, CO 80202	**e** Telephone:	303-831-5000

Explanation: FEE CHARGED FOR SERVICES

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
COLORADO ALLERGY & ASTHMA CENTERS, P.C. PROFIT SHARING 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
COLORADO ALLERGY & ASTHMA CENTERS, P.C.

D Employer Identification Number (EIN)
84-0735271

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: RELIANCE TRUST COMPANY UT LTD PART

b Name of sponsor of entity listed in (a): WELLS FARGO BANK, N.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)
46-6625485-001	C	2200270

a Name of MTIA, CCT, PSA, or 103-12 IE: WILMINGTON TR C/BLKROCK MIDCAP EQ

b Name of sponsor of entity listed in (a): WELLS FARGO BANK, N.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)
41-6202499-001	C	17173

a Name of MTIA, CCT, PSA, or 103-12 IE: WILMINGTON TR C/BLKROCK EAFE EQT ID

b Name of sponsor of entity listed in (a): WELLS FARGO BANK, N.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)
20-3802495-007	C	34652

a Name of MTIA, CCT, PSA, or 103-12 IE: WILMINGTON TR C/BLKROCK EQUITY IDX

b Name of sponsor of entity listed in (a): WELLS FARGO BANK, N.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)
20-3802168-001	C	1505263

a Name of MTIA, CCT, PSA, or 103-12 IE: WILMINGTON TR C/BLKROCK RUSSELL 200

b Name of sponsor of entity listed in (a): WELLS FARGO BANK, N.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)
20-3802587-004	C	121698

a Name of MTIA, CCT, PSA, or 103-12 IE: WILMINGTON TR C/BLKROCK U.S DEBT

b Name of sponsor of entity listed in (a): WELLS FARGO BANK, N.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)
20-3802445-010	C	172013

a Name of MTIA, CCT, PSA, or 103-12 IE: WELLS FARGO STABLE RETURN FUND N

b Name of sponsor of entity listed in (a): WELLS FARGO BANK, N.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)
41-6202499-001	C	0

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)

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
COLORADO ALLERGY & ASTHMA CENTERS, P.C. PROFIT SHARING 401(K) PLAN

B Three-digit plan number (PN) ▶ 001

C Plan sponsor's name as shown on line 2a of Form 5500
COLORADO ALLERGY & ASTHMA CENTERS, P.C.

D Employer Identification Number (EIN)
84-0735271

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		-88467
b Receivables (less allowance for doubtful accounts):			
(1) Employer contributions	1b(1)	617772	
(2) Participant contributions	1b(2)		
(3) Other	1b(3)		
c General investments:			
(1) Interest-bearing cash (include money market accounts & certificates of deposit)	1c(1)	523597	210241
(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)	1259805	1576695
(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)	64130	76298
(9) Value of interest in common/collective trusts	1c(9)	3967942	4051069
(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)	18314397	21243435
(14) Value of funds held in insurance company general account (unallocated contracts)	1c(14)		
(15) Other	1c(15)	1	

			(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	24747644	27069271
	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	0	0
	Net Assets			
l	Net assets (subtract line 1k from line 1f)	1l	24747644	27069271

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)	381065	
	(B) Participants	2a(1)(B)	721200	
	(C) Others (including rollovers)	2a(1)(C)	42544	
	(2) Noncash contributions	2a(2)		
	(3) Total contributions. Add lines **2a(1)(A), (B), (C),** and line **2a(2)**	2a(3)		1144809
b	**Earnings on investments:**			
	(1) Interest:			
	(A) Interest-bearing cash (including money market accounts and certificates of deposit)	2b(1)(A)	862	
	(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)	3365	
	(F) Other	2b(1)(F)	102	
	(G) Total interest. Add lines **2b(1)(A)** through **(F)**	2b(1)(G)		4329
	(2) Dividends: **(A)** Preferred stock	2b(2)(A)		
	(B) Common stock	2b(2)(B)	14231	
	(C) Registered investment company shares (e.g. mutual funds)	2b(2)(C)	273290	
	(D) Total dividends. Add lines **2b(2)(A)**, **(B)**, and **(C)**	2b(2)(D)		287521
	(3) Rents	2b(3)		
	(4) Net gain (loss) on sale of assets: **(A)** Aggregate proceeds	2b(4)(A)	18986051	
	(B) Aggregate carrying amount (see instructions)	2b(4)(B)	18636621	
	(C) Subtract line **2b(4)(B)** from line **2b(4)(A)** and enter result	2b(4)(C)		349430
	(5) Unrealized appreciation (depreciation) of assets: **(A)** Real estate	2b(5)(A)		
	(B) Other	2b(5)(B)	135583	
	(C) Total unrealized appreciation of assets. Add lines **2b(5)(A)** and **(B)**	2b(5)(C)		135583

		(a) Amount	(b) Total
(6) Net investment gain (loss) from common/collective trusts	2b(6)		549261
(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)		4135651
c Other income	2c		3796
d Total income. Add all **income** amounts in column (b) and enter total	2d		6610380
Expenses			
e Benefit payment and payments to provide benefits:			
(1) Directly to participants or beneficiaries, including direct rollovers	2e(1)	4226569	
(2) To insurance carriers for the provision of benefits	2e(2)		
(3) Other	2e(3)		
(4) Total benefit payments. Add lines **2e(1)** through **(3)**	2e(4)		4226569
f Corrective distributions (see instructions)	2f		
g Certain deemed distributions of participant loans (see instructions)	2g		6092
h Interest expense	2h		
i Administrative expenses: (1) Professional fees	2i(1)		
(2) Contract administrator fees	2i(2)		
(3) Investment advisory and management fees	2i(3)		
(4) Other	2i(4)	56092	
(5) Total administrative expenses. Add lines **2i(1)** through **(4)**	2i(5)		56092
j Total expenses. Add all **expense** amounts in column (b) and enter total	2j		4288753
Net Income and Reconciliation			
k Net income (loss). Subtract line **2j** from line **2d**	2k		2321627
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: BROCK AND COMPANY CPAS P.C. **(2)** EIN: 84-0930288

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	
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
COLORADO ALLERGY & ASTHMA CENTERS, P.C. PROFIT SHARING 401(K) PLAN

B Three-digit plan number (PN) ▶ 001

C Plan sponsor's name as shown on line 2a of Form 5500
COLORADO ALLERGY & ASTHMA CENTERS, P.C.

D Employer Identification Number (EIN)
84-0735271

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): 41-6257133

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_____



Colorado Allergy & Asthma Centers, P.C.

Profit Sharing 401(k) Plan

Independent Auditor's Report and Financial Statements

December 31, 2019 and 2018

Colorado Allergy & Asthma Centers, P.C.
Profit Sharing 401(k) Plan

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BROCK AND COMPANY
Certified Public Accountants
Business Advisors
A PROFESSIONAL CORPORATION

2516 W. Main St. Littleton Colorado 80120
(303) 794-5661 (303) 794-4501 Fax
www.brockcpas.com

Independent Auditor's Report

To the Plan Administrtor of the
Colorado Allergy & Asthma Centers, P.C. Profit Sharing 401(k) Plan

Report on the Financial Statements
We were engaged to audit the accompanying financial statements of the Colorado Allergy & Asthma Centers, P.C. Profit Sharing 401(k) Plan (the "Plan"), which comprise the Statement of Net Assets Available for Benefits as of December 31, 2019, and the related Statement of Changes in Net Assets Available for Benefits for the year 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 audit 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 4, which was certified by Wells Fargo Bank N.A., the trustee of the Plan, except for comparing such information with the related information included in the 2019 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 year ended December 31, 2019, 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 on the 2019 financial statements. Accordingly, we do not express an opinion on the 2019 financial statements.

Other Matter - Supplemental Schedule
The supplemental schedule, Schedule H, Line 4i: Schedule of Assets (Held at End of Year), as of December 31, 2019, is required by the Department of Labor's ("DOL") Rules and Regulations for Reporting and Disclosure under the Employee Retirement Income Security Act of 1974 and is 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 this supplemental schedule.

Other Matter - 2018 Financial Statements

The financial statement of the Plan as of December 31, 2018, was audited by predecessor auditors. 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 ("ERISA"), the plan administrator instructed the predecessor auditors not to perform, and they did not perform, any auditing procedures with respect to the information certified by Wells Fargo Bank N.A., the trustee of the Plan. Their report, dated October 15, 2019, indicated that (a) because of the significance of the information that they did not audit, they were unable to obtain sufficient appropriate audit evidence to provide a basis for an audit opinion and accordingly, they did not express an opinion on the financial statements and (b) the form and content of the information included in the financial statements other than that derived from the information certified by the trustee, were presented in compliance with the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA.

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

The form and content of the information included in the 2019 financial statements and supplemental schedule, other than that derived from the information certified by the trustee, has 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.

Brock and Company CPAs P.C.

Certified Public Accountants

Littleton, Colorado
October 2, 2020

Colorado Allergy & Asthma Centers, P.C.
Profit Sharing 401(k) Plan

Statements of Net Assets Available for Benefits

December 31,	2019	2018
ASSETS		
Investments, at fair value (Notes 2 and 3):	**$ 27,081,440**	$ 24,065,742
Receivables:		
Employer contributions	**668,292**	617,772
Notes receivables from participants	**76,298**	64,130
Total receivables	**744,590**	681,902
Total assets	**27,826,030**	24,747,644
LIABILITIES		
Due to broker	**88,467**	-
Net assets available for benefits	**$ 27,737,563**	$ 24,747,644

The accompanying Notes are an integral part of these financial statements.

Colorado Allergy & Asthma Centers, P.C.
Profit Sharing 401(k) Plan

Statement of Changes in Net Assets Available for Benefits

Year ended December 31, 2019

Additions to (deductions from) net assets attributed to:	
Investment income (Note 2):	
Net appreciation in fair value of investments	**$ 5,169,925**
Interest, dividends, and other	**292,239**
Total investment income	**5,462,164**
Other income:	
Interest income on notes receivable from participants	**3,365**
Other income	**42**
Total other income	**3,407**
Contributions:	
Employer	**1,049,357**
Participant	**721,200**
Rollover	**42,544**
Total contributions	**1,813,101**
Payments:	
Distributions to participants	**(4,232,661)**
Administrative fees	**(56,092)**
Total payments	**(4,288,753)**
Net increase in net assets available for benefits	**2,989,919**
Net assets available for benefits, beginning of year	**24,747,644**
Net assets available for benefits, end of year	**$ 27,737,563**

The accompanying Notes are an integral part of these financial statements.

Colorado Allergy & Asthma Centers, P.C.
Profit Sharing 401(k) Plan

Notes to Financial Statements
December 31, 2019 and 2018

Note 1 – Description of the Plan

The following description of the Colorado Allergy & Asthma Centers, P.C. Profit Sharing 401(k) Plan (the "Plan") provides only general information. Participants and all others should refer to the Plan document for a more complete description of the Plan's provisions.

General. The Plan is a defined contribution plan which went into effect July 1, 1977, that is generally available to all employees of Colorado Allergy & Asthma Centers, P.C. ("the Company", "Employer", "Plan Sponsor", or "Plan administrator"). Employees become eligible to make elective deferral contributions upon completing one year of service and attainment of age 21. Employees become eligible for discretionary Employer matching contributions and discretionary Employer nonelective contributions upon completing two years of service and attainment of age 21. Employees may enter the Plan on January 1 and July 1 coinciding with or next following the date they meet the eligibility requirements. The Plan excludes reclassified employees, leased employees, union employees and non-resident aliens. The Plan is subject to the provisions of the Employee Retirement Income Security Act of 1974, as amended ("ERISA"). Benefits under the Plan are not guaranteed by the Pension Benefit Guaranty Corporation.

Plan Amendment. Generally effective January 1, 2019, the Plan adopted new 401(k) hardship distribution rules based on the Bipartisan Budget Act of 2018 and the IRS's proposed regulations.

Contributions. The following types of contributions are allowable under the Plan:

- Salary Deferral Contributions – Participants may contribute a percentage of their pretax compensation, as defined in the Plan document, subject to limitations. Additionally, participants may contribute a percentage of their after-tax compensation and designate it as a Roth elective deferral contribution. A participant's total salary-deferred contribution cannot exceed $19,000 ($25,000 if 50 or older) in calendar year 2019.
- Discretionary Employer Matching Contributions – The Employer may make a discretionary Employer matching contribution to eligible participants. During 2019, the Employer made a discretionary matching contribution equal to 100% of a participant's salary deferral contributions up to 5% of a participant's eligible compensation.
- Discretionary Employer Nonelective Contributions – The Employer may make a discretionary nonelective contribution to eligible participants who have completed 1,000 hours of service during the Plan year. Participants who die, become disabled, or terminate employment on or after attaining normal or early retirement age are also eligible to receive an allocation of the discretionary Employer nonelective contribution. This contribution is integrated with a percentage of the Social Security Taxable wage base and is allocated to each eligible participant's account in the ratio which each participant's compensation and excess compensation, as defined, bears to the compensation plus excess compensation of all eligible participants. For the year ended December 31, 2019, the Employer made a discretionary Employer nonelective contribution of $646,321.
- Rollover Contributions – Amounts distributed to eligible participants from other qualified employee benefit plans may be rolled into the Plan.

All contributions are allocated to the Plan's investment funds at the direction of the participants.

Note 1 – Description of the Plan (continued)

Participant Accounts. Each participant's account is credited with the participant's contributions (salary deferrals and rollovers, if any) and an allocation of (a) the Company's discretionary contributions (Employer matching and nonelective), (b) fund earnings or losses, and (c) administrative expenses. The benefit to which a participant is entitled is the benefit that can be provided from the participant's vested account balance.

Vesting. Participants are immediately vested in their salary deferral contributions, rollover contributions, discretionary Employer matching contributions, discretionary Employer nonelective contributions, and related earnings thereon.

Investment Options. Participants have the option to direct their investments into various mutual funds, common collective trust funds, or various investments offered through the self-directed brokerage account ("SDBA").

Notes Receivable from Participants. Participants may borrow from their fund accounts a minimum of $1,000 up to a maximum equal to the lesser of (i) $50,000, reduced by the participant's highest outstanding loan balance during the prior 12 month period, or (ii) 50% of their vested account balance. Loan terms range from 1 year up to a maximum of 5 years (a longer term up to 30 years is available if used for the purchase of a principal residence). The loans are secured by the balance in the participant's account and bear interest at the prime rate as determined by the Plan administrator at the date the loan is granted. Principal and interest payments are paid ratably through payroll deductions.

Payment of Benefits. Benefits to participants or beneficiaries generally are payable as a lump sum equal to the value of their vested account balance upon retirement, disability, death or termination of the participant. Additionally, participants may request in-service withdrawals upon attainment of age 55, upon their 5th anniversary of participation, for a deemed severance distribution, or upon incurring a financial hardship, as defined in the Plan document, if certain criteria are met.

Note 2 – Summary of Significant Accounting Policies

Use of Estimates and Basis of Accounting. The financial statements of the Plan are prepared using the accrual method of accounting. The preparation of financial statements in conformity with accounting principles generally accepted in the United States of America ("GAAP") requires the Plan's management to use estimates and assumptions that affect the accompanying financial statements and disclosures. Actual results could differ from those estimates.

Investment Valuation and Income Recognition. The Plan's investments are stated at fair value. Fair value is the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants at the measurement date. The Plan's Committee determines the Plan's valuation policies utilizing information provided by the investment advisors and trustee. See Note 3 for a discussion of fair value measurements.

Note 2 – Summary of Significant Accounting Policies (continued)

Investment Valuation and Income Recognition (continued). Purchases and sales of securities are recorded on a trade-date basis. Interest income is recorded when earned. Dividends are recorded on the ex-dividend date. Net appreciation in fair value of investments includes the Plan's gains and losses on investments bought and sold as well as held during the year.

Notes Receivable from Participants. Notes receivable from participants are measured at their unpaid principal balance plus any accrued but unpaid interest. Interest income is recorded on the accrual basis. Related fees are recorded as administrative expenses and are expensed when they are incurred. No allowance for credit losses has been recorded as of December 31, 2019 or 2018. Delinquent participant loans are reclassified as distributions based upon the terms of the Plan document.

Benefits Payments. Benefits are recorded when paid.

Expenses. Certain expenses of maintaining the Plan are paid directly by the Company and are excluded from these financial statements. Fees related to the administration of notes receivable from participants are charged directly to the participant's account and are included in administrative fees. Also, included in administrative fees are recordkeeping, investment advisory, and other administrative expenses. Additionally, certain investment related expenses are included in net appreciation in fair value of investments.

Prior Period Adjustment. In accordance with ASC 820, during 2019 Plan management made the following adjustments to their fair value measurements as of December 31, 2018, as shown in Note 3.

	As Previously Reported		As Adjusted	
Description	Amount	Fair Value Level Within Within the the Fair Value Hierarchy of ASC 820	Amount	Fair Value Level Within Within the the Fair Value Hierarchy of ASC 820
Common Collective Trusts			$ 1,785,593	1
Self-directed Brokerage Accts	$ 1,750,680	1	1,829,806	1
Self-directed Brokerage Accts	79,126	2		
Investments Measured at NAV	3,967,942	*	2,182,349	*

* In accordance with Subtopic 820-10, certain investments that were measured at net asset value per share (or its equivalent) have not been classified in the fair value hierarchy. The fair value amounts presented in this table are intended to permit reconciliation of the fair value hierarchy to the line items presented on the statements of net assets available for benefits.

Note 2 – Summary of Significant Accounting Policies (continued)

Prior Period Adjustment (continued). This adjustment had no effect on net assets available for benefits as of December 31, 2019 and 2018, or the net increase in net assets available for benefits for the year ended December 31, 2019.

Note 3– Fair Value Measurements

The Financial Accounting Standards Board ("FASB") Accounting Standards Codification (“ASC”) 820, Fair Value Measurements and Disclosures, provides the framework for measuring fair value. That framework provides a fair value hierarchy that prioritizes the inputs to valuation techniques used to measure fair value. The hierarchy gives the highest priority to unadjusted quoted prices in active markets for identical assets or liabilities (level 1 measurements) and the lowest priority to unobservable inputs (level 3 measurements). The three levels of the fair value hierarchy under FASB ASC 820 are described below:

Level 1. Inputs to the valuation methodology are unadjusted quoted prices for identical assets or liabilities in active markets that the Plan has the ability to access.

Level 2. Inputs to the valuation methodology include:

- 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; and
- Inputs that are derived principally from or corroborated by observable market data by correlation or other means.

If the asset or liability has a specified (contractual) term, the Level 2 input must be observable for substantially the full term of the asset or liability.

Level 3. Inputs to the valuation methodology are unobservable and significant to the fair value measurement.

The asset’s or liability’s fair value measurement level within the fair value hierarchy is based on the lowest level of any input that is significant to the fair value measurement. Valuation techniques used need to maximize the use of observable inputs and minimize the use of unobservable inputs.

The following is a description of the valuation methodologies used for assets measured at fair value:

- Mutual funds (including mutual funds held in the SDBA) and the common collective trusts ("CCTs") issued by Wilmington Trust are valued at the quoted net asset value (“NAV”) of shares/units held by the Plan at year end.
- The common collective trusts ("CCTs") issued by Wells Fargo Bank and MetLife are valued at the NAV of units held by the Plan at year end. The NAV, as provided by the trustee, is used as a practical expedient to estimate fair value. The NAV is based on the fair value of the underlying investments held by the funds less their liabilities. This practical expedient is not used when it is determined to be probable that the fund will sell the investment for an amount different than the reported NAV. Participant transactions (purchases and sales) may occur daily.

Note 3– Fair Value Measurements (continued)

- Common stock held in the SDBA is valued at the closing price reported on the active market on which the individual securities are traded.

The methods described above may produce a fair value calculation that may not be indicative of net realizable value or reflective of future fair values. Furthermore, while the Plan believes its valuation methods are appropriate and consistent with other market participants, the use of different methodologies or assumptions to determine the fair value of certain financial instruments could result in a different fair value measurement at the reporting date.

The following tables sets forth by level, within the fair value hierarchy ("FV Hierarchy"), the Plan's assets at fair value as of December 31, 2019 and 2018:

	Fair Value Measurements at December 31, 2019			
	Quoted Prices in Active Markets for Identical Assets Level 1	Significant Other Observable Inputs Level 2	Significant Unobservable Inputs Level 3	Total
Mutual Funds	**$ 21,219,213**	**$ -**	**$ -**	**$ 21,219,213**
Common Collective Trusts	**1,850,799**	**-**	**-**	**1,850,799**
Self-Directed Brokerage	**1,811,158**	**-**	**-**	**1,811,158**
Total Assets Within the FV Hierarchy	**$ 24,881,170**	**$ -**	**$ -**	**24,881,170**
Investments Measured at NAV*				**2,200,270**
Total Assets at Fair Value				**$ 27,081,440**

	Fair Value Measurements at December 31, 2018			
	Quoted Prices in Active Markets for Identical Assets Level 1	Significant Other Observable Inputs Level 2	Significant Unobservable Inputs Level 3	Total
Mutual Funds	$ 18,267,994	$ -	$ -	$ 18,267,994
Common Collective Trusts	1,785,593	-	-	1,785,593
Self-Directed Brokerage	1,829,806	-	-	1,829,806
Total Assets Within the FV Hierarchy	$ 21,883,393	$ -	$ -	21,883,393
Investments Measured at NAV*				2,182,349
Total Assets at Fair Value				$ 24,065,742

Note 3– Fair Value Measurements (continued)

* In accordance with Subtopic 820-10, certain investments that were measured at net asset value per share (or its equivalent) have not been classified in the fair value hierarchy. The fair value amounts presented in this table are intended to permit reconciliation of the fair value hierarchy to the line items presented on the statements of net assets available for benefits.

Changes in Fair Value Levels. The availability of observable market data is monitored to assess the appropriate classification of financial instruments within the fair value hierarchy. Changes in economic conditions or model-based valuation techniques may require the transfer of financial instruments from one fair value level to another. In such instances, the transfer is reported at the beginning of the reporting period. During 2019, there were no transfers in or out of levels 1, 2 or 3.

Investments in Certain Entities that Calculate NAV per Unit. The following table for December 31, 2019 and 2018, sets forth a summary of certain of the Plan's investments with a reported NAV:

Investment	Fair Value as of December 31, 2019	2018	Unfunded Commitments	Redemption Frequency	Redemption Notice Period & Other Redemption Restrictions
CCT (a)	**$ 2,200,270**	$ 2,182,349	**None**	**Daily**	**(b)**

(a) RELIANCE TR CO UT LTD PART INT CL I: The primary investment objective of the Fund is to preserve principal while generating earnings at rates competitive over time with short-term high quality fixed income investments, while maintaining sufficient liquidity to provide Participant-Directed Withdrawals, as defined in the Declaration of Trust, at their proportionate share of Contract Value.

WF STABLE RETURN FUND N: The investment has a stable value fund strategy that seeks to protect principal while providing a higher rate of return than shorter maturity investments, such as money market funds or certificates of deposits, by investing primarily in investment contracts and security-backed contracts.

(b) RELIANCE TR CO UT LTD PART INT CL I: Participant-Directed Withdrawals, as defined, will be paid at contract value on the business day following receipt of withdrawal instructions and all necessary documentation.

Participating Plan-Directed Withdrawals will normally be paid no later than two business days (60 business days as to a withdrawal in connection with terminating a Participating Plan's participation in the Trust) following the Trustee's receipt of withdrawal instructions and all necessary documentation. Participating Plan-Directed Withdrawals will be paid as a market value adjusted payment which is the lesser of contract value or market value. Participating Plan-Directed Withdrawals include (1) participant withdrawals based on advice or direction from the Plan sponsor, Plan administrator, Plan Fiduciary, or agent of the Plan, (2) additional investment options that constitute or create a competing fund, (3) a new eligible plan that is established by the Plan sponsor that offers participants a competing fund, and (4) action of participating plan (e.g. Plan termination or Plan sponsor initiates a withdrawal).

WF STABLE RETURN FUND N: Qualified Plan participant initiated withdrawals are honored at any time without penalty, regardless of their frequency or amount unless payments are being delayed to all Wells Fargo Stable Return Fund N (the "Fund") unit holders. The Fund also requires participants to invest in a "non-competing fund" for at least 90 days before transferring to a "competing" fund option. Examples of "competing" fund options include a money market fund, a high quality bond fund with a duration of 3 years or less, other principal preservation funds, or a brokerage window.

Any Plan sponsor or Plan fiduciary-initiated withdrawal from the Fund will require a 12-month written notice of the intent to withdraw assets from the Fund. At the discretion of Wells Fargo, the notification periods identified for withdrawals may be waived only under extenuating circumstances as determined by the Trustee in its sole discretion.

Note 4 – Certified Information

The Plan administrator has elected the method of annual reporting and compliance permitted by 29 CFR 2520.103-8 of the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA. Accordingly, the trustee of the Plan has certified that the following data included in the accompanying 2019 financial statements and supplemental schedule is complete and accurate:

- Investments as of December 31, 2019, as shown in the Statement of Net Assets Available for Benefits, and Note 3;
- Notes receivable from participants, as shown in the Statement of Net Assets Available for Benefits as of December 31, 2019;
- Investment income, as shown in the Statement of Changes in Net Assets Available for Benefits for the year ended December 31, 2019;
- Interest income on notes receivable from participants, as shown in the Statement of Changes in Net Assets Available for Benefits for the year ended December 31, 2019; and
- The investment information in the Schedule of Assets (Held at End of Year) as of December 31, 2019, as shown in the supplemental schedule.

The Plan's independent auditors did not perform auditing procedures with respect to this information except for comparing such information to the related information included in the 2019 financial statements and supplemental schedule.

Note 5 – 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 or partial termination, affected participants will become 100% vested in their accounts.

Note 6 – Tax Status

The Company has adopted a Wells Fargo Bank N.A. Volume Submitter Profit Sharing Plan ("volume submitter plan"). The volume submitter plan received an advisory letter from the Internal Revenue Service ("IRS") on March 31, 2014, which stated that the volume submitter plan is qualified under the applicable sections of the Internal Revenue Code ("IRC"). Although the volume submitter plan and Plan have been amended since receiving the IRS advisory letter, the Plan administrator believes that the Plan and related trust are currently designed and being operated in compliance with the applicable requirements of the IRC. Therefore, the Plan administrator believes that the Plan is qualified under Section 401(a) of the IRC and the related Trust is tax exempt as of December 31, 2019 and 2018. Therefore, no provision for income taxes has been included in the Plan's financial statements.

Note 6 – Tax Status (continued)

GAAP requires Plan management to evaluate tax positions taken by the Plan and recognize a tax liability (or asset) if the Plan has taken an uncertain position that more likely than not would not be sustained upon examination by the IRS. The Plan administrator has analyzed the tax positions taken by the Plan, and has concluded that as of December 31, 2019 and 2018, there are no uncertain positions taken or expected to be taken that would require recognition of a liability (or asset) or disclosure in the financial statements. The Plan is subject to routine audits by taxing jurisdictions; however, there are currently no audits for any tax periods in progress.

Note 7 – Party-In-Interest Transactions

The Company provides to the Plan certain accounting and administrative services for which no fees are charged.

Certain Plan investments are or were mutual funds, a common collective trust, and interest bearing cash accounts offered by Wells Fargo. As Wells Fargo Bank N.A. is the trustee of the Plan, these transactions qualify as party-in-interest transactions. Additionally, the Plan maintains notes receivable from participants. Fees paid for services rendered by parties-in-interest were based on customary and reasonable rates for such services.

Note 8 – Reconciliation to Form 5500

The following is a reconciliation of net assets available for benefits per the financial statements to the Form 5500 as of December 31, 2019:

	2019
Net assets available for benefits per the financial statements	$ 27,737,563
Less: Employer contributions receivable	(668,292)
Net assets available for benefits per the Form 5500 (unaudited)	$ 27,069,271

The following is a reconciliation of Employer contributions per the financial statements to the Form 5500 for the year ended December 31, 2019:

	Employer Contributions
Amounts per the financial statements	$ 1,049,357
Less: 2019 Employer contributions receivable	(668,292)
Amounts per the Form 5500 (unaudited)	$ 381,065

Note 9 – Risks and Uncertainties

The Plan provides for various investment options. Investment securities, in general, are exposed to various risks, such as significant world events, interest rate, credit, and overall market volatility risk. Due to the level of risk associated with certain investment securities, it is reasonably possible that changes in the values of investment securities will occur in the near term and that such changes could materially affect the amounts presented in the statements of net assets available for benefits.

Additionally, some investments held by the Plan are invested in the securities of foreign companies, which involve special risks and considerations not typically associated with investing in U.S. companies. These risks include devaluation of currencies, less reliable information about issuers, different securities transaction clearance and settlement practices, and possible adverse political and economic developments. Moreover, securities of many foreign companies and their markets may be less liquid and their prices more volatile than those of securities of comparable U.S. companies.

Note 10 – Subsequent Events

Management evaluates events occurring subsequent to the date of the financial statements in determining the accounting for and disclosure of transactions and events that affect the financial statements. Subsequent events have been evaluated through October 2, 2020, which is the date the financial statements were available to be issued.

On July 1, 2019, the Principal Financial Group ("Principal") announced the closing of its acquisition of the Wells Fargo & Company Institutional Retirement & Trust Business. The transition of the Plan to Principal’s platform is currently scheduled to occur in June 2021.

Effective April 1, 2020, the Plan's discretionary Employer matching contribution was suspended. Effective May 15, 2020, the Plan's discretionary Employer matching contribution resumed.

During 2020, the Plan’s provisions for required minimum distributions (“RMDs”) were amended in accordance with the Coronavirus Aid, Relief, and Economic Security Act (“CARES Act”) such that the payment of 2020 and certain 2019 RMDs were waived.

Colorado Allergy & Asthma Centers, P.C.
Profit Sharing 401(k) Plan

Schedule H, Line 4i: Schedule of Assets (Held at End of Year)

EIN: 84-0735271 **PN: 001**

December 31, 2019

	Identity of Issue, Borrower, Lessor or Similar Party	Description of Investment	Shares	Current Value
		Mutual Funds:		
	American Century	AMER CENT SM CAP VAL-I	66,444	**$ 534,213**
	Dodge & Cox	DODGE & COX INT L STOCK FD	14,701	**640,981**
	Invesco Oppenheimer	INV OPP INTL DIVERS-R6	46,477	**891,894**
	JP Morgan	JPMORGAN SMALL CAP GROW-R6	128,973	**2,645,231**
	MFS	MFS INTL NEW DISCOVERY-A	27,496	**956,306**
	T Rowe Price	T ROWE PRICE GROWTH STK FD	33,221	**2,436,760**
	T Rowe Price	T ROWE PRICE MID CAP GROWTH	13,723	**1,308,181**
	Doubleline	DOUBLELINE CORE FIX INCOME-I	146,736	**1,624,365**
	American Funds	AMER FNDS GRWTH & INC-R6	90,973	**1,411,896**
	American Funds	AMERICAN 2010 TARGET RET-R6	2,253	**25,282**
	American Funds	AMERICAN 2020 TARGET RET-R6	119,893	**1,558,603**
	American Funds	AMERICAN 2030 TARGET RET-R6	107,812	**1,639,814**
	American Funds	AMERICAN 2040 TARGET RET-R6	58,887	**958,092**
	American Funds	AMERICAN 2050 TARGET RET-R6	43,580	**709,923**
	American Funds	AMERICAN 2060 TARGET RET-R6	11,371	**154,987**
*	Wells Fargo	WF C & B LARGE CAP VAL-I	112,625	**1,630,807**
*	Wells Fargo	WF SPECIAL MID CAP VAL-I	49,594	**2,091,878**
		Total Mutual Funds		**21,219,213**
		Common Collective Trust Funds:		
	Reliance Trust	RELIANCE TR CO UT LTD PART INT CL I	12,362	**2,200,270**
	Wilmington Trust	WILMINGTON TR C/BLACKROCK EAFE EQUI	323	**34,652**
	Wilmington Trust	WILMINGTON TR C/BLACKROCK EQUITY IX	3,559	**1,505,263**
	Wilmington Trust	WILMINGTON TR C/BLACKROCK MIDCAP EQ	87	**17,173**
	Wilmington Trust	WILMINGTON TR C/BLACKROCK RUSSELL 2	650	**121,698**
	Wilmington Trust	WILMINGTON TR C/BLACKROCK US DEBT I	992	**172,013**
		Total Common Collective Trust Funds		**4,051,069**
	Various	**Self-Directed Brokerage Accounts**		**1,811,158**
*	Participants	**Loans to Participants:** (interest rates of 3.25% to 6.50%, various maturity dates)		**76,298**
		Total Assets (Held at End of Year)		**$ 27,157,738**

* Represents a party-in-interest.



Colorado Allergy & Asthma Centers, P.C.

Profit Sharing 401(k) Plan

Independent Auditor's Report and Financial Statements

December 31, 2019 and 2018

Colorado Allergy & Asthma Centers, P.C.
Profit Sharing 401(k) Plan

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BROCK AND COMPANY
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Independent Auditor's Report

To the Plan Administrtor of the
Colorado Allergy & Asthma Centers, P.C. Profit Sharing 401(k) Plan

Report on the Financial Statements
We were engaged to audit the accompanying financial statements of the Colorado Allergy & Asthma Centers, P.C. Profit Sharing 401(k) Plan (the "Plan"), which comprise the Statement of Net Assets Available for Benefits as of December 31, 2019, and the related Statement of Changes in Net Assets Available for Benefits for the year 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 audit 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 4, which was certified by Wells Fargo Bank N.A., the trustee of the Plan, except for comparing such information with the related information included in the 2019 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 year ended December 31, 2019, 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 on the 2019 financial statements. Accordingly, we do not express an opinion on the 2019 financial statements.

Other Matter - Supplemental Schedule
The supplemental schedule, Schedule H, Line 4i: Schedule of Assets (Held at End of Year), as of December 31, 2019, is required by the Department of Labor's ("DOL") Rules and Regulations for Reporting and Disclosure under the Employee Retirement Income Security Act of 1974 and is 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 this supplemental schedule.

Other Matter - 2018 Financial Statements

The financial statement of the Plan as of December 31, 2018, was audited by predecessor auditors. 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 ("ERISA"), the plan administrator instructed the predecessor auditors not to perform, and they did not perform, any auditing procedures with respect to the information certified by Wells Fargo Bank N.A., the trustee of the Plan. Their report, dated October 15, 2019, indicated that (a) because of the significance of the information that they did not audit, they were unable to obtain sufficient appropriate audit evidence to provide a basis for an audit opinion and accordingly, they did not express an opinion on the financial statements and (b) the form and content of the information included in the financial statements other than that derived from the information certified by the trustee, were presented in compliance with the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA.

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

The form and content of the information included in the 2019 financial statements and supplemental schedule, other than that derived from the information certified by the trustee, has 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.

Brock and Company CPAs P.C.

Certified Public Accountants

Littleton, Colorado
October 2, 2020

Colorado Allergy & Asthma Centers, P.C.
Profit Sharing 401(k) Plan

Statements of Net Assets Available for Benefits

December 31,	2019	2018
ASSETS		
Investments, at fair value (Notes 2 and 3):	**$ 27,081,440**	$ 24,065,742
Receivables:		
Employer contributions	**668,292**	617,772
Notes receivables from participants	**76,298**	64,130
Total receivables	**744,590**	681,902
Total assets	**27,826,030**	24,747,644
LIABILITIES		
Due to broker	**88,467**	-
Net assets available for benefits	**$ 27,737,563**	$ 24,747,644

The accompanying Notes are an integral part of these financial statements.

Colorado Allergy & Asthma Centers, P.C.
Profit Sharing 401(k) Plan

Statement of Changes in Net Assets Available for Benefits

Year ended December 31, 2019

Additions to (deductions from) net assets attributed to:	
Investment income (Note 2):	
Net appreciation in fair value of investments	**$ 5,169,925**
Interest, dividends, and other	**292,239**
Total investment income	**5,462,164**
Other income:	
Interest income on notes receivable from participants	**3,365**
Other income	**42**
Total other income	**3,407**
Contributions:	
Employer	**1,049,357**
Participant	**721,200**
Rollover	**42,544**
Total contributions	**1,813,101**
Payments:	
Distributions to participants	**(4,232,661)**
Administrative fees	**(56,092)**
Total payments	**(4,288,753)**
Net increase in net assets available for benefits	**2,989,919**
Net assets available for benefits, beginning of year	**24,747,644**
Net assets available for benefits, end of year	**$ 27,737,563**

The accompanying Notes are an integral part of these financial statements.

Colorado Allergy & Asthma Centers, P.C.
Profit Sharing 401(k) Plan

Notes to Financial Statements
December 31, 2019 and 2018

Note 1 – Description of the Plan

The following description of the Colorado Allergy & Asthma Centers, P.C. Profit Sharing 401(k) Plan (the "Plan") provides only general information. Participants and all others should refer to the Plan document for a more complete description of the Plan's provisions.

General. The Plan is a defined contribution plan which went into effect July 1, 1977, that is generally available to all employees of Colorado Allergy & Asthma Centers, P.C. ("the Company", "Employer", "Plan Sponsor", or "Plan administrator"). Employees become eligible to make elective deferral contributions upon completing one year of service and attainment of age 21. Employees become eligible for discretionary Employer matching contributions and discretionary Employer nonelective contributions upon completing two years of service and attainment of age 21. Employees may enter the Plan on January 1 and July 1 coinciding with or next following the date they meet the eligibility requirements. The Plan excludes reclassified employees, leased employees, union employees and non-resident aliens. The Plan is subject to the provisions of the Employee Retirement Income Security Act of 1974, as amended ("ERISA"). Benefits under the Plan are not guaranteed by the Pension Benefit Guaranty Corporation.

Plan Amendment. Generally effective January 1, 2019, the Plan adopted new 401(k) hardship distribution rules based on the Bipartisan Budget Act of 2018 and the IRS's proposed regulations.

Contributions. The following types of contributions are allowable under the Plan:

- Salary Deferral Contributions – Participants may contribute a percentage of their pretax compensation, as defined in the Plan document, subject to limitations. Additionally, participants may contribute a percentage of their after-tax compensation and designate it as a Roth elective deferral contribution. A participant's total salary-deferred contribution cannot exceed $19,000 ($25,000 if 50 or older) in calendar year 2019.
- Discretionary Employer Matching Contributions – The Employer may make a discretionary Employer matching contribution to eligible participants. During 2019, the Employer made a discretionary matching contribution equal to 100% of a participant's salary deferral contributions up to 5% of a participant's eligible compensation.
- Discretionary Employer Nonelective Contributions – The Employer may make a discretionary nonelective contribution to eligible participants who have completed 1,000 hours of service during the Plan year. Participants who die, become disabled, or terminate employment on or after attaining normal or early retirement age are also eligible to receive an allocation of the discretionary Employer nonelective contribution. This contribution is integrated with a percentage of the Social Security Taxable wage base and is allocated to each eligible participant's account in the ratio which each participant's compensation and excess compensation, as defined, bears to the compensation plus excess compensation of all eligible participants. For the year ended December 31, 2019, the Employer made a discretionary Employer nonelective contribution of $646,321.
- Rollover Contributions – Amounts distributed to eligible participants from other qualified employee benefit plans may be rolled into the Plan.

All contributions are allocated to the Plan's investment funds at the direction of the participants.

Note 1 – Description of the Plan (continued)

Participant Accounts. Each participant's account is credited with the participant's contributions (salary deferrals and rollovers, if any) and an allocation of (a) the Company's discretionary contributions (Employer matching and nonelective), (b) fund earnings or losses, and (c) administrative expenses. The benefit to which a participant is entitled is the benefit that can be provided from the participant's vested account balance.

Vesting. Participants are immediately vested in their salary deferral contributions, rollover contributions, discretionary Employer matching contributions, discretionary Employer nonelective contributions, and related earnings thereon.

Investment Options. Participants have the option to direct their investments into various mutual funds, common collective trust funds, or various investments offered through the self-directed brokerage account ("SDBA").

Notes Receivable from Participants. Participants may borrow from their fund accounts a minimum of $1,000 up to a maximum equal to the lesser of (i) $50,000, reduced by the participant's highest outstanding loan balance during the prior 12 month period, or (ii) 50% of their vested account balance. Loan terms range from 1 year up to a maximum of 5 years (a longer term up to 30 years is available if used for the purchase of a principal residence). The loans are secured by the balance in the participant's account and bear interest at the prime rate as determined by the Plan administrator at the date the loan is granted. Principal and interest payments are paid ratably through payroll deductions.

Payment of Benefits. Benefits to participants or beneficiaries generally are payable as a lump sum equal to the value of their vested account balance upon retirement, disability, death or termination of the participant. Additionally, participants may request in-service withdrawals upon attainment of age 55, upon their 5th anniversary of participation, for a deemed severance distribution, or upon incurring a financial hardship, as defined in the Plan document, if certain criteria are met.

Note 2 – Summary of Significant Accounting Policies

Use of Estimates and Basis of Accounting. The financial statements of the Plan are prepared using the accrual method of accounting. The preparation of financial statements in conformity with accounting principles generally accepted in the United States of America ("GAAP") requires the Plan's management to use estimates and assumptions that affect the accompanying financial statements and disclosures. Actual results could differ from those estimates.

Investment Valuation and Income Recognition. The Plan's investments are stated at fair value. Fair value is the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants at the measurement date. The Plan's Committee determines the Plan's valuation policies utilizing information provided by the investment advisors and trustee. See Note 3 for a discussion of fair value measurements.

Note 2 – Summary of Significant Accounting Policies (continued)

Investment Valuation and Income Recognition (continued). Purchases and sales of securities are recorded on a trade-date basis. Interest income is recorded when earned. Dividends are recorded on the ex-dividend date. Net appreciation in fair value of investments includes the Plan's gains and losses on investments bought and sold as well as held during the year.

Notes Receivable from Participants. Notes receivable from participants are measured at their unpaid principal balance plus any accrued but unpaid interest. Interest income is recorded on the accrual basis. Related fees are recorded as administrative expenses and are expensed when they are incurred. No allowance for credit losses has been recorded as of December 31, 2019 or 2018. Delinquent participant loans are reclassified as distributions based upon the terms of the Plan document.

Benefits Payments. Benefits are recorded when paid.

Expenses. Certain expenses of maintaining the Plan are paid directly by the Company and are excluded from these financial statements. Fees related to the administration of notes receivable from participants are charged directly to the participant's account and are included in administrative fees. Also, included in administrative fees are recordkeeping, investment advisory, and other administrative expenses. Additionally, certain investment related expenses are included in net appreciation in fair value of investments.

Prior Period Adjustment. In accordance with ASC 820, during 2019 Plan management made the following adjustments to their fair value measurements as of December 31, 2018, as shown in Note 3.

	As Previously Reported		As Adjusted	
Description	Amount	Fair Value Level Within Within the the Fair Value Hierarchy of ASC 820	Amount	Fair Value Level Within Within the the Fair Value Hierarchy of ASC 820
Common Collective Trusts			$ 1,785,593	1
Self-directed Brokerage Accts	$ 1,750,680	1	1,829,806	1
Self-directed Brokerage Accts	79,126	2		
Investments Measured at NAV	3,967,942	*	2,182,349	*

* In accordance with Subtopic 820-10, certain investments that were measured at net asset value per share (or its equivalent) have not been classified in the fair value hierarchy. The fair value amounts presented in this table are intended to permit reconciliation of the fair value hierarchy to the line items presented on the statements of net assets available for benefits.

Note 2 – Summary of Significant Accounting Policies (continued)

Prior Period Adjustment (continued). This adjustment had no effect on net assets available for benefits as of December 31, 2019 and 2018, or the net increase in net assets available for benefits for the year ended December 31, 2019.

Note 3– Fair Value Measurements

The Financial Accounting Standards Board ("FASB") Accounting Standards Codification (“ASC”) 820, Fair Value Measurements and Disclosures, provides the framework for measuring fair value. That framework provides a fair value hierarchy that prioritizes the inputs to valuation techniques used to measure fair value. The hierarchy gives the highest priority to unadjusted quoted prices in active markets for identical assets or liabilities (level 1 measurements) and the lowest priority to unobservable inputs (level 3 measurements). The three levels of the fair value hierarchy under FASB ASC 820 are described below:

Level 1. Inputs to the valuation methodology are unadjusted quoted prices for identical assets or liabilities in active markets that the Plan has the ability to access.

Level 2. Inputs to the valuation methodology include:

- 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; and
- Inputs that are derived principally from or corroborated by observable market data by correlation or other means.

If the asset or liability has a specified (contractual) term, the Level 2 input must be observable for substantially the full term of the asset or liability.

Level 3. Inputs to the valuation methodology are unobservable and significant to the fair value measurement.

The asset’s or liability’s fair value measurement level within the fair value hierarchy is based on the lowest level of any input that is significant to the fair value measurement. Valuation techniques used need to maximize the use of observable inputs and minimize the use of unobservable inputs.

The following is a description of the valuation methodologies used for assets measured at fair value:

- Mutual funds (including mutual funds held in the SDBA) and the common collective trusts ("CCTs") issued by Wilmington Trust are valued at the quoted net asset value (“NAV”) of shares/units held by the Plan at year end.
- The common collective trusts ("CCTs") issued by Wells Fargo Bank and MetLife are valued at the NAV of units held by the Plan at year end. The NAV, as provided by the trustee, is used as a practical expedient to estimate fair value. The NAV is based on the fair value of the underlying investments held by the funds less their liabilities. This practical expedient is not used when it is determined to be probable that the fund will sell the investment for an amount different than the reported NAV. Participant transactions (purchases and sales) may occur daily.

Note 3– Fair Value Measurements (continued)

- Common stock held in the SDBA is valued at the closing price reported on the active market on which the individual securities are traded.

The methods described above may produce a fair value calculation that may not be indicative of net realizable value or reflective of future fair values. Furthermore, while the Plan believes its valuation methods are appropriate and consistent with other market participants, the use of different methodologies or assumptions to determine the fair value of certain financial instruments could result in a different fair value measurement at the reporting date.

The following tables sets forth by level, within the fair value hierarchy ("FV Hierarchy"), the Plan's assets at fair value as of December 31, 2019 and 2018:

	Fair Value Measurements at December 31, 2019			
	Quoted Prices in Active Markets for Identical Assets Level 1	Significant Other Observable Inputs Level 2	Significant Unobservable Inputs Level 3	Total
Mutual Funds	**$ 21,219,213**	**$ -**	**$ -**	**$ 21,219,213**
Common Collective Trusts	**1,850,799**	**-**	**-**	**1,850,799**
Self-Directed Brokerage	**1,811,158**	**-**	**-**	**1,811,158**
Total Assets Within the FV Hierarchy	**$ 24,881,170**	**$ -**	**$ -**	**24,881,170**
Investments Measured at NAV*				**2,200,270**
Total Assets at Fair Value				**$ 27,081,440**

	Fair Value Measurements at December 31, 2018			
	Quoted Prices in Active Markets for Identical Assets Level 1	Significant Other Observable Inputs Level 2	Significant Unobservable Inputs Level 3	Total
Mutual Funds	$ 18,267,994	$ -	$ -	$ 18,267,994
Common Collective Trusts	1,785,593	-	-	1,785,593
Self-Directed Brokerage	1,829,806	-	-	1,829,806
Total Assets Within the FV Hierarchy	$ 21,883,393	$ -	$ -	21,883,393
Investments Measured at NAV*				2,182,349
Total Assets at Fair Value				$ 24,065,742

Note 3– Fair Value Measurements (continued)

* In accordance with Subtopic 820-10, certain investments that were measured at net asset value per share (or its equivalent) have not been classified in the fair value hierarchy. The fair value amounts presented in this table are intended to permit reconciliation of the fair value hierarchy to the line items presented on the statements of net assets available for benefits.

Changes in Fair Value Levels. The availability of observable market data is monitored to assess the appropriate classification of financial instruments within the fair value hierarchy. Changes in economic conditions or model-based valuation techniques may require the transfer of financial instruments from one fair value level to another. In such instances, the transfer is reported at the beginning of the reporting period. During 2019, there were no transfers in or out of levels 1, 2 or 3.

Investments in Certain Entities that Calculate NAV per Unit. The following table for December 31, 2019 and 2018, sets forth a summary of certain of the Plan's investments with a reported NAV:

Investment	Fair Value as of December 31, 2019	2018	Unfunded Commitments	Redemption Frequency	Redemption Notice Period & Other Redemption Restrictions
CCT (a)	**$ 2,200,270**	$ 2,182,349	**None**	**Daily**	**(b)**

(a) RELIANCE TR CO UT LTD PART INT CL I: The primary investment objective of the Fund is to preserve principal while generating earnings at rates competitive over time with short-term high quality fixed income investments, while maintaining sufficient liquidity to provide Participant-Directed Withdrawals, as defined in the Declaration of Trust, at their proportionate share of Contract Value.

WF STABLE RETURN FUND N: The investment has a stable value fund strategy that seeks to protect principal while providing a higher rate of return than shorter maturity investments, such as money market funds or certificates of deposits, by investing primarily in investment contracts and security-backed contracts.

(b) RELIANCE TR CO UT LTD PART INT CL I: Participant-Directed Withdrawals, as defined, will be paid at contract value on the business day following receipt of withdrawal instructions and all necessary documentation.

Participating Plan-Directed Withdrawals will normally be paid no later than two business days (60 business days as to a withdrawal in connection with terminating a Participating Plan's participation in the Trust) following the Trustee's receipt of withdrawal instructions and all necessary documentation. Participating Plan-Directed Withdrawals will be paid as a market value adjusted payment which is the lesser of contract value or market value. Participating Plan-Directed Withdrawals include (1) participant withdrawals based on advice or direction from the Plan sponsor, Plan administrator, Plan Fiduciary, or agent of the Plan, (2) additional investment options that constitute or create a competing fund, (3) a new eligible plan that is established by the Plan sponsor that offers participants a competing fund, and (4) action of participating plan (e.g. Plan termination or Plan sponsor initiates a withdrawal).

WF STABLE RETURN FUND N: Qualified Plan participant initiated withdrawals are honored at any time without penalty, regardless of their frequency or amount unless payments are being delayed to all Wells Fargo Stable Return Fund N (the "Fund") unit holders. The Fund also requires participants to invest in a "non-competing fund" for at least 90 days before transferring to a "competing" fund option. Examples of "competing" fund options include a money market fund, a high quality bond fund with a duration of 3 years or less, other principal preservation funds, or a brokerage window.

Any Plan sponsor or Plan fiduciary-initiated withdrawal from the Fund will require a 12-month written notice of the intent to withdraw assets from the Fund. At the discretion of Wells Fargo, the notification periods identified for withdrawals may be waived only under extenuating circumstances as determined by the Trustee in its sole discretion.

Note 4 – Certified Information

The Plan administrator has elected the method of annual reporting and compliance permitted by 29 CFR 2520.103-8 of the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA. Accordingly, the trustee of the Plan has certified that the following data included in the accompanying 2019 financial statements and supplemental schedule is complete and accurate:

- Investments as of December 31, 2019, as shown in the Statement of Net Assets Available for Benefits, and Note 3;
- Notes receivable from participants, as shown in the Statement of Net Assets Available for Benefits as of December 31, 2019;
- Investment income, as shown in the Statement of Changes in Net Assets Available for Benefits for the year ended December 31, 2019;
- Interest income on notes receivable from participants, as shown in the Statement of Changes in Net Assets Available for Benefits for the year ended December 31, 2019; and
- The investment information in the Schedule of Assets (Held at End of Year) as of December 31, 2019, as shown in the supplemental schedule.

The Plan's independent auditors did not perform auditing procedures with respect to this information except for comparing such information to the related information included in the 2019 financial statements and supplemental schedule.

Note 5 – 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 or partial termination, affected participants will become 100% vested in their accounts.

Note 6 – Tax Status

The Company has adopted a Wells Fargo Bank N.A. Volume Submitter Profit Sharing Plan ("volume submitter plan"). The volume submitter plan received an advisory letter from the Internal Revenue Service ("IRS") on March 31, 2014, which stated that the volume submitter plan is qualified under the applicable sections of the Internal Revenue Code ("IRC"). Although the volume submitter plan and Plan have been amended since receiving the IRS advisory letter, the Plan administrator believes that the Plan and related trust are currently designed and being operated in compliance with the applicable requirements of the IRC. Therefore, the Plan administrator believes that the Plan is qualified under Section 401(a) of the IRC and the related Trust is tax exempt as of December 31, 2019 and 2018. Therefore, no provision for income taxes has been included in the Plan's financial statements.

Note 6 – Tax Status (continued)

GAAP requires Plan management to evaluate tax positions taken by the Plan and recognize a tax liability (or asset) if the Plan has taken an uncertain position that more likely than not would not be sustained upon examination by the IRS. The Plan administrator has analyzed the tax positions taken by the Plan, and has concluded that as of December 31, 2019 and 2018, there are no uncertain positions taken or expected to be taken that would require recognition of a liability (or asset) or disclosure in the financial statements. The Plan is subject to routine audits by taxing jurisdictions; however, there are currently no audits for any tax periods in progress.

Note 7 – Party-In-Interest Transactions

The Company provides to the Plan certain accounting and administrative services for which no fees are charged.

Certain Plan investments are or were mutual funds, a common collective trust, and interest bearing cash accounts offered by Wells Fargo. As Wells Fargo Bank N.A. is the trustee of the Plan, these transactions qualify as party-in-interest transactions. Additionally, the Plan maintains notes receivable from participants. Fees paid for services rendered by parties-in-interest were based on customary and reasonable rates for such services.

Note 8 – Reconciliation to Form 5500

The following is a reconciliation of net assets available for benefits per the financial statements to the Form 5500 as of December 31, 2019:

	2019
Net assets available for benefits per the financial statements	$ 27,737,563
Less: Employer contributions receivable	(668,292)
Net assets available for benefits per the Form 5500 (unaudited)	$ 27,069,271

The following is a reconciliation of Employer contributions per the financial statements to the Form 5500 for the year ended December 31, 2019:

	Employer Contributions
Amounts per the financial statements	$ 1,049,357
Less: 2019 Employer contributions receivable	(668,292)
Amounts per the Form 5500 (unaudited)	$ 381,065

Note 9 – Risks and Uncertainties

The Plan provides for various investment options. Investment securities, in general, are exposed to various risks, such as significant world events, interest rate, credit, and overall market volatility risk. Due to the level of risk associated with certain investment securities, it is reasonably possible that changes in the values of investment securities will occur in the near term and that such changes could materially affect the amounts presented in the statements of net assets available for benefits.

Additionally, some investments held by the Plan are invested in the securities of foreign companies, which involve special risks and considerations not typically associated with investing in U.S. companies. These risks include devaluation of currencies, less reliable information about issuers, different securities transaction clearance and settlement practices, and possible adverse political and economic developments. Moreover, securities of many foreign companies and their markets may be less liquid and their prices more volatile than those of securities of comparable U.S. companies.

Note 10 – Subsequent Events

Management evaluates events occurring subsequent to the date of the financial statements in determining the accounting for and disclosure of transactions and events that affect the financial statements. Subsequent events have been evaluated through October 2, 2020, which is the date the financial statements were available to be issued.

On July 1, 2019, the Principal Financial Group ("Principal") announced the closing of its acquisition of the Wells Fargo & Company Institutional Retirement & Trust Business. The transition of the Plan to Principal’s platform is currently scheduled to occur in June 2021.

Effective April 1, 2020, the Plan's discretionary Employer matching contribution was suspended. Effective May 15, 2020, the Plan's discretionary Employer matching contribution resumed.

During 2020, the Plan’s provisions for required minimum distributions (“RMDs”) were amended in accordance with the Coronavirus Aid, Relief, and Economic Security Act (“CARES Act”) such that the payment of 2020 and certain 2019 RMDs were waived.

Colorado Allergy & Asthma Centers, P.C.
Profit Sharing 401(k) Plan

Schedule H, Line 4i: Schedule of Assets (Held at End of Year)

EIN: 84-0735271 **PN: 001**

December 31, 2019

	Identity of Issue, Borrower, Lessor or Similar Party	Description of Investment	Shares	Current Value
		Mutual Funds:		
	American Century	AMER CENT SM CAP VAL-I	66,444	**$ 534,213**
	Dodge & Cox	DODGE & COX INT L STOCK FD	14,701	**640,981**
	Invesco Oppenheimer	INV OPP INTL DIVERS-R6	46,477	**891,894**
	JP Morgan	JPMORGAN SMALL CAP GROW-R6	128,973	**2,645,231**
	MFS	MFS INTL NEW DISCOVERY-A	27,496	**956,306**
	T Rowe Price	T ROWE PRICE GROWTH STK FD	33,221	**2,436,760**
	T Rowe Price	T ROWE PRICE MID CAP GROWTH	13,723	**1,308,181**
	Doubleline	DOUBLELINE CORE FIX INCOME-I	146,736	**1,624,365**
	American Funds	AMER FNDS GRWTH & INC-R6	90,973	**1,411,896**
	American Funds	AMERICAN 2010 TARGET RET-R6	2,253	**25,282**
	American Funds	AMERICAN 2020 TARGET RET-R6	119,893	**1,558,603**
	American Funds	AMERICAN 2030 TARGET RET-R6	107,812	**1,639,814**
	American Funds	AMERICAN 2040 TARGET RET-R6	58,887	**958,092**
	American Funds	AMERICAN 2050 TARGET RET-R6	43,580	**709,923**
	American Funds	AMERICAN 2060 TARGET RET-R6	11,371	**154,987**
*	Wells Fargo	WF C & B LARGE CAP VAL-I	112,625	**1,630,807**
*	Wells Fargo	WF SPECIAL MID CAP VAL-I	49,594	**2,091,878**
		Total Mutual Funds		**21,219,213**
		Common Collective Trust Funds:		
	Reliance Trust	RELIANCE TR CO UT LTD PART INT CL I	12,362	**2,200,270**
	Wilmington Trust	WILMINGTON TR C/BLACKROCK EAFE EQUI	323	**34,652**
	Wilmington Trust	WILMINGTON TR C/BLACKROCK EQUITY IX	3,559	**1,505,263**
	Wilmington Trust	WILMINGTON TR C/BLACKROCK MIDCAP EQ	87	**17,173**
	Wilmington Trust	WILMINGTON TR C/BLACKROCK RUSSELL 2	650	**121,698**
	Wilmington Trust	WILMINGTON TR C/BLACKROCK US DEBT I	992	**172,013**
		Total Common Collective Trust Funds		**4,051,069**
	Various	**Self-Directed Brokerage Accounts**		**1,811,158**
*	Participants	**Loans to Participants:** (interest rates of 3.25% to 6.50%, various maturity dates)		**76,298**
		Total Assets (Held at End of Year)		**$ 27,157,738**

* Represents a party-in-interest.



Colorado Allergy & Asthma Centers, P.C.

Profit Sharing 401(k) Plan

Independent Auditor's Report and Financial Statements

December 31, 2019 and 2018

Colorado Allergy & Asthma Centers, P.C.
Profit Sharing 401(k) Plan

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Independent Auditor's Report

To the Plan Administrtor of the
Colorado Allergy & Asthma Centers, P.C. Profit Sharing 401(k) Plan

Report on the Financial Statements
We were engaged to audit the accompanying financial statements of the Colorado Allergy & Asthma Centers, P.C. Profit Sharing 401(k) Plan (the "Plan"), which comprise the Statement of Net Assets Available for Benefits as of December 31, 2019, and the related Statement of Changes in Net Assets Available for Benefits for the year 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 audit 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 4, which was certified by Wells Fargo Bank N.A., the trustee of the Plan, except for comparing such information with the related information included in the 2019 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 year ended December 31, 2019, 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 on the 2019 financial statements. Accordingly, we do not express an opinion on the 2019 financial statements.

Other Matter - Supplemental Schedule
The supplemental schedule, Schedule H, Line 4i: Schedule of Assets (Held at End of Year), as of December 31, 2019, is required by the Department of Labor's ("DOL") Rules and Regulations for Reporting and Disclosure under the Employee Retirement Income Security Act of 1974 and is 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 this supplemental schedule.

Other Matter - 2018 Financial Statements

The financial statement of the Plan as of December 31, 2018, was audited by predecessor auditors. 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 ("ERISA"), the plan administrator instructed the predecessor auditors not to perform, and they did not perform, any auditing procedures with respect to the information certified by Wells Fargo Bank N.A., the trustee of the Plan. Their report, dated October 15, 2019, indicated that (a) because of the significance of the information that they did not audit, they were unable to obtain sufficient appropriate audit evidence to provide a basis for an audit opinion and accordingly, they did not express an opinion on the financial statements and (b) the form and content of the information included in the financial statements other than that derived from the information certified by the trustee, were presented in compliance with the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA.

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

The form and content of the information included in the 2019 financial statements and supplemental schedule, other than that derived from the information certified by the trustee, has 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.

Brock and Company CPAs P.C.

Certified Public Accountants

Littleton, Colorado
October 2, 2020

Colorado Allergy & Asthma Centers, P.C.
Profit Sharing 401(k) Plan

Statements of Net Assets Available for Benefits

December 31,	2019	2018
ASSETS		
Investments, at fair value (Notes 2 and 3):	**$ 27,081,440**	$ 24,065,742
Receivables:		
Employer contributions	**668,292**	617,772
Notes receivables from participants	**76,298**	64,130
Total receivables	**744,590**	681,902
Total assets	**27,826,030**	24,747,644
LIABILITIES		
Due to broker	**88,467**	-
Net assets available for benefits	**$ 27,737,563**	$ 24,747,644

The accompanying Notes are an integral part of these financial statements.

Colorado Allergy & Asthma Centers, P.C.
Profit Sharing 401(k) Plan

Statement of Changes in Net Assets Available for Benefits

Year ended December 31, 2019

Additions to (deductions from) net assets attributed to:	
Investment income (Note 2):	
Net appreciation in fair value of investments	**$ 5,169,925**
Interest, dividends, and other	**292,239**
Total investment income	**5,462,164**
Other income:	
Interest income on notes receivable from participants	**3,365**
Other income	**42**
Total other income	**3,407**
Contributions:	
Employer	**1,049,357**
Participant	**721,200**
Rollover	**42,544**
Total contributions	**1,813,101**
Payments:	
Distributions to participants	**(4,232,661)**
Administrative fees	**(56,092)**
Total payments	**(4,288,753)**
Net increase in net assets available for benefits	**2,989,919**
Net assets available for benefits, beginning of year	**24,747,644**
Net assets available for benefits, end of year	**$ 27,737,563**

The accompanying Notes are an integral part of these financial statements.

Colorado Allergy & Asthma Centers, P.C.
Profit Sharing 401(k) Plan

Notes to Financial Statements
December 31, 2019 and 2018

Note 1 – Description of the Plan

The following description of the Colorado Allergy & Asthma Centers, P.C. Profit Sharing 401(k) Plan (the "Plan") provides only general information. Participants and all others should refer to the Plan document for a more complete description of the Plan's provisions.

General. The Plan is a defined contribution plan which went into effect July 1, 1977, that is generally available to all employees of Colorado Allergy & Asthma Centers, P.C. ("the Company", "Employer", "Plan Sponsor", or "Plan administrator"). Employees become eligible to make elective deferral contributions upon completing one year of service and attainment of age 21. Employees become eligible for discretionary Employer matching contributions and discretionary Employer nonelective contributions upon completing two years of service and attainment of age 21. Employees may enter the Plan on January 1 and July 1 coinciding with or next following the date they meet the eligibility requirements. The Plan excludes reclassified employees, leased employees, union employees and non-resident aliens. The Plan is subject to the provisions of the Employee Retirement Income Security Act of 1974, as amended ("ERISA"). Benefits under the Plan are not guaranteed by the Pension Benefit Guaranty Corporation.

Plan Amendment. Generally effective January 1, 2019, the Plan adopted new 401(k) hardship distribution rules based on the Bipartisan Budget Act of 2018 and the IRS's proposed regulations.

Contributions. The following types of contributions are allowable under the Plan:

- Salary Deferral Contributions – Participants may contribute a percentage of their pretax compensation, as defined in the Plan document, subject to limitations. Additionally, participants may contribute a percentage of their after-tax compensation and designate it as a Roth elective deferral contribution. A participant's total salary-deferred contribution cannot exceed $19,000 ($25,000 if 50 or older) in calendar year 2019.
- Discretionary Employer Matching Contributions – The Employer may make a discretionary Employer matching contribution to eligible participants. During 2019, the Employer made a discretionary matching contribution equal to 100% of a participant's salary deferral contributions up to 5% of a participant's eligible compensation.
- Discretionary Employer Nonelective Contributions – The Employer may make a discretionary nonelective contribution to eligible participants who have completed 1,000 hours of service during the Plan year. Participants who die, become disabled, or terminate employment on or after attaining normal or early retirement age are also eligible to receive an allocation of the discretionary Employer nonelective contribution. This contribution is integrated with a percentage of the Social Security Taxable wage base and is allocated to each eligible participant's account in the ratio which each participant's compensation and excess compensation, as defined, bears to the compensation plus excess compensation of all eligible participants. For the year ended December 31, 2019, the Employer made a discretionary Employer nonelective contribution of $646,321.
- Rollover Contributions – Amounts distributed to eligible participants from other qualified employee benefit plans may be rolled into the Plan.

All contributions are allocated to the Plan's investment funds at the direction of the participants.

Note 1 – Description of the Plan (continued)

Participant Accounts. Each participant's account is credited with the participant's contributions (salary deferrals and rollovers, if any) and an allocation of (a) the Company's discretionary contributions (Employer matching and nonelective), (b) fund earnings or losses, and (c) administrative expenses. The benefit to which a participant is entitled is the benefit that can be provided from the participant's vested account balance.

Vesting. Participants are immediately vested in their salary deferral contributions, rollover contributions, discretionary Employer matching contributions, discretionary Employer nonelective contributions, and related earnings thereon.

Investment Options. Participants have the option to direct their investments into various mutual funds, common collective trust funds, or various investments offered through the self-directed brokerage account ("SDBA").

Notes Receivable from Participants. Participants may borrow from their fund accounts a minimum of $1,000 up to a maximum equal to the lesser of (i) $50,000, reduced by the participant's highest outstanding loan balance during the prior 12 month period, or (ii) 50% of their vested account balance. Loan terms range from 1 year up to a maximum of 5 years (a longer term up to 30 years is available if used for the purchase of a principal residence). The loans are secured by the balance in the participant's account and bear interest at the prime rate as determined by the Plan administrator at the date the loan is granted. Principal and interest payments are paid ratably through payroll deductions.

Payment of Benefits. Benefits to participants or beneficiaries generally are payable as a lump sum equal to the value of their vested account balance upon retirement, disability, death or termination of the participant. Additionally, participants may request in-service withdrawals upon attainment of age 55, upon their 5th anniversary of participation, for a deemed severance distribution, or upon incurring a financial hardship, as defined in the Plan document, if certain criteria are met.

Note 2 – Summary of Significant Accounting Policies

Use of Estimates and Basis of Accounting. The financial statements of the Plan are prepared using the accrual method of accounting. The preparation of financial statements in conformity with accounting principles generally accepted in the United States of America ("GAAP") requires the Plan's management to use estimates and assumptions that affect the accompanying financial statements and disclosures. Actual results could differ from those estimates.

Investment Valuation and Income Recognition. The Plan's investments are stated at fair value. Fair value is the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants at the measurement date. The Plan's Committee determines the Plan's valuation policies utilizing information provided by the investment advisors and trustee. See Note 3 for a discussion of fair value measurements.

Note 2 – Summary of Significant Accounting Policies (continued)

Investment Valuation and Income Recognition (continued). Purchases and sales of securities are recorded on a trade-date basis. Interest income is recorded when earned. Dividends are recorded on the ex-dividend date. Net appreciation in fair value of investments includes the Plan's gains and losses on investments bought and sold as well as held during the year.

Notes Receivable from Participants. Notes receivable from participants are measured at their unpaid principal balance plus any accrued but unpaid interest. Interest income is recorded on the accrual basis. Related fees are recorded as administrative expenses and are expensed when they are incurred. No allowance for credit losses has been recorded as of December 31, 2019 or 2018. Delinquent participant loans are reclassified as distributions based upon the terms of the Plan document.

Benefits Payments. Benefits are recorded when paid.

Expenses. Certain expenses of maintaining the Plan are paid directly by the Company and are excluded from these financial statements. Fees related to the administration of notes receivable from participants are charged directly to the participant's account and are included in administrative fees. Also, included in administrative fees are recordkeeping, investment advisory, and other administrative expenses. Additionally, certain investment related expenses are included in net appreciation in fair value of investments.

Prior Period Adjustment. In accordance with ASC 820, during 2019 Plan management made the following adjustments to their fair value measurements as of December 31, 2018, as shown in Note 3.

	As Previously Reported		As Adjusted	
Description	Amount	Fair Value Level Within Within the the Fair Value Hierarchy of ASC 820	Amount	Fair Value Level Within Within the the Fair Value Hierarchy of ASC 820
Common Collective Trusts			$ 1,785,593	1
Self-directed Brokerage Accts	$ 1,750,680	1	1,829,806	1
Self-directed Brokerage Accts	79,126	2		
Investments Measured at NAV	3,967,942	*	2,182,349	*

* In accordance with Subtopic 820-10, certain investments that were measured at net asset value per share (or its equivalent) have not been classified in the fair value hierarchy. The fair value amounts presented in this table are intended to permit reconciliation of the fair value hierarchy to the line items presented on the statements of net assets available for benefits.

Note 2 – Summary of Significant Accounting Policies (continued)

Prior Period Adjustment (continued). This adjustment had no effect on net assets available for benefits as of December 31, 2019 and 2018, or the net increase in net assets available for benefits for the year ended December 31, 2019.

Note 3– Fair Value Measurements

The Financial Accounting Standards Board ("FASB") Accounting Standards Codification (“ASC”) 820, Fair Value Measurements and Disclosures, provides the framework for measuring fair value. That framework provides a fair value hierarchy that prioritizes the inputs to valuation techniques used to measure fair value. The hierarchy gives the highest priority to unadjusted quoted prices in active markets for identical assets or liabilities (level 1 measurements) and the lowest priority to unobservable inputs (level 3 measurements). The three levels of the fair value hierarchy under FASB ASC 820 are described below:

Level 1. Inputs to the valuation methodology are unadjusted quoted prices for identical assets or liabilities in active markets that the Plan has the ability to access.

Level 2. Inputs to the valuation methodology include:

- 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; and
- Inputs that are derived principally from or corroborated by observable market data by correlation or other means.

If the asset or liability has a specified (contractual) term, the Level 2 input must be observable for substantially the full term of the asset or liability.

Level 3. Inputs to the valuation methodology are unobservable and significant to the fair value measurement.

The asset’s or liability’s fair value measurement level within the fair value hierarchy is based on the lowest level of any input that is significant to the fair value measurement. Valuation techniques used need to maximize the use of observable inputs and minimize the use of unobservable inputs.

The following is a description of the valuation methodologies used for assets measured at fair value:

- Mutual funds (including mutual funds held in the SDBA) and the common collective trusts ("CCTs") issued by Wilmington Trust are valued at the quoted net asset value (“NAV”) of shares/units held by the Plan at year end.
- The common collective trusts ("CCTs") issued by Wells Fargo Bank and MetLife are valued at the NAV of units held by the Plan at year end. The NAV, as provided by the trustee, is used as a practical expedient to estimate fair value. The NAV is based on the fair value of the underlying investments held by the funds less their liabilities. This practical expedient is not used when it is determined to be probable that the fund will sell the investment for an amount different than the reported NAV. Participant transactions (purchases and sales) may occur daily.

Note 3– Fair Value Measurements (continued)

- Common stock held in the SDBA is valued at the closing price reported on the active market on which the individual securities are traded.

The methods described above may produce a fair value calculation that may not be indicative of net realizable value or reflective of future fair values. Furthermore, while the Plan believes its valuation methods are appropriate and consistent with other market participants, the use of different methodologies or assumptions to determine the fair value of certain financial instruments could result in a different fair value measurement at the reporting date.

The following tables sets forth by level, within the fair value hierarchy ("FV Hierarchy"), the Plan's assets at fair value as of December 31, 2019 and 2018:

	Fair Value Measurements at December 31, 2019			
	Quoted Prices in Active Markets for Identical Assets Level 1	Significant Other Observable Inputs Level 2	Significant Unobservable Inputs Level 3	Total
Mutual Funds	**$ 21,219,213**	**$ -**	**$ -**	**$ 21,219,213**
Common Collective Trusts	**1,850,799**	**-**	**-**	**1,850,799**
Self-Directed Brokerage	**1,811,158**	**-**	**-**	**1,811,158**
Total Assets Within the FV Hierarchy	**$ 24,881,170**	**$ -**	**$ -**	**24,881,170**
Investments Measured at NAV*				**2,200,270**
Total Assets at Fair Value				**$ 27,081,440**

	Fair Value Measurements at December 31, 2018			
	Quoted Prices in Active Markets for Identical Assets Level 1	Significant Other Observable Inputs Level 2	Significant Unobservable Inputs Level 3	Total
Mutual Funds	$ 18,267,994	$ -	$ -	$ 18,267,994
Common Collective Trusts	1,785,593	-	-	1,785,593
Self-Directed Brokerage	1,829,806	-	-	1,829,806
Total Assets Within the FV Hierarchy	$ 21,883,393	$ -	$ -	21,883,393
Investments Measured at NAV*				2,182,349
Total Assets at Fair Value				$ 24,065,742

Note 3– Fair Value Measurements (continued)

* In accordance with Subtopic 820-10, certain investments that were measured at net asset value per share (or its equivalent) have not been classified in the fair value hierarchy. The fair value amounts presented in this table are intended to permit reconciliation of the fair value hierarchy to the line items presented on the statements of net assets available for benefits.

Changes in Fair Value Levels. The availability of observable market data is monitored to assess the appropriate classification of financial instruments within the fair value hierarchy. Changes in economic conditions or model-based valuation techniques may require the transfer of financial instruments from one fair value level to another. In such instances, the transfer is reported at the beginning of the reporting period. During 2019, there were no transfers in or out of levels 1, 2 or 3.

Investments in Certain Entities that Calculate NAV per Unit. The following table for December 31, 2019 and 2018, sets forth a summary of certain of the Plan's investments with a reported NAV:

Investment	Fair Value as of December 31, 2019	2018	Unfunded Commitments	Redemption Frequency	Redemption Notice Period & Other Redemption Restrictions
CCT (a)	**$ 2,200,270**	$ 2,182,349	**None**	**Daily**	**(b)**

(a) RELIANCE TR CO UT LTD PART INT CL I: The primary investment objective of the Fund is to preserve principal while generating earnings at rates competitive over time with short-term high quality fixed income investments, while maintaining sufficient liquidity to provide Participant-Directed Withdrawals, as defined in the Declaration of Trust, at their proportionate share of Contract Value.

WF STABLE RETURN FUND N: The investment has a stable value fund strategy that seeks to protect principal while providing a higher rate of return than shorter maturity investments, such as money market funds or certificates of deposits, by investing primarily in investment contracts and security-backed contracts.

(b) RELIANCE TR CO UT LTD PART INT CL I: Participant-Directed Withdrawals, as defined, will be paid at contract value on the business day following receipt of withdrawal instructions and all necessary documentation.

Participating Plan-Directed Withdrawals will normally be paid no later than two business days (60 business days as to a withdrawal in connection with terminating a Participating Plan's participation in the Trust) following the Trustee's receipt of withdrawal instructions and all necessary documentation. Participating Plan-Directed Withdrawals will be paid as a market value adjusted payment which is the lesser of contract value or market value. Participating Plan-Directed Withdrawals include (1) participant withdrawals based on advice or direction from the Plan sponsor, Plan administrator, Plan Fiduciary, or agent of the Plan, (2) additional investment options that constitute or create a competing fund, (3) a new eligible plan that is established by the Plan sponsor that offers participants a competing fund, and (4) action of participating plan (e.g. Plan termination or Plan sponsor initiates a withdrawal).

WF STABLE RETURN FUND N: Qualified Plan participant initiated withdrawals are honored at any time without penalty, regardless of their frequency or amount unless payments are being delayed to all Wells Fargo Stable Return Fund N (the "Fund") unit holders. The Fund also requires participants to invest in a "non-competing fund" for at least 90 days before transferring to a "competing" fund option. Examples of "competing" fund options include a money market fund, a high quality bond fund with a duration of 3 years or less, other principal preservation funds, or a brokerage window.

Any Plan sponsor or Plan fiduciary-initiated withdrawal from the Fund will require a 12-month written notice of the intent to withdraw assets from the Fund. At the discretion of Wells Fargo, the notification periods identified for withdrawals may be waived only under extenuating circumstances as determined by the Trustee in its sole discretion.

Note 4 – Certified Information

The Plan administrator has elected the method of annual reporting and compliance permitted by 29 CFR 2520.103-8 of the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA. Accordingly, the trustee of the Plan has certified that the following data included in the accompanying 2019 financial statements and supplemental schedule is complete and accurate:

- Investments as of December 31, 2019, as shown in the Statement of Net Assets Available for Benefits, and Note 3;
- Notes receivable from participants, as shown in the Statement of Net Assets Available for Benefits as of December 31, 2019;
- Investment income, as shown in the Statement of Changes in Net Assets Available for Benefits for the year ended December 31, 2019;
- Interest income on notes receivable from participants, as shown in the Statement of Changes in Net Assets Available for Benefits for the year ended December 31, 2019; and
- The investment information in the Schedule of Assets (Held at End of Year) as of December 31, 2019, as shown in the supplemental schedule.

The Plan's independent auditors did not perform auditing procedures with respect to this information except for comparing such information to the related information included in the 2019 financial statements and supplemental schedule.

Note 5 – 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 or partial termination, affected participants will become 100% vested in their accounts.

Note 6 – Tax Status

The Company has adopted a Wells Fargo Bank N.A. Volume Submitter Profit Sharing Plan ("volume submitter plan"). The volume submitter plan received an advisory letter from the Internal Revenue Service ("IRS") on March 31, 2014, which stated that the volume submitter plan is qualified under the applicable sections of the Internal Revenue Code ("IRC"). Although the volume submitter plan and Plan have been amended since receiving the IRS advisory letter, the Plan administrator believes that the Plan and related trust are currently designed and being operated in compliance with the applicable requirements of the IRC. Therefore, the Plan administrator believes that the Plan is qualified under Section 401(a) of the IRC and the related Trust is tax exempt as of December 31, 2019 and 2018. Therefore, no provision for income taxes has been included in the Plan's financial statements.

Note 6 – Tax Status (continued)

GAAP requires Plan management to evaluate tax positions taken by the Plan and recognize a tax liability (or asset) if the Plan has taken an uncertain position that more likely than not would not be sustained upon examination by the IRS. The Plan administrator has analyzed the tax positions taken by the Plan, and has concluded that as of December 31, 2019 and 2018, there are no uncertain positions taken or expected to be taken that would require recognition of a liability (or asset) or disclosure in the financial statements. The Plan is subject to routine audits by taxing jurisdictions; however, there are currently no audits for any tax periods in progress.

Note 7 – Party-In-Interest Transactions

The Company provides to the Plan certain accounting and administrative services for which no fees are charged.

Certain Plan investments are or were mutual funds, a common collective trust, and interest bearing cash accounts offered by Wells Fargo. As Wells Fargo Bank N.A. is the trustee of the Plan, these transactions qualify as party-in-interest transactions. Additionally, the Plan maintains notes receivable from participants. Fees paid for services rendered by parties-in-interest were based on customary and reasonable rates for such services.

Note 8 – Reconciliation to Form 5500

The following is a reconciliation of net assets available for benefits per the financial statements to the Form 5500 as of December 31, 2019:

	2019
Net assets available for benefits per the financial statements	$ 27,737,563
Less: Employer contributions receivable	(668,292)
Net assets available for benefits per the Form 5500 (unaudited)	$ 27,069,271

The following is a reconciliation of Employer contributions per the financial statements to the Form 5500 for the year ended December 31, 2019:

	Employer Contributions
Amounts per the financial statements	$ 1,049,357
Less: 2019 Employer contributions receivable	(668,292)
Amounts per the Form 5500 (unaudited)	$ 381,065

Note 9 – Risks and Uncertainties

The Plan provides for various investment options. Investment securities, in general, are exposed to various risks, such as significant world events, interest rate, credit, and overall market volatility risk. Due to the level of risk associated with certain investment securities, it is reasonably possible that changes in the values of investment securities will occur in the near term and that such changes could materially affect the amounts presented in the statements of net assets available for benefits.

Additionally, some investments held by the Plan are invested in the securities of foreign companies, which involve special risks and considerations not typically associated with investing in U.S. companies. These risks include devaluation of currencies, less reliable information about issuers, different securities transaction clearance and settlement practices, and possible adverse political and economic developments. Moreover, securities of many foreign companies and their markets may be less liquid and their prices more volatile than those of securities of comparable U.S. companies.

Note 10 – Subsequent Events

Management evaluates events occurring subsequent to the date of the financial statements in determining the accounting for and disclosure of transactions and events that affect the financial statements. Subsequent events have been evaluated through October 2, 2020, which is the date the financial statements were available to be issued.

On July 1, 2019, the Principal Financial Group ("Principal") announced the closing of its acquisition of the Wells Fargo & Company Institutional Retirement & Trust Business. The transition of the Plan to Principal’s platform is currently scheduled to occur in June 2021.

Effective April 1, 2020, the Plan's discretionary Employer matching contribution was suspended. Effective May 15, 2020, the Plan's discretionary Employer matching contribution resumed.

During 2020, the Plan’s provisions for required minimum distributions (“RMDs”) were amended in accordance with the Coronavirus Aid, Relief, and Economic Security Act (“CARES Act”) such that the payment of 2020 and certain 2019 RMDs were waived.

Colorado Allergy & Asthma Centers, P.C.
Profit Sharing 401(k) Plan

Schedule H, Line 4i: Schedule of Assets (Held at End of Year)

EIN: 84-0735271 **PN: 001**

December 31, 2019

	Identity of Issue, Borrower, Lessor or Similar Party	Description of Investment	Shares	Current Value
		Mutual Funds:		
	American Century	AMER CENT SM CAP VAL-I	66,444	**$ 534,213**
	Dodge & Cox	DODGE & COX INT L STOCK FD	14,701	**640,981**
	Invesco Oppenheimer	INV OPP INTL DIVERS-R6	46,477	**891,894**
	JP Morgan	JPMORGAN SMALL CAP GROW-R6	128,973	**2,645,231**
	MFS	MFS INTL NEW DISCOVERY-A	27,496	**956,306**
	T Rowe Price	T ROWE PRICE GROWTH STK FD	33,221	**2,436,760**
	T Rowe Price	T ROWE PRICE MID CAP GROWTH	13,723	**1,308,181**
	Doubleline	DOUBLELINE CORE FIX INCOME-I	146,736	**1,624,365**
	American Funds	AMER FNDS GRWTH & INC-R6	90,973	**1,411,896**
	American Funds	AMERICAN 2010 TARGET RET-R6	2,253	**25,282**
	American Funds	AMERICAN 2020 TARGET RET-R6	119,893	**1,558,603**
	American Funds	AMERICAN 2030 TARGET RET-R6	107,812	**1,639,814**
	American Funds	AMERICAN 2040 TARGET RET-R6	58,887	**958,092**
	American Funds	AMERICAN 2050 TARGET RET-R6	43,580	**709,923**
	American Funds	AMERICAN 2060 TARGET RET-R6	11,371	**154,987**
*	Wells Fargo	WF C & B LARGE CAP VAL-I	112,625	**1,630,807**
*	Wells Fargo	WF SPECIAL MID CAP VAL-I	49,594	**2,091,878**
		Total Mutual Funds		**21,219,213**
		Common Collective Trust Funds:		
	Reliance Trust	RELIANCE TR CO UT LTD PART INT CL I	12,362	**2,200,270**
	Wilmington Trust	WILMINGTON TR C/BLACKROCK EAFE EQUI	323	**34,652**
	Wilmington Trust	WILMINGTON TR C/BLACKROCK EQUITY IX	3,559	**1,505,263**
	Wilmington Trust	WILMINGTON TR C/BLACKROCK MIDCAP EQ	87	**17,173**
	Wilmington Trust	WILMINGTON TR C/BLACKROCK RUSSELL 2	650	**121,698**
	Wilmington Trust	WILMINGTON TR C/BLACKROCK US DEBT I	992	**172,013**
		Total Common Collective Trust Funds		**4,051,069**
	Various	**Self-Directed Brokerage Accounts**		**1,811,158**
*	Participants	**Loans to Participants:** (interest rates of 3.25% to 6.50%, various maturity dates)		**76,298**
		Total Assets (Held at End of Year)		**$ 27,157,738**

* Represents a party-in-interest.



Colorado Allergy & Asthma Centers, P.C.

Profit Sharing 401(k) Plan

Independent Auditor's Report and Financial Statements

December 31, 2019 and 2018

Colorado Allergy & Asthma Centers, P.C.
Profit Sharing 401(k) Plan

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Independent Auditor's Report

To the Plan Administrtor of the
Colorado Allergy & Asthma Centers, P.C. Profit Sharing 401(k) Plan

Report on the Financial Statements
We were engaged to audit the accompanying financial statements of the Colorado Allergy & Asthma Centers, P.C. Profit Sharing 401(k) Plan (the "Plan"), which comprise the Statement of Net Assets Available for Benefits as of December 31, 2019, and the related Statement of Changes in Net Assets Available for Benefits for the year 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 audit 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 4, which was certified by Wells Fargo Bank N.A., the trustee of the Plan, except for comparing such information with the related information included in the 2019 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 year ended December 31, 2019, 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 on the 2019 financial statements. Accordingly, we do not express an opinion on the 2019 financial statements.

Other Matter - Supplemental Schedule
The supplemental schedule, Schedule H, Line 4i: Schedule of Assets (Held at End of Year), as of December 31, 2019, is required by the Department of Labor's ("DOL") Rules and Regulations for Reporting and Disclosure under the Employee Retirement Income Security Act of 1974 and is 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 this supplemental schedule.

Other Matter - 2018 Financial Statements

The financial statement of the Plan as of December 31, 2018, was audited by predecessor auditors. 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 ("ERISA"), the plan administrator instructed the predecessor auditors not to perform, and they did not perform, any auditing procedures with respect to the information certified by Wells Fargo Bank N.A., the trustee of the Plan. Their report, dated October 15, 2019, indicated that (a) because of the significance of the information that they did not audit, they were unable to obtain sufficient appropriate audit evidence to provide a basis for an audit opinion and accordingly, they did not express an opinion on the financial statements and (b) the form and content of the information included in the financial statements other than that derived from the information certified by the trustee, were presented in compliance with the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA.

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

The form and content of the information included in the 2019 financial statements and supplemental schedule, other than that derived from the information certified by the trustee, has 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.

Brock and Company CPAs P.C.

Certified Public Accountants

Littleton, Colorado
October 2, 2020

Colorado Allergy & Asthma Centers, P.C.
Profit Sharing 401(k) Plan

Statements of Net Assets Available for Benefits

December 31,	2019	2018
ASSETS		
Investments, at fair value (Notes 2 and 3):	**$ 27,081,440**	$ 24,065,742
Receivables:		
Employer contributions	**668,292**	617,772
Notes receivables from participants	**76,298**	64,130
Total receivables	**744,590**	681,902
Total assets	**27,826,030**	24,747,644
LIABILITIES		
Due to broker	**88,467**	-
Net assets available for benefits	**$ 27,737,563**	$ 24,747,644

The accompanying Notes are an integral part of these financial statements.

Colorado Allergy & Asthma Centers, P.C.
Profit Sharing 401(k) Plan

Statement of Changes in Net Assets Available for Benefits

Year ended December 31, 2019

Additions to (deductions from) net assets attributed to:	
Investment income (Note 2):	
Net appreciation in fair value of investments	**$ 5,169,925**
Interest, dividends, and other	**292,239**
Total investment income	**5,462,164**
Other income:	
Interest income on notes receivable from participants	**3,365**
Other income	**42**
Total other income	**3,407**
Contributions:	
Employer	**1,049,357**
Participant	**721,200**
Rollover	**42,544**
Total contributions	**1,813,101**
Payments:	
Distributions to participants	**(4,232,661)**
Administrative fees	**(56,092)**
Total payments	**(4,288,753)**
Net increase in net assets available for benefits	**2,989,919**
Net assets available for benefits, beginning of year	**24,747,644**
Net assets available for benefits, end of year	**$ 27,737,563**

The accompanying Notes are an integral part of these financial statements.

Colorado Allergy & Asthma Centers, P.C.
Profit Sharing 401(k) Plan

Notes to Financial Statements
December 31, 2019 and 2018

Note 1 – Description of the Plan

The following description of the Colorado Allergy & Asthma Centers, P.C. Profit Sharing 401(k) Plan (the "Plan") provides only general information. Participants and all others should refer to the Plan document for a more complete description of the Plan's provisions.

General. The Plan is a defined contribution plan which went into effect July 1, 1977, that is generally available to all employees of Colorado Allergy & Asthma Centers, P.C. ("the Company", "Employer", "Plan Sponsor", or "Plan administrator"). Employees become eligible to make elective deferral contributions upon completing one year of service and attainment of age 21. Employees become eligible for discretionary Employer matching contributions and discretionary Employer nonelective contributions upon completing two years of service and attainment of age 21. Employees may enter the Plan on January 1 and July 1 coinciding with or next following the date they meet the eligibility requirements. The Plan excludes reclassified employees, leased employees, union employees and non-resident aliens. The Plan is subject to the provisions of the Employee Retirement Income Security Act of 1974, as amended ("ERISA"). Benefits under the Plan are not guaranteed by the Pension Benefit Guaranty Corporation.

Plan Amendment. Generally effective January 1, 2019, the Plan adopted new 401(k) hardship distribution rules based on the Bipartisan Budget Act of 2018 and the IRS's proposed regulations.

Contributions. The following types of contributions are allowable under the Plan:

- Salary Deferral Contributions – Participants may contribute a percentage of their pretax compensation, as defined in the Plan document, subject to limitations. Additionally, participants may contribute a percentage of their after-tax compensation and designate it as a Roth elective deferral contribution. A participant's total salary-deferred contribution cannot exceed $19,000 ($25,000 if 50 or older) in calendar year 2019.
- Discretionary Employer Matching Contributions – The Employer may make a discretionary Employer matching contribution to eligible participants. During 2019, the Employer made a discretionary matching contribution equal to 100% of a participant's salary deferral contributions up to 5% of a participant's eligible compensation.
- Discretionary Employer Nonelective Contributions – The Employer may make a discretionary nonelective contribution to eligible participants who have completed 1,000 hours of service during the Plan year. Participants who die, become disabled, or terminate employment on or after attaining normal or early retirement age are also eligible to receive an allocation of the discretionary Employer nonelective contribution. This contribution is integrated with a percentage of the Social Security Taxable wage base and is allocated to each eligible participant's account in the ratio which each participant's compensation and excess compensation, as defined, bears to the compensation plus excess compensation of all eligible participants. For the year ended December 31, 2019, the Employer made a discretionary Employer nonelective contribution of $646,321.
- Rollover Contributions – Amounts distributed to eligible participants from other qualified employee benefit plans may be rolled into the Plan.

All contributions are allocated to the Plan's investment funds at the direction of the participants.

Note 1 – Description of the Plan (continued)

Participant Accounts. Each participant's account is credited with the participant's contributions (salary deferrals and rollovers, if any) and an allocation of (a) the Company's discretionary contributions (Employer matching and nonelective), (b) fund earnings or losses, and (c) administrative expenses. The benefit to which a participant is entitled is the benefit that can be provided from the participant's vested account balance.

Vesting. Participants are immediately vested in their salary deferral contributions, rollover contributions, discretionary Employer matching contributions, discretionary Employer nonelective contributions, and related earnings thereon.

Investment Options. Participants have the option to direct their investments into various mutual funds, common collective trust funds, or various investments offered through the self-directed brokerage account ("SDBA").

Notes Receivable from Participants. Participants may borrow from their fund accounts a minimum of $1,000 up to a maximum equal to the lesser of (i) $50,000, reduced by the participant's highest outstanding loan balance during the prior 12 month period, or (ii) 50% of their vested account balance. Loan terms range from 1 year up to a maximum of 5 years (a longer term up to 30 years is available if used for the purchase of a principal residence). The loans are secured by the balance in the participant's account and bear interest at the prime rate as determined by the Plan administrator at the date the loan is granted. Principal and interest payments are paid ratably through payroll deductions.

Payment of Benefits. Benefits to participants or beneficiaries generally are payable as a lump sum equal to the value of their vested account balance upon retirement, disability, death or termination of the participant. Additionally, participants may request in-service withdrawals upon attainment of age 55, upon their 5th anniversary of participation, for a deemed severance distribution, or upon incurring a financial hardship, as defined in the Plan document, if certain criteria are met.

Note 2 – Summary of Significant Accounting Policies

Use of Estimates and Basis of Accounting. The financial statements of the Plan are prepared using the accrual method of accounting. The preparation of financial statements in conformity with accounting principles generally accepted in the United States of America ("GAAP") requires the Plan's management to use estimates and assumptions that affect the accompanying financial statements and disclosures. Actual results could differ from those estimates.

Investment Valuation and Income Recognition. The Plan's investments are stated at fair value. Fair value is the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants at the measurement date. The Plan's Committee determines the Plan's valuation policies utilizing information provided by the investment advisors and trustee. See Note 3 for a discussion of fair value measurements.

Note 2 – Summary of Significant Accounting Policies (continued)

Investment Valuation and Income Recognition (continued). Purchases and sales of securities are recorded on a trade-date basis. Interest income is recorded when earned. Dividends are recorded on the ex-dividend date. Net appreciation in fair value of investments includes the Plan's gains and losses on investments bought and sold as well as held during the year.

Notes Receivable from Participants. Notes receivable from participants are measured at their unpaid principal balance plus any accrued but unpaid interest. Interest income is recorded on the accrual basis. Related fees are recorded as administrative expenses and are expensed when they are incurred. No allowance for credit losses has been recorded as of December 31, 2019 or 2018. Delinquent participant loans are reclassified as distributions based upon the terms of the Plan document.

Benefits Payments. Benefits are recorded when paid.

Expenses. Certain expenses of maintaining the Plan are paid directly by the Company and are excluded from these financial statements. Fees related to the administration of notes receivable from participants are charged directly to the participant's account and are included in administrative fees. Also, included in administrative fees are recordkeeping, investment advisory, and other administrative expenses. Additionally, certain investment related expenses are included in net appreciation in fair value of investments.

Prior Period Adjustment. In accordance with ASC 820, during 2019 Plan management made the following adjustments to their fair value measurements as of December 31, 2018, as shown in Note 3.

	As Previously Reported		As Adjusted	
Description	Amount	Fair Value Level Within Within the the Fair Value Hierarchy of ASC 820	Amount	Fair Value Level Within Within the the Fair Value Hierarchy of ASC 820
Common Collective Trusts			$ 1,785,593	1
Self-directed Brokerage Accts	$ 1,750,680	1	1,829,806	1
Self-directed Brokerage Accts	79,126	2		
Investments Measured at NAV	3,967,942	*	2,182,349	*

* In accordance with Subtopic 820-10, certain investments that were measured at net asset value per share (or its equivalent) have not been classified in the fair value hierarchy. The fair value amounts presented in this table are intended to permit reconciliation of the fair value hierarchy to the line items presented on the statements of net assets available for benefits.

Note 2 – Summary of Significant Accounting Policies (continued)

Prior Period Adjustment (continued). This adjustment had no effect on net assets available for benefits as of December 31, 2019 and 2018, or the net increase in net assets available for benefits for the year ended December 31, 2019.

Note 3– Fair Value Measurements

The Financial Accounting Standards Board ("FASB") Accounting Standards Codification (“ASC”) 820, Fair Value Measurements and Disclosures, provides the framework for measuring fair value. That framework provides a fair value hierarchy that prioritizes the inputs to valuation techniques used to measure fair value. The hierarchy gives the highest priority to unadjusted quoted prices in active markets for identical assets or liabilities (level 1 measurements) and the lowest priority to unobservable inputs (level 3 measurements). The three levels of the fair value hierarchy under FASB ASC 820 are described below:

Level 1. Inputs to the valuation methodology are unadjusted quoted prices for identical assets or liabilities in active markets that the Plan has the ability to access.

Level 2. Inputs to the valuation methodology include:

- 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; and
- Inputs that are derived principally from or corroborated by observable market data by correlation or other means.

If the asset or liability has a specified (contractual) term, the Level 2 input must be observable for substantially the full term of the asset or liability.

Level 3. Inputs to the valuation methodology are unobservable and significant to the fair value measurement.

The asset’s or liability’s fair value measurement level within the fair value hierarchy is based on the lowest level of any input that is significant to the fair value measurement. Valuation techniques used need to maximize the use of observable inputs and minimize the use of unobservable inputs.

The following is a description of the valuation methodologies used for assets measured at fair value:

- Mutual funds (including mutual funds held in the SDBA) and the common collective trusts ("CCTs") issued by Wilmington Trust are valued at the quoted net asset value (“NAV”) of shares/units held by the Plan at year end.
- The common collective trusts ("CCTs") issued by Wells Fargo Bank and MetLife are valued at the NAV of units held by the Plan at year end. The NAV, as provided by the trustee, is used as a practical expedient to estimate fair value. The NAV is based on the fair value of the underlying investments held by the funds less their liabilities. This practical expedient is not used when it is determined to be probable that the fund will sell the investment for an amount different than the reported NAV. Participant transactions (purchases and sales) may occur daily.

Note 3– Fair Value Measurements (continued)

- Common stock held in the SDBA is valued at the closing price reported on the active market on which the individual securities are traded.

The methods described above may produce a fair value calculation that may not be indicative of net realizable value or reflective of future fair values. Furthermore, while the Plan believes its valuation methods are appropriate and consistent with other market participants, the use of different methodologies or assumptions to determine the fair value of certain financial instruments could result in a different fair value measurement at the reporting date.

The following tables sets forth by level, within the fair value hierarchy ("FV Hierarchy"), the Plan's assets at fair value as of December 31, 2019 and 2018:

	Fair Value Measurements at December 31, 2019			
	Quoted Prices in Active Markets for Identical Assets Level 1	Significant Other Observable Inputs Level 2	Significant Unobservable Inputs Level 3	Total
Mutual Funds	**$ 21,219,213**	**$ -**	**$ -**	**$ 21,219,213**
Common Collective Trusts	**1,850,799**	**-**	**-**	**1,850,799**
Self-Directed Brokerage	**1,811,158**	**-**	**-**	**1,811,158**
Total Assets Within the FV Hierarchy	**$ 24,881,170**	**$ -**	**$ -**	**24,881,170**
Investments Measured at NAV*				**2,200,270**
Total Assets at Fair Value				**$ 27,081,440**

	Fair Value Measurements at December 31, 2018			
	Quoted Prices in Active Markets for Identical Assets Level 1	Significant Other Observable Inputs Level 2	Significant Unobservable Inputs Level 3	Total
Mutual Funds	$ 18,267,994	$ -	$ -	$ 18,267,994
Common Collective Trusts	1,785,593	-	-	1,785,593
Self-Directed Brokerage	1,829,806	-	-	1,829,806
Total Assets Within the FV Hierarchy	$ 21,883,393	$ -	$ -	21,883,393
Investments Measured at NAV*				2,182,349
Total Assets at Fair Value				$ 24,065,742

Note 3– Fair Value Measurements (continued)

* In accordance with Subtopic 820-10, certain investments that were measured at net asset value per share (or its equivalent) have not been classified in the fair value hierarchy. The fair value amounts presented in this table are intended to permit reconciliation of the fair value hierarchy to the line items presented on the statements of net assets available for benefits.

Changes in Fair Value Levels. The availability of observable market data is monitored to assess the appropriate classification of financial instruments within the fair value hierarchy. Changes in economic conditions or model-based valuation techniques may require the transfer of financial instruments from one fair value level to another. In such instances, the transfer is reported at the beginning of the reporting period. During 2019, there were no transfers in or out of levels 1, 2 or 3.

Investments in Certain Entities that Calculate NAV per Unit. The following table for December 31, 2019 and 2018, sets forth a summary of certain of the Plan's investments with a reported NAV:

Investment	Fair Value as of December 31, 2019	2018	Unfunded Commitments	Redemption Frequency	Redemption Notice Period & Other Redemption Restrictions
CCT (a)	**$ 2,200,270**	$ 2,182,349	**None**	**Daily**	**(b)**

(a) RELIANCE TR CO UT LTD PART INT CL I: The primary investment objective of the Fund is to preserve principal while generating earnings at rates competitive over time with short-term high quality fixed income investments, while maintaining sufficient liquidity to provide Participant-Directed Withdrawals, as defined in the Declaration of Trust, at their proportionate share of Contract Value.

WF STABLE RETURN FUND N: The investment has a stable value fund strategy that seeks to protect principal while providing a higher rate of return than shorter maturity investments, such as money market funds or certificates of deposits, by investing primarily in investment contracts and security-backed contracts.

(b) RELIANCE TR CO UT LTD PART INT CL I: Participant-Directed Withdrawals, as defined, will be paid at contract value on the business day following receipt of withdrawal instructions and all necessary documentation.

Participating Plan-Directed Withdrawals will normally be paid no later than two business days (60 business days as to a withdrawal in connection with terminating a Participating Plan's participation in the Trust) following the Trustee's receipt of withdrawal instructions and all necessary documentation. Participating Plan-Directed Withdrawals will be paid as a market value adjusted payment which is the lesser of contract value or market value. Participating Plan-Directed Withdrawals include (1) participant withdrawals based on advice or direction from the Plan sponsor, Plan administrator, Plan Fiduciary, or agent of the Plan, (2) additional investment options that constitute or create a competing fund, (3) a new eligible plan that is established by the Plan sponsor that offers participants a competing fund, and (4) action of participating plan (e.g. Plan termination or Plan sponsor initiates a withdrawal).

WF STABLE RETURN FUND N: Qualified Plan participant initiated withdrawals are honored at any time without penalty, regardless of their frequency or amount unless payments are being delayed to all Wells Fargo Stable Return Fund N (the "Fund") unit holders. The Fund also requires participants to invest in a "non-competing fund" for at least 90 days before transferring to a "competing" fund option. Examples of "competing" fund options include a money market fund, a high quality bond fund with a duration of 3 years or less, other principal preservation funds, or a brokerage window.

Any Plan sponsor or Plan fiduciary-initiated withdrawal from the Fund will require a 12-month written notice of the intent to withdraw assets from the Fund. At the discretion of Wells Fargo, the notification periods identified for withdrawals may be waived only under extenuating circumstances as determined by the Trustee in its sole discretion.

Note 4 – Certified Information

The Plan administrator has elected the method of annual reporting and compliance permitted by 29 CFR 2520.103-8 of the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA. Accordingly, the trustee of the Plan has certified that the following data included in the accompanying 2019 financial statements and supplemental schedule is complete and accurate:

- Investments as of December 31, 2019, as shown in the Statement of Net Assets Available for Benefits, and Note 3;
- Notes receivable from participants, as shown in the Statement of Net Assets Available for Benefits as of December 31, 2019;
- Investment income, as shown in the Statement of Changes in Net Assets Available for Benefits for the year ended December 31, 2019;
- Interest income on notes receivable from participants, as shown in the Statement of Changes in Net Assets Available for Benefits for the year ended December 31, 2019; and
- The investment information in the Schedule of Assets (Held at End of Year) as of December 31, 2019, as shown in the supplemental schedule.

The Plan's independent auditors did not perform auditing procedures with respect to this information except for comparing such information to the related information included in the 2019 financial statements and supplemental schedule.

Note 5 – 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 or partial termination, affected participants will become 100% vested in their accounts.

Note 6 – Tax Status

The Company has adopted a Wells Fargo Bank N.A. Volume Submitter Profit Sharing Plan ("volume submitter plan"). The volume submitter plan received an advisory letter from the Internal Revenue Service ("IRS") on March 31, 2014, which stated that the volume submitter plan is qualified under the applicable sections of the Internal Revenue Code ("IRC"). Although the volume submitter plan and Plan have been amended since receiving the IRS advisory letter, the Plan administrator believes that the Plan and related trust are currently designed and being operated in compliance with the applicable requirements of the IRC. Therefore, the Plan administrator believes that the Plan is qualified under Section 401(a) of the IRC and the related Trust is tax exempt as of December 31, 2019 and 2018. Therefore, no provision for income taxes has been included in the Plan's financial statements.

Note 6 – Tax Status (continued)

GAAP requires Plan management to evaluate tax positions taken by the Plan and recognize a tax liability (or asset) if the Plan has taken an uncertain position that more likely than not would not be sustained upon examination by the IRS. The Plan administrator has analyzed the tax positions taken by the Plan, and has concluded that as of December 31, 2019 and 2018, there are no uncertain positions taken or expected to be taken that would require recognition of a liability (or asset) or disclosure in the financial statements. The Plan is subject to routine audits by taxing jurisdictions; however, there are currently no audits for any tax periods in progress.

Note 7 – Party-In-Interest Transactions

The Company provides to the Plan certain accounting and administrative services for which no fees are charged.

Certain Plan investments are or were mutual funds, a common collective trust, and interest bearing cash accounts offered by Wells Fargo. As Wells Fargo Bank N.A. is the trustee of the Plan, these transactions qualify as party-in-interest transactions. Additionally, the Plan maintains notes receivable from participants. Fees paid for services rendered by parties-in-interest were based on customary and reasonable rates for such services.

Note 8 – Reconciliation to Form 5500

The following is a reconciliation of net assets available for benefits per the financial statements to the Form 5500 as of December 31, 2019:

	2019
Net assets available for benefits per the financial statements	$ 27,737,563
Less: Employer contributions receivable	(668,292)
Net assets available for benefits per the Form 5500 (unaudited)	$ 27,069,271

The following is a reconciliation of Employer contributions per the financial statements to the Form 5500 for the year ended December 31, 2019:

	Employer Contributions
Amounts per the financial statements	$ 1,049,357
Less: 2019 Employer contributions receivable	(668,292)
Amounts per the Form 5500 (unaudited)	$ 381,065

Note 9 – Risks and Uncertainties

The Plan provides for various investment options. Investment securities, in general, are exposed to various risks, such as significant world events, interest rate, credit, and overall market volatility risk. Due to the level of risk associated with certain investment securities, it is reasonably possible that changes in the values of investment securities will occur in the near term and that such changes could materially affect the amounts presented in the statements of net assets available for benefits.

Additionally, some investments held by the Plan are invested in the securities of foreign companies, which involve special risks and considerations not typically associated with investing in U.S. companies. These risks include devaluation of currencies, less reliable information about issuers, different securities transaction clearance and settlement practices, and possible adverse political and economic developments. Moreover, securities of many foreign companies and their markets may be less liquid and their prices more volatile than those of securities of comparable U.S. companies.

Note 10 – Subsequent Events

Management evaluates events occurring subsequent to the date of the financial statements in determining the accounting for and disclosure of transactions and events that affect the financial statements. Subsequent events have been evaluated through October 2, 2020, which is the date the financial statements were available to be issued.

On July 1, 2019, the Principal Financial Group ("Principal") announced the closing of its acquisition of the Wells Fargo & Company Institutional Retirement & Trust Business. The transition of the Plan to Principal’s platform is currently scheduled to occur in June 2021.

Effective April 1, 2020, the Plan's discretionary Employer matching contribution was suspended. Effective May 15, 2020, the Plan's discretionary Employer matching contribution resumed.

During 2020, the Plan’s provisions for required minimum distributions (“RMDs”) were amended in accordance with the Coronavirus Aid, Relief, and Economic Security Act (“CARES Act”) such that the payment of 2020 and certain 2019 RMDs were waived.

Colorado Allergy & Asthma Centers, P.C.
Profit Sharing 401(k) Plan

Schedule H, Line 4i: Schedule of Assets (Held at End of Year)

EIN: 84-0735271 **PN: 001**

December 31, 2019

	Identity of Issue, Borrower, Lessor or Similar Party	Description of Investment	Shares	Current Value
		Mutual Funds:		
	American Century	AMER CENT SM CAP VAL-I	66,444	**$ 534,213**
	Dodge & Cox	DODGE & COX INT L STOCK FD	14,701	**640,981**
	Invesco Oppenheimer	INV OPP INTL DIVERS-R6	46,477	**891,894**
	JP Morgan	JPMORGAN SMALL CAP GROW-R6	128,973	**2,645,231**
	MFS	MFS INTL NEW DISCOVERY-A	27,496	**956,306**
	T Rowe Price	T ROWE PRICE GROWTH STK FD	33,221	**2,436,760**
	T Rowe Price	T ROWE PRICE MID CAP GROWTH	13,723	**1,308,181**
	Doubleline	DOUBLELINE CORE FIX INCOME-I	146,736	**1,624,365**
	American Funds	AMER FNDS GRWTH & INC-R6	90,973	**1,411,896**
	American Funds	AMERICAN 2010 TARGET RET-R6	2,253	**25,282**
	American Funds	AMERICAN 2020 TARGET RET-R6	119,893	**1,558,603**
	American Funds	AMERICAN 2030 TARGET RET-R6	107,812	**1,639,814**
	American Funds	AMERICAN 2040 TARGET RET-R6	58,887	**958,092**
	American Funds	AMERICAN 2050 TARGET RET-R6	43,580	**709,923**
	American Funds	AMERICAN 2060 TARGET RET-R6	11,371	**154,987**
*	Wells Fargo	WF C & B LARGE CAP VAL-I	112,625	**1,630,807**
*	Wells Fargo	WF SPECIAL MID CAP VAL-I	49,594	**2,091,878**
		Total Mutual Funds		**21,219,213**
		Common Collective Trust Funds:		
	Reliance Trust	RELIANCE TR CO UT LTD PART INT CL I	12,362	**2,200,270**
	Wilmington Trust	WILMINGTON TR C/BLACKROCK EAFE EQUI	323	**34,652**
	Wilmington Trust	WILMINGTON TR C/BLACKROCK EQUITY IX	3,559	**1,505,263**
	Wilmington Trust	WILMINGTON TR C/BLACKROCK MIDCAP EQ	87	**17,173**
	Wilmington Trust	WILMINGTON TR C/BLACKROCK RUSSELL 2	650	**121,698**
	Wilmington Trust	WILMINGTON TR C/BLACKROCK US DEBT I	992	**172,013**
		Total Common Collective Trust Funds		**4,051,069**
	Various	**Self-Directed Brokerage Accounts**		**1,811,158**
*	Participants	**Loans to Participants:** (interest rates of 3.25% to 6.50%, various maturity dates)		**76,298**
		Total Assets (Held at End of Year)		**$ 27,157,738**

* Represents a party-in-interest.