# 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

**2020**

**This Form is Open to Public Inspection**

## Part I Annual Report Identification Information

For calendar plan year 2020 or fiscal plan year beginning 01/01/2020 and ending 12/31/2020

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

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

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

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

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

**1a** Name of plan
UNIVERSAL WEATHER AND AVIATION, LLC. 401(K) PLAN

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

**1c** Effective date of plan 02/01/1974

**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)
UNIVERSAL WEATHER AND AVIATION, LLC

1150 GEMINI
HOUSTON, TX 77058

**2b** Employer Identification Number (EIN) 75-1039736

**2c** Plan Sponsor's telephone number 713-944-1622

**2d** Business code (see instructions) 519100

**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. | 08/24/2021 | SUSAN SWEENEY |
| | **Signature of plan administrator** | Date | Enter name of individual signing as plan administrator |
| **SIGN HERE** | Filed with authorized/valid electronic signature. | 08/24/2021 | JOHN LEE |
| | **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 UNIVERSAL WEATHER AND AVIATION, INC

**c** Plan Name UNIVERSAL WEATHER AND AVIATION, INC 401(K) PLAN

**4b** EIN 75-1039736

**4d** PN 001

| | | |
|---|---|---|
| **5** Total number of participants at the beginning of the plan year | **5** | 1316 |
| **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)** | 937 |
| **a(2)** Total number of active participants at the end of the plan year | **6a(2)** | 830 |
| **b** Retired or separated participants receiving benefits | **6b** | 1 |
| **c** Other retired or separated participants entitled to future benefits | **6c** | 365 |
| **d** Subtotal. Add lines **6a(2)**, **6b**, and **6c** | **6d** | 1196 |
| **e** Deceased participants whose beneficiaries are receiving or are entitled to receive benefits. | **6e** | 5 |
| **f** Total. Add lines **6d** and **6e** | **6f** | 1201 |
| **g** Number of participants with account balances as of the end of the plan year (only defined contribution plans complete this item) | **6g** | 1186 |
| **h** Number of participants who terminated employment during the plan year with accrued benefits that were less than 100% vested | **6h** | 101 |
| **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:

2F 2G 2J 2K 2R 2S 2T 3D 3H 2E

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

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

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

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

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

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

**a Pension Schedules**

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

**b General Schedules**

- (1) [X] **H** (Financial Information)
- (2) [ ] **I** (Financial Information – Small Plan)
- (3) [ ] 0 **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 2020 Form M-1 annual report. If the plan was not required to file the 2020 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<br>Internal Revenue Service<br>Department of Labor<br>Employee Benefits Security Administration<br>Pension Benefit Guaranty Corporation | This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA).<br>▶ **File as an attachment to Form 5500.** | **2020**<br>**This Form is Open to Public Inspection.** |

For calendar plan year 2020 or fiscal plan year beginning 01/01/2020 and ending 12/31/2020

**A** Name of plan
UNIVERSAL WEATHER AND AVIATION, LLC. 401(K) PLAN

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

**C** Plan sponsor's name as shown on line 2a of Form 5500
UNIVERSAL WEATHER AND AVIATION, LLC

**D** Employer Identification Number (EIN)
75-1039736

## 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

FIDELITY INVESTMENTS INSTITUTIONAL

04-2647786

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

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

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

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

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

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

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

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

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

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

**(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)

FIDELITY INVESTMENTS INSTITUTIONAL

04-2647786

| (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? |
|---|---|---|---|---|---|---|
| 37 60 64 65 71 | RECORDKEEPER | 63804 | Yes [X] No [ ] | Yes [X] No [ ] | 0 | Yes [X] No [ ] |

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

CAPFINANCIAL PARTNERS LLC

26-0058143

| (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 | BROKER | 54698 | Yes [ ] No [X] | Yes [ ] No [ ] | | Yes [ ] No [ ] |

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

CAPFINANCIAL PARTNERS LLC

26-0058143

| (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 | BROKER | 36465 | 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)

HAM, LANGSTON & BREZINA, LLP

76-0448495

| (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? |
|---|---|---|---|---|---|---|
| 10 | ACCOUNTANT/AUDITOR | 17035 | Yes [ ] No [X] | 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 |
|---|---|---|
| FIDELITY INVESTMENTS INSTITUTIONAL | 60 | 0 |

| **(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. |
|---|---|
| CRLN E MID CAP GR R5 - U.S. BANK N<br><br>31-0841368 | 0.20% |

| **(a)** Enter service provider name as it appears on line 2 | **(b)** Service Codes (see instructions) | **(c)** Enter amount of indirect compensation |
|---|---|---|
| FIDELITY INVESTMENTS INSTITUTIONAL | 60 | 0 |

| **(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. |
|---|---|
| GS SM CAP VALUE INST - GOLDMAN SAC<br><br>13-5108880 | 0.12% |

| **(a)** Enter service provider name as it appears on line 2 | **(b)** Service Codes (see instructions) | **(c)** Enter amount of indirect compensation |
|---|---|---|
| FIDELITY INVESTMENTS INSTITUTIONAL | 60 | 0 |

| **(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. |
|---|---|
| METWEST TOT RTN BD M - BNY MELLON<br>P.O. BOX 9793<br>PROVIDENCE, RI 02940 | 0.35% |

**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 |
|---|---|---|
| FIDELITY INVESTMENTS INSTITUTIONAL | 60 | 0 |

| **(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. |
|---|---|
| MFS INTL GROWTH R3 - MFS SERVICE C<br><br>04-2865649 | 0.50% |

| **(a)** Enter service provider name as it appears on line 2 | **(b)** Service Codes (see instructions) | **(c)** Enter amount of indirect compensation |
|---|---|---|
| FIDELITY INVESTMENTS INSTITUTIONAL | 60 | 0 |

| **(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. |
|---|---|---|
| WF SM CO GROWTH IS - DST ASSET MAN | 430 W 7TH STREET STE 219432<br>KANSAS CITY, MO 64105 | 0.15% |

| **(a)** Enter service provider name as it appears on line 2 | **(b)** Service Codes (see instructions) | **(c)** Enter amount of indirect compensation |
|---|---|---|
| FIDELITY INVESTMENTS INSTITUTIONAL | 60 | 0 |

| **(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. |
|---|---|---|
| COMMONWEALTH AFRICA FUND | 2 EASTON OVAL SUITE 300<br>COLUMBUS, OH 43219 | 0.40% |

**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 |
|---|---|---|
| FIDELITY INVESTMENTS INSTITUTIONAL | 60 | 0 |

| **(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. |
|---|---|
| OAKMARK INTL INVESTOR CL<br>111 SOUTH WACKER DR.<br>CHICAGO, IL 60606 | 0.35% |

| **(a)** Enter service provider name as it appears on line 2 | **(b)** Service Codes (see instructions) | **(c)** Enter amount of indirect compensation |
|---|---|---|
| FIDELITY INVESTMENTS INSTITUTIONAL | 60 | 0 |

| **(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. |
|---|---|
| RED OAK TECHNOLOGY SELECT<br>225 PICTORIA DRIVE SUITE 450<br>CINCINNATI, OH 45246 | 0.40% |

| **(a)** Enter service provider name as it appears on line 2 | **(b)** Service Codes (see instructions) | **(c)** Enter amount of indirect compensation |
|---|---|---|
| FIDELITY INVESTMENTS INSTITUTIONAL | 60 | 0 |

| **(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. |
|---|---|
| PIMCO INCOME FUND CL A<br>1633 BROADWAY<br>NEW YORK, NY 10019 | 0.40% |

## 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 |
|---|---|---|
| FIDELITY INVESTMENTS INSTITUTIONAL | 60 | 0 |

| **(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. |
|---|---|
| T ROWE PRICE COMM & TECHNOLOGY INV<br>4515 PAINTERS MILL RD<br>OWINGS MILLS, MD 21117 | 0.15% |

| **(a)** Enter service provider name as it appears on line 2 | **(b)** Service Codes (see instructions) | **(c)** Enter amount of indirect compensation |
|---|---|---|
| FIDELITY INVESTMENTS INSTITUTIONAL | 60 | 0 |

| **(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. |
|---|---|
| PRIMECAP ODYSSEY AGGRESSIVE GRWTH<br>2020 E. FINANCIAL WAY SUITE 100<br>GLENDORA, CA 91741 | 0.10% |

| **(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)**<br>(complete as many entries as needed) |
|---|---|

**a** Name:

**b** EIN:

**c** Position:

**d** Address:

**e** Telephone:

Explanation:

**a** Name:

**b** EIN:

**c** Position:

**d** Address:

**e** Telephone:

Explanation:

**a** Name:

**b** EIN:

**c** Position:

**d** Address:

**e** Telephone:

Explanation:

**a** Name:

**b** EIN:

**c** Position:

**d** Address:

**e** Telephone:

Explanation:

**a** Name:

**b** EIN:

**c** Position:

**d** Address:

**e** Telephone:

Explanation:

# SCHEDULE D (Form 5500)

Department of the Treasury
Internal Revenue Service

Department of Labor
Employee Benefits Security Administration

## DFE/Participating Plan Information

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

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

OMB No. 1210-0110

**2020**

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

For calendar plan year 2020 or fiscal plan year beginning 01/01/2020 and ending 12/31/2020

**A** Name of plan
UNIVERSAL WEATHER AND AVIATION, LLC. 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
UNIVERSAL WEATHER AND AVIATION, LLC

**D** Employer Identification Number (EIN)
75-1039736

## 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: TRP RETIRE 2045 A

**b** Name of sponsor of entity listed in (a): T. ROWE PRICE TRUST COMPANY

| **c** EIN-PN | **d** Entity code | **e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) |
|---|---|---|
| 32-6199848-001 | C | 5367701 |

**a** Name of MTIA, CCT, PSA, or 103-12 IE: TRP RETIRE 2060 A

**b** Name of sponsor of entity listed in (a): T. ROWE PRICE TRUST COMPANY

| **c** EIN-PN | **d** Entity code | **e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) |
|---|---|---|
| 35-6785642-018 | C | 331900 |

**a** Name of MTIA, CCT, PSA, or 103-12 IE: TRP RETIRE 2025 A

**b** Name of sponsor of entity listed in (a): T. ROWE PRICE TRUST COMPANY

| **c** EIN-PN | **d** Entity code | **e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) |
|---|---|---|
| 37-6495447-001 | C | 6606262 |

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

**b** Name of sponsor of entity listed in (a): T. ROWE PRICE TRUST COMPANY

| **c** EIN-PN | **d** Entity code | **e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) |
|---|---|---|
| 52-1309931-001 | C | 5158091 |

**a** Name of MTIA, CCT, PSA, or 103-12 IE: TRP RETIRE 2005 A

**b** Name of sponsor of entity listed in (a): T. ROWE PRICE TRUST COMPANY

| **c** EIN-PN | **d** Entity code | **e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) |
|---|---|---|
| 61-6434302-001 | C | 85873 |

**a** Name of MTIA, CCT, PSA, or 103-12 IE: TRP RETIRE 2010 A

**b** Name of sponsor of entity listed in (a): T. ROWE PRICE TRUST COMPANY

| **c** EIN-PN | **d** Entity code | **e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) |
|---|---|---|
| 32-6199795-001 | C | 122674 |

**a** Name of MTIA, CCT, PSA, or 103-12 IE: TRP RETIRE 2035 A

**b** Name of sponsor of entity listed in (a): T. ROWE PRICE TRUST COMPANY

| **c** EIN-PN | **d** Entity code | **e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) |
|---|---|---|
| 36-7595013-001 | C | 6268441 |

**a** Name of MTIA, CCT, PSA, or 103-12 IE: TRP RETIRE 2030 A

**b** Name of sponsor of entity listed in (a): T. ROWE PRICE TRUST COMPANY

| **c** EIN-PN | **d** Entity code | **e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) |
|---|---|---|
| 38-7010946-001 | C | 7954552 |

**a** Name of MTIA, CCT, PSA, or 103-12 IE: TRP RETIRE 2020 A

**b** Name of sponsor of entity listed in (a): T. ROWE PRICE TRUST COMPANY

| **c** EIN-PN | **d** Entity code | **e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) |
|---|---|---|
| 36-7594871-001 | C | 3902509 |

**a** Name of MTIA, CCT, PSA, or 103-12 IE: TRP RETIRE 2050 A

**b** Name of sponsor of entity listed in (a): T. ROWE PRICE TRUST COMPANY

| **c** EIN-PN | **d** Entity code | **e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) |
|---|---|---|
| 30-6303214-001 | C | 3274148 |

**a** Name of MTIA, CCT, PSA, or 103-12 IE: TRP RETIRE 2015 A

**b** Name of sponsor of entity listed in (a): T. ROWE PRICE TRUST COMPANY

| **c** EIN-PN | **d** Entity code | **e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) |
|---|---|---|
| 35-6941654-001 | C | 439806 |

**a** Name of MTIA, CCT, PSA, or 103-12 IE: TRP RETIRE 2040 A

**b** Name of sponsor of entity listed in (a): T. ROWE PRICE TRUST COMPANY

| **c** EIN-PN | **d** Entity code | **e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) |
|---|---|---|
| 35-6941729-001 | C | 4342990 |

**a** Name of MTIA, CCT, PSA, or 103-12 IE: TRP RETIRE 2055 A

**b** Name of sponsor of entity listed in (a): T. ROWE PRICE TRUST COMPANY

| **c** EIN-PN | **d** Entity code | **e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) |
|---|---|---|
| 35-6941728-001 | C | 1732417 |

**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

**2020**

**This Form is Open to Public Inspection**

For calendar plan year 2020 or fiscal plan year beginning 01/01/2020 and ending 12/31/2020

**A** Name of plan
UNIVERSAL WEATHER AND AVIATION, LLC. 401(K) PLAN

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

**C** Plan sponsor's name as shown on line 2a of Form 5500
UNIVERSAL WEATHER AND AVIATION, LLC

**D** Employer Identification Number (EIN)
75-1039736

## 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 | 0 | 0 |
| **b** Receivables (less allowance for doubtful accounts): | | | |
| **(1)** Employer contributions | 1b(1) | 0 | 0 |
| **(2)** Participant contributions | 1b(2) | 0 | 0 |
| **(3)** Other | 1b(3) | 0 | 0 |
| **c** General investments: | | | |
| **(1)** Interest-bearing cash (include money market accounts & certificates of deposit) | 1c(1) | 403364 | 658792 |
| **(2)** U.S. Government securities | 1c(2) | 0 | 0 |
| **(3)** Corporate debt instruments (other than employer securities): | | | |
| **(A)** Preferred | 1c(3)(A) | 0 | 0 |
| **(B)** All other | 1c(3)(B) | 231749 | 180607 |
| **(4)** Corporate stocks (other than employer securities): | | | |
| **(A)** Preferred | 1c(4)(A) | 0 | 0 |
| **(B)** Common | 1c(4)(B) | 1857743 | 4000413 |
| **(5)** Partnership/joint venture interests | 1c(5) | 0 | 0 |
| **(6)** Real estate (other than employer real property) | 1c(6) | 0 | 0 |
| **(7)** Loans (other than to participants) | 1c(7) | 0 | 0 |
| **(8)** Participant loans | 1c(8) | 1801356 | 1371315 |
| **(9)** Value of interest in common/collective trusts | 1c(9) | 47423278 | 45587364 |
| **(10)** Value of interest in pooled separate accounts | 1c(10) | 0 | 0 |
| **(11)** Value of interest in master trust investment accounts | 1c(11) | 0 | 0 |
| **(12)** Value of interest in 103-12 investment entities | 1c(12) | 0 | 0 |
| **(13)** Value of interest in registered investment companies (e.g., mutual funds) | 1c(13) | 43079532 | 43145293 |
| **(14)** Value of funds held in insurance company general account (unallocated contracts) | 1c(14) | 0 | 0 |
| **(15)** Other | 1c(15) | 225 | -13888 |

| | | | **(a)** Beginning of Year | **(b)** End of Year |
|---|---|---|---|---|
| **1d** | Employer-related investments: | | | |
| | **(1)** Employer securities | 1d(1) | 0 | 0 |
| | **(2)** Employer real property | 1d(2) | 0 | 0 |
| **e** | Buildings and other property used in plan operation | 1e | 0 | 0 |
| **f** | Total assets (add all amounts in lines 1a through 1e) | 1f | 94797247 | 94929896 |
| | **Liabilities** | | | |
| **g** | Benefit claims payable | 1g | 0 | 0 |
| **h** | Operating payables | 1h | 0 | 0 |
| **i** | Acquisition indebtedness | 1i | 0 | 0 |
| **j** | Other liabilities | 1j | 0 | 0 |
| **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 | 94797247 | 94929896 |

## 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) | 620741 | |
| | **(B)** Participants | 2a(1)(B) | 3227691 | |
| | **(C)** Others (including rollovers) | 2a(1)(C) | 177311 | |
| | **(2)** Noncash contributions | 2a(2) | 0 | |
| | **(3)** Total contributions. Add lines **2a(1)(A), (B), (C),** and line **2a(2)** | 2a(3) | | 4025743 |
| **b** | **Earnings on investments:** | | | |
| | **(1)** Interest: | | | |
| | **(A)** Interest-bearing cash (including money market accounts and certificates of deposit) | 2b(1)(A) | 2250 | |
| | **(B)** U.S. Government securities | 2b(1)(B) | 0 | |
| | **(C)** Corporate debt instruments | 2b(1)(C) | 9273 | |
| | **(D)** Loans (other than to participants) | 2b(1)(D) | 0 | |
| | **(E)** Participant loans | 2b(1)(E) | 77719 | |
| | **(F)** Other | 2b(1)(F) | 0 | |
| | **(G)** Total interest. Add lines **2b(1)(A)** through **(F)** | 2b(1)(G) | | 89242 |
| | **(2)** Dividends: **(A)** Preferred stock | 2b(2)(A) | 0 | |
| | **(B)** Common stock | 2b(2)(B) | 8475 | |
| | **(C)** Registered investment company shares (e.g. mutual funds) | 2b(2)(C) | 1876586 | |
| | **(D)** Total dividends. Add lines **2b(2)(A)**, **(B)**, and **(C)** | 2b(2)(D) | | 1885061 |
| | **(3)** Rents | 2b(3) | | 0 |
| | **(4)** Net gain (loss) on sale of assets: **(A)** Aggregate proceeds | 2b(4)(A) | 6284875 | |
| | **(B)** Aggregate carrying amount (see instructions) | 2b(4)(B) | 5837213 | |
| | **(C)** Subtract line **2b(4)(B)** from line **2b(4)(A)** and enter result | 2b(4)(C) | | 447662 |
| | **(5)** Unrealized appreciation (depreciation) of assets: **(A)** Real estate | 2b(5)(A) | 0 | |
| | **(B)** Other | 2b(5)(B) | 1728691 | |
| | **(C)** Total unrealized appreciation of assets. Add lines **2b(5)(A)** and **(B)** | 2b(5)(C) | | 1728691 |

| | | (a) Amount | (b) Total |
|---|---|---|---|
| **(6)** Net investment gain (loss) from common/collective trusts | 2b(6) | | 5673106 |
| **(7)** Net investment gain (loss) from pooled separate accounts | 2b(7) | | 0 |
| **(8)** Net investment gain (loss) from master trust investment accounts | 2b(8) | | 0 |
| **(9)** Net investment gain (loss) from 103-12 investment entities | 2b(9) | | 0 |
| **(10)** Net investment gain (loss) from registered investment companies (e.g., mutual funds) | 2b(10) | | 5163993 |
| **c** Other income | 2c | | 0 |
| **d** Total income. Add all **income** amounts in column (b) and enter total | 2d | | 19013498 |
| **Expenses** | | | |
| **e** Benefit payment and payments to provide benefits: | | | |
| **(1)** Directly to participants or beneficiaries, including direct rollovers | 2e(1) | 18708648 | |
| **(2)** To insurance carriers for the provision of benefits | 2e(2) | 0 | |
| **(3)** Other | 2e(3) | 0 | |
| **(4)** Total benefit payments. Add lines **2e(1)** through **(3)** | 2e(4) | | 18708648 |
| **f** Corrective distributions (see instructions) | 2f | | 0 |
| **g** Certain deemed distributions of participant loans (see instructions) | 2g | | 566 |
| **h** Interest expense | 2h | | 0 |
| **i** Administrative expenses: **(1)** Professional fees | 2i(1) | 0 | |
| **(2)** Contract administrator fees | 2i(2) | 0 | |
| **(3)** Investment advisory and management fees | 2i(3) | 0 | |
| **(4)** Other | 2i(4) | 171635 | |
| **(5)** Total administrative expenses. Add lines **2i(1)** through **(4)** | 2i(5) | | 171635 |
| **j** Total expenses. Add all **expense** amounts in column (b) and enter total | 2j | | 18880849 |
| **Net Income and Reconciliation** | | | |
| **k** Net income (loss). Subtract line **2j** from line **2d** | 2k | | 132649 |
| **l** Transfers of assets: | | | |
| **(1)** To this plan | 2l(1) | | 0 |
| **(2)** From this plan | 2l(2) | | 0 |

## 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)** [X] Unmodified **(2)** [ ] Qualified **(3)** [ ] Disclaimer **(4)** [ ] Adverse

**b** Check the appropriate box(es) to indicate whether the IQPA performed an ERISA section 103(a)(3)(C) audit. Check both boxes (1) and (2) if the audit was performed pursuant to both 29 CFR 2520.103-8 and 29 CFR 2520.103-12(d). Check box (3) if pursuant to neither.

**(1)** [X] DOL Regulation 2520.103-8 **(2)** [ ] DOL Regulation 2520.103-12(d) **(3)** [ ] neither DOL Regulation 2520.103-8 nor DOL Regulation 2520.103-12(d).

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

**(1)** Name: HAM, LANGSTON & BREZINA, LLP **(2)** EIN: 76-0448495

**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 | |

| | | | Yes | No | Amount |
|---|---|---|---|---|---|
| **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 | |
| **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 | | 1000000 |
| **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** | | X | |

**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** Was the plan a defined benefit plan covered under the PBGC insurance program at any time during this plan year? (See ERISA section 4021 and instructions.) ☐ Yes ☐ No ☐ Not determined

If "Yes" is checked, enter the My PAA confirmation number from the PBGC premium filing for this plan year _____.

# 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

**2020**

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

For calendar plan year 2020 or fiscal plan year beginning 01/01/2020 and ending 12/31/2020

**A** Name of plan
UNIVERSAL WEATHER AND AVIATION, LLC. 401(K) PLAN

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

**C** Plan sponsor's name as shown on line 2a of Form 5500
UNIVERSAL WEATHER AND AVIATION, LLC

**D** Employer Identification Number (EIN)
75-1039736

## 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**

**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): 04-6568107

**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 deferred vested and retired participants (inactive participants), as of the beginning of the plan year, whose contributing employer is no longer making contributions to the plan for:

| | | |
|---|---|---|
| **a** The current plan year. Check the box to indicate the counting method used to determine the number of inactive participants: ☐ last contributing employer ☐ alternative ☐ reasonable approximation (see instructions for required attachment) | **14a** | |
| **b** The plan year immediately preceding the current plan year. ☐ Check the box if the number reported is a change from what was previously reported (see instructions for required attachment) | **14b** | |
| **c** The second preceding plan year. ☐ Check the box if the number reported is a change from what was previously reported (see instructions for required attachment) | **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_____

# UNIVERSAL WEATHER AND AVIATION, LLC
# 401(K) PLAN
# (Formerly Universal Weather and Aviation Inc. 401(k) Plan)

**FINANCIAL STATEMENTS AND SUPPLEMENTAL SCHEDULE**
**WITH INDEPENDENT AUDITOR'S REPORT**
**As of and for the Years Ended December 31, 2020 and 2019**

# UNIVERSAL WEATHER AND AVIATION, LLC 401(K) PLAN
## TABLE OF CONTENTS


| | Page |
|---|---|
| Independent Auditor's Report | 1 |
| Financial Statements: | |
| Statements of Net Assets Available for Benefits As of December 31, 2020 and 2019 | 3 |
| Statements of Changes in Net Assets Available for Benefits For the Years Ended December 31, 2020 and 2019 | 4 |
| Notes to Financial Statements | 5 |
| Supplemental Schedule*: | |
| Schedule H, Line 4i - Schedule of Assets (Held at End of Year) As of December 31, 2020 | 13 |


* Other schedules required by Section 2520.103-10 of the Department of Labor's Rules and Regulations for Reporting and Disclosure under the Employee Retirement Income Security Act of 1974, as amended, have been omitted because they are not applicable.

Ham, Langston & Brezina, L.L.P.
CPAs and Advisors

11550 Fuqua St., Ste. 475
Houston, Texas 77034
281-481-1040 Main
hlb-cpa.com

# INDEPENDENT AUDITOR'S REPORT

To the Plan Administrator of the
Universal Weather and Aviation, LLC 401(k) Plan:

**Report on the Financial Statements**

We were engaged to audit the accompanying financial statements of Universal Weather and Aviation, LLC 401(k) Plan (the "Plan"), formerly the Universal Weather and Aviation, Inc. 401(k) Plan, which comprise the Statements of Net Assets Available for Benefits as of December 31, 2020 and 2019, and the related Statements of Changes in Net Assets Available for Benefits for the years then ended, and the related notes to the financial statements.

***Management's Responsibility for the Financial Statements***

Plan 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 ("DOL") Rules and Regulations for Reporting and Disclosure under the Employee Retirement Income Security Act of 1974, as amended ("ERISA"), 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 Fidelity Management Trust Company (the "Trustee"), except for comparing the information with the related information included in the financial statements. We have been informed by the Plan administrator that the Trustee holds the Plan's investment assets and executes investment transactions. The Plan administrator has obtained certifications from the Trustee as of and for the years ended December 31, 2020 and 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. Accordingly, we do not express an opinion on these financial statements.

***Other Matter***

The supplemental schedule, Schedule H, Line 4i – Schedule of Assets (Held at End of Year) as of December 31, 2020, is required by the DOL Rules and Regulations for Reporting and Disclosure under ERISA 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 the supplemental schedule referred to above.

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

The form and content of the information included in the financial statements and supplemental 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, is presented in compliance with the DOL's Rules and Regulations for Reporting and Disclosure under ERISA.

Hein, Langston & Brezina, LLP

Houston, Texas
August 17, 2021

# UNIVERSAL WEATHER AND AVIATION, LLC 401(K) PLAN
## STATEMENTS OF NET ASSETS AVAILABLE FOR BENEFITS
### DECEMBER 31, 2020 AND 2019

| | 2020 | 2019 |
|---|---|---|
| **ASSETS** | | |
| Investments, at fair value (See Notes 2 and 3) | $ 93,558,581 | $ 92,995,889 |
| Receivables: | | |
| Participant contributions | - | 101 |
| Employer matching contributions | - | 161 |
| Other employer contributions | - | 145,376 |
| Notes receivable from participants | 1,406,510 | 2,023,284 |
| Total receivables | 1,406,510 | 2,168,922 |
| Net assets available for benefits | $ 94,965,091 | $ 95,164,811 |

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

# UNIVERSAL WEATHER AND AVIATION, LLC 401(K) PLAN
## STATEMENTS OF CHANGES IN NET ASSETS AVAILABLE FOR BENEFITS
### FOR THE YEARS ENDED DECEMBER 31, 2020 AND 2019

| | 2020 | 2019 |
|---|---|---|
| Additions to net assets attributed to: | | |
| Investment income: | | |
| Dividend and interest income | $ 1,977,766 | $ 1,554,400 |
| Net appreciation in fair value of investments (See Notes 2 and 3) | 12,932,271 | 16,196,390 |
| Total investment income | 14,910,037 | 17,750,790 |
| Interest income from notes receivable from participants | 83,600 | 118,934 |
| Contributions: | | |
| Participant | 3,227,590 | 4,275,995 |
| Employer matching | 475,204 | 2,331,579 |
| Participant rollovers | - | 479,984 |
| Other employer | 177,311 | 145,376 |
| Total contributions | 3,880,105 | 7,232,934 |
| Total additions | 18,873,742 | 25,102,658 |
| Deductions from net assets attributed to: | | |
| Benefits and withdrawals | 18,901,827 | 6,915,896 |
| Administrative expenses | 171,635 | 80,605 |
| Total deductions | 19,073,462 | 6,996,501 |
| Net (decrease) increase in net assets available for benefits | (199,720) | 18,106,157 |
| Net assets available for benefits, beginning of year | 95,164,811 | 77,058,654 |
| Net assets available for benefits, end of year | $ 94,965,091 | $ 95,164,811 |

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

## 1. Description of the Plan

The following description of the Universal Weather and Aviation, LLC (the "Company") 401(k) Plan (the "Plan"), formerly the Universal Weather and Aviation, Inc. 401(k) Plan, is provided for general information purposes only. Participants should refer to the Plan document for a more complete description of the Plan's provisions.

### General

The Plan was formed and adopted by the Company effective February 1, 1974. The Plan provides eligible employees the option of making pre-tax or Roth contributions to accumulate additional funds toward retirement and provides for discretionary Company contributions to be made, either on a matching or non-matching basis. The Plan has been adopted by the following related employers: Impact Weather, Inc. and Air Culinaire Worldwide, LLC.

Effective January 1, 2020, the Plan adopted the provisions of the Setting Every Community Up for Retirement Enhancement Act of 2019 (the "SECURE Act"). The SECURE Act provisions include, among other things, an increase in the age limit for required minimum distributions from 70 ½ to 72.

Effective April 1, 2020, the Plan adopted the distribution provision of the Coronavirus Aid, Relief and Economic Security ("CARES") Act that was signed into law on March 27, 2020. A CARES Act distribution allows the Plan's participants to take a COVID-19 related distribution up to $100,000 from the Plan beginning on or after January 1, 2020 and before December 31, 2020. The Plan also adopted the loan payment deferral provision effective April 20, 2020. The CARES loan payment deferral provision allows eligible participants to defer their loan payments to December 31, 2020.

The Plan was amended on April 23, 2020 to suspend the employee matching contribution program, effective as of March 30, 2020.

The Plan was amended on September 21, 2020 to immediately vest all participants terminated due to the Company's sale of an operating division effective March 4, 2020.

On May 6, 2021 the Plan was amended effective May 31, 2021 to change the name of the Plan to Universal Weather and Aviation, LLC 401(k) Plan and the sponsor to Universal Weather and Aviation, LLC.

The Plan is subject to the provisions of the Employee Retirement Income Security Act of 1974, as amended ("ERISA").

### Administration

The Company administers the Plan. The trustee for the Plan's assets is Fidelity Management Trust Company (the "Trustee"). The recordkeeper for the Plan is Fidelity Workplace Services, LLC (the "Recordkeeper").

### Eligibility

Participation in the 401(k) portion of the Plan is voluntary and is available to all eligible employees of the Company, and the related employers, who have attained the age of 21 and have completed one month of service. All employees eligible for participation in the Plan participate in the profit-sharing portion of the Plan. Excluded from the class of eligible employees are residents of Puerto Rico, union employees, leased employees, and non-resident aliens who do not receive United States of America source income from the Company.

### Contributions

Each year participants may elect to defer up to 80% of their eligible pre-tax annual compensation not to exceed the limit set forth in the Internal Revenue Code ("IRC") Section 402g ($19,500 in 2020 and $19,000 in 2019). Participants may make catch-up contributions, which are pre-tax contributions that exceed the annual elective deferral limit, during any calendar year ending on or after the participant's 50$^{th}$ birthday. Participants may also make Roth contributions to the Plan in accordance with applicable tax laws. Participants' catch-up contributions are limited to 80% of their eligible pre-tax annual compensation not to exceed the limits set forth in the IRC ($6,500 in 2020 and $6,000 in 2019). If a participant receives a qualified distribution, as defined in the IRC, the participant may roll over these funds into the Plan. Participants direct the investments of their contributions into various investment options offered by the Plan in 1% increments.

**1. Description of the Plan, continued**

**Contributions, continued**

Employees who are eligible to participate in the Plan are automatically enrolled in the Plan and deemed to have elected a deferral rate of 3% of their pre-tax annual compensation. The Company will notify the employees of their right to choose not to have such contributions automatically made on their behalf.

The Company may make discretionary matching contributions on behalf of each participant. Such contributions are determined each Plan year. Effective March 30, 2020, the Company suspended the employer matching contribution program. Prior to March 30, 2020, the Company matched 75% of the participants' elective deferrals up to 6% of the participant's eligible compensation. The Company made discretionary matching contributions to the Plan of $475,204 and $2,331,579 during 2020 and 2019, respectively.

**Participant Accounts**

Each participant's account is credited with the participant's contributions and allocations of the Company's discretionary matching contributions and Plan earnings and charged with an allocation of administrative expenses. Earnings are allocated by fund based on the ratio of a participant's account invested in a particular fund to all participants' investments in that fund. Upon the occurrence of a distribution event, the benefit to which a participant is entitled is the benefit that can be provided from the participant's vested interest in his or her account.

**Vesting**

Participants are immediately vested in their elective contributions, rollover contributions, and any earnings on such contributions. A participant becomes 100% vested in all Company contributions upon either death or disability while working for the Company, or upon normal retirement at the age of 65. For all other purposes, a participant vests in their Company contribution accounts according to the criteria described below:

| Years of Service | Vested Percentage |
|---|---|
| Less than 3 years | 0% |
| 3 years or more | 100% |

**Notes Receivable from Participants**

Participants may borrow from their account balance a minimum of $1,000 up to a maximum amount equal to the lesser of $50,000 or 50% of their vested account balance. Loan terms may not exceed five years. However, if the loan is for the purchase of a principal residence, it may be repaid over a period of 10 years. The loans are secured by the vested balance in the participant's account and bear interest at a rate commensurate with local prevailing rates. Principal and interest are paid ratably by means of payroll withholding according to the terms of the loan. Only one loan is permitted to be outstanding at any one time. Participant notes receivable outstanding at December 31, 2020 and 2019 totaled $1,406,510 and $2,023,284, respectively, and bore interest at rates ranging from 4.25% to 6.50% and 4.25% to 9.50% per year during the years ended December 31, 2020 and 2019, respectively.

**Forfeitures**

All employer contributions credited to a participant's account, but not vested, are forfeited by the participant (or his or her designated beneficiary in the event of death) upon distribution of the vested value of his or her account. Forfeitures are used to fund employer contributions or to pay Plan expenses. At December 31, 2020 and 2019, forfeited non-vested accounts available to pay administrative expenses and/or to reduce future employer contributions totaled $256,611 and $300,946, respectively. Forfeited non-vested amounts of $211,521 and $0 were used to reduce employer contributions for the years ended December 31, 2020 and 2019, respectively. Forfeited non-vested amounts of $109,187 and $72,350 were used to pay Plan administrative expenses for the years ended December 31, 2020 and 2019, respectively.

**1. Description of the Plan, continued**

**Payment of Benefits**

Benefits are generally paid upon normal retirement, disability, death or termination of employment. Upon normal retirement, disability or death, a participant is entitled to receive 100% of their account balance. Upon termination, a participant is entitled to receive the vested portion of their account balance. Benefits are paid in a lump-sum amount or annual installments, as defined in the Plan document. In addition, participants are permitted in-service distributions from the vested portion of their Plan accounts at any time after having attained age 59 ½. Also, participants may request a distribution of their deferral contributions account upon incurring a financial hardship as defined in the Plan document.

**Basis of Accounting**

The financial statements of the Plan are prepared on the accrual basis of accounting in accordance with accounting principles generally accepted in the United States of America ("U.S. GAAP").

**2. Summary of Significant Accounting Policies**

**Use of Estimates**

The preparation of financial statements in accordance with U.S. GAAP requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities and changes therein, and disclosure of contingent assets and liabilities. Actual results could differ from these estimates.

**Investment Valuation and Income Recognition**

The Plan's investments are reported at fair value. Investments in registered investment companies ("mutual funds") are valued at quoted market prices, which represent the net asset value ("NAV") of shares held by the Plan at year end. The Plan's interests in collective trusts are based on the fair value of the individual collective trust's underlying investments, as based on information reported by the investment advisor using the audited financial statements of the collective trusts at year end. Common stocks, mutual funds, unit trust funds, and corporate bonds are stated at fair value as determined by quoted market prices.

Net appreciation in fair value of investments includes realized gains and losses on investments sold during the year and unrealized appreciation (depreciation) of investments held at the end of the year. Purchases and sales of securities are recorded on a trade-date basis. Interest income is recorded on the accrual basis. Dividends are recorded on the ex-dividend date.

**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, 2020 or 2019. If a participant ceases to make note repayments and the Plan administrator deems the participant note to be in default, the participant note balance is reduced and a benefit payment is recorded.

**Benefit Payments**

Benefits are recorded when paid.

**Expenses**

Certain expenses of maintaining the Plan are paid by the Plan, unless otherwise paid by the Company. Expenses that are paid by the Company 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 expenses. Investment related expenses are included in the net appreciation of fair value of investments. No Plan expenses were paid by the Company during the years ended December 31, 2020 or 2019.

**2. Summary of Significant Accounting Policies, continued**

**Recent Accounting Pronouncements**

In August 2018, the Financial Accounting Standards Board ("FASB") issued Accounting Standards Update ("ASU") No. 2018-13, *Fair Value Measurement (Topic 820): Disclosure Framework - Changes to the Disclosure Requirements for Fair Value Measurement*, which is part of the FASB disclosure framework project to improve the effectiveness of disclosures in the notes to the financial statements.

The amendments in the new guidance remove, modify and add certain disclosure requirements related to fair value measurements covered in FASB Accounting Standards Codification Topic 820 ("ASC 820") *Fair Value Measurements and Disclosures*. The new standard is effective for Plan years beginning after December 15, 2019. Early adoption is permitted for either the entire standard or only the requirements that modify or eliminate the disclosure requirements, with certain requirements applied prospectively, and all other requirements applied retrospectively to all periods presented. The Plan adopted ASU No. 2018-13 effective January 1, 2020, and its adoption did not have a significant impact on the financial statements or the related notes.

**3. Fair Value Measurements**

ASC 820 establishes a 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) and the lowest priority to unobservable inputs (Level 3). The three levels of the fair value hierarchy under 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;
- 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.

An asset 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.

In determining fair value, the Plan uses the market approach. The market approach uses prices and other relevant data based on market transactions involving identical or comparable assets and liabilities.

Following is a description of the valuation methodologies used for assets measured at fair value. There have been no changes in the methodologies used at December 31, 2020 and 2019.

*Mutual funds*: Valued at the daily closing price as reported by the fund. Mutual funds held by the Plan are open-ended mutual funds that are registered with the Securities and Exchange Commission. These funds are required to publish their daily NAV and to transact at that price. The mutual funds held by the Plan are deemed to be actively traded.

*Self-directed brokerage accounts which include exchange-traded common stocks, mutual funds, unit trust funds, and corporate bonds:* Valued at the closing price reported on the active market on which the individual securities are traded.

**3. Fair Value Measurements, continued**

*Collective trusts:* Valued at the NAV of units of the collective trust. 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 fund less its 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. Were the Plan to initiate a full redemption of the collective trust, the investment adviser reserves the right to temporarily delay withdrawals from the trust in order to ensure that securities liquidations will be carried out in an orderly business manner.

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.

The following tables set forth by level, within the fair value hierarchy, the Plan's investments measured at fair value on a recurring basis as of December 31, 2020 and 2019:

| | Investments at Fair Value Measurement at December 31, 2020 | | | |
|---|---|---|---|---|
| | Level 1 | Level 2 | Level 3 | Total |
| Mutual funds | $ 41,854,065 | $ - | $ - | $ 41,854,065 |
| Self-directed brokerage accounts | 5,309,122 | 736,030 | - | 6,117,152 |
| | $ 47,163,187 | $ 736,030 | $ - | 47,971,217 |
| Investment measured at NAV [(a)] | | | | 45,587,364 |
| Total investments, at fair value | | | | $ 93,558,581 |

| | Investments at Fair Value Measurement at December 31, 2019 | | | |
|---|---|---|---|---|
| | Level 1 | Level 2 | Level 3 | Total |
| Mutual funds | $ 41,942,861 | $ - | $ - | $ 41,942,861 |
| Self-directed brokerage accounts | 3,012,412 | 617,339 | - | 3,629,751 |
| | $ 44,955,273 | $ 617,339 | $ - | 45,572,612 |
| Investment measured at NAV [(a)] | | | | 47,423,277 |
| Total investments, at fair value | | | | $ 92,995,889 |

(a) In accordance with ASC 820, certain investments that were measured using NAV per share (or its equivalent) as a practical expedient 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 in the Statements of Net Assets Available for Benefits.

**3. Fair Value Measurements, continued**

**Fair Value of Investments in Entities that Use NAV**

| Investment | Fair Value December 31, 2020 | Fair Value December 31, 2019 | Unfunded Commitment | Redemption Frequency (if currently eligible) | Redemption Notice Period |
|---|---|---|---|---|---|
| *Collective trust funds:* | | | | | |
| T. Rowe Price Retirement 2030 Fund A | $ 7,954,552 | $ 8,127,153 | N/A | Daily | None |
| T. Rowe Price Retirement 2025 Fund A | 6,606,262 | 6,979,142 | N/A | Daily | None |
| T. Rowe Price Retirement 2035 Fund A | 6,268,441 | 5,993,145 | N/A | Daily | None |
| T. Rowe Price Retirement 2045 Fund A | 5,367,701 | 4,924,586 | N/A | Daily | None |
| T. Rowe Price Stable Value Common Trust Fund A | 5,158,091 | 6,306,288 | N/A | Daily | None |
| T. Rowe Price Retirement 2040 Fund A | 4,342,990 | 4,505,123 | N/A | Daily | None |
| T. Rowe Price Retirement 2020 Fund A | 3,902,509 | 4,583,915 | N/A | Daily | None |
| T. Rowe Price Retirement 2050 Fund A | 3,274,148 | 2,827,003 | N/A | Daily | None |
| T. Rowe Price Retirement 2055 Fund A | 1,732,417 | 1,690,686 | N/A | Daily | None |
| T. Rowe Price Retirement 2015 Fund A | 439,806 | 1,073,817 | N/A | Daily | None |
| T. Rowe Price Retirement 2060 Fund A | 331,900 | 232,264 | N/A | Daily | None |
| T. Rowe Price Retirement 2010 Fund A | 122,674 | 114,478 | N/A | Daily | None |
| T. Rowe Price Retirement 2005 Fund A | 85,873 | 65,677 | N/A | Daily | None |
| Total investments at NAV | $ 45,587,364 | $ 47,423,277 | | | |

**4. Information Certified by the Trustee (Unaudited)**

The Plan administrator has elected the method of annual reporting compliance permitted by 29 CFR 2520.103-8 of the Department of Labor's ("DOL") Rules and Regulations for Reporting and Disclosure under ERISA. Accordingly, certain information related to investments and notes receivable from participants disclosed in the accompanying financial statements and supplemental schedule, including investments and notes receivable from participants held at December 31, 2020 and 2019, net appreciation (depreciation) in fair value of investments, and interest and dividends for the years ended December 31, 2020 and 2019, was obtained or derived from information supplied to the Plan administrator and certified as complete and accurate by the Trustee.

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

**5. Tax Status**

The Plan adopted by the Company is a volume submitter ("VS") plan that is designed to comply with provisions of the Economic Growth and Tax Reconciliation Act of 2001 ("EGTRRA"). The VS plan was adopted by the Company effective January 1, 2014. Such VS plans are pre-approved by the Internal Revenue Service ("IRS") by reference to the Cumulative List of Changes in Plan Qualification Requirements (the "Cumulative List") provided under EGTRRA. The VS plan is sponsored by the Plan's Recordkeeper who received a favorable Advisory Letter from the IRS dated March 31, 2014.

**5. Tax Status, continued**

Although the Plan has been amended since receiving the determination letter, the Plan administrator and the Plan's tax counsel believe that the Plan is designed, and is currently being operated, in compliance with the applicable requirements of the IRC and, therefore, believe that the Plan is qualified, and the related trust is tax-exempt.

U.S. GAAP requires Plan management to evaluate the tax position taken by the Plan and recognize a tax liability if the Plan has taken an uncertain position that more likely than not would be sustained upon examination by the DOL and IRS. The Plan is subject to routine audits by taxing jurisdictions; however, there are currently no audits for any tax periods in progress.

**6. Risk and Uncertainties**

The Plan invests in various investment securities. Investment securities are exposed to various risks, such as interest rate, market and credit risks. Due to the level of risk associated with certain investment securities, it is at least 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 reported in the Statements of Net Assets Available for Benefits and the Statements of Changes in Net Assets Available for Benefits.

The COVID-19 outbreak, which was declared a pandemic by the World Health Organization on March 11, 2020, has triggered volatility in financial markets and a significant negative impact on the global economy. However, because the values of the Plan's individual investments have and will fluctuate in response to changing market conditions, the amounts of losses that will be recognized in subsequent periods, if any, cannot be determined. The full impact of the COVID019 outbreak continues to evolve and is unknown at the date of this report.

**7. Partial Plan Termination**

During the year ended December 31, 2020, the Company sold an operating division resulting in the termination of certain employees. The Sponsor voluntarily elected to treat the event as a partial plan termination, as defined by ERISA. Under ERISA, a partial plan termination may occur if a significant percentage of the Plan participants are terminated because of an action taken by the Company. If a partial plan termination occurs, full vesting in the employer's discretionary contribution is required for the affected participants, but the remaining participants' vesting continues to be determined per the Plan provisions. All affected participants were fully vested in their account balance at the date of the partial plan termination.

**8. Plan Termination**

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

**9. Party-in-Interest Transactions**

Certain Plan investments are in accounts managed by the Trustee and the Plan issues notes receivable from participants. These transactions qualify as party-in-interest transactions, as defined by ERISA. However, such transactions are permitted under the provisions of the Plan and are exempt from the prohibition of party-in-interest transactions under ERISA.

**10. Operational Defect**

Subsequent to the year ended December 31, 2019, it was discovered that certain participants' elected deferrals were not properly applied when calculating contribution amounts. The Plan administrator determined the affected participants and deposited approximately $5,127 into the Plan on July 15, 2020 to make the Plan whole, including interest, which is included in the financial statements in other employer contributions receivable as of December 31, 2019.

## 11. Reconciliation of Plan Financial Statements to Form 5500

The following is a reconciliation of the net assets available for benefits per the financial statements to the Form 5500 as of December 31, 2020 and 2019:

| | 2020 | 2019 |
|---|---|---|
| Net assets available for benefits per the financial statements | $ 94,965,091 | $ 95,164,811 |
| Participant contributions receivable | - | (101) |
| Employer contributions receivable | - | (161) |
| Other employer contributions receivable | - | (145,376) |
| Deemed distributions | (35,195) | (221,927) |
| Other | - | 1 |
| Net assets available for benefits per Form 5500 | $ 94,929,896 | $ 94,797,247 |

The following is a reconciliation of the net (decrease) increase in net assets available for benefits per the financial statements to the Form 5500 for the years ended December 31, 2020 and 2019:

| | 2020 | 2019 |
|---|---|---|
| Net (decrease) increase in net assets available for benefits per the financial statements | $ (199,720) | $ 18,106,157 |
| Change in participant contributions receivable | 101 | (101) |
| Change in employer contributions receivable | 161 | (161) |
| Change in other employer contributions receivable | 145,376 | (145,376) |
| Change in deemed distributions | 186,732 | 19,557 |
| Change in other | (1) | 4 |
| Net increase in net assets available for benefits per Form 5500 | $ 132,649 | $ 17,980,080 |

## 12. Subsequent Events

The Plan was amended and restated effective March 31, 2021 to incorporate amendments since the last restatement.

Plan management has evaluated all subsequent events through August 17, 2021, which is the date the financial statements were available to be issued, and has concluded that there are no other significant events to be reported.

**SUPPLEMENTAL SCHEDULE**

# UNIVERSAL WEATHER AND AVIATION, LLC 401(K) PLAN
## SCHEDULE H, Line 4i - SCHEDULE OF ASSETS (HELD AT END OF YEAR)
### DECEMBER 31, 2020

**EIN: 75-1039736**
**PN: 001**

| (a) | (b) Identity of Issue, Borrower, Lessor, or Similar Party | (c) Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value | (e) Current Value** |
|---|---|---|---|
| * | Fidelity Investments | Mutual Fund – Contrafund K | $ 16,567,315 |
| | T. Rowe Price | Collective Trust – Retirement 2030 Fund A | 7,954,552 |
| | T. Rowe Price | Collective Trust – Retirement 2025 Fund A | 6,606,262 |
| | T. Rowe Price | Collective Trust – Retirement 2035 Fund A | 6,268,441 |
| * | Fidelity Brokerage Services | Self-Directed Brokerage Accounts | 6,117,152 |
| | T. Rowe Price | Collective Trust – Retirement 2045 Fund A | 5,367,701 |
| | T. Rowe Price | Collective Trust – Stable Value Common Trust Fund A | 5,158,091 |
| | T. Rowe Price | Collective Trust – Retirement 2040 Fund A | 4,342,990 |
| | T. Rowe Price | Collective Trust – Retirement 2020 Fund A | 3,902,509 |
| | Carillon | Mutual Fund – Eagle Mid Cap Growth R5 Fund | 3,636,157 |
| | MFS International Growth | Mutual Fund – International Growth | 3,410,946 |
| | T. Rowe Price | Collective Trust – Retirement 2050 Fund A | 3,274,148 |
| | METWEST Funds | Mutual Fund – Total Return Bond Fund M | 2,793,790 |
| * | Fidelity Investments | Mutual Fund – 500 Index Fund | 2,733,375 |
| | Vanguard | Mutual Fund – Value Index Fund Admiral | 2,455,265 |
| | Principal Funds | Mutual Fund – Small-Cap Growth Class I Fund R6 | 2,336,067 |
| | John Hancock | Mutual Fund – Disciplined Value Mid-Cap Fund R6 | 2,248,741 |
| | Goldman Sachs | Mutual Fund – Small-Cap Value Fund Institutional | 1,908,974 |
| | T. Rowe Price | Collective Trust – Retirement 2055 Fund A | 1,732,417 |
| * | Fidelity Investments | Mutual Fund – International Index Fund | 1,685,676 |
| * | Fidelity Investments | Mutual Fund – US Bond Index Fund | 1,311,464 |
| * | Fidelity Investments | Mutual Fund – Extended Market Index Fund | 748,841 |
| | T. Rowe Price | Collective Trust – Retirement 2015 Fund A | 439,806 |
| | T. Rowe Price | Collective Trust – Retirement 2060 Fund A | 331,900 |
| | T. Rowe Price | Collective Trust – Retirement 2010 Fund A | 122,674 |
| | T. Rowe Price | Collective Trust – Retirement 2005 Fund A | 85,873 |
| * | Fidelity Investments | Mutual Fund – Government Money Market Fund | 17,454 |
| * | Participant notes | Notes receivable from participants bearing interest at rates ranging from 4.25% to 6.50% per year | 1,406,510 |
| | | Total | $ 94,965,091 |

* Represents a party-in-interest.
** Cost information is not presented because all investments are participant directed.

# UNIVERSAL WEATHER AND AVIATION, LLC
# 401(K) PLAN
# (Formerly Universal Weather and Aviation Inc. 401(k) Plan)

**FINANCIAL STATEMENTS AND SUPPLEMENTAL SCHEDULE**
**WITH INDEPENDENT AUDITOR'S REPORT**
**As of and for the Years Ended December 31, 2020 and 2019**

# UNIVERSAL WEATHER AND AVIATION, LLC 401(K) PLAN
## TABLE OF CONTENTS


| | Page |
|---|---|
| Independent Auditor's Report | 1 |
| Financial Statements: | |
| Statements of Net Assets Available for Benefits As of December 31, 2020 and 2019 | 3 |
| Statements of Changes in Net Assets Available for Benefits For the Years Ended December 31, 2020 and 2019 | 4 |
| Notes to Financial Statements | 5 |
| Supplemental Schedule*: | |
| Schedule H, Line 4i - Schedule of Assets (Held at End of Year) As of December 31, 2020 | 13 |


* Other schedules required by Section 2520.103-10 of the Department of Labor's Rules and Regulations for Reporting and Disclosure under the Employee Retirement Income Security Act of 1974, as amended, have been omitted because they are not applicable.

Ham, Langston & Brezina, L.L.P.
CPAs and Advisors

11550 Fuqua St., Ste. 475
Houston, Texas 77034
281-481-1040 Main
hlb-cpa.com

# INDEPENDENT AUDITOR'S REPORT

To the Plan Administrator of the
Universal Weather and Aviation, LLC 401(k) Plan:

**Report on the Financial Statements**

We were engaged to audit the accompanying financial statements of Universal Weather and Aviation, LLC 401(k) Plan (the "Plan"), formerly the Universal Weather and Aviation, Inc. 401(k) Plan, which comprise the Statements of Net Assets Available for Benefits as of December 31, 2020 and 2019, and the related Statements of Changes in Net Assets Available for Benefits for the years then ended, and the related notes to the financial statements.

***Management's Responsibility for the Financial Statements***

Plan 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 ("DOL") Rules and Regulations for Reporting and Disclosure under the Employee Retirement Income Security Act of 1974, as amended ("ERISA"), 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 Fidelity Management Trust Company (the "Trustee"), except for comparing the information with the related information included in the financial statements. We have been informed by the Plan administrator that the Trustee holds the Plan's investment assets and executes investment transactions. The Plan administrator has obtained certifications from the Trustee as of and for the years ended December 31, 2020 and 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. Accordingly, we do not express an opinion on these financial statements.

***Other Matter***

The supplemental schedule, Schedule H, Line 4i – Schedule of Assets (Held at End of Year) as of December 31, 2020, is required by the DOL Rules and Regulations for Reporting and Disclosure under ERISA 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 the supplemental schedule referred to above.

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

The form and content of the information included in the financial statements and supplemental 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, is presented in compliance with the DOL's Rules and Regulations for Reporting and Disclosure under ERISA.

Hein, Langston & Brezina, LLP

Houston, Texas
August 17, 2021

# UNIVERSAL WEATHER AND AVIATION, LLC 401(K) PLAN
## STATEMENTS OF NET ASSETS AVAILABLE FOR BENEFITS
### DECEMBER 31, 2020 AND 2019

| | 2020 | 2019 |
|---|---|---|
| **ASSETS** | | |
| Investments, at fair value (See Notes 2 and 3) | $ 93,558,581 | $ 92,995,889 |
| Receivables: | | |
| Participant contributions | - | 101 |
| Employer matching contributions | - | 161 |
| Other employer contributions | - | 145,376 |
| Notes receivable from participants | 1,406,510 | 2,023,284 |
| Total receivables | 1,406,510 | 2,168,922 |
| Net assets available for benefits | $ 94,965,091 | $ 95,164,811 |

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

# UNIVERSAL WEATHER AND AVIATION, LLC 401(K) PLAN
## STATEMENTS OF CHANGES IN NET ASSETS AVAILABLE FOR BENEFITS
### FOR THE YEARS ENDED DECEMBER 31, 2020 AND 2019

| | 2020 | 2019 |
|---|---|---|
| Additions to net assets attributed to: | | |
| Investment income: | | |
| Dividend and interest income | $ 1,977,766 | $ 1,554,400 |
| Net appreciation in fair value of investments (See Notes 2 and 3) | 12,932,271 | 16,196,390 |
| Total investment income | 14,910,037 | 17,750,790 |
| Interest income from notes receivable from participants | 83,600 | 118,934 |
| Contributions: | | |
| Participant | 3,227,590 | 4,275,995 |
| Employer matching | 475,204 | 2,331,579 |
| Participant rollovers | - | 479,984 |
| Other employer | 177,311 | 145,376 |
| Total contributions | 3,880,105 | 7,232,934 |
| Total additions | 18,873,742 | 25,102,658 |
| Deductions from net assets attributed to: | | |
| Benefits and withdrawals | 18,901,827 | 6,915,896 |
| Administrative expenses | 171,635 | 80,605 |
| Total deductions | 19,073,462 | 6,996,501 |
| Net (decrease) increase in net assets available for benefits | (199,720) | 18,106,157 |
| Net assets available for benefits, beginning of year | 95,164,811 | 77,058,654 |
| Net assets available for benefits, end of year | $ 94,965,091 | $ 95,164,811 |

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

## 1. Description of the Plan

The following description of the Universal Weather and Aviation, LLC (the "Company") 401(k) Plan (the "Plan"), formerly the Universal Weather and Aviation, Inc. 401(k) Plan, is provided for general information purposes only. Participants should refer to the Plan document for a more complete description of the Plan's provisions.

### General

The Plan was formed and adopted by the Company effective February 1, 1974. The Plan provides eligible employees the option of making pre-tax or Roth contributions to accumulate additional funds toward retirement and provides for discretionary Company contributions to be made, either on a matching or non-matching basis. The Plan has been adopted by the following related employers: Impact Weather, Inc. and Air Culinaire Worldwide, LLC.

Effective January 1, 2020, the Plan adopted the provisions of the Setting Every Community Up for Retirement Enhancement Act of 2019 (the "SECURE Act"). The SECURE Act provisions include, among other things, an increase in the age limit for required minimum distributions from 70 ½ to 72.

Effective April 1, 2020, the Plan adopted the distribution provision of the Coronavirus Aid, Relief and Economic Security ("CARES") Act that was signed into law on March 27, 2020. A CARES Act distribution allows the Plan's participants to take a COVID-19 related distribution up to $100,000 from the Plan beginning on or after January 1, 2020 and before December 31, 2020. The Plan also adopted the loan payment deferral provision effective April 20, 2020. The CARES loan payment deferral provision allows eligible participants to defer their loan payments to December 31, 2020.

The Plan was amended on April 23, 2020 to suspend the employee matching contribution program, effective as of March 30, 2020.

The Plan was amended on September 21, 2020 to immediately vest all participants terminated due to the Company's sale of an operating division effective March 4, 2020.

On May 6, 2021 the Plan was amended effective May 31, 2021 to change the name of the Plan to Universal Weather and Aviation, LLC 401(k) Plan and the sponsor to Universal Weather and Aviation, LLC.

The Plan is subject to the provisions of the Employee Retirement Income Security Act of 1974, as amended ("ERISA").

### Administration

The Company administers the Plan. The trustee for the Plan's assets is Fidelity Management Trust Company (the "Trustee"). The recordkeeper for the Plan is Fidelity Workplace Services, LLC (the "Recordkeeper").

### Eligibility

Participation in the 401(k) portion of the Plan is voluntary and is available to all eligible employees of the Company, and the related employers, who have attained the age of 21 and have completed one month of service. All employees eligible for participation in the Plan participate in the profit-sharing portion of the Plan. Excluded from the class of eligible employees are residents of Puerto Rico, union employees, leased employees, and non-resident aliens who do not receive United States of America source income from the Company.

### Contributions

Each year participants may elect to defer up to 80% of their eligible pre-tax annual compensation not to exceed the limit set forth in the Internal Revenue Code ("IRC") Section 402g ($19,500 in 2020 and $19,000 in 2019). Participants may make catch-up contributions, which are pre-tax contributions that exceed the annual elective deferral limit, during any calendar year ending on or after the participant's 50$^{th}$ birthday. Participants may also make Roth contributions to the Plan in accordance with applicable tax laws. Participants' catch-up contributions are limited to 80% of their eligible pre-tax annual compensation not to exceed the limits set forth in the IRC ($6,500 in 2020 and $6,000 in 2019). If a participant receives a qualified distribution, as defined in the IRC, the participant may roll over these funds into the Plan. Participants direct the investments of their contributions into various investment options offered by the Plan in 1% increments.

**1. Description of the Plan, continued**

**Contributions, continued**

Employees who are eligible to participate in the Plan are automatically enrolled in the Plan and deemed to have elected a deferral rate of 3% of their pre-tax annual compensation. The Company will notify the employees of their right to choose not to have such contributions automatically made on their behalf.

The Company may make discretionary matching contributions on behalf of each participant. Such contributions are determined each Plan year. Effective March 30, 2020, the Company suspended the employer matching contribution program. Prior to March 30, 2020, the Company matched 75% of the participants' elective deferrals up to 6% of the participant's eligible compensation. The Company made discretionary matching contributions to the Plan of $475,204 and $2,331,579 during 2020 and 2019, respectively.

**Participant Accounts**

Each participant's account is credited with the participant's contributions and allocations of the Company's discretionary matching contributions and Plan earnings and charged with an allocation of administrative expenses. Earnings are allocated by fund based on the ratio of a participant's account invested in a particular fund to all participants' investments in that fund. Upon the occurrence of a distribution event, the benefit to which a participant is entitled is the benefit that can be provided from the participant's vested interest in his or her account.

**Vesting**

Participants are immediately vested in their elective contributions, rollover contributions, and any earnings on such contributions. A participant becomes 100% vested in all Company contributions upon either death or disability while working for the Company, or upon normal retirement at the age of 65. For all other purposes, a participant vests in their Company contribution accounts according to the criteria described below:

| Years of Service | Vested Percentage |
|---|---|
| Less than 3 years | 0% |
| 3 years or more | 100% |

**Notes Receivable from Participants**

Participants may borrow from their account balance a minimum of $1,000 up to a maximum amount equal to the lesser of $50,000 or 50% of their vested account balance. Loan terms may not exceed five years. However, if the loan is for the purchase of a principal residence, it may be repaid over a period of 10 years. The loans are secured by the vested balance in the participant's account and bear interest at a rate commensurate with local prevailing rates. Principal and interest are paid ratably by means of payroll withholding according to the terms of the loan. Only one loan is permitted to be outstanding at any one time. Participant notes receivable outstanding at December 31, 2020 and 2019 totaled $1,406,510 and $2,023,284, respectively, and bore interest at rates ranging from 4.25% to 6.50% and 4.25% to 9.50% per year during the years ended December 31, 2020 and 2019, respectively.

**Forfeitures**

All employer contributions credited to a participant's account, but not vested, are forfeited by the participant (or his or her designated beneficiary in the event of death) upon distribution of the vested value of his or her account. Forfeitures are used to fund employer contributions or to pay Plan expenses. At December 31, 2020 and 2019, forfeited non-vested accounts available to pay administrative expenses and/or to reduce future employer contributions totaled $256,611 and $300,946, respectively. Forfeited non-vested amounts of $211,521 and $0 were used to reduce employer contributions for the years ended December 31, 2020 and 2019, respectively. Forfeited non-vested amounts of $109,187 and $72,350 were used to pay Plan administrative expenses for the years ended December 31, 2020 and 2019, respectively.

**1. Description of the Plan, continued**

**Payment of Benefits**

Benefits are generally paid upon normal retirement, disability, death or termination of employment. Upon normal retirement, disability or death, a participant is entitled to receive 100% of their account balance. Upon termination, a participant is entitled to receive the vested portion of their account balance. Benefits are paid in a lump-sum amount or annual installments, as defined in the Plan document. In addition, participants are permitted in-service distributions from the vested portion of their Plan accounts at any time after having attained age 59 ½. Also, participants may request a distribution of their deferral contributions account upon incurring a financial hardship as defined in the Plan document.

**Basis of Accounting**

The financial statements of the Plan are prepared on the accrual basis of accounting in accordance with accounting principles generally accepted in the United States of America ("U.S. GAAP").

**2. Summary of Significant Accounting Policies**

**Use of Estimates**

The preparation of financial statements in accordance with U.S. GAAP requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities and changes therein, and disclosure of contingent assets and liabilities. Actual results could differ from these estimates.

**Investment Valuation and Income Recognition**

The Plan's investments are reported at fair value. Investments in registered investment companies ("mutual funds") are valued at quoted market prices, which represent the net asset value ("NAV") of shares held by the Plan at year end. The Plan's interests in collective trusts are based on the fair value of the individual collective trust's underlying investments, as based on information reported by the investment advisor using the audited financial statements of the collective trusts at year end. Common stocks, mutual funds, unit trust funds, and corporate bonds are stated at fair value as determined by quoted market prices.

Net appreciation in fair value of investments includes realized gains and losses on investments sold during the year and unrealized appreciation (depreciation) of investments held at the end of the year. Purchases and sales of securities are recorded on a trade-date basis. Interest income is recorded on the accrual basis. Dividends are recorded on the ex-dividend date.

**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, 2020 or 2019. If a participant ceases to make note repayments and the Plan administrator deems the participant note to be in default, the participant note balance is reduced and a benefit payment is recorded.

**Benefit Payments**

Benefits are recorded when paid.

**Expenses**

Certain expenses of maintaining the Plan are paid by the Plan, unless otherwise paid by the Company. Expenses that are paid by the Company 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 expenses. Investment related expenses are included in the net appreciation of fair value of investments. No Plan expenses were paid by the Company during the years ended December 31, 2020 or 2019.

**2. Summary of Significant Accounting Policies, continued**

**Recent Accounting Pronouncements**

In August 2018, the Financial Accounting Standards Board ("FASB") issued Accounting Standards Update ("ASU") No. 2018-13, *Fair Value Measurement (Topic 820): Disclosure Framework - Changes to the Disclosure Requirements for Fair Value Measurement*, which is part of the FASB disclosure framework project to improve the effectiveness of disclosures in the notes to the financial statements.

The amendments in the new guidance remove, modify and add certain disclosure requirements related to fair value measurements covered in FASB Accounting Standards Codification Topic 820 ("ASC 820") *Fair Value Measurements and Disclosures*. The new standard is effective for Plan years beginning after December 15, 2019. Early adoption is permitted for either the entire standard or only the requirements that modify or eliminate the disclosure requirements, with certain requirements applied prospectively, and all other requirements applied retrospectively to all periods presented. The Plan adopted ASU No. 2018-13 effective January 1, 2020, and its adoption did not have a significant impact on the financial statements or the related notes.

**3. Fair Value Measurements**

ASC 820 establishes a 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) and the lowest priority to unobservable inputs (Level 3). The three levels of the fair value hierarchy under 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;
- 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.

An asset 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.

In determining fair value, the Plan uses the market approach. The market approach uses prices and other relevant data based on market transactions involving identical or comparable assets and liabilities.

Following is a description of the valuation methodologies used for assets measured at fair value. There have been no changes in the methodologies used at December 31, 2020 and 2019.

*Mutual funds*: Valued at the daily closing price as reported by the fund. Mutual funds held by the Plan are open-ended mutual funds that are registered with the Securities and Exchange Commission. These funds are required to publish their daily NAV and to transact at that price. The mutual funds held by the Plan are deemed to be actively traded.

*Self-directed brokerage accounts which include exchange-traded common stocks, mutual funds, unit trust funds, and corporate bonds:* Valued at the closing price reported on the active market on which the individual securities are traded.

**3. Fair Value Measurements, continued**

*Collective trusts:* Valued at the NAV of units of the collective trust. 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 fund less its 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. Were the Plan to initiate a full redemption of the collective trust, the investment adviser reserves the right to temporarily delay withdrawals from the trust in order to ensure that securities liquidations will be carried out in an orderly business manner.

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.

The following tables set forth by level, within the fair value hierarchy, the Plan's investments measured at fair value on a recurring basis as of December 31, 2020 and 2019:

| | Investments at Fair Value Measurement at December 31, 2020 | | | |
|---|---|---|---|---|
| | Level 1 | Level 2 | Level 3 | Total |
| Mutual funds | $ 41,854,065 | $ - | $ - | $ 41,854,065 |
| Self-directed brokerage accounts | 5,309,122 | 736,030 | - | 6,117,152 |
| | $ 47,163,187 | $ 736,030 | $ - | 47,971,217 |
| Investment measured at NAV [(a)] | | | | 45,587,364 |
| Total investments, at fair value | | | | $ 93,558,581 |

| | Investments at Fair Value Measurement at December 31, 2019 | | | |
|---|---|---|---|---|
| | Level 1 | Level 2 | Level 3 | Total |
| Mutual funds | $ 41,942,861 | $ - | $ - | $ 41,942,861 |
| Self-directed brokerage accounts | 3,012,412 | 617,339 | - | 3,629,751 |
| | $ 44,955,273 | $ 617,339 | $ - | 45,572,612 |
| Investment measured at NAV [(a)] | | | | 47,423,277 |
| Total investments, at fair value | | | | $ 92,995,889 |

(a) In accordance with ASC 820, certain investments that were measured using NAV per share (or its equivalent) as a practical expedient 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 in the Statements of Net Assets Available for Benefits.

**3. Fair Value Measurements, continued**

**Fair Value of Investments in Entities that Use NAV**

| Investment | Fair Value December 31, 2020 | Fair Value December 31, 2019 | Unfunded Commitment | Redemption Frequency (if currently eligible) | Redemption Notice Period |
|---|---|---|---|---|---|
| *Collective trust funds:* | | | | | |
| T. Rowe Price Retirement 2030 Fund A | $ 7,954,552 | $ 8,127,153 | N/A | Daily | None |
| T. Rowe Price Retirement 2025 Fund A | 6,606,262 | 6,979,142 | N/A | Daily | None |
| T. Rowe Price Retirement 2035 Fund A | 6,268,441 | 5,993,145 | N/A | Daily | None |
| T. Rowe Price Retirement 2045 Fund A | 5,367,701 | 4,924,586 | N/A | Daily | None |
| T. Rowe Price Stable Value Common Trust Fund A | 5,158,091 | 6,306,288 | N/A | Daily | None |
| T. Rowe Price Retirement 2040 Fund A | 4,342,990 | 4,505,123 | N/A | Daily | None |
| T. Rowe Price Retirement 2020 Fund A | 3,902,509 | 4,583,915 | N/A | Daily | None |
| T. Rowe Price Retirement 2050 Fund A | 3,274,148 | 2,827,003 | N/A | Daily | None |
| T. Rowe Price Retirement 2055 Fund A | 1,732,417 | 1,690,686 | N/A | Daily | None |
| T. Rowe Price Retirement 2015 Fund A | 439,806 | 1,073,817 | N/A | Daily | None |
| T. Rowe Price Retirement 2060 Fund A | 331,900 | 232,264 | N/A | Daily | None |
| T. Rowe Price Retirement 2010 Fund A | 122,674 | 114,478 | N/A | Daily | None |
| T. Rowe Price Retirement 2005 Fund A | 85,873 | 65,677 | N/A | Daily | None |
| Total investments at NAV | $ 45,587,364 | $ 47,423,277 | | | |

**4. Information Certified by the Trustee (Unaudited)**

The Plan administrator has elected the method of annual reporting compliance permitted by 29 CFR 2520.103-8 of the Department of Labor's ("DOL") Rules and Regulations for Reporting and Disclosure under ERISA. Accordingly, certain information related to investments and notes receivable from participants disclosed in the accompanying financial statements and supplemental schedule, including investments and notes receivable from participants held at December 31, 2020 and 2019, net appreciation (depreciation) in fair value of investments, and interest and dividends for the years ended December 31, 2020 and 2019, was obtained or derived from information supplied to the Plan administrator and certified as complete and accurate by the Trustee.

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

**5. Tax Status**

The Plan adopted by the Company is a volume submitter ("VS") plan that is designed to comply with provisions of the Economic Growth and Tax Reconciliation Act of 2001 ("EGTRRA"). The VS plan was adopted by the Company effective January 1, 2014. Such VS plans are pre-approved by the Internal Revenue Service ("IRS") by reference to the Cumulative List of Changes in Plan Qualification Requirements (the "Cumulative List") provided under EGTRRA. The VS plan is sponsored by the Plan's Recordkeeper who received a favorable Advisory Letter from the IRS dated March 31, 2014.

**5. Tax Status, continued**

Although the Plan has been amended since receiving the determination letter, the Plan administrator and the Plan's tax counsel believe that the Plan is designed, and is currently being operated, in compliance with the applicable requirements of the IRC and, therefore, believe that the Plan is qualified, and the related trust is tax-exempt.

U.S. GAAP requires Plan management to evaluate the tax position taken by the Plan and recognize a tax liability if the Plan has taken an uncertain position that more likely than not would be sustained upon examination by the DOL and IRS. The Plan is subject to routine audits by taxing jurisdictions; however, there are currently no audits for any tax periods in progress.

**6. Risk and Uncertainties**

The Plan invests in various investment securities. Investment securities are exposed to various risks, such as interest rate, market and credit risks. Due to the level of risk associated with certain investment securities, it is at least 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 reported in the Statements of Net Assets Available for Benefits and the Statements of Changes in Net Assets Available for Benefits.

The COVID-19 outbreak, which was declared a pandemic by the World Health Organization on March 11, 2020, has triggered volatility in financial markets and a significant negative impact on the global economy. However, because the values of the Plan's individual investments have and will fluctuate in response to changing market conditions, the amounts of losses that will be recognized in subsequent periods, if any, cannot be determined. The full impact of the COVID019 outbreak continues to evolve and is unknown at the date of this report.

**7. Partial Plan Termination**

During the year ended December 31, 2020, the Company sold an operating division resulting in the termination of certain employees. The Sponsor voluntarily elected to treat the event as a partial plan termination, as defined by ERISA. Under ERISA, a partial plan termination may occur if a significant percentage of the Plan participants are terminated because of an action taken by the Company. If a partial plan termination occurs, full vesting in the employer's discretionary contribution is required for the affected participants, but the remaining participants' vesting continues to be determined per the Plan provisions. All affected participants were fully vested in their account balance at the date of the partial plan termination.

**8. Plan Termination**

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

**9. Party-in-Interest Transactions**

Certain Plan investments are in accounts managed by the Trustee and the Plan issues notes receivable from participants. These transactions qualify as party-in-interest transactions, as defined by ERISA. However, such transactions are permitted under the provisions of the Plan and are exempt from the prohibition of party-in-interest transactions under ERISA.

**10. Operational Defect**

Subsequent to the year ended December 31, 2019, it was discovered that certain participants' elected deferrals were not properly applied when calculating contribution amounts. The Plan administrator determined the affected participants and deposited approximately $5,127 into the Plan on July 15, 2020 to make the Plan whole, including interest, which is included in the financial statements in other employer contributions receivable as of December 31, 2019.

## 11. Reconciliation of Plan Financial Statements to Form 5500

The following is a reconciliation of the net assets available for benefits per the financial statements to the Form 5500 as of December 31, 2020 and 2019:

| | 2020 | 2019 |
|---|---|---|
| Net assets available for benefits per the financial statements | $ 94,965,091 | $ 95,164,811 |
| Participant contributions receivable | - | (101) |
| Employer contributions receivable | - | (161) |
| Other employer contributions receivable | - | (145,376) |
| Deemed distributions | (35,195) | (221,927) |
| Other | - | 1 |
| Net assets available for benefits per Form 5500 | $ 94,929,896 | $ 94,797,247 |

The following is a reconciliation of the net (decrease) increase in net assets available for benefits per the financial statements to the Form 5500 for the years ended December 31, 2020 and 2019:

| | 2020 | 2019 |
|---|---|---|
| Net (decrease) increase in net assets available for benefits per the financial statements | $ (199,720) | $ 18,106,157 |
| Change in participant contributions receivable | 101 | (101) |
| Change in employer contributions receivable | 161 | (161) |
| Change in other employer contributions receivable | 145,376 | (145,376) |
| Change in deemed distributions | 186,732 | 19,557 |
| Change in other | (1) | 4 |
| Net increase in net assets available for benefits per Form 5500 | $ 132,649 | $ 17,980,080 |

## 12. Subsequent Events

The Plan was amended and restated effective March 31, 2021 to incorporate amendments since the last restatement.

Plan management has evaluated all subsequent events through August 17, 2021, which is the date the financial statements were available to be issued, and has concluded that there are no other significant events to be reported.

**SUPPLEMENTAL SCHEDULE**

# UNIVERSAL WEATHER AND AVIATION, LLC 401(K) PLAN
## SCHEDULE H, Line 4i - SCHEDULE OF ASSETS (HELD AT END OF YEAR)
### DECEMBER 31, 2020

**EIN: 75-1039736**
**PN: 001**

| (a) | (b) Identity of Issue, Borrower, Lessor, or Similar Party | (c) Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value | (e) Current Value** |
|---|---|---|---|
| * | Fidelity Investments | Mutual Fund – Contrafund K | $ 16,567,315 |
| | T. Rowe Price | Collective Trust – Retirement 2030 Fund A | 7,954,552 |
| | T. Rowe Price | Collective Trust – Retirement 2025 Fund A | 6,606,262 |
| | T. Rowe Price | Collective Trust – Retirement 2035 Fund A | 6,268,441 |
| * | Fidelity Brokerage Services | Self-Directed Brokerage Accounts | 6,117,152 |
| | T. Rowe Price | Collective Trust – Retirement 2045 Fund A | 5,367,701 |
| | T. Rowe Price | Collective Trust – Stable Value Common Trust Fund A | 5,158,091 |
| | T. Rowe Price | Collective Trust – Retirement 2040 Fund A | 4,342,990 |
| | T. Rowe Price | Collective Trust – Retirement 2020 Fund A | 3,902,509 |
| | Carillon | Mutual Fund – Eagle Mid Cap Growth R5 Fund | 3,636,157 |
| | MFS International Growth | Mutual Fund – International Growth | 3,410,946 |
| | T. Rowe Price | Collective Trust – Retirement 2050 Fund A | 3,274,148 |
| | METWEST Funds | Mutual Fund – Total Return Bond Fund M | 2,793,790 |
| * | Fidelity Investments | Mutual Fund – 500 Index Fund | 2,733,375 |
| | Vanguard | Mutual Fund – Value Index Fund Admiral | 2,455,265 |
| | Principal Funds | Mutual Fund – Small-Cap Growth Class I Fund R6 | 2,336,067 |
| | John Hancock | Mutual Fund – Disciplined Value Mid-Cap Fund R6 | 2,248,741 |
| | Goldman Sachs | Mutual Fund – Small-Cap Value Fund Institutional | 1,908,974 |
| | T. Rowe Price | Collective Trust – Retirement 2055 Fund A | 1,732,417 |
| * | Fidelity Investments | Mutual Fund – International Index Fund | 1,685,676 |
| * | Fidelity Investments | Mutual Fund – US Bond Index Fund | 1,311,464 |
| * | Fidelity Investments | Mutual Fund – Extended Market Index Fund | 748,841 |
| | T. Rowe Price | Collective Trust – Retirement 2015 Fund A | 439,806 |
| | T. Rowe Price | Collective Trust – Retirement 2060 Fund A | 331,900 |
| | T. Rowe Price | Collective Trust – Retirement 2010 Fund A | 122,674 |
| | T. Rowe Price | Collective Trust – Retirement 2005 Fund A | 85,873 |
| * | Fidelity Investments | Mutual Fund – Government Money Market Fund | 17,454 |
| * | Participant notes | Notes receivable from participants bearing interest at rates ranging from 4.25% to 6.50% per year | 1,406,510 |
| | | Total | $ 94,965,091 |

* Represents a party-in-interest.
** Cost information is not presented because all investments are participant directed.